

CHAPTER 16

EVALUATING THE PRESENT, ENHANCING THE FUTURE: A SYNTHESIS

The University of Kentucky exists to ensure that the citizens of the Commonwealth of Kentucky, and by extension, the Nation and the World, have the finest opportunities for education and the greatest benefit of knowledge. The University creates, preserves, and disseminates knowledge. It seeks to provide an optimum environment for teaching, learning, research, and public service. 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 of Kentucky are intended to address the needs of humanity and, by so doing, improve the human condition.

—*University of Kentucky Mission Statement, 1991*

For the University to be successful in carrying out its mission, it must strive toward three broad strategic goals: **Scholarship, Leadership, and Stewardship**. The results of the University's extensive Self-Study are presented here within the framework of these functions, which were evaluated for the purpose of improving effectiveness of the institution in all three areas. Since the call for a greater sense of community is a strong and recurring theme in the Self-Study, this report advances the community concept as one worthy of specific inclusion as an additional strategic goal in the University's plans for the future. In striving toward these goals, the University acknowledges that it must be sensitive to the continuously changing environment in which it exists.

The Self-Study indicates that the University of Kentucky today is strong and vibrant. One of its strengths is its people—the faculty and staff, whose dedication to the University and commitment to quality are evident in every aspect of the institution. Another strength lies in the quality of its student body, which today includes more valedictorians, Governor's Scholars, and National Merit Finalists than ever before. The University has strong programs of instruction, research, and public service, which while serving its students and the state, are also noted nationally and internationally. The outstanding faculty takes its research and teaching obligations seriously. This research has moved the University into the Carnegie I group of research universities. Both faculty and students participate in international exchanges and various Fulbright programs, and the University's professional schools are recognized nationally as models for instruction. The Self-Study makes evident, perhaps for the first time, the breadth and depth of the University's public service activities, and highlights the fact that they are an integral part of the endeavor.

Our Self-Study has been intensive. While the University is not perfect, the criticisms and suggestions made in the various chapters reflect a shared sense that the University has the potential for greatness. We detect also an eagerness to build community and to create the other

conditions that will enable us to realize that potential. We propose, then, to enhance the future by strengthening our scholarship, exerting our leadership, and developing our stewardship. We must continuously evaluate our effectiveness, and intensify our stimulation of the spirit and of community. Evaluating the present, enhancing the future, we close this century and prepare for a new century of service and success.

SCHOLARSHIP

*"The University will Strengthen its Commitment
to Scholarship and Excellence."
—Strategic Plan*

Faculty and students learning together form the essence of a university. Good students and a good faculty, supported in their teaching, learning, research, and public service by an optimum academic environment, create good universities. The University of Kentucky is a good University. We seek to rank among the nation's leading public universities in the quality of our scholarship, research, and graduates. We seek to maximize Kentuckians' access to higher education and to increase their college attendance rate. We seek to improve our standing among the nation's leading research universities through the enhancement of our graduate, professional, and research programs. We seek to provide a quality undergraduate education to academically prepared students comparable to that offered at leading public universities. We seek to move the University to the forefront of information access in support of our mission.

In its efforts to enhance specific aspects of scholarship, the University must discourage false distinctions between research, instruction, and service. While these activities sometimes appear to be opposed when short-term decisions must be made about investments of time and resources, all are integrally related to the scholarly mission of the University. Our instruction and service are improved to the extent that we are involved in exploring and expanding the frontiers of knowledge. Similarly, our research is invigorated by exposure to students with fresh perspectives and to citizens who are attempting to use scholarly knowledge to solve practical problems. The unique advantage of a university such as the University of Kentucky is its ability to provide its faculty, students, staff, and public with the benefits of all forms of scholarly activity.

To fulfill our strategic goals and objectives the University must attract academically talented students and faculty, and help them succeed in their scholarly work. The University must continually strengthen its curricula. The University must improve the teaching/learning process. The University must enhance the environment that supports its academic endeavors.

Enrolling Students

Enrolling students of academic merit is of primary importance to the success of the University of Kentucky. Prospective undergraduate, graduate, and professional students must be identified, promotional materials provided, counseling conducted, and applications processed and acted upon. Students desiring to matriculate must be registered. The University has made advances in all of these processes in recent years. The number and quality of students applying to the University has increased substantially with the implementation of a selective admissions policy and the raising of admission standards. While the number of students graduating from high school has been declining, the University has ranked among the top five universities in the nation in the percentage increase in applications, in admitted students, and in matriculated freshmen in

the last five years. The University's entering American College Testing scores have risen from 20.1 in 1980 to 23.9 in 1991. In addition, the number and quality of graduate applications has continued to improve during the past ten years. Interest in the University's professional degree programs has always been high, and these programs continue to attract outstanding applicants. A comprehensive Student Information System (SIS) was installed in 1988 and has resulted in marked improvement in the management of all information related to enrolled University students.

We must further these advances in enrolling students of high quality. The Office of Admissions requires expansion in professional staff, budget, and programming, if continuing improvement in the quality of our student body is to be sustained. Improvements should be made in attractive and informative promotional materials for all University programs. Recruitment programs targeted to highly qualified graduate students, similar to the successful model of the undergraduate program, must be implemented. While the responsibility for recruitment of graduate students should reside with individual departmental disciplines, recruitment efforts should be coordinated by the Graduate School.

Significant increases in the enrollment of African-American students occurred in 1991-92. Continuing efforts are required to attract a population of African-Americans comparable to the state's population. Recruitment strategies targeted to this segment of Kentucky's population should be intensified. Students from Kentucky's Appalachian counties are under-represented as well, and specific means to attract these individuals should be pursued. Of particular concern is the low number of African-Americans and other minorities enrolled in the University's graduate programs. Special programs of recruitment are required to address such imbalances.

While SIS has improved the processes associated with enrolling students, some problems remain. Steps must be taken to simplify, centralize, and more effectively coordinate the University's application and registration procedures. Currently, no permanent site exists for University registration. An ideal resolution of this problem would be a telephone registration system that permits direct access to SIS for registration. Increased support for colleges and programs to access and use SIS, including training of staff in its effective utilization, is necessary if further improvements are to be realized.

Impediments exist for students transferring from the University of Kentucky's Community College System to the University System in Lexington. It is important that the articulation of policies and procedures associated with transfer be improved, and that the information systems of these two components of the University of Kentucky be able to transfer data effectively. Movement of students from the University's fourteen Community Colleges to the campus in Lexington should be a simple process.

Supporting Students

The University systematically contributes to the financial and physical well-being of its students. We have significantly expanded the Office of Financial Aid, which actively assists students in procuring scholarships, grants, and loans. The size and number of the University's scholarships have increased dramatically in the past ten years. Financial support for graduate students in the form of stipends has been expanded as the Graduate School has grown. Student housing has expanded and improved. The University effectively operates a large number of dormitories and housing complexes to meet the demand by undergraduate, graduate, and professional students.

We must continue to expand our scholarship offerings for academically-gifted students, as well as for students from populations essential to building a more culturally diverse community. Several issues must be considered if the University is to strengthen research and graduate studies. Funding of graduate students should be addressed. The distinction between research and teaching assistantships should be abandoned in favor of graduate assistantships and remission of tuition for all graduate assistants regardless of residency status. Graduate assistantships should be increased in amount and in the numbers offered. Multiple-year awards of such assistantships is desirable and should be seriously considered. Equitable distribution of graduate assistantships through the University should be assured. Benefits in addition to stipends, such as support for health insurance for graduate students, should also be pursued.

The University offers commendable housing and health services. However, housing policies should be reviewed periodically to determine the changing preferences of students and the changing composition of the student body. Housing and associated food services should intensify their efforts to be close to their customers, the students. They should regularly conduct surveys to determine student needs and desires. They should also seek student advice and opinions prior to changing policies, procedures, and prices.

The Student Health Service could improve its access for students through a campus-wide campaign to improve students' understanding of how to utilize its services effectively. Student Health can also improve its service by intensifying its programs of educating students regarding the value and meaning of good health, both physical and psychological. The number of trained staff available for psychological and educational counseling should be increased.

In order to support more sensitively the growing number of commuting students, the University should relocate and expand the Office of Commuter Students. Additionally, the University should address commuters' transportation problems by designating more parking facilities closer to campus and by improving the University's bus schedule.

Helping Students Succeed

Students require sound academic advice and strong academic support services if they are to succeed academically. The current advising system for students is marginally effective. Therefore, a comprehensive and coordinated advising program must be defined, designed, and developed to meet the needs of all University students. Support for academic advising for individual students and student groups identifiably at risk of failure is urgently needed. Developmentally disabled students have unique needs and should receive special advising. Once implemented, a comprehensive advising system should be evaluated regularly to ensure its effectiveness, and should become part of a comprehensive retention plan. To emphasize the importance of academic advising, a method of rewarding outstanding faculty advising should be adopted.

Recruiting Faculty

The faculty is the foundation of the University's tripartite mission of education, research, and public service. An outstanding faculty serves as a magnet for academically-talented students, gains extramural funding to support its creative efforts, and provides capable leadership for serving the Commonwealth's citizens. Recruiting, supporting, and helping the faculty succeed is a University imperative.

To be successful in attracting extraordinary individuals to its faculty, the University must ensure that its salaries are at or above those of its benchmark institutions. Additionally, commitments must be made to potential faculty members for the types of academic support resources they require for their research and professional development. Continued diligence should be exercised by the University's leadership to ensure that University policies are adhered to in recruiting faculty, and that all faculty hiring practices comply with taking affirmation action toward both women and minorities. The recruiting and hiring procedures of individual academic units should be explicitly written to ensure compliance with University policy. Recruiting practices should be continuously monitored and evaluated to determine their effectiveness. Both faculty who accept positions with the University and those who decline our offers should be regularly surveyed to determine the factors influencing their individual decisions, as well as to determine how recruitment practices could be improved. To support its commitment to strengthening scholarship and academic excellence, the University should recruit individuals who are committed to students and their active learning and who are able to compete successfully for extramural funding in appropriate fields.

Supporting Faculty

To sustain an excellent faculty we must be competitive in the marketplace. Although we have made great progress, the University must redouble its efforts to gain additional funds to increase faculty salaries (including faculty in the Library Series), to make them comparable to or higher than those of our benchmark universities. Faculty salaries must continue to be the University's top priority if it is to become one of the nation's outstanding public research universities.

The University does not now recognize adequately the contribution of part-time faculty. Steps should be taken to improve the financial support provided these individuals, including the provision of fringe benefits in keeping with their level of involvement and commitment.

Helping Faculty Succeed

To be successful, faculty members must clearly understand their roles and responsibilities, know that they are being treated equitably and fairly, and understand the criteria by which they are evaluated, rewarded, and promoted. The University's *Administrative Regulations* delineate policies and procedures regarding these issues. However, faculty sense that these policies and procedures are not applied evenly. The University should work to assure that University administrators at all levels are sensitive to their responsibility in seeing that the Regulations are observed. Use of the Distribution of Effort procedures should be reviewed, with attention to the consistency of this process within and across colleges.

Financial support for the faculty's academic work should be increased. The faculty should be assured adequate funds to support its teaching, research, and public service obligations and responsibilities. Funds should be available to support faculty academic development and the travel costs associated with such development. Support for sabbatical leaves must be sustained. The University should use whatever mechanisms possible to encourage and reward faculty in their efforts, and thus provide continuing motivation for the faculty to succeed professionally.

Part-time faculty of the University do not receive the level of support necessary to ensure success in their unique roles. The University should provide for the designation of an academic title series of Part-Time Instructor with an adequate description of such individuals' scholarly

preparation and academic role. Methods for recruiting, retaining, evaluating, and rewarding part-time faculty must be developed.

Strengthening the Curriculum

Central to the University's educational mission are its academic programs. Currently, the University offers over 75 degrees, with 191 potential majors in 328 programs. For undergraduate students, the University Studies Program serves as the foundation of a liberal education. This program, initiated in 1988, is continuing to mature. As it is reviewed in 1992-93, we recommend that it broaden its cross-cultural offerings to include a greater range of disciplines, and reduce the number of required courses. We further recommend that the University Studies Program offer an alternative track of prescribed, consolidated, interdisciplinary courses surveying Western Civilization. The University's finest teachers should be encouraged to teach in the University Studies Program, and class sizes should be reduced to ensure adequate class dialogue and discussion.

Strengthening the University curriculum should not be limited to the University Studies Program. Focused attention must be given to continued evaluation, modification, and innovation in all undergraduate disciplines, graduate programs, and professional degree programs. Specific support, including an administrative reward structure, should be provided to foster the development of courses that are truly interdisciplinary, transcending traditional disciplinary definitions. In some instructional programs, professional accreditation and licensure requirements are impediments to innovation. These requirements should be evaluated and barriers to improvement removed. Graduate offerings must challenge students at the growing boundaries of the disciplines.

Improving the Teaching/Learning Process

University faculty and academic leaders must be actively involved in assessing their instructional practices in terms of improvements in student learning. The University must nurture, facilitate, support, and reward efforts to improve teaching and to help students acquire the appropriate knowledge, skills, attitudes, and disciplinary understandings. A comprehensive, University-wide program for improving pedagogical skills is urgently needed. In addition to developing a greater understanding of effective methodologies, the faculty should be assisted in learning new instructional materials and technologies. Such a program should also offer personalized evaluation and advice in pedagogical improvement. Newly recruited faculty, part-time faculty, and graduate assistants should be encouraged to participate in such a program.

Teaching and learning at the University can also be improved by increasing the size of the faculty to ensure smaller classes and a more favorable ratio of faculty to students. The University should further its use of the Special Title Series to recruit and retain faculty with strong records of teaching. Large lecture classes, those of over thirty-five students, should provide supplemental discussion sections to enhance the active learning associated with the faculty-student dialogue. Increased emphasis should be placed on defining learning goals for courses. Support should be increased for purchasing instructional equipment and materials. A university faculty cannot be successful in fulfilling its instructional role without adequate support. The faculty in the Library Series should assume increasingly important roles as partners with discipline-based faculty members in a learning process which should become more active and student-centered.

We must improve evaluation of teaching, and provide incentives for excellence in teaching. Student evaluations should be standardized for the University, and sound methodologies should be followed. Student evaluation forms should be balanced to provide opportunities not only to rate the course and the instructor, but also to provide suggestions for improvements in the course and the teaching. Evaluation of instruction should extend beyond evidence afforded by student evaluations.

Teaching excellence should be emphasized in the University's reward system. Merit increases should consider instructional performance. The University should institute teaching awards that encourage faculty cooperation rather than faculty competition. Documentation of teaching effectiveness and ability should be included in promotion and tenure dossiers and receive balanced consideration with research in such evaluations. Additionally, pedagogical research should be accepted and evaluated with the same criteria and weight as more traditional, discipline-centered research. Methods used to evaluate and reward full-time faculty should be employed for part-time faculty as well, and, to the extent possible, graduate assistants.

Enhancing the Academic Environment

The University must continue to monitor its academic environment to ensure that the instructional mission is reinforced by it. Of particular importance are the resources available for procuring and processing information, and the physical space and equipment for supporting instruction, research, and study.

Classrooms should match instructional needs. They should be comfortable, flexible, and equipped in such a way as to support the teaching methodologies utilized by the professor. Equipment should be functional and kept current. Adequate numbers of classrooms should be available so that curricular offerings can be scheduled appropriately in an efficient and cost-effective manner.

The new Commonwealth Library will be a unique and major opportunity to alter significantly the University's academic environment. The library should be designed to support student-centered learning and to utilize the latest information technology. There should be abundant quiet space for individual student and faculty study, as well as for conferences and group study.

Substantial increases in funding are required to support the University Library and to ensure that the library collection is worthy of the facility being planned to contain it. The dramatic rise in the costs of monographs and journals has resulted in a diminution of the library's ability to keep its collection current. Available technological tools for accessing information electronically must be incorporated in the Library. However, expenditures for such methods and equipment must not come at the expense of the Library's procurement budget. Priority must be given to developing the Library's endowment program to maintain and expand its holdings.

Adequate space must be provided for the increasing productivity of faculty research. As the faculty grows and extramural funding increases, space to carry out this creative work is increasingly limited. The University should plan and fund regular and systematic upgrades and replacement of major research equipment, and ensure the continual maintenance and operation of such equipment.

The University has made significant strides in its support of its academic mission through computing. A major campus computing network has been established and a super computer installed and upgraded twice. Computer laboratories are proliferating throughout the campus, providing students and faculty with technologically current tools to support their academic work. This state-of-the-art computing environment must continue to develop.

A Faculty Academic Computing and Technology Support (F.A.C.T.S.) Center has been established and staffed; steps are being taken to place satellite locations throughout the campus to further support faculty academic work with computers. Regularly scheduled forums will be conducted to review recent hardware and software additions to the computer market. Formal and informal instruction in the use of software packages selected, purchased, and supported by the University should also be provided.

The University needs a campuswide system for adopting, purchasing, gaining site licensure, and supporting software products. Faculty, staff, and students need assistance in gaining information about software programs available to support their academic work.

At this time most faculty, staff, and students have reasonable access to the University's computer network; this access should be extended to all areas of the campus. The University's computing goal should be for all University faculty, students, and staff to have access to the University's computing systems to support their academic, administrative, or electronic communication needs. Steps should be taken to incorporate computing into all aspects of the University's curricula, with adequate funding for equipment, staff, and facilities.

LEADERSHIP

*"The University will Exert a Leadership Role in Addressing
the Issues and Challenges Facing
the Commonwealth, the Nation, and the World."
—Strategic Plan*

The University of Kentucky seeks to justify its unique position as the Commonwealth's comprehensive, land-grant, research, doctoral degree-granting university in the following ways: by providing leadership in improving the educational attainment of Kentuckians; by building cooperative relationships with other educational institutions; by participating more actively in economic development efforts; by enhancing outreach and public service efforts; and by serving as a bridge between state, national, and international communities. The University of Kentucky is a resource to the world, the nation, and especially to the citizens of the Commonwealth of Kentucky.

Serving the Commonwealth's Needs

Public service is an important mandate of a land-grant university. In its most general sense, the University's public service mission involves the application and assimilation in the private sector of current techniques and knowledge. It also includes the provision of technical assistance, of cultural enrichment, of applied research, of advisory and consulting service, of diagnostic services and testing, of leadership and public policy development, of youth development, and of

related services conducted by faculty and staff. These are often provided through noncredit activities for the general public and for organizations throughout the state.

The University of Kentucky is actively committed to serving the citizens of the Commonwealth by applying its many resources to the problems and concerns of Kentucky. The Self-Study comprises the first comprehensive compilation of our extensive public service activities. Yet the Self-Study revealed that many complex issues still face the Commonwealth and that the University is expected to play a critical role in public policy leadership. This expectation can be met only if there is a stronger institutional commitment to public service. The University must place public service at the center of its mission. It must apply a wide range of research, advice and consultation to the issues facing Kentuckians, especially in the crucial areas of education reform, economic development, and the environment.

To provide visible, clear, and distinctive leadership in public service, the University should designate a current senior executive position reporting to the President to consolidate and facilitate the public service mission. The University's policies, guidelines, and initiatives for public service should be developed, coordinated, and led by this individual, with adequate funding from both University and external sources. This office would also be responsible for ensuring an effective and coordinated approach (including comprehensive planning and evaluation) for the University and its Community College System to meet the diverse needs of its geographically dispersed constituency. Finally, the University must also take steps to increase, recognize, and reward faculty participation in the public service mission.

Extending Education to the Commonwealth's Citizens

In providing academic leadership for the Commonwealth, the University must continue to extend its educational capabilities throughout the state. To make our resources available to citizens desiring to continue their education, the University should further formalize and coordinate its noncredit continuing education programs. Administrative responsibility and advocacy for continuing education should be located in the University administration. Resources should be made available to further develop continuing education programs. Faculty efforts in continuing education not only should be supported, but also recognized and rewarded. Continuing education efforts should include expansion of the use of distance learning technology/telecommunications strategies. A state-of-the-art continuing education conference center to house the continuing education programs based in Lexington should be constructed adjacent to the University campus.

The University is in a position to provide unique national leadership in extended campus programs by offering them through its network of Community Colleges, supported through the integrated University System—Community College System Libraries. Courses and programs for academic credit offered at off-site locations, and in the evening and on weekends, is another way of extending the University's unique educational resources to the populace. The University should continue to evaluate opportunities to offer such courses and programs where needs, opportunities, and resources are adequate and justified. Offering such programs in cooperation with other state universities is also desirable.

STEWARDSHIP

*"The University will Strengthen the Development and Stewardship
of its Human, Fiscal, and Physical Resources."
—Strategic Plan*

The University of Kentucky acknowledges that it must be accountable to its various constituencies for the resources it receives. To continue its success, the University must pursue financial support for its programs; attract, support, and help its staff succeed; develop its campus environment; and ensure that its athletics program is compatible with and supportive of the academic mission.

Increasing Financial Support

Many of the recommendations for change deriving from with the University's Self-Study require the expenditure of funds. But economic conditions compel budget reductions. The University's leadership must nevertheless continue to advocate vigorously for higher education and for the University of Kentucky's priority consideration in the state's budget. While it may be possible for the University to improve its processes, and therefore its stewardship, by doing more with less, additional funding is still a necessity if the University is to become one of the nation's leading state research universities. Full formula funding from the state is minimal level. Additionally, increased state funding must be sought to support the burgeoning research mission and to take further strides in advancing the public service mission. These areas of the University's mission receive less consideration than they deserve in state funding, yet they are uniquely the mission of the University of Kentucky. Of particular concern is research funding for those academic disciplines that, due to the nature of their creative and scholarly work, have limited opportunity for external support.

The University's efforts in raising private gift support have expanded considerably in recent years. These efforts must be continued and enhanced. There is a growing understanding within the University community that Kentuckians want to support the University and are willing to give of their personal funds to enhance its academic stature. The work of the Office of Development and of the Alumni Association must be coordinated more effectively. Development activities, while centrally coordinated, must be college and/or program based. The University must invest donated funds in a manner which furthers its financial objectives. External expertise should be sought in assuring that the complex and sensitive issue of soliciting private gifts is supported by the latest and best understanding of this highly professional area. Careful consideration should be given to sharing with academic programs, some of the private gifts the University receives in support of its athletics program.

Within the University, policies for allocating funds should be re-examined. Shifting of available resources to areas of strategic emphasis and critical need should be accomplished. Policies for allocating funds should continue to be examined in the light of the resources that are available to different units of the university. Re-allocation of resources from income producing units already occurs. But the mechanisms for coordinating all fund sources, assuring long-term viability, and relating those to high priority needs should be further studied. Any re-allocation of resources from those with special income should always be considered in the light of assuring the unit's long-term viability and maintaining its incentives to generate income. The University

should also consider offering financial incentives to faculty to increase grant and contract-seeking, and entrepreneurial activity.

Attracting, Supporting, and Helping Staff Succeed

The University of Kentucky's academic mission is supported by a dedicated and committed staff. Over 9,000 full-time employees daily contribute to the University and help make it the quality institution that it is. Many individuals have made a lifetime commitment to the University, providing daily for its administrative and academic support needs. The University's talented staff needs to be sustained by continuing to recruit outstanding people, by supporting these individuals financially, and by helping them succeed in the work they have been retained to accomplish.

The University should reorganize its personnel system so that it becomes truly a human resource system. It should reflect the values appropriate to a university, and should be comprehensive in its ability to retain, develop, evaluate, retrain, advance, and promote employees.

The University must continue to reward its employees financially. Salary studies must be conducted regularly to ensure that the University remains more than competitive in the marketplace for all categories of University staff. Appropriate cost of living and merit salary increases should be provided regularly. Employee benefits should continue to be upgraded in accordance with the Employee Benefits Strategic Plan (1989-94). Specifically, a flexible plan should be implemented to enhance benefits equitably for all staff.

More University resources should be directed to staff development and training. Employees should be encouraged to enhance their abilities and acquire new skills. Formal and informal opportunities for such development should be provided. The University's adoption in 1988 of tuition remission for six hours per semester for employee course work demonstrated our commitment to the ongoing education of staff. Such efforts should be continued and expanded.

Improving staff performance through appropriate supervisory and evaluation practices is essential. In order to help staff succeed, all University administrators/supervisors, both academic and non-academic, should be required to gain competency in appropriate personnel planning and performance evaluation. Opportunities for career advancement and promotion within the institution should be better communicated, and the University policy of giving priority consideration to employees for transfer and promotion should be reinforced. A systematic process of career counseling to help employees develop career paths should be implemented.

Efforts should be advanced to support staff in doing their work. Attention should be given to the University's infrastructure. Increasingly, the administration is requesting the staff to do more with less. Typically, this adversely affects the staff's ability to work effectively, as limited resources become more limited. Attention should be given to improving working conditions for all University staff. Conditions within the University should be comparable to those in a typical corporation with the mission, budget, and size of the University of Kentucky.

The staff constitutes a significant resource for improving the University. Mechanisms should be put in place to communicate systematically with staff in every unit and to solicit staff advice and consultation in planning for improving the University.

Ensuring Compatibility of the Academic Athletics Programs

Intercollegiate athletics is an integral component of university life. The University's athletics programs promote the University to people in the Commonwealth and potentially build support for the University's academic programs. The current leadership of the athletics program has brought a new level of integrity and credibility to Kentucky athletics. This is to be applauded. The University must continue to affirm the concept of the student athlete, and through its athletics administration and coaching staffs ensure that the intercollegiate athletics program is compatible with and supportive of the University's academic mission.

The University should develop written policies which clearly define the roles and responsibilities of the Athletics Board. Faculty should be significant and active participants on the Athletics Board.

Developing the Campus environment

The University of Kentucky seeks to create an aesthetically pleasing campus environment which is conducive in its atmosphere and its physical characteristics to the excellent conduct of teaching, research, and public service. In 1990, after external consultation and recommendations, the University adopted its first campus master plan since the 1960s. The plan provides for a thoughtful and orderly expansion and improvement of the University's campus. The plan should be used as a flexible blueprint addressing current and projected environmental problems and needs of the academic programs.

The Self-Study identified the following suggestions for improving the campus environment:

- * Because space for study is at an absolute premium on campus, attention must be devoted to increasing student individual and group study space, both in current facilities and in all new construction.
- * A student center, offering activities and services comparable to the current one, should be built to serve the Southern portion of the campus.
- * Space that provides a non-institutional atmosphere for social and academic dialogue among students and faculty should be developed throughout the campus.
- * Intramural athletics facilities for the Northern portion of the campus should be upgraded.
- * All remaining impediments to building access by physically handicapped members of the University community should be eliminated.
- * Student support services should be consolidated in a centralized accessible location.
- * Consideration should be given to improving the health and safety of all members of the University community by establishing a centralized and fully funded Office of Environmental Safety and Health.
- * Improvements in campus landscaping should continue. A park-like campus environment is highly desirable.

EFFECTIVENESS

*"The University will Evaluate its Effectiveness
and use the Results in a Broad-Based, Continuous Planning
and Evaluation Process."
—Strategic Plan*

Organizations such as the University of Kentucky are judged in the short term by their productivity, efficiency, and the satisfaction of their constituents; in the mid-term by their ability to adapt and develop; and in the long term by their vitality and survival. While the University's survival is a given, our goal is to be effective in all that we do. We want to reach our full potential in all programs of instruction, research, and public service. The University seeks to adapt to changing circumstances in order to use its valued resources efficiently, and to expand its capacity and potential for serving the people of Kentucky. If the University is to achieve this maximum effectiveness, then its organizational structure must facilitate its tasks and goals. We must plan for and evaluate our academic performance systematically and regularly. We must also manage our resources and administer our activities appropriately. We must understand our goals and functions, and be able to perceive and evaluate the results we are obtaining.

Restructuring to Improve Performance

The University has become a large and complex organization. In our expansion, the formal patterns of activities and relationships among units in the University—our structure—has become so convoluted as to impede significantly the effective conduct of University life and mission. Communication, cooperation, coordination, and commitment have suffered. It is not an overstatement to suggest that progress in the University today is made in spite of the structure, rather than because of it. In fact, the Self-Study reports several individuals expressing the view that work is accomplished primarily because of personal relationships and the cooperative spirit of people, not because of organizational relationships. The University must carefully and seriously examine its current structure in the context of its mission and goals. A major restructuring is required to enhance the University's capacity to achieve its goals and to create the efficiencies required in this period of scarce resources. In accomplishing this task, the University should consult with and obtain the advice of nationally respected leaders in organization theory, higher education administration, and corporate management. The consequences are so crucial that we should not rely solely on local judgment and colloquial wisdom.

In its early stages the Self-Study gathered evidence of considerable concern regarding the process of appointment to, and the role of, the Board of Trustees. The politicization of the Board and the potential for political intrusion into the work of the University were viewed with alarm. The recent action by the Kentucky Legislature reforming the process of Board appointment has alleviated this concern. The political leadership of Kentucky is to be commended for further distancing the political process from higher education.

Managing the University

Managing the functions of the University of Kentucky is complex and difficult. Yet the University's effectiveness depends on the manner in which its activities are administered. Effective management is synonymous with effective planning, organizing, communicating, controlling, supervising, and evaluating. While the University administration conducts all of these

essential processes, opportunities for improvement exist. Of primary importance is the development of an administrative structure that facilitates these management processes.

The University's administrative and academic leaders (deans, department chairs, and managers) require education and training to function effectively in their complex roles. Typically, individuals are assigned significant managerial responsibilities without previous administrative experience or background. The University should invest in training its administrative leadership. Continuing professional development for administrators should be a requirement for service in this role. Procedures should be developed and implemented to provide for annual review of all administrative and academic administrators by those they supervise and lead. Such an evaluation should be formative in nature with the goal of improving the administrators' skills and performance. To enable such evaluation, performance criteria for administrators should be developed.

We must seek ways to meaningfully involve faculty and staff in the management of the University. Soliciting the advice and counsel of these active participants in the University would have desirable results. Broad-based participation of employees leads to high levels of employee ownership and satisfaction, and greater degrees of organizational effectiveness.

Planning and Evaluating Academic Performance

The University's effectiveness as an organization is directly related to and dependent upon the effectiveness of educational, research, and public service programs, and on the effectiveness of the people participating in and leading them. This effectiveness derives from appropriate planning, careful implementation, and subsequent evaluation. Thus, performance, both programmatic and individual, must be assessed and changes made as needed to improve progress toward identified goals.

Most University programs have developed academic goals, and measures to gauge their success. These assessments of outcomes are then used to modify goals and/or alter implementation strategies, with the expectation of improving effectiveness. The approaches used to assess University programs vary, due to widely divergent natures. Programs accredited by external professional associations or certifying agencies are most fully developed in their planning/evaluation/improvement cycles. All University programs, however, are involved in assessment. As experience is gained, and assessment becomes an integral component of the University culture, the benefits of improving effectiveness and increasing quality will be further realized.

Program planning in departments, colleges, and centers must be articulated with and consistent with strategic planning for these units and with strategic planning for the University at large. All academic planning and the development of procedures for assessing results should have broad-based faculty participation.

Interdisciplinary programs, which often cross department, college, and even sector lines, present particularly difficult planning and evaluation problems. We need more flexibility in addressing these difficulties than our present administrative structure affords. The management of such complex and intertwined functions requires closer attention to communication and coordination across units than exists at present.

The Distribution of Effort process must be developed as a faculty planning tool, and its relationship to performance evaluation clarified. Faculty planning and evaluation policies and procedures, including criteria, must be equivalent throughout the University, if we are to have a system the faculty can trust. Evaluations should provide feedback which faculty can use to improve performance.

Understanding the University

All leadership decisions and all managerial processes of the University must be supported with accurate data and sound information. From virtually all segments of the Self-Study came an appeal for a University-wide Office of Institutional Research based in and reporting to the Central Administration. Such an Office should be responsible for developing, maintaining, and publishing information/data base(s) essential to identifying trends, interpreting the causes and consequences of trends, and developing new sources of information to support all University programs and processes. The Office should be a repository for all University studies, reports, and surveys. Additionally, such an Office could play an important role in helping academic programs evaluate their effectiveness.

At present, significant amounts of data about the University are collected and maintained by various units of the University. As a result, information is fragmented and incomplete. No university can be maximally effective that does not have an accurate profile of what it is demographically and statistically, and what it does qualitatively and quantitatively. A professionally staffed and fully funded Office of Institutional Research, modeled after such offices in other comprehensive research universities, is an imperative for the University's future.

COMMUNITY

*"The University Aspires to be a Community of Scholars."
—Strategic Plan*

Members of the University of Kentucky community come together to transmit knowledge imaginatively through teaching, to seek new understandings creatively through research, and to serve effectively the society which has endowed us with its resources. Optimal effectiveness in achieving this mission requires a unique community of learned faculty, bright and eager students, and a dedicated support staff. Such a community is complex, but in its complexity there should be no loss of the concept of community. Members of the University are colleagues, and equals, not in roles but in value and in person. We work together as a community of scholars to fulfill our unique human potential, to pursue the good of the University, and to promote the larger human good. To become a true community, we must communicate with and be considerate of one another.

Considering the Community

The University must be a community in which individual differences, cultural diversity, and racial and gender differences are accepted and valued. Our community must be an enlightened one, indeed a model for the state of Kentucky. The University must consider first and foremost its people.

To this end, all University policies, procedures, and practices must be supportive of egalitarianism and tolerant of individual differences. Good progress has been made in recent years in this regard. The University community must continue to eradicate from its thinking, behavior, language, and communication all forms of racism, sexism, and ethnocentrism. The numerous recommendations of the Report of the Committee on Minorities in 1990 and the substantive recommendations of the Report on the Status of Women in 1990 must be implemented. Curricular and co-curricular methods must be employed to increase sensitivity to cultural diversity. Prejudice-reduction workshops and cross-cultural experiences and programs should be made integral and continuous in the experience of University life. The University of Kentucky must become a community where we value one another, not in spite of, but because of our differences.

Communicating in the Community

Communication, the process by which we seek to secure common understandings among ourselves, is crucial to the concept of community. All academic and administrative functions of a university depend upon communication. Because the University's success derives directly from effective communication, we must take specific, tangible steps to improve:

- * Communication among faculty, students, and staff.
- * Communication vertically, up and down the University hierarchy.
- * Communication horizontally, across department, college, and sector lines.
- * Communication in the University processes of planning, organizing, controlling, supervising, and evaluating.
- * Communication within the University about education, research, and public service.
- * Communication with external constituents, including alumni, civic leaders, government authorities, legislators, state and national colleagues, and citizens of Kentucky regarding the University's multi-dimensional programs in education, research, and public service.

Specific tactics for improving communication should include:

- * Consolidation and expansion of the University's electronic mail system into one system that is both compatible with national networks and accessible to all the University community.
- * Regular polling of faculty, staff, and students regarding their opinions on University issues of moment.
- * Establishment and support of active and involved student advisory councils in all colleges.
- * Establishment and support of active and involved staff advisory councils in all units.

- * Publication regularly of an index of all University publications, their frequency of publication, and the units responsible for their publication.

Publication of a faculty handbook has been a recurring recommendation in the University for over ten years. The University must publish a concise, easy to use handbook for faculty which summarizes the University's policies, procedures, and regulations related to faculty service and governance. Such a handbook should also explain the many support services available to the faculty to help it succeed in fulfilling its function. Such a handbook is in the final stages of completion and is to be published during the Summer of 1992. This effort on the part of the administration is long overdue, but is applauded. The handbook should be revised regularly to ensure its currency.

Leading the Community

Our University, like all organizations, is guided by the decisions of administrators. These leaders, who have both responsibility and authority, help establish University goals and allocate University resources to achieve these goals. Successful University performance follows from effective administrative leadership. The University's leadership structure, processes, and behavior must be such as to promote and support the community. The University has experienced much difficult change, and is at a point where strong leadership is required as we move into the next century. Just as the University as an organization must provide leadership for the citizens of the Commonwealth, the Nation, and the World, so our University leaders must provide leadership for our programs and processes. The rapid and dramatic changes in our society argue for new understandings of the principles and dynamics of leadership. Effective leaders are social architects who understand the organization they serve and who shape, through appropriate communication, the way it thinks and functions.

Our leaders must help our University community create a new and compelling vision of our future that is clear, appropriate, desirable, and energizing. Where do we want to go? What do we want to do? This vision must be founded on our obligation to address the educational needs of the people of the Commonwealth of Kentucky. Our leaders must, through effective communication, articulate and develop commitment to the vision we embrace. Materializing this commitment may require changing our University's structure, processes, behavior, and programs.

In 1988 the University of Kentucky launched a strategic planning process which resulted in the designation of three strategic functions. These serve as pathways into the future of the University. Strengthening scholarship, exerting leadership and developing stewardship shape the vision of our university. University leaders must effectively communicate their continuing commitment to our aspirations throughout the University, and they must reinforce their words with action. Steps must be taken toward institutionalizing this vision by improving the structure, the processes, and the behavior of the University. Only leadership committed to continuous improvement can be characterized as leadership toward excellence. Only leadership committed to excellence is worthy of a following. All of the recommendations of this intensive Self-Study are offered in the spirit of further improving the University's structure, processes, and programming. The ultimate goal is improving the University of Kentucky's effectiveness in pursuing its vision and fulfilling its mission.