

UNIVERSITY OF KENTUCKY BOARD OF TRUSTEES

Lisa Cassis, Vice President for Research

Penny Cox, University Treasurer



PROJECT ACCELERATE

ACCELERATE GROWTH TO DO MORE AND BE MORE FOR KENTUCKY

Work Group 5: More Responsiveness

WORK GROUP 5: MORE RESPONSIVENESS

Agenda

Topic	Objectives
Project Background and Approach	<ul style="list-style-type: none">• Provide overview of the Work Group 5 charge• Project approach
Senate Joint Resolution 98 (SJR 98) Response	<ul style="list-style-type: none">• Provide overview of SJR 98 and outline Work Group 5's response to the referendum
Current State Shared Governance Overview	<ul style="list-style-type: none">• Discuss high level current state governance at UK related to the Governing Regulations (GRs)
Benchmarking and Policy Findings	<ul style="list-style-type: none">• Present benchmarking takeaways compared to UK's existing regulations
Interview Observations	<ul style="list-style-type: none">• Provide an overview of vested parties' interview themes and observations as related to the charge

PROJECT BACKGROUND AND APPROACH



WORK GROUP 5: MORE RESPONSIVENESS

Project Scope

Using UK PURPOSE as a framework and guide, the Board of Trustees has directed UK leadership to accelerate efforts to advance Kentucky, its economy, the health and welfare of its citizens and its quality of life that ensures and enables More Responsiveness.

The CR1 Charge

Using UK PURPOSE as a framework and guide, the Board of Trustees has directed UK leadership to accelerate efforts to advance Kentucky, its economy, the health and welfare of its citizens and its quality of life that ensures and enables More Responsiveness through...



A detailed review of policies, procedures and financing strategies to ensure the institution is aligned with the state's needs, specifically as related to....



A review of the University's Governing and Administrative Regulations and relationships with the Kentucky Council On Postsecondary Education (CPE), K-12, government agencies and the private sector as well as the University's Governing and Administrative (AR) Regulations ...



Ensure the institution is poised to accelerate its progress and growth.

...with an expectation of significant progress by June 2024.

WORK GROUP 5: MORE RESPONSIVENESS

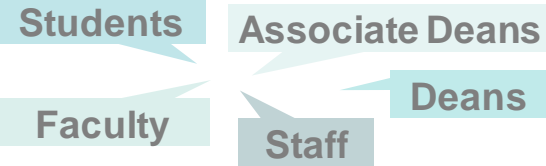
Project Inputs

In order to assess the current state, we engaged with a variety of vested parties, analyzed a wide array of publicly available information and data, and benchmarked over 25 other institutions to compare to UK.

QUALITATIVE ASSESSMENT

55+

Vested parties interviewed through 20 interviews



5+

Work Group meetings conducted in eight weeks

- 12 members dedicated to vetting the process and findings related to SJR 98, interviews, benchmarking, etc.

INTERNAL SCAN

10+

Varieties of documents reviewed and analyzed

- GRs, ARs, Senate Rules (SRs), etc.
- Board meeting minutes
- Shared governance docs

40+

Total documents and regulations reviewed



EXTERNAL SCAN + BENCHMARK

26

Peer institutions benchmarked across three categories

1. SEC Peers (excluding Vanderbilt)
2. Contiguous Campus Peers (“The Eight”)
3. Kentucky Public Institutions

50+

External regulations and policy documents



SJR 98 ANALYSIS

3

Components of Senate Joint Resolution (SJR) 98 analyzed

1. Postsecondary governance
2. Proposed new public university
3. Proposed split of KCTCS

25+

Themes identified across three components

OPTION	PROS	CONS
<p>Option 1: Maintaining the current governance structure with minor adjustments to improve transparency and accountability.</p>	<p>• Maintains stability and continuity of governance.</p> <p>• Allows for incremental improvements to governance structures.</p> <p>• Avoids the complexity and cost of a full-scale restructuring.</p>	<p>• May not address the need for more robust governance structures.</p> <p>• Could be perceived as a lack of leadership and vision.</p> <p>• May not address the need for more transparency and accountability.</p>
<p>Option 2: Creating a new public university to address the need for higher education in the region.</p>	<p>• Provides a clear path for higher education in the region.</p> <p>• Addresses the need for more public higher education.</p> <p>• Could create a new source of revenue for the state.</p>	<p>• Requires significant investment in infrastructure and faculty.</p> <p>• Could be perceived as a duplication of existing institutions.</p> <p>• May not address the need for more transparency and accountability.</p>
<p>Option 3: Splitting KCTCS into two separate entities to address the need for more specialized education.</p>	<p>• Allows for more specialized education and research.</p> <p>• Could create a new source of revenue for the state.</p> <p>• Addresses the need for more specialized education.</p>	<p>• Requires significant investment in infrastructure and faculty.</p> <p>• Could be perceived as a duplication of existing institutions.</p> <p>• May not address the need for more transparency and accountability.</p>

SENATE JOINT RESOLUTION 98 (SJR 98) RESPONSE



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SJR 98 Overview

Below is an outline of the Senate Joint Resolution 98 (SJR 98) that Work Group 5 was charged with analyzing and responding to in this phase of work.

SJR 98 Overview

Senate Joint Resolution 98 directs the Council on Postsecondary Education (CPE) to assess whether Kentucky's current postsecondary system is adequate to meet the state's current and future human capital and workforce needs. More specifically, it charges CPE with determining:

- 1 - - - - The efficacy of Kentucky's current postsecondary governance structure
- 2 - - - - The feasibility of a new four-year public university in southeastern Kentucky
- 3 - - - - The feasibility and impact of narrowing KCTCS's scope to technical education and training only, with the comprehensive (regional) universities assuming responsibility for general education and transfer programs

Implicit in this task is the assumption that the reforms enacted by the Kentucky Postsecondary Education Improvement Act of 1997 (House Bill [HB] 1) may not be working as intended or producing the results we need. **In this way, SJR 98 serves as a referendum on HB 1, as well as an opportunity to make bold changes that reposition Kentucky for greater economic competitiveness in the next quarter century.**

WORK GROUP 5: MORE RESPONSIVENESS

SJR 98 Analysis: Current Postsecondary Governance Structure

Below is a summary of Work Group 5’s response to the SJR 98 component regarding the **efficacy of Kentucky’s current postsecondary governance structure.**

	1 Option 1	2 Option 2	3 Option 3	4 Option 4
	<p><i>Maintaining Kentucky’s current higher education governance structure with improved execution of authorities.</i></p>	<p><i>Maintaining the current governance structure but granting additional statutory authorities to CPE.</i></p>	<p><i>Adding a single governing board for public four-year institutions (inclusive or exclusive of the research universities).</i></p>	<p><i>Creating a new “superboard” or single, statewide governing board that oversees both two-year and four-year institutions.</i></p>
Context	<ul style="list-style-type: none"> • CPE remains • KCTCS remains • Eight four-year boards remain 	<ul style="list-style-type: none"> • CPE remains • KCTCS remains • Eight four-year boards remain 	<ul style="list-style-type: none"> • CPE remains • KCTCS remains • Single four-year board remain 	<ul style="list-style-type: none"> • CPE dissolved • KCTCS dissolved • Single superboard
Pros	<ul style="list-style-type: none"> • Cost and disruption minimization • Favorable incentive metrics • Status quo benefits 	<ul style="list-style-type: none"> • Financial aid benefits • Improved oversight and prevention • Increased transparency 	<ul style="list-style-type: none"> • R1 delineation • Institutional differentiation 	<ul style="list-style-type: none"> • None, unless UK is excluded
Cons	<ul style="list-style-type: none"> • Concerns about state control and autonomy • Additional administrative burden • Misalignment with UK goals • Need for customized approaches 	<ul style="list-style-type: none"> • Concerns about common policy and representation • Power imbalance and training challenges • Significant student impact • Restricts institutional flexibility 	<ul style="list-style-type: none"> • Extremely disruptive • Lessens institutional responsiveness 	<ul style="list-style-type: none"> • Extremely disruptive • Negative impact on alumni engagement • Concerns about disregarding UK’s current governance structure

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SJR 98 Analysis: New University in Southeastern Kentucky

Below is a summary of Work Group 5's response to the SJR 98 component regarding the **feasibility of a new four-year public university in southeastern Kentucky.**

PROS



Access: Increase local access to higher education



Partnership: Provide opportunity to partner with UK and other Kentucky institutions



Economy: Bolster economic development in region



Experience: Deliver local academic experience for students



Quality of Life: Improve quality of life beyond economic benefits

CONS



Scarcity: Increased competition for limited resources



Enrollment: Cannibalize students from other institutions



Recruitment: Recruit and retain sufficient faculty and staff



Feasibility: Provide holistic academic excellence for students



Competition: Compete with existing four-year KY institutions

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SJR 98 Analysis: Narrowing KCTCS's Scope

Below is a summary of Work Group 5's response to the SJR 98 component regarding the **feasibility and impact of narrowing KCTCS's scope to technical education and training only.**

PROS



Delineation: Differentiate higher education institutions across Kentucky



Responsive: Focus on market driven demand to meet workforce needs



Specialization: Build expertise in specific areas to apply to the workforce

CONS



Expensive: Consume funding for process, leaving less for existing campuses



Effort: Navigate difficult politics to separate the functions



Brand: Lose prestige and brand for the community



Accessibility: Reduce access and affordability within the community



Relocation: Disrupt faculty work locations and short-term employment markets in region

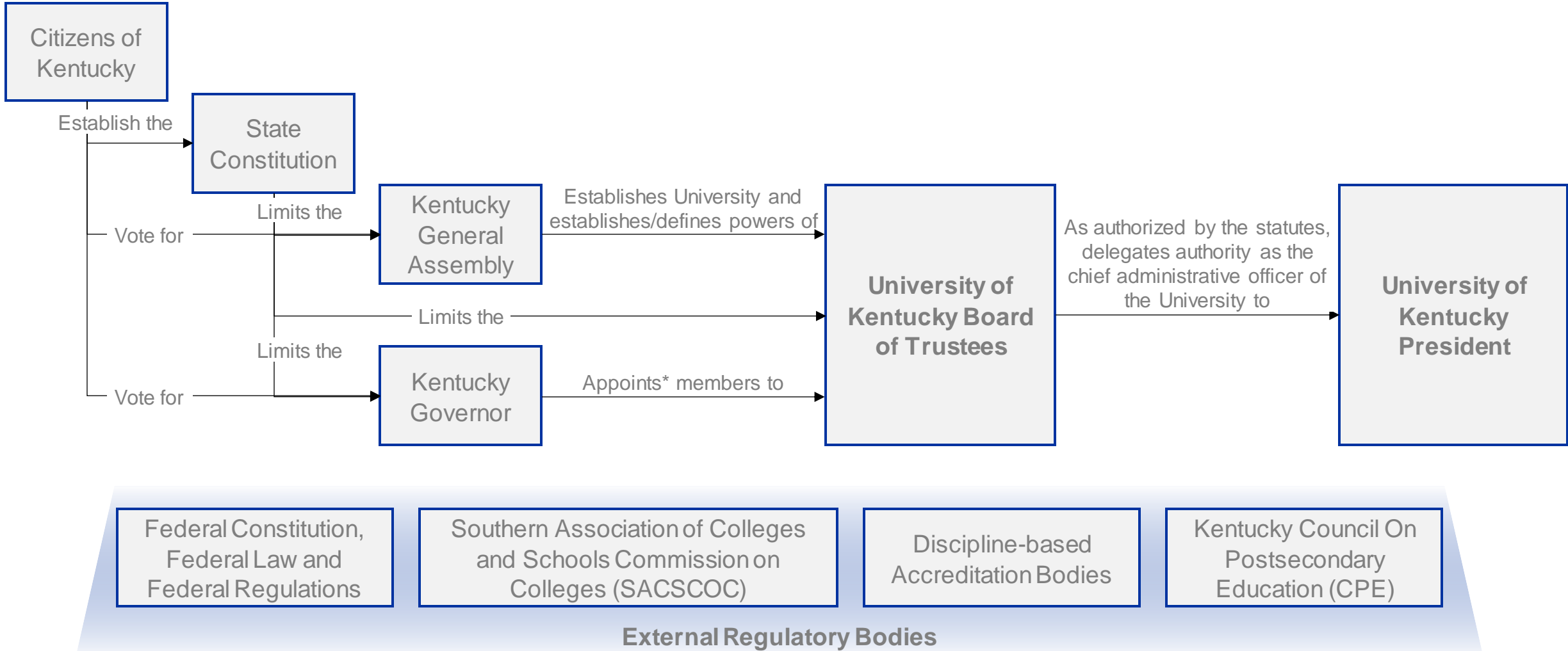
CURRENT STATE SHARED GOVERNANCE OVERVIEW



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Current UK Governance Model From Citizens to the University

Below is an interpretation of the current governance from the citizens of the Commonwealth of Kentucky to the university, noting the bounds of certain external regulations.


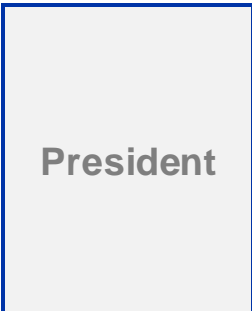


*Kentucky Senate confirms Board members.

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UK's Governing Bodies

UK's governing bodies reflect the shared interests and responsibilities of the Board of Trustees and President as noted below from the Governing Regulations.

Body	Detail from Governing Regulations	Membership
	<ul style="list-style-type: none">• GR II (Introduction): The Board of Trustees is the final authority in all matters affecting the institution and exercises jurisdiction over the institution's financial, educational, and other policies and its relation with the state and federal governments.• GR II.B.1: Possesses all the immunities, rights, privileges, and franchises usually attaching to the governing bodies of educational institutions.	<ul style="list-style-type: none">• 16 members appointed by Governor• Elected faculty (two), staff (one) and student (one)
	<ul style="list-style-type: none">• GR II.A.2: As the chief administrative officer of the University, the President is authorized by the Board of Trustees to promulgate the Administrative Regulations [...], to provide interpretation and implementation of these Governing Regulations [...], and to delineate policies within the sphere of delegated responsibility.• GR III (Introduction): The chief executive officer of the university and has full authority and responsibility over the administration of the academic, athletic, administrative, and financial operations of the university.	<ul style="list-style-type: none">• Appointed by the Board of Trustees

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UK's Shared Governance Structure

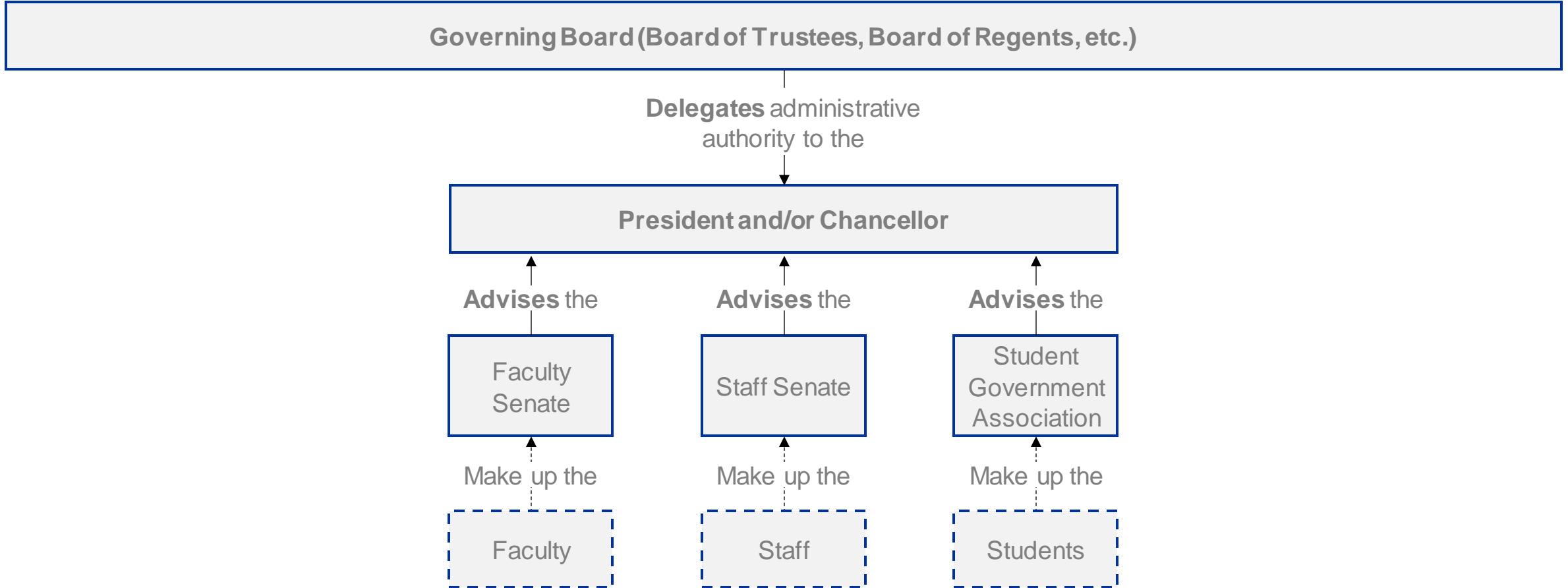
UK's system of shared governance reflects the shared interests and responsibilities of the University Senate, Senate Council, Staff Senate and Student Government Association (SGA) as noted below from the Governing Regulations.

Body	Detail from Governing Regulations	Membership
<div style="border: 1px solid blue; padding: 5px; text-align: center;"> University Senate </div>	<ul style="list-style-type: none"> • GR II.A.3: At an institution-wide level, the University Senate, as a primary educational policy-forming agency of the University, establishes the broad academic policies of the University. • GR IV.B: Authorized to develop University Senate Rules for the conduct of its functions. 	<ul style="list-style-type: none"> • 94 Faculty • 18 Students • 14-15 Administrators
<div style="border: 1px solid blue; padding: 5px; text-align: center;"> Senate Council </div>	<ul style="list-style-type: none"> • GR IV.B: The University Senate Council shall appoint standing or special committees of the University Senate, responsible to the University Senate, unless the University Senate has authorized other methods of appointment. 	<ul style="list-style-type: none"> • Nine Faculty • Three Students • One parliamentarian and two <i>ex-officio</i> members (non-voting)
<div style="border: 1px solid blue; padding: 5px; text-align: center;"> Staff Senate </div>	<ul style="list-style-type: none"> • GR V (Introduction): The Staff Senate is the official representative body of the staff of the University. It shall strive to open lines of communication among all segments of the staff, as well as between staff, faculty, and students of the University. 	<ul style="list-style-type: none"> • No more than 175 elected, appointed and ex officio staff senators.
<div style="border: 1px solid blue; padding: 5px; text-align: center;"> Student Government Association </div>	<ul style="list-style-type: none"> • GR XI.A: The official representative of the student body in University matters to ensure a maximum of self-government and to foster mutual respect, collaboration and cooperation between students and the faculty, staff and administration. 	<ul style="list-style-type: none"> • Elected and appointed students across Executive, Legislative and Judicial branches.

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Illustrative Example: Common Shared Governance Model

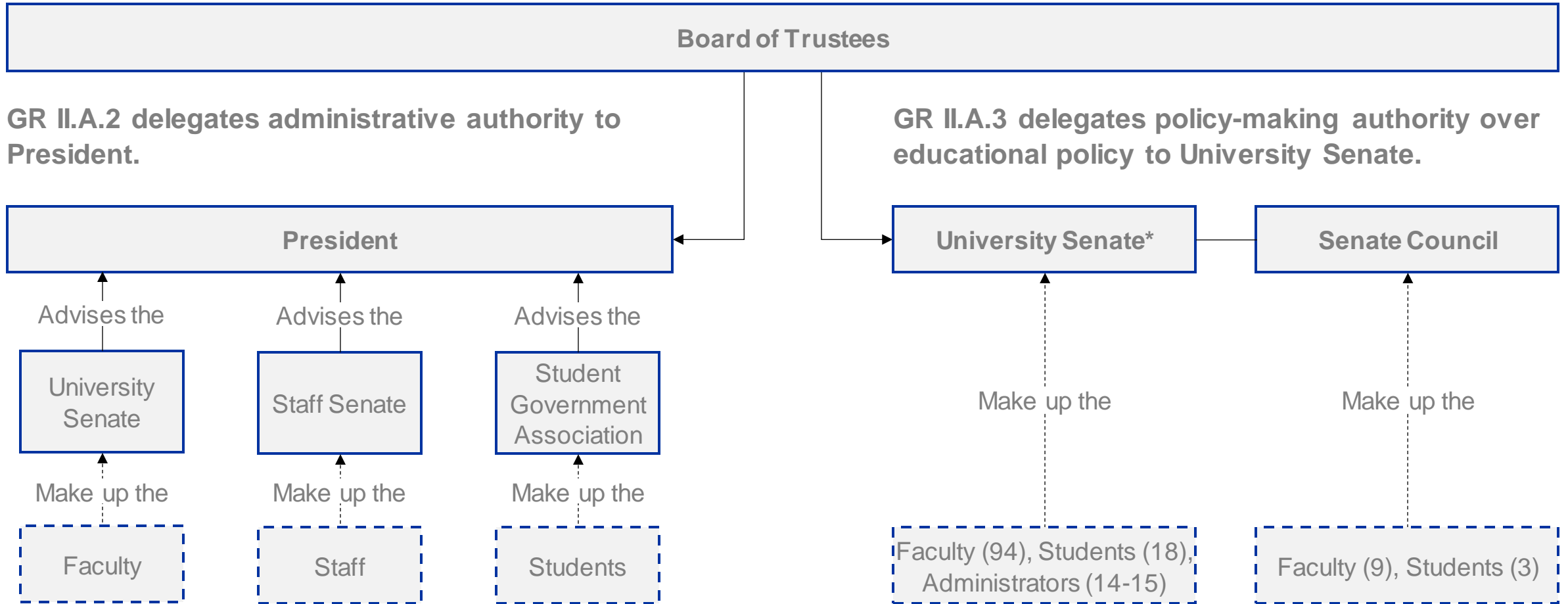
Below is an illustrative depiction of a common shared governance model from the Board to constituents at many institutions, noting that there are unique nuances for each institution that may not be reflected.



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Current UK Shared Governance Model from Board to Constituents

UK's GRs outline shared governance which is intended to promote inclusive and shared responsibility. Below is an interpretation of the current UK shared governance from the Board to UK constituents based on the GRs.

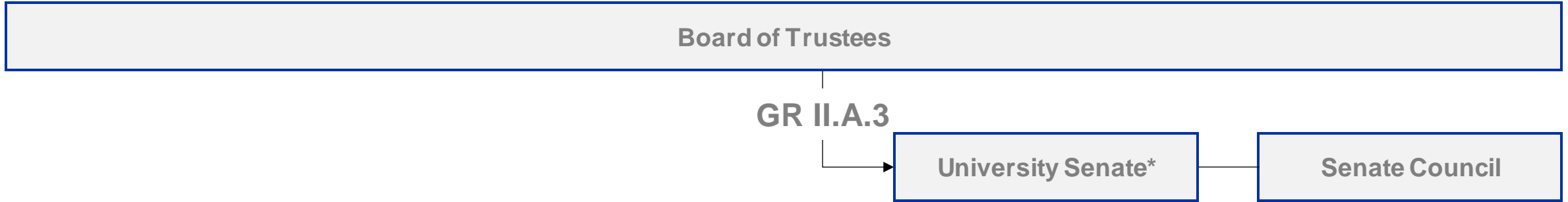


*GR IV.B: *The President is the Chair of the University Senate and shall be the presiding officer except as the President may delegate this function to the University Senate Council Chair.*

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Current UK Shared Governance Model from Board to University Senate

Below is the full excerpt of GR II.A.3 that delegates power from the Board of Trustees to the University Senate.



GR II.A.3: At an institution-wide level, the University Senate, as a primary educational policy-forming agency of the University, establishes the broad academic policies of the University. Within the limits set by the Board of Trustees and the University Senate, the Graduate Faculty is delegated jurisdiction over programs leading to graduate degrees and has the responsibility to safeguard, promote and assist in the development of research in all fields. Within the limits set by the institution-wide policies of the Board of Trustees, the University Senate, and the Graduate Faculty, the respective faculties exercise the governance role of policy-making responsibility for the instructional, research and service programs of their educational units. The University Senate, the Graduate Faculty, and the faculties of educational units are authorized to issue rules concerning the policy and procedure-making responsibilities that are attendant to their delegated educational policy-making role.

*GR IV.B: *The President is the Chair of the University Senate and shall be the presiding officer except as the President may delegate this function to the University Senate Council Chair.*

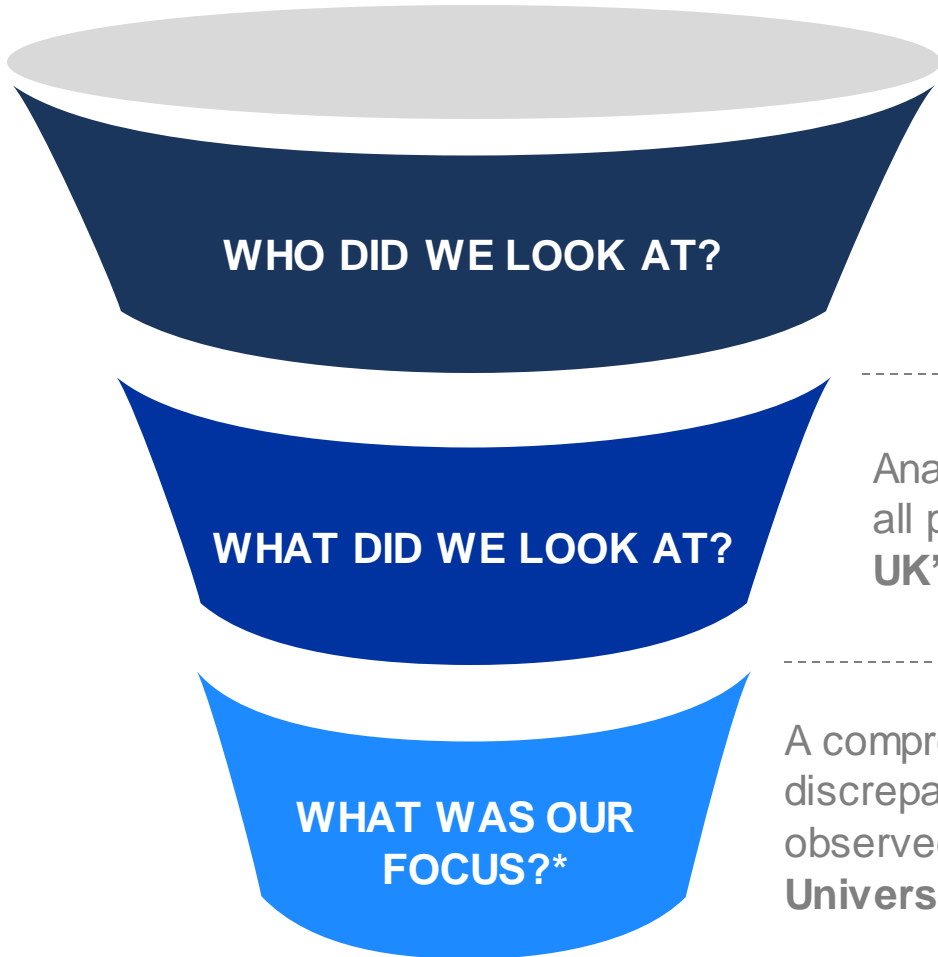
BENCHMARKING AND POLICY FINDINGS



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Peer Benchmarking Overview

The authority given to the governing bodies was reviewed at 26 institutions (including UK) to assess how the authority of UK's governance structure compares and contrasts with peers.



Reviewed the authority given to the governing bodies at 26 institutions (including UK) across three groups:

- SEC Peers (excluding Vanderbilt)
- Contiguous Campus Peers (“The Eight”)
- Kentucky Public Institutions

Analyzed over 50 publicly available regulations and policy documents across all peer benchmarking institutions, focusing on the comparison to **all 14 of UK's GRs.**

A comprehensive analysis was conducted on all 14 GRs, revealing minor discrepancies in comparison to peer institutions. The most notable variations were observed in **GR II: Governance of the University of Kentucky** and **GR IV: The University Senate.**

*Work Group 5's Current State Assessment deliverable will include a full analysis of all UK's GRs and ARs.

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Benchmarking Deep Dive: GR II

While UK is similar to its peers in several areas, there are critical areas in which *the university is an outlier*.

GR Wording

Analysis

GR II.A.3 says that “At an institution-wide level, the University Senate, as a primary educational policy-forming agency of the University, establishes the broad academic policies of the University.”



GR II.A.3 says that the “University Senate [...] establishes the broad academic policies of the University”

The current framework within GR II lacks a clear definition of what constitutes "broad academic policies." This **ambiguity** contributes to a broader scope of authority within the University Senate Rules compared to benchmarks. Over half of the **benchmarked peers more explicitly designate areas** for which the University/Faculty Senate holds primary authority, as well as distinguishing areas that are advisory only.

1. “Advisory” authority includes senates whose authority is limited to “advise” or “recommend” type actions.
2. Includes University/Faculty Senates that have authority beyond “advise” responsibilities such as responsibility for, “control over,” “management of.”
3. Of the 14 benchmarked institutions (not including UK) with “more than advisory” authority, only 4 have University Senates. The other 10 have Faculty Senates.

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Benchmarking Deep Dive: GR IV

UK is an *outlier compared to its peers* in the authority given to the University Senate through GR IV.

GR Wording

GR IV.B authorizes the University Senate to develop rules for the conduct of its functions.

GR IV.C.1 grants the University Senate authority to “Determine the broad academic policies of the University, including the similar academic policies that may be made necessary by governmental or accreditation agencies, and make rules to implement these policies.”

GR IV.C.2 gives the University Senate authority to recommend to the Board of Trustees the “final University decision on the establishment or closure of degree-granting academic programs.”

GR IV.C.3 states that the University Senate “Make[s] final decisions for the University on curricula, courses, certificates and diplomas offered at the University”

GR IV.C.8 gives the University Senate authority to “Determine the conditions for admission and for degrees, other than honorary degrees, in the University, pursuant to KRS 164.240”

Analysis

The length (**305 pages**), breadth and depth of the UK University Senate Rules are a **total exception** compared to benchmarked peers. The 15 institutions with University/Faculty Senates that have “more than advisory” authority have senate rules that:

- All are less than half the length of UK’s Senate Rules with the majority below 35 pages.
- **UK is an outlier** in that the Senate rules determine policies for things typically the domain of university policy or administrative procedures.

The lack of reference back to the Board of Trustees as final authority may make operationalization unclear and **differentiates this GR from peer institutions** that commonly include a clause explicitly stating that the **Board of Trustees** (and via the President) has the **final authority**.

While university senates have an advisory role in program openings and closings, they rarely have the primary role.

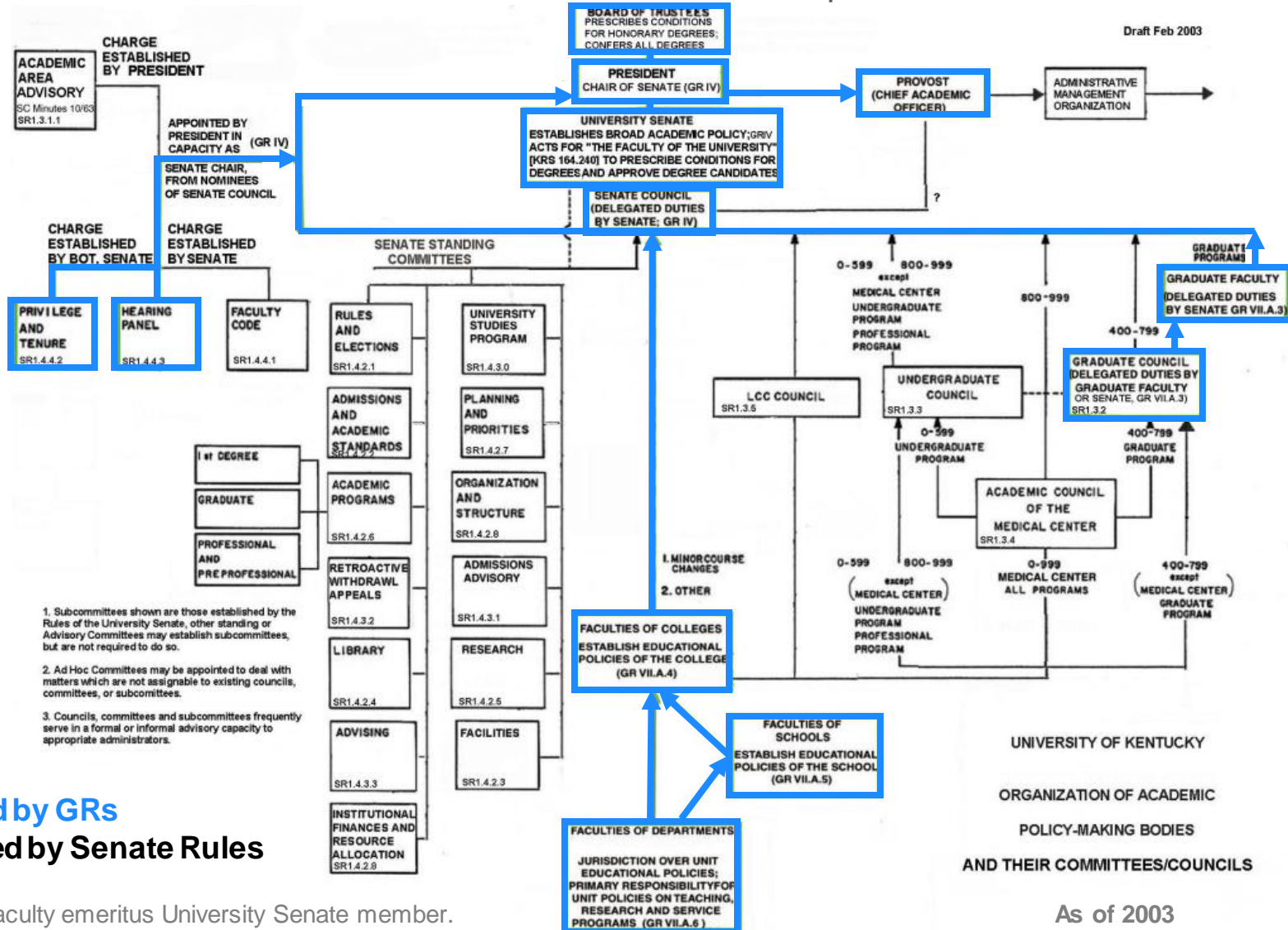
This process does not include a defined role for relevant university administration; additionally, this process gives the University Senate more power than the individual colleges or academic departments in determining programs.

UK is an exception in giving the Senate authority over admissions standards.

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For Reference: Depiction of the University Senate Structure

The University Senate structure is outlined below, noting that some of the authority in the structure is granted in the GRs while much of it is self-defined in the Senate Rules. The structure is more complex than that of benchmarks.



Blue: Established by GRs

Black: Established by Senate Rules

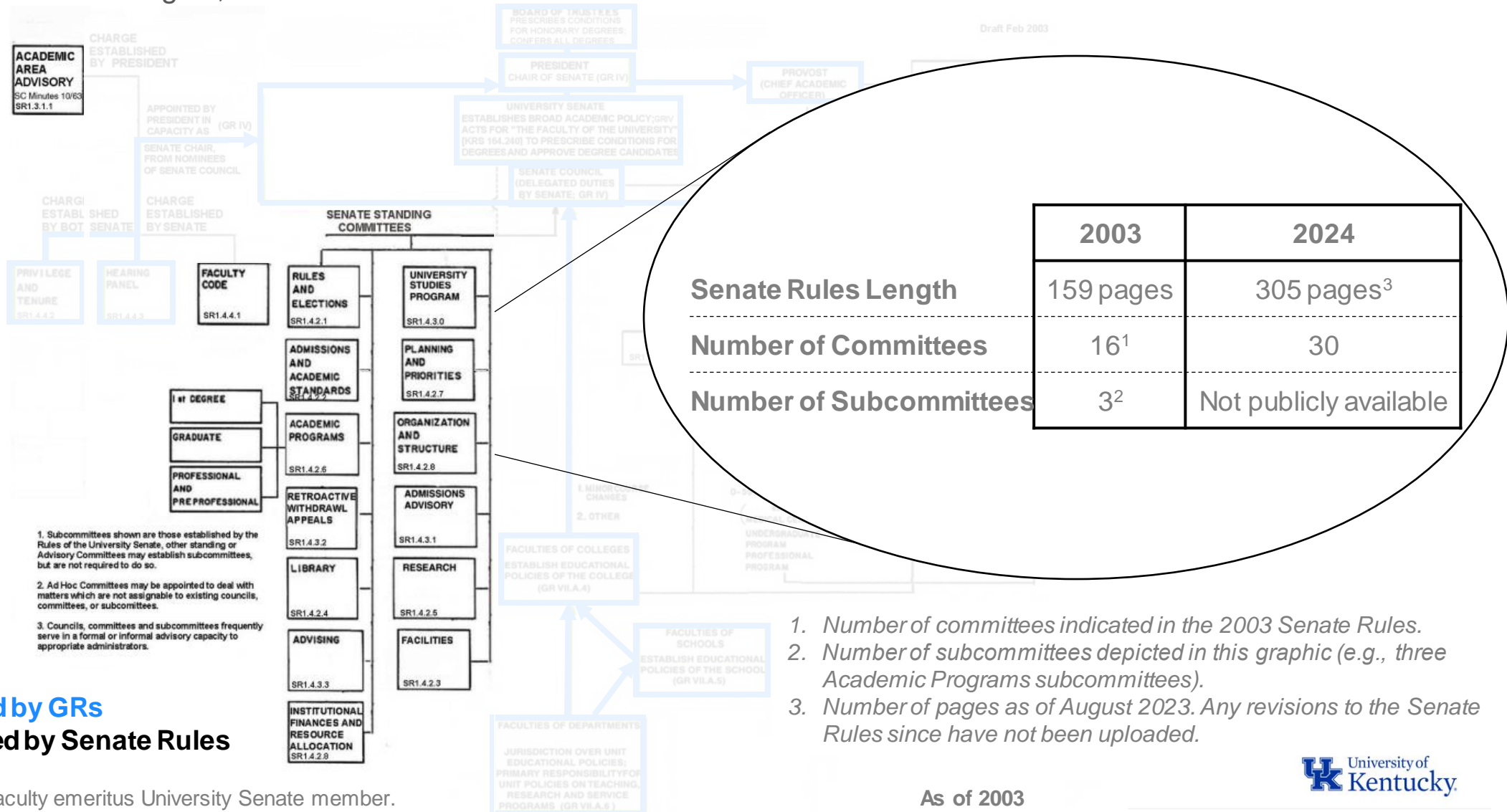
Note: Sourced from long-time faculty emeritus University Senate member.

As of 2003

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For Reference: Depiction of the University Senate Structure

The University Senate structure is outlined below, noting the changes in the University Senate Rules and structure since this graphic was created in 2003. Again, the extensive rules and committee numbers are not consistent with benchmarks.



INTERVIEW OBSERVATIONS



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Interviews: Questions and Process

Throughout January and February 2024, 10 individual interviews were conducted (30-minutes) and 10 were conducted in groups (45-minutes) **totaling over 55 UK vested parties**. The following questions were used to initiate conversations with UK vested parties. Questions were modified, as needed, and not all questions were necessarily asked in every interview.

Question bank for faculty, staff and administrators

1. How would you describe UK's current ability to respond to university needs/challenges in a timely fashion?
2. Do UK's existing administrative and academic policies (including Administrative Regulations and Governing Regulations) work effectively to achieve the missions of your unit? If so, how and if not, why? Are there administrative and academic policies that you use or could suggest that might streamline or make a process more efficient? Conversely, are there examples of administrative and academic policies that create barriers to efficiency and efficacy?
3. As unit leaders, how do you distinguish between the academic and administrative missions and functions of your unit and the university?
4. In your experience how do the University/Staff Senate and the President work together?
5. What would you suggest UK do to improve its ability to respond in timely manner to internal and external pressures?
6. What processes at the university are barriers to students completing their degree? What processes are confusing and not student-first focused?
7. If you have worked at other universities how is the Senate at UK different from those institutions?

Question bank for students

1. Are there processes at the university that are barriers to completing your degree? If so, please explain how this affected you.
2. Are there administrative processes that are confusing and not student-first focused? Please elaborate.
3. How would you describe UK's current ability to respond to student needs?
4. Have you encountered any administrative and academic policies that create a barrier to efficiency and efficacy?
5. Have you encountered any academic or administrative policies that have been especially student-centered?
6. Is there anything you wish you could change about your UK experience?
7. Is there anything else you would like to share with us today?

To be considered a theme in the analysis, the idea had to be mentioned by multiple different vested parties.

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Interviews: Shared Governance's Importance to UK

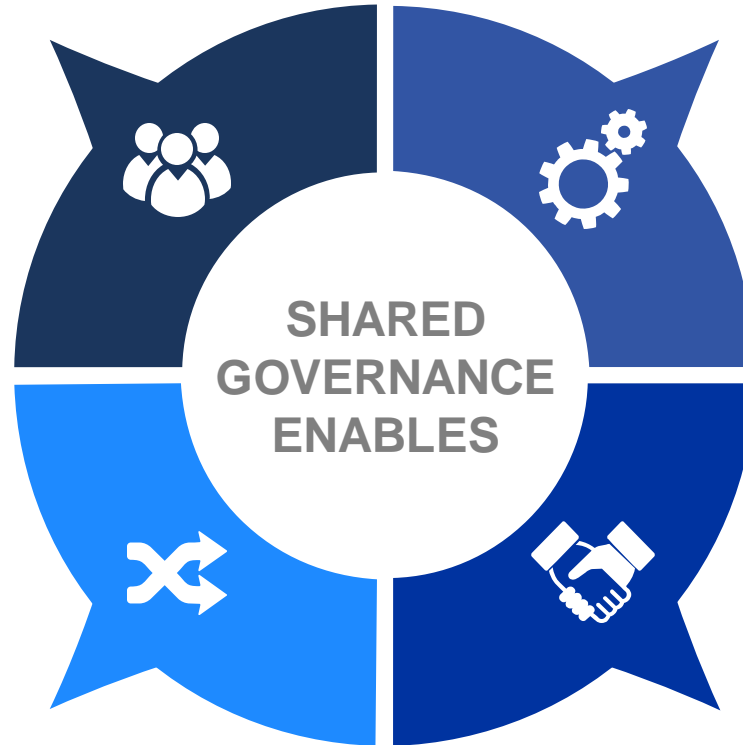
Interviewees acknowledged and stressed the importance of shared governance at UK as outlined below.

REPRESENTATION

Provides platform for faculty, administration, staff employees and students to have a voice and share diverse perspectives.

INSTITUTIONAL STABILITY AND SUSTAINABILITY

Promotes transparency, accountability and trust among UK vested parties and fosters a sense of ownership and commitment to UK's mission and values.



EFFECTIVE DECISION-MAKING

Allows for the pooling of expertise and knowledge from different areas of the UK community, leading to more informed and well-rounded decisions.

CONFLICT RESOLUTION AND CONSENSUS BUILDING

Provides mechanisms for resolving conflicts and reaching consensus through dialogue, negotiation and compromise while fostering a culture of collaboration.

While interviewees stressed its importance, many noted areas of UK's shared governance that are hindering the institution's ability to be "more responsive."

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Interviews: General Themes

Several key themes emerged around UK's ability to be responsive based on interviews with faculty, senior administrators, staff and students.



LOSS OF STUDENT FOCUS

Respondents indicated that decisions are based on what (certain) faculty want versus what students need such as innovative curriculum and timely decisions.



LACK OF ROLE CLARITY

Shared governance roles are not always clear or well defined, which can lead to confusion.



CULTURE SHIFT

In the past five years, there has been a perceived cultural shift within certain shared governance bodies, raising concerns about alignment with UK's mission and values.



DESIRE AND NEED TO INNOVATE

Many felt that as UK increases its national and global presence, being able to be nimble and respond to students, faculty and community innovative needs will be critical to advancing Kentucky.



INSTITUTIONAL GROWTH

Despite experiencing significant growth in many areas, the university has yet to fully realign its shared governance to effectively support its expanded scale.

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Interviews: Detailed Themes Related to University Senate

Several key themes emerged around the University Senate as a UK shared governing body that relate to our general interview themes.



Rules

University Senate Rules cause problems in timely and fair decision making and are written to try to “consider every possible (typically negative) outcome.”



Focus

The University Senate “focuses on minutiae and limits creativity.” They “do not engage the experts” and overrule decisions they are not informed about.



Culture

While some felt that the University Senate is a strong advocate for faculty, others said the “combative culture of the Senate” is not reflective of the general UK culture.



Leadership

The University Senate Council tends to be “disgruntled with UK” and there is “no liaison with the administration” which makes the relationship difficult.



Structure

The number of committees in the University Senate “stifles progress and innovation” in the faculty.




Representation

University Senate is “meant to represent the entire university,” but the process “disincentivizes” some faculty from participating.

 Institutional growth

 Lack of role clarity

 Loss of student focus

 Desire and need to innovate

 Culture shift

WORK GROUP 5: MORE RESPONSIVENESS

What's Next?

Prior to the next Board of Trustees meeting in April, Work Group 5 will focus on finalizing the current state assessment deliverable and prioritize opportunities to make recommendations.

The CR1 Charge

Using UK PURPOSE as a framework and guide, the Board of Trustees has directed UK leadership to accelerate efforts to advance Kentucky, its economy, the health and welfare of its citizens and its quality of life that ensures and enables More Responsiveness through...

In Progress

--- A detailed review of policies, procedures and financing strategies to ensure the institution is aligned with the state's needs, specifically as related to....

In Progress

--- A review of the University's Governing and Administrative Regulations and relationships with the Kentucky Council On Postsecondary Education (CPE), K-12, government agencies and the private sector as well as the University's Governing and Administrative Regulations ...

To Come

--- Ensure the institution is poised to accelerate its progress and growth.

...with an expectation of significant progress by June 2024.

QUESTIONS

