

Minutes of the Board of Trustees Retreat
University of Kentucky
Thursday and Friday, October 22 & 23, 2015

The Board of Trustees of the University of Kentucky began its Retreat at 1:30 p.m. on Thursday, October 22, 2015, in Rooms 211/215/217 of The 90 on the campus of the University of Kentucky, Lexington, Kentucky and concluded its retreat on Saturday, October 24, 2015, in the Board Room on the 18th floor of Patterson Office Tower, Lexington, Kentucky.

A. Members Present

The following members of the Board of Trustees were present: C. B. Akins, Sr., Claude A. “Skip” Berry, III, James H. Booth, William C. Britton, E. Britt Brockman, Sheila Brothers, Mark P. Bryant, Angela L. Edwards, Oliver Keith Gannon, Carol Martin “Bill” Gatton, Cammie DeShields Grant, Robert Grossman, David V. Hawpe, Kelly Sullivan Holland, Austin Mullen, John Wilson, Robert Vance, and Barbara Young. Trustees William S. Farish, Jr. and C. Frank Shoop were not in attendance.

The University administration was represented by President Eli Capilouto, Provost Tim Tracy, Executive Vice President for Health Affairs Michael Karpf, Executive Vice President for Finance and Administration Eric Monday and General Counsel William Thro.

The University faculty was represented by the Chair of the University Senate Council Andrew Hippisley and the University staff was represented by Chair of the Staff Senate Jann Burks.

Guests, other administrators and members of the news media were also present throughout the Retreat.

B. Welcome and Opening Remarks

Chair Brockman welcomed the members of the Board of Trustees and in particular, newly appointed Trustee Skip Berry and returning Trustee Barbara Young. He shared the following:

“This morning, we celebrated the largest, single monetary gift in the history of the University of Kentucky, a gift focused on maximizing student success, academic excellence, and learning in an incomparable setting. Tomorrow, we will ceremonially kick off construction for a new, multidisciplinary research building, unlike any other in the country.

What do these two events have in common? Both of them -- in important respects -- were the result of our labors together as a board.

Four years ago, we met on a horse farm a few miles from here and reviewed a report, the product of faculty, staff and students, which said that we needed to do more. To be the kind of university we all wanted, we needed to move quickly to enhance the undergraduate educational experience. A major component of that effort was a focused goal to rapidly but strategically increase the size and quality of our Honors Program.

That focus, I would submit, became an attractive vision and agenda for President Capilouto to articulate across our state and our country. It attracted the interest and investment of a remarkable alum and leader, Tom Lewis. Today, we marked his investment in our future.

Generous donors, like Mr. Lewis and our colleague, Mr. Bill Gatton, have been moved to dramatic and remarkably selfless action by the vision articulated by our President and endorsed by this Board. They are essential to the creation of the kind of academic environment we envision for this special place.

One year ago, almost to the day, we met in retreat and examined not only our biggest challenges as a university but those most vexing issues confronting our Commonwealth. We decided -- in the words of President Capilouto -- that it was time to make 'death a beggar in Kentucky.'"

Chair Brockman continued that "in what some might call an audacious move, we challenged our state and ourselves in a non-budget year to come together to fund a unique research building. We asked for funding to create a place where scientists would work across disciplines to root out discovery and defeat diseases, which for too long have plagued our state at almost epidemic levels. Tomorrow, we celebrate the investment the Kentucky General Assembly is making in the University of Kentucky in the profound hope that we deliver on our promise.

What will we do in the days, months and years ahead? That is the challenge and the question that confronts us now.

As we meet together for our fifth retreat under the leadership of Eli Capilouto, I have never been more optimistic about our future as a board and as an institution. Over the next three days, we will seek to understand more deeply the landscape that is higher education in America today.

And we will explore together a proposed strategic plan that seeks to articulate a vision and an agenda for UK between now and 2020.

The goal -- perhaps again audacious, but achievable -- is to be one of the leading public research universities in the country. We know that in tackling and solving Kentucky's challenges, we address problems confronting our world. We are guided and informed by 150 years of history. But we are willing to try new

approaches and innovative solutions, not hamstrung by the idea that we have to always do things the way they have always been done.

I think we all agree we have the leader in Eli Capilouto to guide us in the months and years ahead. Even in the face of continued constraint and challenge, we have a sense of momentum here. These next few days represent our opportunity to fulfill our duty, as a board, to understand, to challenge, and help shape the vision, agenda, and policy direction being articulated by the President, the Provost, and their team at this moment in our history.

Hundreds of faculty, staff and students, have been involved in creating the draft strategic plan that we will be reviewing between now and Saturday. Still, hundreds more will be involved in making that plan a reality at our direction and with the leadership of the President and his team.

We have a deeply talented faculty, who are the intellectual lifeblood and marrow of this place. We will only go as far as their intellect can take us. We are surrounded by a dedicated staff at all levels, one that is devoted to supporting our students and our faculty in their studies and work. And we have a student body as accomplished as any in our history and as committed to values and service as any I have witnessed.

And there is the Board. Our role, as important as any time in our history, is to set the broad direction, to create the expectations and then to hold our president accountable for progress. We are here to assist and to provide counsel and support to the President as he manages and leads this institution on the path we help him set. We set the direction. He executes the plan. We are there to stand resolute when times are tough and when the inevitable questions are raised.

The direction and course we will set are not easy, because progress and bringing our shared vision to fruition will require hard choices about the utilization of scarce resources. We owe to those who pay tuition and tax dollars to chart an ambitious course in what remains a time of tremendous challenge.

And the role of support and leadership we play -- now and in the days ahead -- will help determine the success we have as the University for Kentucky.

I am excited to have the opportunity to serve with you and to help lead our Board. I know we all feel emboldened by what has been accomplished by President Capilouto, his team, and the talented faculty, staff and students who make this place so special.

We have used these retreats in previous years to chart a compelling course. I look forward to what we do together in the days ahead.”

Chair Brockman thanked President Capilouto and his team for the retreat arrangements and looked forward to the dialogue over the next few days.

Chair Brockman also took the opportunity to thank former Chair Keith Gannon for his work over the last year and on behalf of the Board, presented him with a plaque in appreciation of his service as Chairman. Trustee Gannon received a round of applause.

C. Overview of the Day

President Capilouto began by stating the question asked regarding many of the success stories on the University's campus, "how did we get here?"

President Capilouto shared that the University leaders who came before, set priorities to build, hire, recruit and invest. With the Board's leadership, the University has continued to build on this success and is transforming the campus.

President Capilouto stated that one of the lessons he has learned is when tackling a project, one needs to find great leadership, define a process, trust the process, engage the community, then listen. Over the past year, under the leadership of Provost Tracy, the Strategic Planning team had listened and learned, identified expertise, recruited leadership and developed new processes for carrying out the University's priorities.

President Capilouto thanked the many people who helped make the retreat possible. He thanked Provost Tim Tracy for his work leading the strategic planning process. He also thanked the individual committee chairs (Ben Withers, Terry Allen, Lisa Higgins-Hord, Susan Carvalho and Lisa Cassis) and the hundreds of faculty, staff and students who served on the subcommittees, participated in town halls and online, and provided feedback on early drafts.

President Capilouto introduced Provost Tracy to continue the introductions of the day. Provost Tracy was excited for the opportunity to share the Strategic Plan with the Trustees, but also share the aspirations for the University.

Provost Tracy was pleased to introduce Dr. David Attis from the Education Advisory Board (EAB) to give the Board an overview of the national higher education landscape, its challenges and opportunities. EAB is a national policy development group, which provides best practice research and practical advice regarding higher education to leaders in higher education.

D. The State of Higher Education

Dr. Attis stated that his presentation would provide a sense of the "big picture"; how the five major areas in higher education are currently viewed; and how these areas tie and provide background to the University of Kentucky's Strategic Plan.

The first area was Undergraduate Student Success.

Dr. Attis explained that the recent national conversation about the value of higher education had been pretty negative. The recession marked a change in mood and fueled concerns about university affordability and the production of students inadequately prepared for the job market. In reality, tuition prices have stayed relatively the same. Scholarships have increased, which is reflected in that a majority of new graduates owe less than \$20,000. Falling family income and lack of savings from the recession are greater contributors to the increase in student debt. Access for low-income students is improved and a college degree increases the likelihood of acquiring a job. Community college and no frills for-profit universities are not a threat to the experience of a residential research institution.

As business decision makers agree that a college degree is a sign of preparedness to enter the workforce, institutions are leveraging aid for academic engagement. By packaging financial aid with counseling and emergency funds, plus incentivizing positive academic behavior and showing institutional commitment, student retention is increased. Improved retention also affords the greatest revenue opportunity for most universities.

The second area was Diversity and Inclusivity.

Dr. Attis shared that demographic pressures vary by region, but the overall number of students that higher education serves is decreasing. As projected net growth of high school graduates decreases, the shifting of student mix will occur. With a rapidly growing Hispanic population, these students will make up an increasing percentage of applicants. Also, national data suggests that low-income applicants are rising as well.

Another aspect of diversity is international students. There has been huge growth in international enrollments both at the undergraduate and graduate levels. These students are well qualified academically and financially capable, but also too many students from one country can be a financial risk if there are currency, political or even preference changes. Most of these students are from a growing middle class and have different cultural expectations and goals.

To serve students of different races and from different backgrounds, universities need to have faculty and staff that mirror these demographics. Female and minority hiring in the faculty ranks has been slow and challenges still face universities in how to hire, how to retain and how to engage with the community.

The third area was Research and Scholarship.

Dr. Attis explained that there has been a steady increase in the level of federal research funding over the last 25 years, especially in science and engineering. Facilities have been built with this funding and are a continuing part of being competitive in this area. In the last few years, federal dollars have recently become more competitive. Universities are increasingly using their own funding to build facilities, recruit faculty, and as seed funding for leveraging federal dollars. Foundations, state and local industry funding remains relatively flat, but targeted industry partnerships are important going forward.

As single investigator/researcher funding has declined, the collaborative “grand challenges” funding has increased. This funding is focused on solving social and technical issues that can create industries and jobs of the future, expand frontiers of human knowledge, tackle important problems related to energy, health, education, the environment, national security and global development. Team science is critical for competitive success for these dollars.

The fourth area was Graduate Education.

Dr. Attis stated that an institution cannot be a thriving research university without a strong graduate education program. Not only do graduate students support faculty research, strong graduate programs attract and retain excellent faculty. Most graduate students teach/assist with courses, supervise laboratories and mentor undergraduates. These students also support outreach activities, perform clinical activities, and then transfer this knowledge to the work force.

Graduate education is becoming more expensive as federal funding is tightening and state funding is geared toward undergraduate education. There is competition for good students in the form of support packages. Completion rates are down as more students take longer to complete the graduate education process. Targeted investments in high quality programs and students will capture students who will stay, graduate and be successful.

The final area was Community Engagement.

Dr. Attis defined this area as service learning and experiential learning that helps build leadership and better prepared students for work force. Community engagement addresses local and global challenges. Universities attract great companies and build the workforce for these companies. These partnerships are valuable tools for student success, economic development and knowledge transfer.

Dr. Attis welcomed questions and comments from the Trustees. Questions from Trustees included the use of adjunct appointments, dwindling tenured faculty positions, student internships and the use of vocational surveys and measures. Trustees also sought information on K-12 partnerships, collaboration pipeline problems, regional universities and their role, online education advancements, small group education groups, hands on activities not for credit (co-op education), integration of in/out classroom activities, financial aid incentives, liberal arts program integration and residential experience retention.

For more information, Dr. Attis’s presentation may be found at http://www.uky.edu/Trustees/agenda/retreats/oct2015/EAB_Slides_for_UK_Board_Meeting_FINAL_10-21-15.pdf.

E. Strategic Plan

Provost Tracy began by sharing an overview of the process, data, objectives and implementation of the Strategic Plan. He stated that the Plan’s goals and expected outcomes include:

- to articulate UK's aspirations over the next five years;
- crystalize thoughts on the institution's mission and strategic vision;
- articulate and discuss broad improvement directions for key focus areas;
- build common base of understanding to enable community at large to buy-in and help implement the plan; and
- provide clarity about areas where UK can distinguish itself among peer institutions.

Provost Tracy stated that over the last six months, six work groups comprised of more than 100 faculty, staff, and students were empowered to:

- Gain information and understanding by profiling UK's current situation along relevant dimensions and to assess UK's progress over the last decade or more, explicitly identifying UK's strengths, challenges, and opportunities.
- Researching and benchmarking major trends affecting UK and higher education, in general; documenting the performance of peer institutions and comparing it to that of UK; and reviewing peer institutions' strategic plans to help develop action plans.
- Communicate and engage stakeholders by organizing focus-group sessions and gathering feedback; engaging campus in robust dialogue through multiple town halls with streaming video and twitter; and conducting interviews with national and local experts.

Provost Tracy reviewed the timeline, provided an overview of the planning phases and presented current data on each of the Strategic Plan objectives. To understand how the committees arrived at plan objectives, initiatives, metrics and strategies, he shared the following framing questions of each objective:

- **Undergraduate Student Success**
How can we enrich UK's undergraduate education through continuing innovation and experimentation in teaching and learning approaches, thus creating transformative experiences that prepare UK's students for success?
- **Diversity and Inclusivity**
How can the University community continue to become more diverse and inclusive, better positioning UK's students, faculty, staff, and community members to contribute to the increasingly interconnected and global economy of the twenty-first century?
- **Research and Scholarship**
How can we build on UK's distinctive capabilities to perform world-class research and scholarly work that will have a significant impact on the lives of Kentuckians and the challenges facing the nation and the world?
- **Graduate Education**
How can UK's graduate and professional programs best be advanced to produce the outstanding scholars and well-prepared professionals the Commonwealth and nation need?

- **Outreach and Community Engagement**

How can we increase and strengthen UK's engagement with and contributions to, the local, regional, national and global communities?

Provost Tracy continued that these questions were used to help define the structure of the Strategic Plan. Structure components include a Strategic Plan Vision, Strategic Objectives, Strategic Initiatives, Action Steps and Metrics.

The Strategic Vision states:

As Kentucky's indispensable institution, we transform the lives of our students and advance the Commonwealth we serve – and beyond – through our teaching and learning, diversity and inclusion, discovery, research and creativity, promotion of health, and deep community engagement.

Provost Tracy reviewed with the Board the Strategic Objectives. They are:

- **Undergraduate Student Success**

To be the University of choice for aspiring undergraduate students, within the Commonwealth and beyond, seeking a transformational education that promotes self-discovery, experiential learning, and life-long achievement.

- **Graduate Education**

Strengthen the quality and distinctiveness of our graduate programs to transform our students into accomplished scholars and professionals who contribute to the Commonwealth, the nation, and the world through their research and discovery, creative endeavors, teaching, and service.

- **Diversity and Inclusivity**

Enhance the diversity and inclusivity of our University community through recruitment and retention of an increasingly diverse population of faculty, staff and students and by implementing initiatives that provide rich diversity-related experiences for all, to help ensure their success in an interconnected world.

- **Research and Scholarship**

Expand our scholarship, creative endeavors, and research across the full range of disciplines to focus on the most important challenges of the Commonwealth, our nation, and the world.

- **Outreach and Community Engagement**

Leverage leading-edge technology, scholarship and research in innovative ways to advance the public good and to foster the development of citizen-scholars.

Provost Tracy explained that these objectives need revenue sources. Working with EVPFA Eric Monday, the plan will utilize resources from tuition, gifts and endowments, grants,

contracts, internal reallocation and state support. Working out of the Provost Office, an implementation team will be led by an Assistant Provost for Strategic Planning and Implementation and the Strategic Plan Committee Co-Chairs. Newly appointed Senior Vice Provost for Academic Excellence Charley Carlson will work with this team on the strategies designed to foster academic excellence and student success.

Provost Tracy continued that he will update the Board of Trustees on the Strategic Plan on a semi- or annual basis using a dashboard of metrics.

Provost Tracy welcomed questions and comments from the Trustees. Questions and comments included; quantity and quality of in- and out-of-state applicants; retention and graduation rates of diverse populations; grade point average (GPA) vs ACT score as a predictor of retention; and four year graduation rates. Trustees inquired about a holistic admission process and the use of a portfolio; the diverse student experience and what UK is doing well and what needs additional effort; revenue sources; the responsibility to be the University *for* Kentucky; and how an “education can be a life changing experience and not just a job training opportunity.” It was also requested that a cohort be followed over the next four years to extract information about why students stay and succeed, or why they may choose to leave.

For more information, Provost Tracy’s presentation may be found at [http://www.uky.edu/Trustees/agenda/retreats/oct2015/2015-2020 Strategic Plan 10-21-15.pdf](http://www.uky.edu/Trustees/agenda/retreats/oct2015/2015-2020_Strategic_Plan_10-21-15.pdf).

To further articulate each strategic objective and initiatives, highlight a model initial action(s), implementation, timeline and metric baseline values and targets, Provost Tracy was pleased to introduce Committee Chairs Ben Withers (Undergraduate Student Success), Terry Allen (Diversity & Inclusivity), Lisa Cassis (Research and Scholarship), Susan Carvalho (Graduate Education) and Lisa Higgins-Hord (Outreach and Community Engagement).

F. Undergraduate Student Success

Provost Tracy introduced Dr. Ben Withers, Associate Provost for Undergraduate Education and Dean of Undergraduate Studies to detail the strategic objective, Undergraduate Student Success.

Dr. Withers stated that led by faculty members Dr. Kim Anderson (Engineering) and Dr. Jane Jensen (Education) and composed of a broadly representative group of faculty, staff and students, the committee reviewed strategic plans, read literature about graduation rates and retention, and studied UK data. The committee prepared a draft plan which was shared broadly across campus. Through town halls and specific conversations with central units (Enrollment Management, Undergraduate Education, and Student Affairs) as well as the academic associate deans of all the colleges, the draft moved to the implementation committee. This committee, chaired by Dr. Withers, provided input about specific action plans and was responsible for the insertion of metrics.

Dr. Withers shared that the three strategic initiatives of this objective were:

- I. Enhance the success of our increasingly diverse student body and help ensure timely degree completion and career planning through high-impact, student-centered support systems.
- II. Enhance students' learning and their preparation for contributing to a rapidly changing world as leaders and scholars through the provision of new and innovative curricular offerings and state-of-the art teaching.
- III. Enrich students' undergraduate education through transformational experiences of self-discovery and learning.

One model initial action is the creation of the Graduation Planning System, a portal software application that integrates student planning, advising and course registration experience and tracks student progress toward graduation. The application promotes proactive and informed planning, accesses improved analytics and allows students to see requirements for degree and audit progress and map out courses over several terms. This is currently being beta-tested with select advisors and students and phased implementation of the entire system is expected by fall 2016.

Another initial action is the Student Financial Wellness Program; a program to help students understand financial literacy for practical application in their financial decisions. Steps are currently underway to create and hire a financial wellness specialist position. This position will serve as the central point in which the Student Financial Wellness Center will grow and develop. Research on established and effective programs will continue through the winter of 2016, with recruitment and training of students as peer financial wellness educators in spring 2016.

Dr. Withers stated that the specific high-level metrics which will be reported to the board will include retention, graduation and closing the six-year graduation gap. The baseline and target values for these metrics are as follows:

<u>Metric</u>	<u>Definition</u>	<u>Baseline</u>	<u>2020 Target</u>
Retention	First-Year	82.7% (2014 cohort)	90%
	Second-Year	74.8% (2013 cohort)	85.5%
	Third-Year	69.5% (2012 cohort)	82%
Graduation Rates	Four-Year	38.5% (2010 cohort)	53%

	Six-Year	60.2% (2008 cohort)	70%
Six-Year Graduation Gap for select groups	Under-represented minorities	16.7% (2008 cohort)	9.8%
	First-generation	15.2% (2009 cohort)	8%
	Pell recipients	15.4% (2008 cohort)	8%

Dr. Withers welcomed questions and comments from the Trustees. Questions from Trustees included: progress to degree data with the Graduation Planning System and baseline for progression data; additional metrics and/or sub-metrics for Board of Trustees review; affinity groups and their graduation rates; career counseling and academic major “maps”; professional vs faculty advising and its consistency, yet flexibility across colleges; and the status of the Council on Postsecondary Education “pathways” program.

For more information, Dr. Withers presentation may be found at http://www.uky.edu/Trustees/agenda/retreats/oct2015/Undergraduate_Student_Success_10-21-15.pdf.

G. Diversity and Inclusivity

Provost Tracy introduced Mr. Terry Allen, Interim Vice President for Institutional Diversity, to detail the strategic objective, Diversity and Inclusivity.

As a long-time employee of the University, Mr. Allen stated that he understood the strengths and challenges of diversity and inclusivity and with this knowledge assembled a committee that was as diverse as the charge. Representatives from the University Senate, Staff Senate, college faculty, staff, and student leaders encompassed gender, race, ethnicity and perspective.

As a starting point, Mr. Allen shared a common question. What does diversity mean? The University of Kentucky’s Governing Regulations defines diversity as:

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

University will give diversity factors consideration to ensure achievement of its mission of instruction, research and service and gain the broadest benefits for the University community.

Mr. Allen stated that 2003 was the first year that “diversity” was included in the Strategic Plan. The University’s plan is consistent with the Council on Postsecondary Education’s (CPE) diversity plan and diversity policy. CPE is in the process of combining/updating the two and will adopt a new plan in February 2016.

The University’s Affirmative Action plan walks hand-in-hand with diversity and inclusivity. Because the University is a recipient of federal contracts and employs more than 50 individuals, UK must take affirmative measures according to the U.S. Department of Labor in all phases of employment as it relates to gender, minority group, protected veterans and those individuals with disabilities.

Mr. Allen reiterated that diversity and inclusion are infused throughout the Strategic Plan. The three strategic initiatives are:

- I. Foster a diverse community of engaged students.
- II. Improve workforce diversity and inclusion.
- III. Engage diverse worldviews and perspectives by increasing awareness of diversity and by communications across campus that address these issues.

One of the initial actions is the Unconscious Bias Initiative. Unconscious bias is the processing of information without thought; acting and making decisions based on unconscious judgments. This initiative aims to create a conscious awareness, both individually and institutionally. During the winter of 2016, the committee will develop strategy and finalize implementation decisions. Baseline assessments, intervention and policy reviews will take place during the summer of 2016. Unconscious bias training will be designed and implemented for faculty and staff search committees and will be available for all students, staff and faculty. These outcomes will be evaluated annually in order to recommend strategy for moving forward.

A second initial action is to Strengthen Student Support Mechanisms. Targeted at under-represented minorities (URM), LGBTQ*, and students with disabilities, the goal is to strengthen initiatives to build and enhance student support mechanisms at the undergraduate and graduate levels. During spring 2016, the committee will utilize existing, and develop new, mechanisms for identifying URM, LGBTQ*, and students with disabilities populations. Steps will be taken to continually identify and increase collaborative efforts between campus curricular and co-curricular support units and to provide additional support services to URM, LGBTQ* and students with disabilities. Finally, the University will recruit and admit aspiring underrepresented populations from all backgrounds to bring talented, diverse students to campus.

Mr. Allen stated that the specific high-level metrics which will be reported to the board will include: enrollment percentage of under-represented undergraduate and graduate students;

graduation rate for under-represented students; and percentage of faculty, executive/ administrative/ managerial, and professional employees in these groups.

The baseline and target metrics are as follows:

<u>Metric</u>	<u>Definition</u>	<u>Baseline</u>	<u>2020 Target</u>
Enrollment % of Under-represented Students	Undergraduate	11.6 %	12.9%
	Graduate	7.2%	11.8%
Graduation rate for Under-represented Students	Undergraduates (6 year cohort)	45.2%	60.2%
	Masters (3-year cohort)	71.0%	76.0%
	Doctoral (7-year cohort)	48.0%	53.0%
Faculty	Females	37.1%	48.2%
	African American/Black	3.4%	6.9%
	Hispanic/Latino	2.8%	4.2%
Executive, Administrative, and Managerial	Females	48.9%	50.0%
	African American/Black	3.5%	7.9%
	Hispanic/Latino	0.5%	6.1%
Professional	African American/Black	4.3%	5.1%
	Hispanic/Latino	1.1%	1.5%

Mr. Allen welcomed questions and comments from the Trustees. Questions and comments included: how would Board of Trustee members be able to participate in an implicit bias test; would unconscious bias training for faculty, staff and students be mandatory; what efforts are made on behalf of the special needs students and how are they monitored; how do new hires get connected to the community, do they have mentors on campus and what efforts are in place to retain faculty and staff. Other questions included special training for faculty

regarding their interactions with students and how might students self-identify to be eligible for programs or services.

Dr. Akins proposed that the word “promotion” and “administrators” be inserted to the Diversity and Inclusivity Objective to “model what we mandate.” The objective might read:

Enhance the diversity and inclusivity of our University community through recruitment, *promotion* and retention of an increasingly diverse population of faculty, *administrators*, staff and students and by implementing initiatives that provide rich diversity-related experiences for all, to help ensure their success in an interconnected world.

For more information, Mr. Allen’s presentation may be found at http://www.uky.edu/Trustees/agenda/retreats/oct2015/Diversity_and_Inclusivity.pdf.

The Board of Trustees adjourned at 5:15 p.m.

Friday, October 23, 2015

The Board of Trustees began its second day at 1:00 p.m. on Friday, October 23, 2015 in the Recruitment Room in Commonwealth Stadium on the University of Kentucky campus.

H. Research and Scholarship

Continuing with the Strategic Plan program, Provost Tracy introduced Dr. Lisa Cassis, Vice President for Research to detail the strategic objective, Research and Scholarship.

Dr. Cassis stated that the focus of the research enterprise is different in this plan in that UK will focus on research that addresses challenges of the Commonwealth.

Dr. Cassis reviewed with the Board, CR 1, Principles of the Research Enterprise, approved at the October 2014 Retreat where the Board directed the President to:

- Align resource commitments to optimize efficiency and facilitate faculty, student and staff success
- Recruit and retain world-class scholars and research teams
- Strengthen the commitment to interdisciplinary exploration
- Confirm and detail the critical need for additional research infrastructure

The Strategic Initiatives align with this directive. The Initiatives are:

- I. Invest in UK's existing strengths and areas of growth in selected focus areas that benefit and enrich the lives of the citizens of the Commonwealth and beyond.
- II. Recruit and retain outstanding faculty, staff and students that support our research and scholarship across the range of disciplines at the University.

- III. Improve the quality of the research infrastructure across campus.
- IV. Strengthen engagement efforts and translation of research and creative work for the benefit of the Commonwealth of Kentucky, the nation and the world.

An example of an action toward one of these initiatives would be the efficient use of research space. This would be done by assessing research space according to discipline/quality, developing a space algorithm based on these factors, validate and apply this algorithm to research space across campus, then re-allocate space in an interdisciplinary manner.

Another example would be the use of data mining to improve grant submissions. This would entail identifying areas of research strength and align investigators with agency funding opportunities; develop teams for large funding mechanisms; facilitate investigator initiated or administratively supported interactions; and provide proposal development support. She noted that these two examples would use UK’s computer science and analytics faculty.

Dr. Cassis stated that the high-level metrics that would be reported to the Board would be: research and development (R&D) expenditures which determines UK’s national ranking as a research intensive, land-grant institution; doctoral program rankings to evaluate graduate/doctoral program quality; and to determine impact of UK’s research on the Commonwealth, evaluate the number of licenses from intellectual property and licensing income from that intellectual property.

The baseline and target metrics for Research and Scholarship are as follows:

<u>Metric</u>	<u>Definition</u>	<u>Baseline</u>	<u>2020 Target</u>
Total R&D Expenditures by source	NSF 2013 Total Research Expenditures	\$340 million	\$364 million
	NSF 2013 Federal Research Expenditures	\$150 million	\$175 million
Ranking of Doctoral Programs	Doctoral program ranking, by discipline	6 doctoral programs within top quartile	Ranking within top quartile by discipline
Space (\$/sq.ft) According to Source (grants, Endowments)	\$/sq.ft weighted by age and renovation status	To be defined as part of rate negotiation (12/15)	20% increase of space that reaches \$300/sq.ft metric (new research laboratory space) factored for

			type of research
License growth and income generation	Licenses	100 (2014 data)	177 (10% CAGR)
	License Income	\$3.3 million	\$3.5 million (1 % CAGR)

(Compound Average Growth Rate (CAGR))

Dr. Cassis welcomed questions and comments from the Trustees. Comments and questions included the status of translational research, updated data information for doctoral program rankings, defining the most pressing challenges of the Commonwealth, strengths of funded grants, industry emphasis research, and doctoral programs and their ability to generate research revenues.

For more information, Dr. Cassis' presentation may be found at http://www.uky.edu/Trustees/agenda/retreats/oct2015/Research_and_Scholarship_10-22.pdf.

I. Graduate Education

Provost Tracy introduced Dr. Susan Carvalho, Associate Provost for Internationalization and Interim Associate Provost and Dean of the Graduate School to detail the strategic objective of Graduate Education.

Dr. Carvalho described graduate education as the “connective tissue between the research enterprise, faculty excellence and our mission to the Commonwealth, the nation and the world.” The University of Kentucky has over 5000 graduate students, 60 doctoral programs, 120 master’s programs and 5 certificates.

The Strategic Objective for graduate education is:

Strengthen the quality and distinctiveness of our graduate programs to transform our students into accomplished scholars and professionals who contribute to the Commonwealth, the nation, and the world through their research and discovery, creative endeavors, teaching, and service.

Dr. Carvalho explained that graduate education is central to the undergraduate education mission. The students that UK admits and trains are lab assistants, discussion leaders, residence hall neighbors, mentors to undergraduate students, and aspirational role models for student success. Graduate students serve as research accelerators for faculty by providing quality data and analysis and support on which faculty research is built. These same students are also a magnet and anchor for top faculty. Graduate students go on to be the policy makers for education, superintendent and principals, directors of humanities councils and the arts, and the workforce in the Commonwealth that industry expects.

The three Strategic Initiatives for Graduate Education are;

- I. Recruit and retain outstanding graduate students from all backgrounds.
- II. Invest in graduate programs that have distinctive synergy with UK's research priorities and/or whose graduate students demonstrate excellence at the national or global levels.
- III. Elevate the quality and richness of the graduate student experience and increase the national competitiveness of UK's graduate programs

Dr. Carvalho went on to explain that in order to recruit and retain, the University must: invest in competitive support packages for students who work on behalf of the campus (e.g., labs, teaching); foster and maintain a welcoming environment (e.g., climate, inclusion, diversity); and use recruitment strategies that highlight UK's strengths in research and interdisciplinarity.

One example of a model initial action would be to invest in programs that have distinctive synergy with research priorities by awarding block grants to top graduate programs. This would create flexibility to strategically allocate funds and balance central incentives and accountability with flexibility at the local level.

The baseline and target metrics for Research and Scholarship are as follows:

<u>Metric</u>	<u>Definition</u>	<u>Baseline</u>	<u>2020 Target</u>
Doctoral Program Selectivity	Percentage of doctoral applicants who receive offers of admission	32.9%	22%
Graduate Degrees Awarded	Master's, Education Specialist, and Doctoral degrees awarded	1490	1639 (10% increase)
Diversity of Graduate Students, per CPE enrollment goals	African American/Black	5.6%	7.7%
	Hispanic/Latino	2.4%	2.7%

Dr. Carvalho welcomed questions and comments from the Trustees. Comments and questions included: source of block grants (new money or reallocation); success of UK in career placement; and the program selectivity component.

For more information, Dr. Carvalho's presentation can be viewed at http://www.uky.edu/Trustees/agenda/retreats/oct2015/Graduate_Education_10-22.pdf.

J. Outreach and Community Engagement

Provost Tracy introduced Assistant Vice President for Community Engagement Lisa Higgins-Hord to update the Board on the final strategic plan objective, Outreach and Community Engagement.

Ms. Hord reminded the Board that the objective is to “leverage leading-edge technology, scholarship and research in innovative ways to advance the public good and to foster the development of citizen-scholars.” One example of this type of partnership is the Blue Angels Program, located in Hazard, KY and its use of telemedicine to manage high-risk pregnancies. Another example is the Project CARAT (Coordinating and Assisting the Re-use of Assistive Technology); a student, faculty and staff program organized by the Center for Excellence in Rural Health. This program collects and refurbishes durable medical equipment and distributes it to financially disadvantaged individuals.

The two strategic initiatives supporting the objective are:

- I. Renew our institutional commitment to promote the public good through the sustainable application of our expertise and resources to meet challenges and disparities associated in social, economic, environmental, educational, and health issues.
- II. Deepen student learning through community engagement.

Ms. Hord stated that these initiatives will be met by investing in an institutional model, re-engaging and supporting staff and faculty who are the co-creators of authentic partnerships, and sustaining communities through engagement. Opportunities can be created for students in course and co-curricular activities.

One model initial action would be better use of technology or cohesion through technology. This would include the development of a database directory, capturing outreach and community engagement efforts and creating a unified reporting system that could be used for assessment and strategies. Over the next 12 months, a work group will be convened and an institutional model will be identified. The work group will survey college and units to identify databases and other sources of information and will develop a unified reporting system to make databases accessible and interconnected.

Another model initial action is to increase institutional capacity by advancing and developing expertise through UK’s assets and linking other strategic plan goals to this area. The creation of a unified reporting database will allow for the understanding of the types and values of current partnerships and their impact.

The baseline and target metrics for Outreach and Community Engagement are:

<u>Metric</u>	<u>Definition</u>	<u>Baseline</u>	<u>2020 Target</u>
Databases tracking engagement and outreach	Databases dispersed among colleges and units	25+32.9%	1
Faculty and staff developing expertise to deliver quality community engagement and outreach	Faculty teaching community-based courses	15%	20%
	Staff teaching community-based course	TBD	TBD
Opportunities for students to participate in a community	Undergraduate community engagement courses	200	300
Partnerships between University and community stakeholders	Partnerships among colleges and units	100+	150

Ms. Hord welcomed questions and comments from the Trustees. Comments and questions included the proposed integration and coordination of community engagement/outreach offices; duplication of effort or job loss due to new structure; integration of the extension offices and the presence and utilization of the UK Alumni Association and respective clubs. Trustees also asked about UK's service learning offerings and what courses receive academic credit that have a community engagement component.

For more information, Ms. Hord's presentation may be viewed at http://www.uky.edu/Trustees/agenda/retreats/oct2015/Outreach_and_Community_Engagement_10-22.pdf.

K. Conclusion

Provost Tracy offered that the Strategic Plan is focused on the most important areas of the University. As outlined over the past two days, the Plan has set target metrics that are ambitious but achievable. The proposed plan has depth and breadth and the University has the capability to align and build resources and people, and the implementation approach and organization to execute the plan.

Chair Brockman welcomed questions and comments from Trustees regarding the Strategic Plan. Trustee Brothers asked about the presence of teaching, more specifically helping faculty improve or learn new teaching methods. Provost Tracy related that in the Undergraduate Student Success objective, there are several elements targeting this area. They include helping faculty develop innovative teaching methods, programmatic initiative to use philanthropy to create endowed professorships for excellence in undergraduate teaching, and faculty

improvements, such as TEAL (Technology Enhanced Active Learning) classrooms. Trustee Grossman remarked that one of the benefits to a student at the University of Kentucky is the opportunity to engage in undergraduate research. Many of the research initiatives that were described in that Research section of the Strategic Plan will directly benefit our undergraduates.

L. Adjournment

With no further questions or discussion, the Board adjourned at 3:15 p.m.

Respectfully submitted,

A handwritten signature in cursive script that reads "Kelly S. Holland".

Kelly Sullivan Holland
Secretary, Board of Trustees