Purpose

Goals and Expected Outcomes

- Articulate UK's aspirations over the next five years
- Crystalize thoughts on institution’s mission and 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
- Provide clarity about areas where UK can distinguish itself among peer institutions
Overview of Planning
Inputs and Sources

- Empowered six work groups comprised of more than 100 faculty, staff, and students

- Spent nearly six months

  **Understanding the Current Situation**
  - Profiling UK’s current situation along relevant dimensions
  - Assessing UK’s progress over the last decade or more
  - Explicitly identifying UK’s strengths, challenges, and opportunities

**Benchmarking**
- 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
- Reviewing peer institutions’ strategic plans
- Developing action plans

**Communicating and Engaging Stakeholders**
- Organizing focus-group sessions and gathering feedback
- Engaging campus in dialogue through multiple Town Halls
- Conducting interviews with national and local experts
Overview of Planning
Timeline | March 2015 to October 2015

Phase I

**Review, Refine and Communicate**
- Finalized strategic plan
- Refined elements of the plan based upon feedback gathered to date
- Presented plan to campus community and other stakeholders

Phase II

**Research and Develop Metrics**
- Convened working groups to research and develop metrics for each action step in the plan
- Benchmarked peer institutions to calibrate metrics
- Created list of executive-level metrics to support all strategic objectives

Phase III

**Implementation Design**
- Articulate metrics to Board of Trustees for feedback
- Determine actions to monitor and measure progress going forward
- Design implementation plans and assign responsibility for managing change
Undergraduate Student Success
Context

ACT Scores | 25th to 75th Percentile | 2013 Fall Cohort

Public University Rank

MS State
W Virginia
Arizona
Kentucky
Iowa State
Missouri
U of Iowa
Mich State
LA State
Arkansas
S Carolina
Tennessee
UC Davis
Purdue
Auburn
Wisconsin
Minnesota
NC State
Georgia
Florida
Chapel Hill
Clemson
Illinois
Ohio State
Michigan

84 93 58 63 50 45 27 35 63 69 55 50 9 20 48 13 43 20 14 5 20 11 18 4
Context
Peer Comparison | ACT 25th Percentile | UK versus Peers

Note 1: 2012 Data
Context

Peer Comparison | ACT 75th Percentile | UK versus Peers

Note 1: 2012 Data

Retention, Graduation Rates

ACT Composite Score
First-to-Second Year Retention | 2012 Data | UK vs. Peers

Source: IPEDS; US News & World Report Public University Ranking
Diversity and Inclusivity
Making Progress on our Priorities
Building a Quality Student Body

First-year Class, Diversity Enrollment

- African American
- Hispanic
- International

Average ACT: 25.5
Average Entering GPA: 3.68
National Merit Hispanic & Achievement Scholars: 117
ACT/SAT of 31 or above: 704
Making Progress on our Priorities
Building a Quality Student Body

Overall Diversity Enrollment

<table>
<thead>
<tr>
<th>Year</th>
<th>African American</th>
<th>International</th>
<th>Hispanic</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010</td>
<td>1,913</td>
<td>1,409</td>
<td>511</td>
</tr>
<tr>
<td>2011</td>
<td>2,058</td>
<td>1,430</td>
<td>599</td>
</tr>
<tr>
<td>2012</td>
<td>2,264</td>
<td>1,621</td>
<td>741</td>
</tr>
<tr>
<td>2013</td>
<td>2,423</td>
<td>1,733</td>
<td>896</td>
</tr>
<tr>
<td>2014</td>
<td>2,468</td>
<td>1,900</td>
<td>1,033</td>
</tr>
<tr>
<td>2015</td>
<td>2,571</td>
<td>1,893</td>
<td>1,166</td>
</tr>
</tbody>
</table>
Making Progress on our Priorities
Building a Quality Student Body

Overall Diversity Enrollment | Percent of Student Body

<table>
<thead>
<tr>
<th>Year</th>
<th>African American</th>
<th>International</th>
<th>Hispanic</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010</td>
<td>6.8%</td>
<td>5.0%</td>
<td>1.8%</td>
</tr>
<tr>
<td>2011</td>
<td>7.3%</td>
<td>5.1%</td>
<td>2.1%</td>
</tr>
<tr>
<td>2012</td>
<td>7.8%</td>
<td>5.6%</td>
<td>2.6%</td>
</tr>
<tr>
<td>2013</td>
<td>8.2%</td>
<td>5.9%</td>
<td>3.0%</td>
</tr>
<tr>
<td>2014</td>
<td>8.2%</td>
<td>6.3%</td>
<td>3.4%</td>
</tr>
<tr>
<td>2015</td>
<td>8.4%</td>
<td>6.2%</td>
<td>3.8%</td>
</tr>
</tbody>
</table>
According to the Disability Resource Center, a majority of the disability types at UK are related to learning and psychological disorders.
Research and Scholarship
Research and Development (R&D) Expenditures determine our national ranking as a research intensive, land-grant institution.
Rankings of doctoral programs by the National Research Council (NRC) define the quality of research/creative work by graduate students across the range of disciplines.

UK Doctoral programs that were within the top 25% (2006):

- English
- Hispanic Studies
- Public Administration
- Entomology
- Nutritional Sciences
- Nursing
Tracking number of licenses over time.

Note 1: Compounded Annual Growth Rate
Research and Scholarship
Licensing Income

Licensing income is the outcome of intellectual capital and economic development of our faculty, students and staff.

Note 1: Compounded Annual Growth Rate

CAGR$^1$
Graduate Education
Data shows that our doctoral students are building successful careers after leaving UK\(^1\).

Upon Graduation:
- Postdoctoral Fellowship: 19%
- Employed in relevant field: 27%
- Unknown: 53%

5+ years after Graduation:
- Employed in relevant field: 13%
- Unemployed: 7%
- Unknown: 80%

Note 1: Data are based on doctoral students who graduated between 12/2004 and 12/2014.
Graduate Education
Graduate Student Stipends

UK versus Big 10 institutions

Note 1: Fall 2013 Data

Average $16,428
Outreach and Community Engagement
Outreach and Community Engagement

Connections to Every County in Kentucky
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 our students for success?

Diversity and Inclusivity
How can our University community continue to become more diverse and inclusive, better positioning our students, faculty, staff, and community members to contribute to the increasingly interconnected and global economy of the twenty-first century?
Context
Framing Questions

Research and Scholarship
How can we build on our 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 our nation and the world?

Graduate Education
How can our graduate and professional programs best be advanced to produce the outstanding scholars and well-prepared professionals our Commonwealth and nation need?

Outreach and Community Engagement
How can we increase and strengthen our engagement with, and contributions to, our local, regional, national and global communities?
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.
Context
Structure of Strategic Plan

STRATEGIC VISION
• Includes teaching and learning, diversity and inclusion, discovery, research and creativity, promotion of health, and deep community engagement

STRATEGIC OBJECTIVES
• Articulates five (5) overarching goals for undergraduate student success, diversity and inclusion, research and scholarship, graduate education, and community engagement

STRATEGIC INITIATIVES
• Articulates focus initiatives for each strategic area

ACTION STEPS
• Prescribes actions to satisfy each strategic initiative
Context
Strategic Objectives

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.
### Context

#### Strategic Objectives

<table>
<thead>
<tr>
<th>Research and Scholarship</th>
<th>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.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Community Engagement</td>
<td>Leverage leading-edge technology, scholarship and research in innovative ways to advance the public good and to foster the development of citizen-scholars.</td>
</tr>
</tbody>
</table>
Implementation Considerations
Revenue Sources

1. Tuition
2. Gifts and Endowments
3. Grants (Facilities and Administrative Rates)
4. Contracts (Fee for Service)
5. Internal Reallocation
Implementation Considerations
Responsibility Assignments

Provost

Assistant Provost for Strategic Planning and Implementation

Steering Committee of Implementation Chairs

Planning and Implementation Working Groups

Senior Vice Provost for Academic Excellence

Enrollment Management
Student Affairs
Undergraduate Education
International Center
Center for Enhancement of Learning and Teaching
Implementation Considerations

Process Overview

1. Designating a leader to manage the 5-year implementation process

2. Convening a Steering Committee comprised of leaders and campus experts for each strategic area

3. Proceeding with executing action steps in each focus area

4. Developing executive dashboard to monitor and measure progress against goals and objectives

5. Generating reports and accompanying narratives to share with the Board on a semi-annual and annual basis
## Strategic Area

### Reporting to the Board
### Sample Dashboard

<table>
<thead>
<tr>
<th>Strategic Area</th>
<th>Metric</th>
<th>YTD Actual</th>
<th>YTD Target</th>
<th>Variance</th>
<th>2020 Target</th>
<th>2020 Variance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undergraduate Student Success</td>
<td>First-Year Retention</td>
<td>83%</td>
<td>85%</td>
<td></td>
<td>90.0%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Second-Year Retention</td>
<td>75%</td>
<td>76%</td>
<td></td>
<td>85.5%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Third-Year Retention</td>
<td>70%</td>
<td>72%</td>
<td></td>
<td>82.0%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Four-Year Graduation</td>
<td>39%</td>
<td>39%</td>
<td></td>
<td>53.0%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Six-Year Graduation</td>
<td>62%</td>
<td>63%</td>
<td></td>
<td>70.0%</td>
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</tr>
<tr>
<td></td>
<td>URM Six-Year Gap</td>
<td>17%</td>
<td>18%</td>
<td></td>
<td>9.8%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>First-Gen Six-Year Gap</td>
<td>15%</td>
<td>13%</td>
<td></td>
<td>8.0%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Pell Recipients Six-Year Gap</td>
<td>13%</td>
<td>13%</td>
<td></td>
<td>8.0%</td>
<td></td>
</tr>
<tr>
<td>Graduate Education</td>
<td>Program Selectivity</td>
<td>33%</td>
<td>28%</td>
<td></td>
<td>22.0%</td>
<td></td>
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<tr>
<td></td>
<td>Degrees Awarded</td>
<td>1,490</td>
<td>1,500</td>
<td></td>
<td>1,639</td>
<td></td>
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<tr>
<td></td>
<td>African American Diversity</td>
<td>6%</td>
<td>6%</td>
<td></td>
<td>7.7%</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Hispanic Diversity</td>
<td>8%</td>
<td>7%</td>
<td></td>
<td>2.7%</td>
<td></td>
</tr>
<tr>
<td>Research and Scholarship</td>
<td>Total Research Expenditures</td>
<td>340,000,000</td>
<td>342,000,000</td>
<td></td>
<td>364,000,000</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Federal Research Expenditures</td>
<td>150,000,000</td>
<td>155,000,000</td>
<td></td>
<td>175,000,000</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Doctoral Program Ranking</td>
<td>6</td>
<td>7</td>
<td></td>
<td>12</td>
<td></td>
</tr>
</tbody>
</table>
We have asked the five Committee Chairs to lead the discussions on each strategic objective. Over the course of several months they led the analysis and planning for each strategic initiative and action step.

In their presentations they will:

- Further articulate each strategic objective

- Re-introduce the strategic initiatives

- Highlight a model action to implement that supports the initiative

- Provide an overview of the implementation timeline for an initial action

- Articulate the metrics by which UK will measure progress towards the strategic plan
<table>
<thead>
<tr>
<th>Strategic Planning Committee</th>
<th>Chair</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undergraduate Student Success</td>
<td>Dr. Ben Withers</td>
<td>Dean of Undergraduate Education</td>
</tr>
<tr>
<td>Diversity and Inclusivity</td>
<td>Terry Allen</td>
<td>Interim Vice President for Institutional Diversity</td>
</tr>
<tr>
<td>Research and Scholarship</td>
<td>Dr. Lisa Cassis</td>
<td>Vice President of Research</td>
</tr>
<tr>
<td>Graduate Education</td>
<td>Dr. Susan Carvalho</td>
<td>Interim Dean and Associate Provost of the Graduate School</td>
</tr>
<tr>
<td>Outreach and Community Engagement</td>
<td>Lisa Higgins-Hord</td>
<td>Assistant Vice President, Community Engagement</td>
</tr>
</tbody>
</table>
APPENDIX
Overview of Planning
UK’s Differentiating Strengths

Academic Excellence
• The accelerating progress of recent years has led to a broadly-shared sense of increased confidence that UK can realize greater accomplishments and set higher aspirations

• The quality of incoming students has been rising steadily

• The diversity of the student body, faculty, and staff continues to increase along many dimensions

Collaboration
• UK and UK HealthCare are co-located on a single campus, providing opportunities for multidisciplinary collaboration

• UK benefits enormously from the extraordinary loyalty, commitment, and enthusiasm of the greater UK family – the "Big Blue Nation"
Overview of Planning
UK’s Differentiating Strengths

Investments
• A significant amount of new research space has recently been approved and will be under construction soon

• UK has made significant investments in improving the quality of student life – including new dormitories and living/learning communities

• Sesquicentennial year events, with their reflections on what UK has accomplished, have stimulated thinking about what UK might achieve over the next hundred or more years

Community Impact
• UK has a physical presence and tradition of service and involvement in every county in Kentucky

• The academic medical center, serving Kentucky and beyond, continues to grow in scale and reputation

• Over the past decade, there has been strong growth in the number of patients treated in UK hospitals and clinics, and in the breadth and sophistication of advanced clinical services
Overview of Planning
Timeline | September 2013 through January 2015

September 2013
- Conducted interviews
- Collected existing data
- Penned history and background

Input and Planning
- Composed cohesive planning document
- Identified emerging themes

Feedback
- Distributed draft
- Talked with community
- Gathered feedback

January 2015
- Revised document based on feedback
- Finalized strategic plan
Overview of Planning
Essential Elements of Strategy

DISTINCTIVENESS
• Special attributes and their sources
• Consistent with vision and mission
• Differentiation that confers relative advantage

RESOURCE COMMITMENTS
• Choices about allocating scarce resources
• Fact-based decision-making
• Coherent set of initiatives

EXECUTION
• Implementation plans
• Responsibility assignments
• Progress measures
• Review milestones