

CHAPTER ONE

INTRODUCTION

BRIEF HISTORY

Just a century ago, the phenomenon of public higher education was mainly a dream. Among the eloquent spokesmen for that dream was John B. Bowman, first regent of the Agricultural and Mechanical College of Kentucky University, who said in 1865:

“I want to build up a people’s institution, a great free university, eventually open and accessible to the poorest boy in the land, who may come and receive an education practical and suitable for any business or profession in life. I want to cheapen this whole matter of education, so that, under the broad and expansive influences of our republican institutions, and our advancing civilization, it may run free, as our great rivers, and bless the coming millions.”

“Hitherto, our colleges and universities have been accessible only to the few, such are the expenses attending them. We therefore want a university with all the colleges attached, giving education of the highest order to all classes. We want ample grounds and buildings and libraries, and apparatus, and museums and endowments, and prize funds, and professors of great heads and hearts, men of faith and energy. Indeed we want everything which will make this institution eventually equal to any on this continent. Why should we not have them? I think we can.”

Bowman’s statement was made the year the University of Kentucky was founded. Today the institution is among the 93 state universities and land-grant institutions in America which are the fulfillment of this dream.

The school was established as an adjunct of Kentucky University (later to become Transylvania University) under a cooperative plan authorized by the Legislature. Being a land-grant institution, it was called the Agricultural and Mechanical College. The campus was on Ashland, the Henry Clay estate, and the adjoining Woodland estate. Dormitories, classrooms, shops, and homes for the College’s presiding officer and most of its faculty fitted into existing buildings on the two farms.

In 1878, when the people of Kentucky decided to establish a public institution of higher learning, the Agricultural and Mechanical College was separated from the private Kentucky University. The new institution was moved in 1882 to a separate campus on land given by Lexington and Fayette County. The city of Lexington donated its 500-acre fairground and park, which had been used as a bivouac area by Union troops during the Civil War. Lexington and Fayette County contributed \$60,000 for the construction of buildings. President James K. Patterson, whose service to the institution began in 1869, used his personal savings to supplement the building fund. Three buildings were erected, one of which, the Administration Building, stands today.

Thirty years later the Legislature changed the name from The Agricultural and Mechanical College to State University, Lexington, Kentucky, and gave it additional financial support. In 1916 the name was changed to the University of Kentucky.

In the 114 years that have passed since its establishment as a separate state institution, the University of Kentucky has had only ten presidents:

James K. Patterson, 1878-1910
Henry S. Barker, 1910-1917
Frank L. McVey, 1917-1940
Herman L. Donovan, 1941-1956
Frank G. Dickey, 1956-1963
John W. Oswald, 1963-1968
Albert D. Kirwan, 1968-1969
Otis A. Singletary, 1969-1987
David P. Roselle, 1987-1989
Charles T. Wethington, Jr. 1989-

THE UNIVERSITY TODAY

From an enrollment of 273 students in 1876, the University has grown to a vibrant comprehensive statewide institution. Today, the University is organized into two primary systems: the University System and the Community College System. Considered in combination, the two systems comprise approximately 70,000 students and 10,000 full-time faculty and staff.

The University System (all operations of the University except for the UK Community Colleges) has two sectors: Lexington Campus and the Albert B. Chandler Medical Center. These sectors include seventeen undergraduate and professional colleges and the Graduate School offering over 300 baccalaureate, masters, doctoral, and professional degree programs (Appendix E). There are more than 23,000 students on the University campus in Lexington. Many diverse elements comprise the University System. In addition to an outstanding Medical Center, the system also includes the Agricultural Experiment Station, the Cooperative Extension Service, the Center for Robotics, the Markey Cancer Center, numerous multidisciplinary centers and institutes, and a variety of offices established to serve students and external clientele.

The University campus in Lexington is located on 763 acres of land near the downtown area of Lexington and includes over 100 major buildings. Some of these structures, history-laden but with renovated interiors, date back to the 1800s; others are contemporary teaching and research facilities.

The Community College System was established in 1964 following action by the Kentucky General Assembly. This System comprises 14 community colleges spread throughout the Commonwealth and operated by the University. These open-enrollment, two-year colleges offer to citizens of the Commonwealth, career oriented technical programs, prebaccalaureate education, and adult continuing education.

Through the years, the University of Kentucky has become one of the outstanding land-grant institutions in the nation, known for its scholarship, research, and graduates (Exhibit AG). In 1987, the University was classified as a Research University I by the Carnegie Foundation.

Members of its faculty have received national and international recognition for their teaching and research. Its graduates have distinguished themselves in many fields.

The combination of its University and Community College Systems makes the University of Kentucky one of the most comprehensive educational institutions in the United States. Combining this structure with recent innovations in electronic delivery of advanced-level courses throughout the Commonwealth, especially through the facilities of the Community Colleges, places the University in a virtually unique position in higher education for the generation, advancement, and delivery of knowledge and services to citizens throughout the Commonwealth and beyond.

Truly, the University has advanced Bowman's dream of providing quality education for all citizens of the Commonwealth.

UNIVERSITY MISSION AND PURPOSE

Perspective

Several sources, ranging from the original 1865 charter to the most recent version of the mission statement, provide statements of the mission and purpose for the University of Kentucky. These sources include the Kentucky Revised Statutes, certain Acts of Congress (Morrill, 1862; Hatch, 1867; and Smith-Lever, 1914) which relate to the land-grant status of the University, the University's *Governing Regulations*, official bulletins, the 1980-82 Self-Study, some publications of the Kentucky Council on Higher Education, and the *University of Kentucky Strategic Plan* adopted in 1989 and revised in 1991 (Exhibit A).

While each of the statutes or acts reflects some distinct emphasis suitable to the time and circumstances under which it was developed, all have a high degree of consistency. Taken together, they describe the broad responsibilities of an institution operating not only to provide education in the liberal arts but also to provide the services of a land grant institution with a medical center. They also define and authorize the University as the Commonwealth's "principal state institution for the conduct of statewide research and statewide service programs."

One document, however, has particular official status: the mission statement adopted by the Board of Trustees on June 18, 1991, and reaffirmed in the adoption of the revised Strategic Plan on September 17, 1991. This statement was developed in conjunction with the University's Self-Study by the Committee on Mission and Purpose. The Committee consulted with the Committee on Planning and Priorities of the University Senate, the President's Cabinet, and the Steering Committee. The statement, is designed to reflect the mission and responsibilities of the University for the decade of the Nineties.

Mission Statement

University Purpose and Mission

As the Commonwealth's only comprehensive land-grant University with a statewide mission, the University of Kentucky exists to ensure the citizens of the Commonwealth and, by

extension, the nation and the world the finest opportunities for education and the greatest benefits of knowledge.

The University creates, preserves, and disseminates knowledge. It seeks to provide an optimal environment for teaching, learning, and research. The University aspires to develop a community of scholars that promotes cultural understanding, ethical behavior, civic virtue, and international citizenship. All efforts of the University are intended to address the needs of society and, by so doing, improve the human condition.

University Goals

In fulfilling its mission through its University and Community College Systems, the University of Kentucky has three interrelated functions: instruction, research, and public service. These activities enable the University to achieve its goals of:

- Responding to the educational needs of individuals from the Commonwealth of Kentucky, in addition to those from the nation and the world, by offering excellent programs in undergraduate, graduate, and professional education.
- Advancing the frontiers of knowledge by conducting programs of basic and applied research which seek solutions to human, resource, and environmental problems and further the human good.
- Improving the well-being of citizens of the Commonwealth of Kentucky, as well as all humanity, through application of the knowledge, abilities, and skills of members of the University community.
- Providing the Commonwealth of Kentucky with a comprehensive university recognized nationally for its quality of teaching, research, service and graduates and, internationally, for specific areas of strength.

STRATEGIC PLANNING AND GOALS

On September 19, 1989, the University, through its Board of Trustees, adopted a strategic plan which includes goals, objectives, strategies, and measures of progress enabling the University to improve its effectiveness in pursuing its mission and fulfilling its purpose (Appendix F). The revised plan was adopted on September 17, 1991.

For many years, the University has had a systematic process in place to review and evaluate educational units. Two events, however, made a review of this process inevitable: (1) the adoption of the University's strategic planning process, and (2) the establishment by SACS and the Kentucky Council on Higher Education of criteria of institutional effectiveness and assessment.

At the beginning of the Self-Study process, representatives of the Steering Committee met with individuals responsible for implementing institutional effectiveness and assessment in their respective areas or sectors. For the most part, these individuals also had responsibilities for strategic planning as well. It was agreed that coordination of the three activities was essential. A joint document was prepared detailing the goals of planning, assessment, and Self-Study groups (Appendix 1-A).

In addition, the Self-Study Committee prepared an Outline for the Self-Study Assessment of Program/Unit Effectiveness which described the components of an integrated planning/assessment process compatible with the SACS *Criteria*. (Appendix 1-B). This was used as a guide for implementation in the sectors. More recently, the President appointed a task force to review the *Administrative Regulations* as they pertain to educational unit review and evaluation with the goal of identifying and establishing areas for effective coordination with the planning process. After extensive consultation, a new Administrative Regulation has been prepared. Its adoption is anticipated prior to the arrival of the Visiting Committee. While this regulation pertains to educational units, some support units have already been evaluated in recent months using comparable procedures.

SELF-STUDY PROCESS

The Self-Study came at an opportune time: a new President had been appointed and the University had recently adopted the first phase of its strategic plan and was beginning to refine its evaluation process. This provided the opportunity to coordinate the three efforts of self-study, planning, and evaluation. A coordinated effort would assist in helping identify areas of strength and weakness, make recommendations which would enhance the former and improve the latter, and feed the results back into the planning process. A thorough, comprehensive self-study going well beyond the minimum requirements of the SACS *Criteria* was timely.

President Wethington emphasized this theme when he appointed and charged the Steering Committee stating, at the initial meeting, that it should identify issues which would help shape the direction of the University as it prepared for the turn of the century (Exhibit 1-A). The Steering Committee committed itself to conducting an open, collaborative Self-Study.

Steering Committee

The Steering Committee was established with primary responsibility for overall supervision of the Self-Study and compilation of the final report. Nominations were obtained from the Deans and from the University Senate Council. The appointments were made by the President in consultation with the Chancellors and Vice Presidents. Criteria for selection included: (1) credibility among colleagues and administration, (2) conceptual ability to understand the nature of the University, a vision for its future, and a breadth of vision beyond their own disciplines, (3) emotional stability, (4) flexibility to adapt to changing times and conditions, and (5) balance regarding gender, ethnic background, and the University missions in teaching, research, and public service.

Keeping in mind the issues raised by the President, the Steering Committee designed a self-study process which emphasized institutional improvement. The overall program sought to identify strengths and weaknesses and prepare recommendations for improvement, while at the

same time allowing for involvement and collaboration with the University community (Appendix 1-C). Five goals for the Self-Study were adopted:

1. To evaluate the effectiveness of the University of Kentucky in fulfilling its mission as the Commonwealth's principal and only statewide institution for instruction, research, and public service, nationally recognized for the quality of its scholarship, research, and graduates.
2. To promote awareness within the University of its potential for leadership in the state, the nation, and the world.
3. To identify the University's strengths and weaknesses and recommend directions for continually improving the quality of personnel, programs, and services.
4. To support the University's efforts in strategic planning and institutional effectiveness.
5. To obtain reaffirmation of accreditation with the Southern Association of Colleges and Schools.

The Steering Committee guided and participated in the work of the Self-Study. Members of the Committee served as liaison members of the various principal committees. The Committee also played a substantial role in the review and editing of the reports (chapters) and recommendations from the principal committees. This involved individual and small group efforts as well as a one-day retreat. The retreat was dedicated to a thorough and comprehensive review of all recommendations coming from the committees as well as the status and condition of the chapters.

Day by day guidance was provided by an Executive Committee consisting of the Director and Associate Director of the Self-Study and the Chair and Vice Chair of the Steering Committee. The Executive Committee met twice a week (several times more frequently) throughout the Self-Study period. Daily administration of the Self-Study Office was the responsibility of the Director and Associate Director.

Principal Committees

Fifteen principal committees and subcommittees were appointed to address the five goals. They were organized around the mission of the University (education, research, and public service), its community (faculty, staff, and students), and its supporting infrastructure (libraries, computing, administration, and institutional effectiveness). The appointment of at least one of these committees, Staff, went well beyond minimum SACS *Criteria*, but it was deemed important to do so in order to address issues and needs of the University in an adequate manner. Committee charges were prepared based on the SACS *Criteria* and the special needs of the University. Summaries of the charges are included in Appendix 1-D with expanded statements detailed in the charge letters (Exhibit 1-B).

To ensure the broad-based involvement of the entire University community in the work and direction of the Self-Study, all employees were invited to nominate persons (or to volunteer themselves) to serve on the principal committees. Over 900 persons were nominated. Nominees were screened by the Steering Committee using the same criteria as in the selection of the

Steering Committee. The committees were appointed by the President in consultation with the Cabinet.

Because of the importance of effective coordination between the Self-Study, strategic planning and institutional effectiveness processes, and the need for those involved in the Self-Study to be informed, a one-day kick-off was planned (Appendix 1-E). A highlight of the program was a major presentation by Professor Richard Light who spoke on the merits and benefits gained from assessment activities, based largely on his experience with the Harvard Assessment Seminars. The program also included sessions highlighting the coordination of the self-study, planning, and effectiveness processes (Appendix 1-F) as well as orientation to SACS procedures and criteria. The concluding session involved organizational meetings of the committees.

Department/Program Studies

Formal department or unit self-studies were not conducted in conjunction with the University Self-Study. This decision was made for several reasons. First, the University has a well-established procedure for periodic program review. These are comprehensive reviews which include an assessment of the unit programs and administration. Further, these documents provide ample evidence of the strengths and weaknesses of the individual departments. Second, several programs conduct extensive self-studies as a part of their requirements for separate, external accreditation. These reports are available for review. Third, the departments and units were deeply involved in developing assessment plans in conjunction with institutional effectiveness activities. Because of the importance of developing well-designed assessment plans within the units and the implications of such activities to the quality of programs, the decision was made that departments and their deans/directors should be allowed to concentrate their energies on these activities and not be distracted by an additional program review or self-study. Five basic questions were developed to be addressed by units and programs:

1. Why does this program exist? What is its purpose?
2. What are its goals?
3. What are the expected outcomes or intended program results for each of the program goals?
4. How does the program measure accomplishments of the expected outcomes?
5. How does the program use the results of these assessments to modify and improve the program or to alter its goals?

Communication with University Community

The Steering Committee adopted a communication plan designed to ensure efforts to provide two-way communication between the University community and the Self-Study (Appendix 1-G). The plan consisted of three main components: surveys, forums, and printed media.

Surveys

A critical component of the Self-Study was the inclusion of all faculty, administrative, professional, and hourly staff in mail surveys, and the inclusion of samples of undergraduate, graduate, and professional degree students in telephone surveys. Other groups surveyed by the

Steering Committee were teaching assistants and part-time instructors, academic deans and chairs, and former faculty (who left voluntarily).

Separate instruments were prepared for each group. The instruments were developed through a subcommittee on University Surveys with substantial input from the principal committees. Most instruments included both closed and open ended questions. These were administered through the Survey Research Center.

Results of the surveys are reported in the *University System Self-Study 1991: Survey Results* and are cited extensively in the following chapters. The response rates were extremely gratifying especially considering they were deliberately mailed without provision for targeted follow-up. Response rates for the written surveys ranged from 41 percent from hourly staff to nearly 50 percent from faculty and 67 percent from chairs and deans. Because the telephone surveys did allow for targeted follow-up, their response rates ranged from 91 to 94 percent. Of considerable importance, the survey results will comprise a useful base point for future institutional research. The survey results have already been germane to changes currently underway and have helped focus follow-up efforts.

Survey results were mailed to each department and unit in the University, both academic and support. In addition oral reports were provided to groups requesting them (e.g., Physical Plant Division).

Forums

A general University forum was held in October, 1990, to provide faculty, staff, and students the opportunity to express their ideas and concerns pertaining to the strengths of the institution as well as to areas of needed improvement. The objective was to provide a mechanism whereby the University community could make a direct contribution to the agenda of the principal committees. In addition, ideas obtained at the forum were helpful in formulating the Self-Study surveys.

During May, 1991, the Public Service Committee held a series of discussion forums in five different communities across Kentucky. In all but one case, they were held in a city with a Community College. The forums were organized around a luncheon meeting with community leaders followed by a session in the afternoon with community college faculty. This proved to be a highly successful method for obtaining ideas and perceiving needs concerning public service activities and programs.

A series of report forums was held during Fall, 1991. These were intended as a means to report to the University on preliminary findings and recommendations of the principal committees and to obtain feedback prior to preparing the final reports (Appendix 1-H).

A concluding forum will be scheduled during Fall 1992, prior to the arrival of the visiting committee, to discuss the final report and recommendations.

Print Media

The Steering Committee also elected to communicate to the University community via the print media. A newsletter, *Self-Study Update*, distributed to the entire University community, reported events and information on the process (Exhibit 1-C). In addition, the University's house organ, *Communi-K*, carried articles on the Self-Study at various points (Exhibit 1-D). One issue

(prior to the report forums) included a special four-page section on the Self-Study. Articles and advertisements also appeared in the student newspaper, the *Kentucky Kernel*, especially in conjunction with the forums (Exhibit 1-E).

Issues of the *Self-Study Update* and articles in the *Kernel* and *Communi-K* are contemplated for Fall 1992 as concluding steps in the Self-Study.

CONDITIONS OF ELIGIBILITY

The University of Kentucky satisfies each of the following Conditions of Eligibility for reaffirmation of accreditation with the Southern Association of Colleges and Schools, and fully intends to live up to its commitments.

1. a. The University of Kentucky is committed to and intends to comply with the criteria of the College Delegate Assembly, either current or as hereafter modified consistent with the policies and procedures of the Commission on Colleges.
- b. The University of Kentucky attests to its understanding and agreement that the Commission on Colleges, at its discretion, may make known to any agency or member of the public that may request such information, the nature of any action, positive or negative, regarding status with the Commission.
- c. The University agrees to disclose to the Commission on Colleges any and all such information as the Commission may require to carry out its evaluating and accrediting function.
2. The Kentucky Revised Statutes (Sections 164.125 and 164.240) provide authority for the University of Kentucky to offer degree programs and to award degrees, certificates, and diplomas (Exhibit A, p. 11).
3. The University has a Board of Trustees consisting of 20 members which has the authority and duty to ensure that the mission of the University is fulfilled (Appendix A). The Board of Trustees has been established through the Kentucky Revised Statutes (Section 164.130). The Statutes specify that the Governor shall appoint 16 of the members including three who shall be representative of agricultural interests and three who shall be alumni. The remaining four shall be elected as follows: two faculty members elected by faculty of the University System; one faculty member elected by the Community College System; and the President of the University of Kentucky Student Government Association.

The 1992 General Assembly revision of this statute (1) dissolves the present board as of June 30, 1992, (2) establishes a nominating panel to screen potential candidates and to refer three nominations to the governor for each vacant seat, and (3) requires the governor in making initial

appointments in reconstituting the new board to reappoint at least 50 percent of the outgoing 16 appointed members.

The Board schedules nine meetings each year, four of which are statutory meetings. The current board members have no contractual, employment, or personal or familial financial interest in the University (See Kentucky Revised Statutes 45A.340 concerning conflicts of interest of public officers and employees, Exhibit 1-F).

4. Dr. Charles T. Wethington, Jr. is the tenth President of the University of Kentucky and serves as the chief executive officer. Other officers are listed in Appendix B.
5. The University System enrolled 24,132 students during the 1991 Fall Semester and awarded 3,929 degrees during its year of record. It will have approximately 24,000 students enrolled at the time of the committee visit.
6. The University offers over 300 baccalaureate, masters, doctoral, and professional degree programs. The *University of Kentucky Bulletin* and the *Graduate School Bulletin* describe the degree program requirements and course offerings. Baccalaureate programs require at least four academic years. Post baccalaureate programs require at least one academic year.
7. The University has adopted a revised statement of mission and purpose, which is clearly defined. It was published in the Strategic Plan in 1992, will be published in *The Faculty Handbook*, and appears in a modified form in the *Bulletin*.
8. The University adopted a Strategic Plan in 1989 and a revised plan in 1991 to guide the University in its planning activities. It clearly identifies future educational, physical, and financial goals. The *Administrative Regulations* contain the provisions for review and evaluation of educational programs. A new regulation has been proposed to coordinate planning and evaluation and assessment activities. Chapter 14 of the Self-Study Report contains further information on evaluation and assessment activities.
9. The admission policies of the University System are clearly defined and are published in the *Bulletin*, in selected admission publications, and in individual College publications.
10. The University Studies Program became effective in the 1988 Fall Semester and provides excellent interdisciplinary liberal arts and sciences general education courses. Students in the baccalaureate program must complete a minimum of 33 hours from the approved courses. The courses are drawn from social and behavioral sciences, humanities and fine arts, and natural sciences and mathematics, in addition to course combinations which are cross-disciplinary and

cross-cultural. Program requirements are defined and published in the *Bulletin*.

11. At least one full-time faculty member is responsible for oversight and coordination in each curricular area where the University offers a major in a degree program. In addition, 98 percent of the full-time faculty have achieved the highest degree attainable in their fields.
12. The University owns sufficient learning resources to ensure the provision of and access to adequate learning resources and services required to support the courses, programs, and degrees offered.
13. The University of Kentucky has established an adequate financial base and has available an audited financial statement made within the past two years (Exhibit D).

PLANNING FOR THE FUTURE

The University has completed an exhaustive and comprehensive self-study with the goal of improving the quality of the University and its programs. This self-analysis sought to involve as many from within the University community as possible, as well as persons from across the Commonwealth. The study has identified many strengths, since this is a fine University. The Study also puts forward an ambitious set of recommendations for institutional improvement, some general, some rather specific. Since the Self-Study was an open, collaborative process, many groups are already interested in making use of the results to improve their units. It is anticipated that Self-Study recommendations will be channeled through the planning process as well as used by various councils and bodies within the University.

The results of the 1991 Self-Study will be integrated into the University's planning process. A reconstituted planning task force will be appointed and will be representative of the sectors within the University, including faculty, administrators, and professional staff. The findings and recommendations from the Self-Study will be referred to this planning committee. The President will be responsible for seeing that recommendations are brought to the attention of the units and individuals responsible for their consideration for implementation. Some issues raised by the Self-Study are already being addressed by various University offices.

The chapters which follow are organized around the mission and function of the University. They begin with the University's mission (undergraduate, graduate, professional, and continuing education; research; and public service). They are followed by chapters pertaining to the University community (faculty, staff, and students). The next section deals with the infrastructure and academic support services (libraries, computing, and administrative processes) followed by institutional effectiveness. The Report concludes with a summary of the major findings and recommendations from the Self-Study and a synthesis of those findings and recommendations as they relate to three major goals of the Strategic Plan.