UNIVERSITY OF
LOUISVILLE
A University for the 21st Century
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1798
July 2013

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Where are we?

Where do we want to be?

How do we get there?

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- A year ago, we began this process at the BOT Retreat

*Postsecondary Education Reform Act: striving to become “premier, nationally recognized, metropolitan university:” 1997

*Challenge for Excellence: 1998-2008

*2020 Plan: 2008- 2020

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Both with the Challenge and later the 2020 Plan, we've been hugely successful:

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- 7th in the nation for improved graduation rate
- 7th in the nation for narrowing the gap between minority and majority graduation rates
- 4th fastest growing research university
- 12th “best neighbor” for work in community
- One of 15% of universities to receive dual recognition from Carnegie Foundation for engaged teaching and faculty
- A top 30 “feeder” school for top graduate programs
- Top 10% in production of Fulbright and prestigious scholarship winners

Extraordinary Achievements

	1998 Reporting Year	2002 Reporting Year	2012 Reporting Year
Average ACT score of all entering freshmen (fall semester)	21.4	23.2	25.0
6–year graduation rate	30.1%	33.0%	52.1%
Baccalaureate degrees awarded	1,734	1,849	2,702
Number of students living on campus (fall semester)	1,725	2,363	4,734[1]
Doctoral degrees awarded	76	90	188
Startup companies (cumulative)	1	6	49
Patents (cumulative) Applications filed	151	259	1,346
Formal patents issued	55	72	226 [2]
License option agreements (cumulative)	17	30	142
Research expenditures	$39.1M	$80.9M	$196.8M
Endowed chairs and professorships	35	87	150
Endowment	$317.0M	$478.9M	$721.1M

[1] No longer includes University Park Apartments which was sold by UofL Foundation; Bellamy property has 30% occupancy by non-UofL students.
[2] Data revised due to final reconciliation with the Office of the Executive Vice President for Research & Innovation 5/1/2013.

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- Understandably proud of our faculty, staff, students and leadership for these accomplishments, but we also know that it's getting harder and harder to keep going

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- So, a year ago, we proposed to you that we embark on a year of self-study, acknowledging that both the internal and external world we are working in has changed, and exploring the strengths, weaknesses, opportunity and threats in this changed environment and asking how we could transform ourselves to keep ourselves moving forward to the 2020 goal

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Change is hard, so we started by acknowledging how much we have already done, but that if we don't do more, the upward trajectory will straighten, or even begin going backward.

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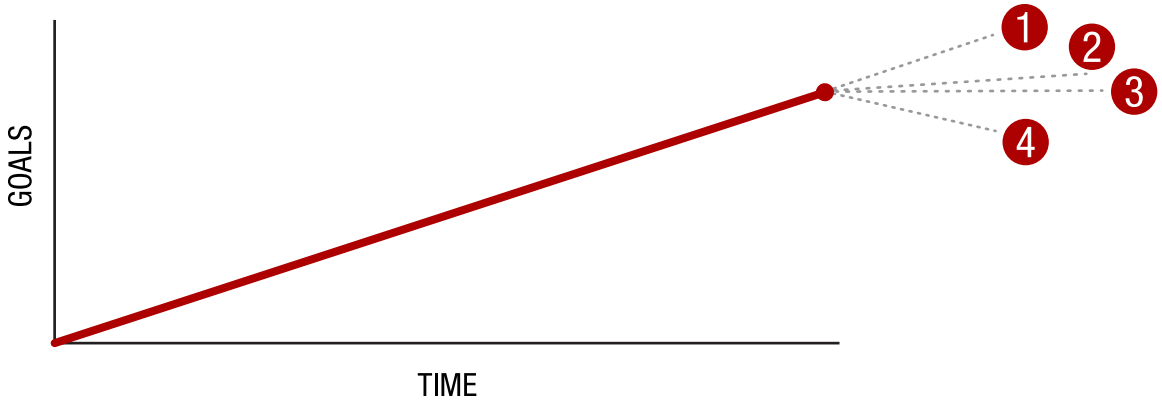

1. CONTINUE ON OUR TRAJECTORY
2. TRAJECTORY SLOWS DOWN
3. WE ACCEPT WHERE WE ARE - FLATLINE
4. THE "UNTHINKABLE."

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- What has changed?
  - Much different fiscal environment
    - Since 2002, 13 budget cuts = $155.3M
    - State funding now fifth highest source of university

      income
    - Shrinking research budgets at the federal and state level
      - Earmarks; ARRA; Bucks; NIH
      - Endowment income fluctuation
      - Increasing costs to Higher Ed
        - » IT, compliance, competition

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- What has changed?
  - External views and expectations of Higher Ed
    - Integrity
    - Affordability
    - Accountability (academic, financial, environmental
    - Demands
      - Calls for more degrees
      - Research collaborations
      - Translational research
      - Financial aid
      - Jobs

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- What has changed?
  - Educational delivery models
    - Technology
    - “for profit” higher ed
    - Changing demographics
      - Traditional 18 year- olds
      - Displaced workers
      - Vets
      - Returning adults
      - Minority and international populations

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- Questions about role of Higher Ed itself
  - Engagement
  - Interdisciplinary
  - Job readiness/job clusters
  - Research as a springboard for innovation and economic growth
  - Value of a degree

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- First question Fall 2012: Where are we today?
  - Create a common understanding of the changed environment – Compelling Argument for Change
  - Review the organization's existing strengths, weaknesses, challenges and opportunities

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- Second question: Where do we want to be?
- Spring 2012:
  - What are our academic and research priorities?
  - How do we create a student centered university (demographics, international, technology, engagement)?
  - How do we create a culture of excellence?
  - How do we think about our financial health?

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- Question One: Where are we today? SWOT
  - Fall 2012
- More than 8,000 comments received from more than 800 faculty, staff, and members of our community. Specific input from students. Town Hall meetings, specific key leadership groups, including BOT, Overseers, Foundation, Deans, VPs, faculty and staff senates, department chairs, graduate council, web page for comments

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- General Observations
  - High levels of pride and commitment to success
  - Everyone feels resource constrained
  - The university's strengths and opportunities outweigh the threats and weaknesses

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- Strengths
  - People – outstanding faculty; committed and loyal staff; exceptional students
  - Leadership across the university
    - Support for strength and stability of university's leadership, especially for the president
  - Commitment to shared governance
  - Research is viewed as a leading edge and inspirational strength

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- Strengths
  - KY One Health/Health Sciences
  - High levels of pride in what we've done
    - Diversity
    - Support for people
    - Connection with community
    - How well we've managed in a decade of loss of state support
    - Facilities
    - Athletics

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- Weaknesses
  - Financial resources
  - Decentralized structure
  - Need strategic focus and priorities
  - Leadership uneven, especially at the “middle” level
  - Cultural issues
    - Morale, inequity, lack of accountability, complacency
    - Academic reputation
    - IT
    - Compensation
    - Facilities need improvement

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- Opportunities
  - Partnerships
  - Global outlook
  - Build academic strengths and reputation
  - Enhance brand and reputation
  - Research
  - New revenue streams
  - Technology
  - Community engagement

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- Threats
  - Financial erosion
  - Economy
  - Competition
  - Pace of change
  - Cost of higher ed
  - Value of college degree

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- Step Two – Where do we want to be?
- Four committees to look at the SWOT results – strengthen perceived weaknesses, build on strengths, and position ourselves to continue forward momentum

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- Four committees
  - Financial Health
  - Technology, Demographics, International, Engagement
  - Culture of Excellence
  - Academic and Research Priorities

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More than 300 people involved in steering committee, core committees or advisory groups

Met weekly or biweekly over several months. Produced committee reports that were edited and distributed to the steering committee.

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- There is a lot of detail, but basic result:

  Academic and Research Priorities

  The path to enhancing and enriching scholarships, teaching and research must include new and innovative collaborative and multidisciplinary concentrations in which investments and resources are aligned to foster our institutional strengths

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- The University must be globally engaged, accessible, and student-centered in order to be a leading institution in the 21st Century

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- The values we share must be used to foster a culture of excellence and be supported by high levels of accountability and strong leadership capabilities across the institution

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- The complex fiscal environment demands responsible and effective financial stewardship across the enterprise so that we can continue to protect the investments made by the commonwealth, our students and their families, donors and our own many partners.

FINDINGS AND OBSERVATIONS

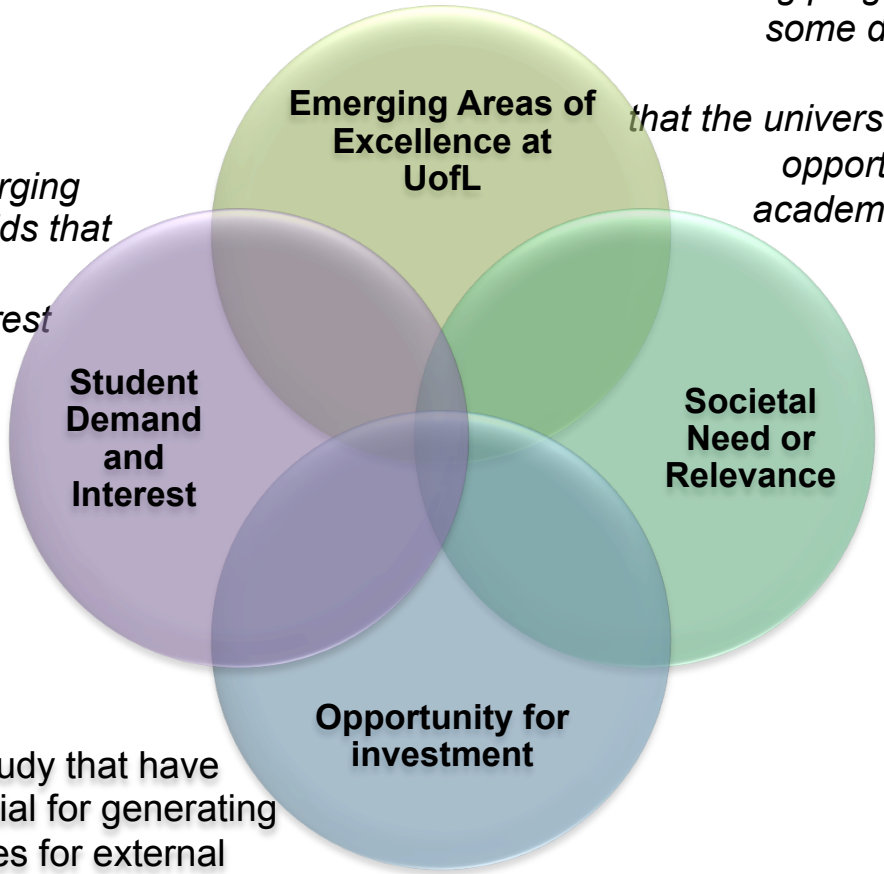
Academic and Research Priorities

- A commitment to and investment in academic and research excellence must be the cornerstone of UofL's identity and reputation as a university, as well as the foundation of our aspirational vision and goals for the future.

A University for the 21st Century – Academic Planning Model

Existing programs or fields that have gained some degree of academic or research prominence and that the university considers as among its best opportunities for achieving significant academic prominence and recognition.

Existing and emerging programs and fields that have the highest demand and interest among students



Local, regional, national and international fields of study and discovery that have high levels of demand, need, interest, and relevance

Fields of study that have high potential for generating opportunities for external funding and investment

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FINDINGS AND OBSERVATIONS

- The model supports a multi-disciplinary approach to academic planning
  - Today's leading universities have embraced contemporary approaches to teaching, research and scholarship, with a strong interdisciplinary focus.
  - The leading edge universities compete for top talent in ways that advance interdisciplinary teaching and research
  - Institutions with distinguished areas of prominence and strength that provide for interdisciplinary collaborations recruit and retain the best and brightest faculty and researchers
  - Work across the disciplines and research collaborations are critical to creating a competitive and high performing research operation.

A University for the 21st Century - Concentrations

Literacies and Competencies

- Digital
- Visual
- Multiethnic
- Linguistic
- STEM
- ASL
- Cultural
- Artistic
- Health Literacy
- LGBT
- Problem Based
- Bioethics
- Experiential Learning
- Critical Thinking
- Student Learning Outcomes

Relationship Science

- Social Networks
- Social Support
- Family
- Children
- Teens
- Veterans
- Legal Systems
- Customer Relationship Dynamics
- Communications
- Ethics
- Community Engagement
- Public Health Care
- Employer / Employee Relations

Family and Human Development

Lifelong Wellness

- Aging, Rehabilitation and Long Term Care
- Wellness Education and Promotion
- Social, Legal, Financial Education and Services
- Public Health
- Oral Health
- Mental Health
- Musculoskeletal Health/Wellness

Childhood Health and Wellness

- Pediatrics
- Child Services
- Child Abuse Prevention
- Research
- Teen Pregnancy
- Education

A University for the 21st Century - Concentrations

Major Disease Research, Prevention, Education and Services

Cancer
- Research
- Education
- Diagnosis
- Social Services
- Drug Discovery
- Patients Rights
- Prevention

Neurosciences
- Fundamental Neurosciences
- Neurosurgery
- Psychiatry
- Psychology
- Pain Management
- Movement Disorders

Cardiovascular
- Stem Cells
- Regeneration
- Device Development
- Environmental Cardiology
- Surgery

Metabolic Disease
- Diabetes
- Nutrition and GI
- Obesity
- Renal

Immunology and Infectious Diseases
- Transplantation
- Autoimmunity

Bioengineering
- Biomedical Devices
- Bio-Micro/Nano-Electro-Mechanical Systems
- Cellular, tissue and Molecular Engineering
- Biomaterials and Medical Imaging
- Medical/surgical implants and surgical techniques/innovation

Systems Biology
- Metabolomics
- Proteomics
- Bioinformatics
- Human / Clinical Genomics

A University for the 21st Century - Concentrations

Environmental Interactions
- Ecology and Water Systems
- Green Initiatives
- Sustainability
- Environmental Health Sciences
- Materials Science
- Energy
- Cardiometabolic/liver/pulmonary

Justice and Conflict Transformation
- Conflict Resolution
- Justice Administration
- Legal Services
- Peace Building

Risk Management and Security
- Bioterrorism
- Center for Predictive Medicine
- Cyber Security
- Defense
- Anti Terrorism
- Veterans (Education, Services)

Economic Growth
- Entrepreneurship
- Manufacturing
- Logistics and Distribution
- Decision Support
- Incident Management
- Distribution and Supply Chain Management
- Technology
- Education

A University for the 21st Century - Concentrations

Alignment between Academic / Research Concentrations and Schools / College

Academic and Research Concentration	Medicine	Dental	Nursing	Public Health	Arts and Sciences	Speed	Law	Business	Kent	Education	Music
Major Disease Research and Prevention	●	●	●	●	●	●	●	●	●	●	●
Literacies and Competencies	●	●	●	●	●	●	●	●	●	●	●
Relationship Science				●	●	●	●	●	●	●	●
Family and Human Development	●	●	●	●	●		●	●	●	●	●
Environmental Interactions	●	●	●	●	●	●	●	●	●	●	●
Justice and Conflict Resolution					●		●	●	●	●	
Risk Management and Security	●		●	●	●	●	●	●	●	●	
Economic Growth	●	●	●	●	●	●	●	●		●	

A University for the 21st Century - Concentrations

Alignment between Academic / Research Concentrations and Leading Societal Issues

Academic and Research Concentration	Education	Health of Our Citizens	Energy / Environment	Economy / Jobs	Public Safety / Terrorism	Child Abuse and Neglect	Aging Population	Poverty	Drug Abuse / Addiction	Prison Population
Major Disease Research and Prevention	●	●		●	●	●	●	●	●	●
Literacies and Competencies	●	●	●	●	●	●	●	●	●	
Relationship Science	●	●		●	●	●	●	●	●	●
Family and Human Development	●	●	●	●	●	●	●	●	●	●
Environmental Interactions	●	●	●	●	●	●		●		
Justice and Conflict Resolution	●	●		●	●		●	●	●	●
Risk Management and Security	●	●	●	●	●	●		●		
Economic Growth	●	●	●	●	●	●	●	●	●	●

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- Technology, Demographics and Engagement Committee

Committee's Charge:

A University for the 21st Century-Committee's Charge

To examine several areas of critical focus for the University of Louisville:

- What is the appropriate role and use of technology and on-line learning at the University of Louisville over the next 10 years?
- What is the appropriate size and composition of student enrollment (including professional, undergraduate and graduate) over the next 10 years, paying special attention to a changing, more diverse demographic?
- What is the appropriate size, composition and role of international programs and initiatives over the next 10 years?
- What is the role of "engagement" as it pertains to the teaching/ learning environment at UofL?

Four Subcommittees: Engagement, Enrollment, International and Technology/On-Line.

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- Engagement, Technology, International, Demographics

- Need to recognize the growing importance and possibilities of technology and how it can be used to foster our goals

- Need to improve our technological infrastructure so that those who want to further this agenda can do so

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Technology and On-Line

Findings and Observations

- Focused on the role of technology in driving education and on-line / distance learning.
- Technology and on-line / distance learning are tools that allow the University to respond to various internal and external demands.
- UofL as a whole needs to recognize the continuing and growing impact of technology on education and how it is changing traditional instructional means
- Faculty experience with on-line / distance learning on campus is extremely varied

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Demographics

Findings and Observations

- Focused on looking at the question of the appropriate size and composition of the student body at UofL for undergraduate and graduate programs.
- Population of 15-18 year olds is relatively flat in Kentucky, unlike the nationwide trend (where the population is decreasing).
- Institutions in neighboring states (such as Indiana, Illinois and Ohio) have undertaken additional recruiting efforts in Kentucky, causing increased competition for the best and brightest students.
- University of Louisville may achieve greater economies of scale by *growing* the size of the graduate and undergraduate student body.

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- Need to expand our outreach if we want to continue to bring the best students from out of state and need to develop a tuition structure that attracts them
- While we do not want to grow for growth's sake, there is reason to believe that we can get bigger
- Must continue to focus on college-ready students
- Must improve graduation and retention rates
- Must maintain commitment to diversity

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Engagement

Findings and Observations

- Focused on looking at the question of the appropriate role of outreach and engagement at the University of Louisville.
- Outreach and engagement promote partnerships that can help the University achieve its strategic goals.
- Faculty and staff often perceive that engagement is a stated institutional goal, but lacking in meaningful value to some administration and faculty leaders.
- Faculty and staff have embraced the challenge to increase outreach and engagement, but feel that these activities are not recognized in promotion and tenure review processes.

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- Engagement
  - If community engagement is sufficiently understood and genuinely embraced by the university, it will help advance other agendas
  - We should promote outreach and engagement and key drivers through enhanced visibility of such activities in promotion and tenure decisions

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International

Findings and Observations

- Focused on determining the appropriate percentage of international students and the percentage of students studying abroad.
- By most comparisons UofL ranks relatively low in both international and study abroad students.
    - Multitude of reasons, including few faculty incentives, limited student knowledge and highly decentralized infrastructure.
- Having an “international experience,” whether traditional credit-producing or not, provides great value to UofL students.

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- International
  - We must prepare ourselves and our students to work more effectively in an increasingly global economy.
    - More international experiences –study abroad and social media
    - More involvement with international students and communities here – global village
    - Need a centralized office, greater support services

FINANCIAL HEALTH

• Committee's Charge

Examine several questions aimed at improving the financial health of the University

- What is the most effective and efficient model for budgeting campus financial resources?
- How can the University deliver its core business services (HR, IT, accounting, etc.) in the most effective and efficient manner possible?
- How can the University better leverage its purchasing power?

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CURRENT BUDGET MODEL

- Provides predictability which is useful in planning and executing long term plans.
- Budgets do not vary significantly from year to year which helps create stability
- Does not take into consideration changes in enrollments, shifts in strategic priorities, or evolving student demands and interests.
- Does not effectively stimulate or incentivize innovation, cost-sharing, cost-reduction or revenue generation
- May actually reward status quo
- Does not recognize different revenue and cost structures in HSC, non-HSC enterprise, and athletics

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CURRENT BUSINESS SERVICES MODEL

- HR, financial management, and IT support are highly decentralized
- Service quality and efficiency are varied
- Limited opportunities to gain economies of scale and associated costs saving
- Fosters duplicated and redundant processes, systems and labor
- Reduces operational standards and results in inconsistent policy administration
- Limits the ability to build deep skills, competencies and expertise in business support functions

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- Financial Health
  - We need a new budget model
    - Innovation, entrepreneurship
    - Mission centered
    - Accountability based
    - Look at RCM, or one of the many modifications of it

A University for the 21st Century - RCM

Responsibility Centered Management (RCM) is a decentralized model of financial management that couples academic authority with financial responsibility

- Colleges become responsible for their own revenues and costs
- Allows decision makers to realize rewards from good financial decisions
- Retains a certain amount centrally to remedy inter-unit financial disparities and to implement university wide strategic plans.

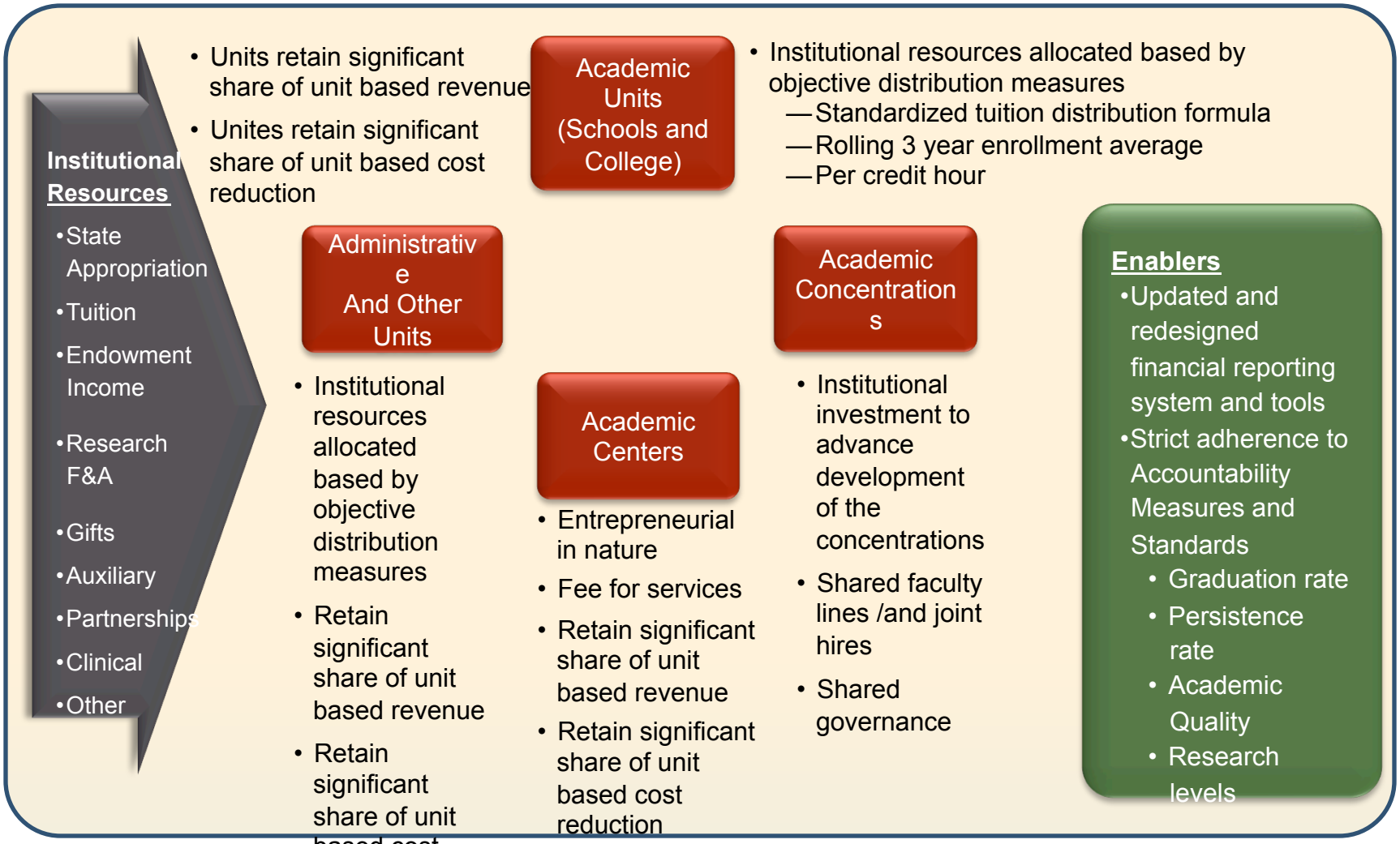
Strengths

- Stimulates innovation
- Advances academic quality via increased School based revenues
- Encourages entrepreneurial behavior at the organizational level that is closest to stakeholders

Weaknesses

- Adds financial complexity to the role of Dean
- Runs the risk that too much focus is on entrepreneurialism – at the expense of academic quality
- Increased competition for resources within units

A University for the 21st Century - Draft Budget Model



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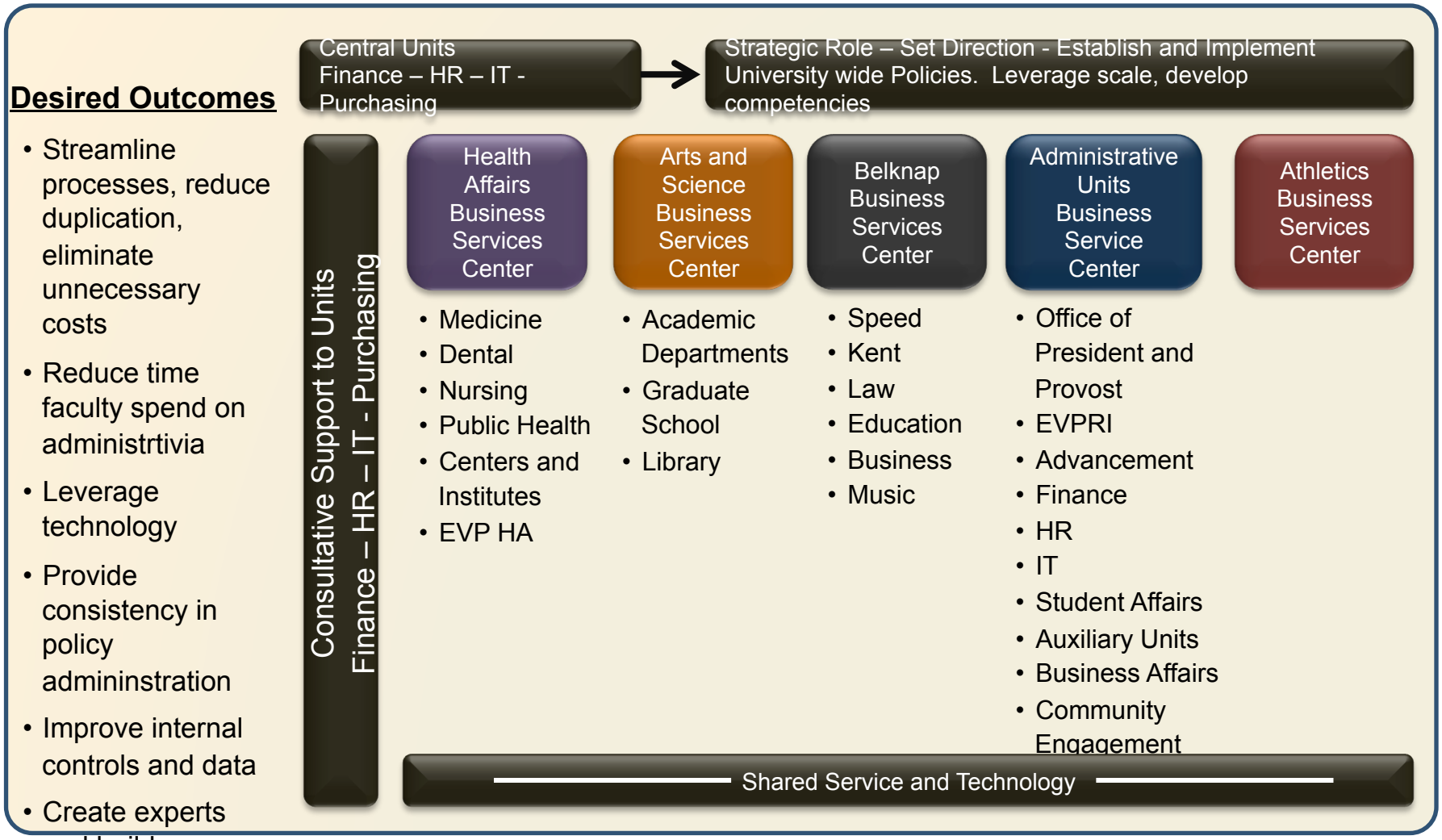
- Financial Health
  - Business Service Delivery
    - Service Center Model

A University for the 21st Century - Draft Budget Model



CULTURE OF EXCELLENCE

- Committee's Charge:

Examine several questions aimed at creating a culture of excellence at all levels of the university

- What is the current workplace and student culture and climate?
- What cultural barriers or challenges exist that may limit a culture of excellence?
- How can the university achieve cultural transformation and create a culture of excellence?
- How can the University support and model the values and principles of shared governance?

A University for the 21st Century – Characteristics of Great Cultures

- High levels of trust in the institution and its leaders
- Respect, appreciation and recognition of employee contributions
- Credibility and transparency in leadership
- Fair, equitable, and consistent treatment of employees
- Pride in the institution and in individual contributions
- High levels of camaraderie
- Strong leadership commitment to a culture of excellence
- Open, honest and frequent communication
- Commitment to the well-being of employees and students
- Investment in professional development and training
- Strong community engagement and support

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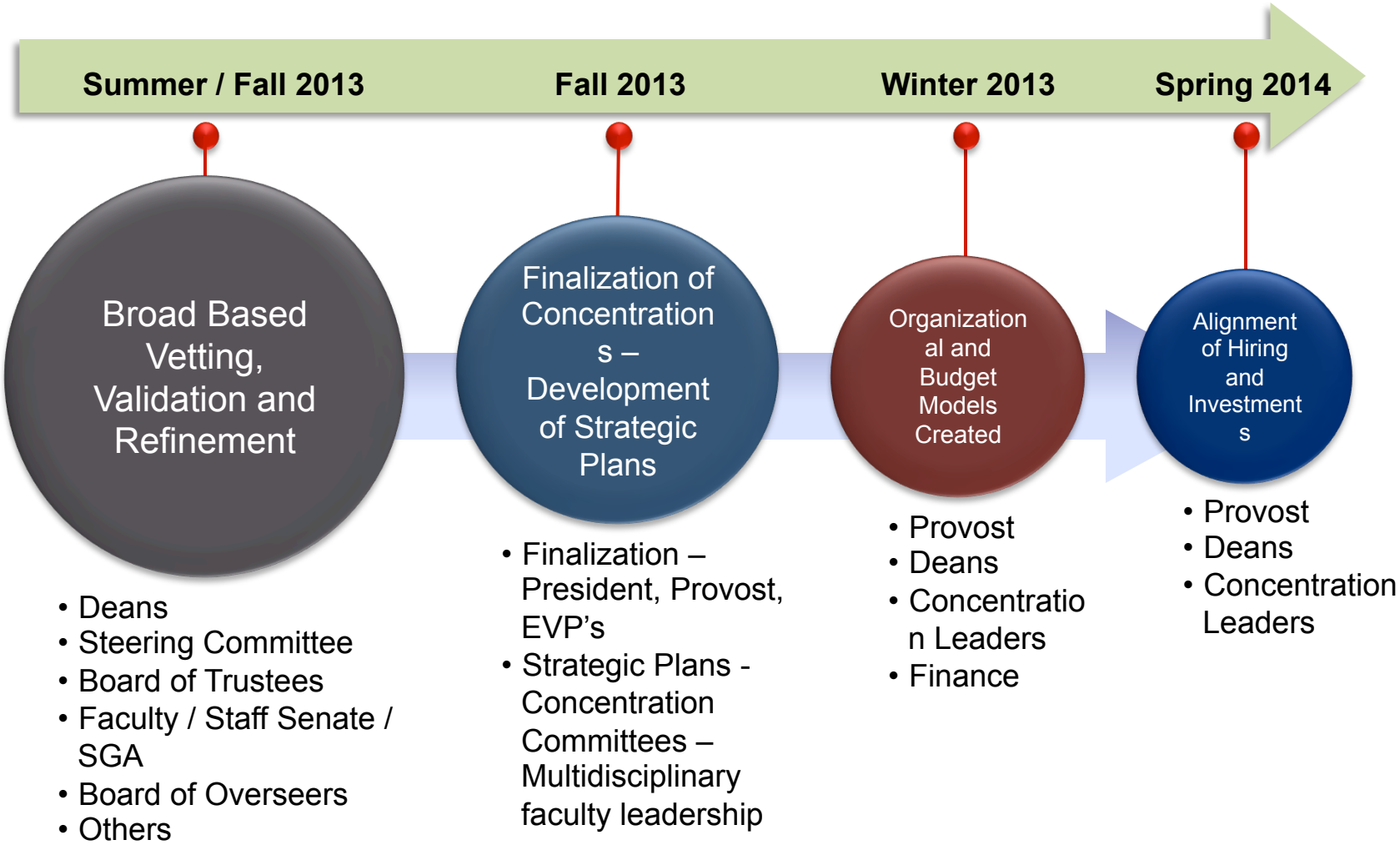
- Next steps
  - Present to the board and seek approval for four areas to move forward
  - Part of a narrative rather than conclusions, and campus community gets to talk next
  - Documents on line July 12
  - Fall semester – open forums, on-line comment solicitation, more study groups
  - Specific recommendation to move forward –Part three: How do we want to get there?

A University for the 21st Century - Next Steps