

### 3.2.8 – Qualified Administrators (July 31, 2017 Report)

The institution has qualified administrative and academic officers with the experience and competence to lead the institution.

Compliance                       Partial Compliance                       Not in Compliance

#### SACSCOC COMPLIANCE ASSESSMENT

From a review of the institution's website, the Commission staff noted that a significant number of senior administrative staff, many of whom are responsible for leading the institution, providing stability, implementing and enforcing changes currently being made, and documenting compliance with accreditation standards are serving as interim. It appears that the interim appointments at the University of Louisville include the President, Provost, Chief Administrative Officer, Chief Financial Officer, Chief Operations Officer, Associate Vice President for Audit Services and Institutional Compliance, and the Associate Vice President for Finance/Controller.

In light of these circumstances, and in accordance with the SACSCOC's policy and procedures, I also am requesting that the institution prepare a report that explains and documents the extent of its compliance with the following standard of the *Principles of Accreditation*:

- Comprehensive Standard 3.2.8. (Qualified administrative/academic officers)

In documenting the institution's ongoing compliance, along with any other items supporting the institution's case for compliance, please include current organizational charts, names of the individual holding the position, notation of permanent or interim status, and resumes for the President, all individuals reporting directly to the President, all individuals reporting directly to the Executive Vice President and University Provost, and all individuals reporting directly to the Chief Administrative Officer. In accordance with SACSCOC's policy on procedures dealing with the receipt of unsolicited information as outlined in "Unsolicited Information," I am authorizing an expansion of the scope of the Special Committee scheduled to visit your institution on September 19-21, 2017, to include review of the qualifications and stability of the institution's administrative and academic officers.

#### BACKGROUND

The University of Louisville (UofL) is in compliance with Comprehensive Standard 3.2.8.

UofL has qualified administrative and academic officers with the necessary experience,

competence, and capacity to lead the institution. Many of these officers have long-term knowledge of the university. All administrative and academic officers have both the required educational background and work experience for their positions of leadership in the institution and are providing stability and helping the university to continue to move forward during a time of transition. The primary leadership of the University of Louisville is reflected in the university's organizational chart [1].

The university has experienced transitions in senior leadership since July 2016, both in the Office of the President (OOP) and in the Office of the Executive Vice President and University Provost (EVP-UP), which have necessitated subsequent changes in appointments and/or organizational structure. The majority of the changes in administrative leadership result from standard, expected turn-over due to retirement or career advancement opportunities at other institutions. The 2016 resignation of President James Ramsey—after leading the university for almost 15 years—coupled with the decision by his successor, Acting President Dr. Neville Pinto, to accept the presidency of the University of Cincinnati six months later resulted in the need to fill vacant senior leadership positions.

These senior leadership positions have been filled internally, utilizing interim appointments to provide continuity of leadership and process until national searches can identify permanent replacements. It is not unexpected that several of the university's senior-level administrative positions will also be held by interim appointments given the current interim status of the university president. An incoming university president is expected to require an active role in the identification, selection, and hiring of his/her executive team.

Persons holding positions on an interim basis must possess the qualifications required for the permanent position, as demonstrated by their professional experience and/or length of service to the university. All interim administrative appointments are on a limited basis, not to exceed four years without a search for a permanent replacement, and hold the same status as regular administrators, as defined by the university Board of Trustees [2].

### **A Chronology and Summary of the Changes in the Office of the President**

On July 28, 2016, then-President James R. Ramsey submitted his resignation to the University of Louisville Board of Trustees (BOT). It was accepted, and, per the procedure outlined in section 2.2.3 of the university's governance document, *The Redbook*, the Executive Vice President and University Provost, Dr. Neville Pinto, was appointed as acting president by the Board of Trustees [3]. Acting President Pinto subsequently selected Dr. Dale Billingsley, at the time Vice Provost for Undergraduate Affairs, to fill the Provost position, also on an acting basis, effective August 15, 2016 [4].

Harlan Sands, UofL Senior Vice President for Finance and Administration (SVP-FA), accepted the position of Vice Dean/Chief Financial Officer/Chief Administrative Officer of the Wharton School of Business and submitted his resignation to Acting President Pinto in November 2016, with an effective date of January 6, 2017. In a January 11, 2017, electronic correspondence with the university community, Acting President Pinto outlined several organizational changes following Mr. Sands's departure [5].

David Adams, Chief Executive Officer (CEO) of the university's Institute for Product Realization, was named Interim Chief Administrative Officer (CAO), effective January 11, 2017. The CAO position reported to the Acting President and was created to effectively and stably manage administrative and financial function through the leadership transition in the offices overseen by Mr. Sands. In his announcement of Mr. Adams' appointment as CAO, Acting President Pinto explicitly stated that it was for a limited tenure and that Mr. Adams ultimately would transition back to his permanent role.

In an additional organizational realignment, Acting President Pinto created two positions, Chief Operating Officer (COO) and Chief Financial Officer (CFO), by splitting the areas of responsibility formerly consolidated under the SVP-FA position. Lee Smith, Associate Vice President for Performance Improvement and Business Analytics, assumed the COO role on an interim basis, overseeing the offices of Business Services, Information Technology, Facilities Management, and Public Safety. Susan Howarth, Vice Provost and Chief Budget Officer, assumed the CFO role on an interim basis, overseeing the offices of Budget and Financial Planning, Controller, Bursar, Payroll, Position Management, Human Capital Management Systems, and Financial Systems. Mr. Smith and Ms. Howarth's interim appointments were effective as of January 11, 2017. These positions, along with the Associate Vice President for Human Resources, directly reported to the Interim CAO, Mr. Adams.

A national search for the CFO vacancy currently is underway [6]; a search for the COO role

is pending.

In the same January 11 correspondence, Acting President Pinto named John Drees, Associate Vice President and Director of the Office of Campus Communication, as Interim Senior Vice President for Communication and Marketing, to replace Becky Simpson, who retired from the university. Mr. Drees' interim appointment as senior vice president was effective January 30, 2017, and he reports to the president.

Acting President Pinto assumed the presidency of the University of Cincinnati on February 20, 2017, after notifying the UofL Board of Trustees of his acceptance of the position in December 2016. Per *Redbook* section 2.2.3, Dr. Greg Postel, Interim Executive Vice President for Health Affairs, was named interim president and was confirmed by the university's Board of Trustees, effective January 30, 2017 [7]. Subsequent to the departure of Dr. Pinto, Interim Chief Administrative Officer David Adams resigned from UofL to join the University of Cincinnati as Chief Innovation Officer and CEO of the University of Cincinnati Research Institute, effective July 2017.

With the departure of Mr. Adams, Interim President Postel made the determination to eliminate rather than reappoint the interim CAO role and have the COO and CFO roles report directly to him as vice presidents.

In June 2017, Vice President for University Advancement, Keith Inman, and Vice President for Community Engagement, Daniel Hall, both informed Interim President Postel of their

intentions to retire from the university, each after lengthy service to the university [8]. Mr. Hall's retirement was effective June 30, 2017; Mr. Inman's was effective July 31, 2017. Dr. Ralph Fitzpatrick, Associate Vice President for Community Engagement, was named as the interim replacement for Mr. Hall; Bryan Robinson, Senior Assistant Vice President for Development, was named as the interim replacement for Mr. Inman [9].

Additional transitions in the senior administrative staff for the Office of the President resulting in interim replacement appointments include:

- University Controller Larry Zink retired in early 2016, after over 40 years of university service. During a national search process, two individuals, John Shipley and John Faulstich, served in the position, both on an interim basis. That search failed to identify a suitable candidate, resulting in the current interim appointment of Ingrid Gentry, a Louisville-based executive with several decades of executive financial officer experience, as the Associate Vice President Finance/Controller on December 12, 2016. Gentry reports to Interim Vice President-CFO Susan Howarth [10].
- Jeanell Hughes, Associate Vice President for Human Resources, resigned effective July 21, 2017, to pursue an opportunity in the private sector. John Elliott, Chief Human Resources Officer (CHRO) for UofL Physicians and UofL Hospital, assumed the additional role as the university's Interim Associate Vice President for Human Resources/CHRO, effective July 22, 2017. Elliott reports directly to Interim President Postel [11].

- David Barker, Associate Vice President for Audit and Institutional Compliance Officer, retired effective April 22, 2017. Cheri Jones, Director of Audit Services, was appointed to the position on an interim basis, transitioning into the role beginning in March 2017 in coordination with Barker. The AVP position was restructured and retitled Vice President for Enterprise Risk Management, Audit and Compliance, with approval by the Board of Trustees effective July 20, 2017 [12].

### **A Chronology and Summary of Changes in the Office of the Provost**

- Jim Begany was appointed Vice Provost for Strategic Enrollment Management and Student Success, effective October 1, 2016. This was part of a planned expansion and reorganization of the EVP-UP staff to bring added emphasis and resources to student success and persistence. Begany was selected as part of a national search and assumed the enrollment management, student services and student success components of the duties previously assigned to the Vice Provost for Undergraduate Affairs [13].
- The position of Vice Provost for Graduate Affairs was expanded to include responsibilities for undergraduate academic affairs duties (previously assigned to the Vice Provost for Undergraduate Affairs) and subsequently retitled as Vice Provost for Academic Affairs. Dr. Beth Boehm has continued in the vice provost position, with the additional duties effective as of March 15, 2017 [14].

- Dr. David Hein, Vice Provost for Academic Strategy, returned to his full-time academic role as Peter K. Knoefel Endowed Chair of Pharmacology and as Professor and Chairman of the Department of Pharmacology and Toxicology. His vice provost role was eliminated effective June 30, 2017; the responsibilities were reassigned to other members of the provost senior staff.

In addition to the administrative staff changes in the Office of the Provost, two transitions were made in the academic senior leadership, with long-standing faculty members assuming interim decanal roles effective July 1, 2017 [15].

- The interim status for the dean of JB Speed School of Engineering initially resulted from Dean Neville Pinto becoming Acting Provost in 2015 and subsequently Interim President in 2016. While Dr. Pinto served in those interim roles, Dr. John Usher, Associate Dean for Administration, Planning, and Faculty Affairs, was acting dean pending Dr. Pinto's return to the decanal role. With Dr. Pinto's departure to the University of Cincinnati, a new permanent dean must be identified. Dr. Gail DePuy, Associate Dean for Academic and Student Affairs, has assumed the role of Interim Dean of the J.B. Speed School of Engineering while the university is conducting a national search for a permanent dean [16a] [16b].

Professor Colin Crawford was named Dean of the Brandeis School of Law after a successful national search [17]. He begins his tenure at UofL on January 1, 2018.



The deanship will be held on an interim basis by Professor Lars Smith, Associate Dean of Academic Affairs, until that time.

The Board of Trustees approved both the interim dean appointments for JB Speed School of Engineering and Brandeis School of Law and Professor Crawford's appointment as permanent dean on June 15, 2017 [18].

### **SENIOR ADMINISTRATIVE POSITIONS**

- **The University President** is the chief executive officer of the institution. (Interim)

**Dr. Greg Postel** was appointed the Interim University President in January 2017. Prior to being named interim president, Dr. Postel had served as the Interim Executive Vice President for Health Affairs since December 2015. Dr. Postel has been with the University of Louisville School of Medicine since 1994, when he began as an Assistant Professor of Radiology and the head of the Neuroradiology section. He has served as Chair of the Department of Radiology, Chair and CEO of University of Louisville Physicians, and Vice Dean of Clinical Affairs for the School of Medicine. Dr. Postel received his Doctor of Medicine degree from Case Western Reserve University in 1988.

He has played a key role in the formation and governance of numerous University of Louisville Health Sciences Center entities including Passport Health Plan and the Kentuckiana Medical Reciprocal Risk Retention Group. He was the Principal Investigator

on an institutional grant to establish imaging research facilities at UofL.

He is an active member of a number of academic societies including the American College of Radiology and the Radiological Society of North America, was a board examiner for the American Board of Radiology, and is a graduate of the Academy of Radiology Leadership and Management [19].

- **The Executive Vice President and University Provost** directs all academic activities of the university. (Acting)

**Dr. Dale Billingsley** was appointed Acting Executive Vice President and University Provost effective August 2015. He completed graduate study in Renaissance literature at Yale University, where he earned Master of Arts and Master of Philosophy degrees, prior to earning his Ph.D. in English. Billingsley is a 39-year member of the UofL faculty and a Professor of English. He served as the Vice Provost for Undergraduate Affairs from 2007-2016, and as Associate Provost for Undergraduate Affairs from 2003-2007. He is a former Faculty Senate chair and faculty Trustee and has served on the provost's senior staff for over 20 years [20].

- **The Executive Vice President for Research and Innovation** is responsible for developing the institutional research policies and procedures and coordinating and providing oversight of research, scholarship, and creative activity at the university. (Permanent)

**Dr. William M. Pierce Sr.** was permanently appointed Executive Vice President for Research and Innovation (EVP-RI) effective July 2011, following service as the Interim Executive Vice President for Research from 2009–2011. Pierce received his Ph.D. in Pharmacology and Toxicology from the University of Louisville in 1981 and joined the university faculty in 1985. He is a professor of Pharmacology and Toxicology and Chemistry at the University of Louisville.

He has received multiple university citations for his awarded U.S. patents, licenses, and options of technologies. He has been selected for Distinguished Faculty awards for his service and research at the University of Louisville.

Pierce is certified as a laboratory director at both the state and federal levels. He founded the university's blood lead monitoring and biomolecular mass spectrometry laboratories [21].

- **The Executive Vice President for Health Affairs** oversees the health sciences campus (containing the schools of Dentistry, Medicine, Nursing, and Public Health and Information Sciences), the UofL Hospital and the James Graham Brown Cancer Center, and sixteen centers and institutes. (Interim)

**Dr. Gregory Postel** serves as the Interim Executive Vice President for Health Affairs (EVPHA). He was appointed EVPHA in December of 2015. He previously served as the

chief executive officer of UofL Physicians and has been at UofL for over 20 years, serving as section head of neuroradiology, residency program director, and chairman of the Department of Radiology.

While Dr. Postel serves as Interim University President, Dr. Toni Ganzel [22], Dean of the School of Medicine, is appointed Interim Executive Dean of Health Affairs, charged with coordinating the clinical activities of the HSC deans on Dr. Postel's behalf [23].

- **The Senior Vice President for Finance and Administration/Chief Operating Officer** position was eliminated with the departure of Harlan Sands. The duties were split into two positions, COO and CFO, per then-Acting President Pinto [24]. The COO and CFO roles were further restructured as vice presidents directly reporting to the president, per the organizational direction of Interim President Postel and approval by the Board of Trustees [25] (see accompanying organizational and personnel rosters).

### **Administrative Officers Reporting to the University President**

In addition to the three executive vice presidents, the university president has seven direct reports that are vice presidents, including the university's chief operating and chief financial officers, along with two associate vice presidents. The president's direct reports all serve as members of the President's leadership team.

As detailed previously, two vice presidents recently retired and those positions have

been filled by interim appointments. Two other vice president positions (CFO and COO) are recently created through reorganization and also are filled on an interim basis. Both of the associate vice presidencies that directly report to the president currently are filled on an interim basis, to replace individuals who either retired or vacated a position to pursue advancement opportunities at other institutions. These interim appointments ensure that there is transitional senior leadership in place until the presidency is filled and allow the identified permanent president-appointee to participate in the selection processes.

- **The Vice President for Community Engagement** is responsible for serving as an extension of the President through service on various boards and committees, both within the University and in the external community. (Interim)

**Dr. Ralph Fitzpatrick** assumed the Community Engagement vice presidency on an interim basis, effective July 2017, after the retirement of Dan Hall, who had served the university for over 30 years. Dr. Fitzpatrick has over 40 years of experience in higher education. He received his Doctorate of Education (Ed.D.) from the University of Pennsylvania in 2003.

He began at the University of Louisville in 1974 as the coordinator of athletic academic services and has served at UofL in a variety of roles, including as a project director, adjunct faculty, director of academic enrollment, associate dean and special assistant to the president. He has served as Associate Vice President for Community Engagement

since 2003. While associate vice president, Fitzpatrick has served as P.I. or co-P.I. on projects that brought in more than \$10 million in grant funding to the university.

He served as Provost and Senior Executive Vice President of Simmons College from May 2012 until August of 2014 [26].

- **The Vice President for University Advancement** is functionally responsible for alumni relations, philanthropic development, and advancement services. (Interim)

**Bryan Robinson** assumed the advancement vice presidency on an interim basis following the July 2017 retirement of Keith Inman, who left to lead a major Louisville charitable organization. Robinson has a Master's degree in Higher Education Administration and is scheduled to receive his Ph.D. in Higher Education Administration from Bellarmine University in 2017.

Robinson rejoined the University of Louisville in 2013, as Senior Assistant Vice President-Development, after a stint as the Director of Development and Major gifts at IU Bloomington. He previously served as the Senior Director of Major Gifts at UofL, focusing on the Health Sciences Campus. In that role, he completed a two-year, \$45 million Dentistry renovation campaign.

He has a decade of experience in institutional major gift development, coupled with a background in commercial consulting and development, having co-founded a strategic

fundraising consulting firm prior to his move to higher education [27].

- **The Vice President for Athletics/Director of Athletics** is the responsible officer for the University of Louisville Athletic Association and serves as athletic director.

(Permanent)

**Tom Jurich** was named a university vice president in 2013, and has been Athletic Director at the University of Louisville for twenty years. He previously served as Athletic Director at Colorado State University and Northern Arizona University. He has a B.S. in Business Administration from Northern Arizona University.

His tenure in the Athletic Director position has seen Cardinal Athletics enjoy an extended period of tremendous growth and accomplishment. Jurich engineered moves for UofL into two separate conferences, the Big East (2005-2013) and the ACC (2014-present). He has overseen hundreds of millions of dollars in capital improvements to athletic facilities at UofL. The \$14.5 million Thornton's Academic Center of Excellence opened in 2016, and expansion to the football stadium is currently under construction.

He was inducted into the Kentucky Athletic Hall of Fame in 2006. He was selected as the 2007 Street & Smith's Sports Business Journal/Sports Business Daily Athletic Director of the Year, and he became the award's first two-time finalist in 2013. He was honored as the Kentucky Monthly Magazine 2013 Kentuckian of the Year [28].

- **The Vice President for Strategy and General Counsel** is responsible for both University legal matters and government relations. (Permanent)

**Leslie Chambers Strohm** joined the University of Louisville in 2015. She has over 35 years of experience in the legal profession, more than 20 of which is in higher education. She also spent 10 years at a national law firm, where her representative matters included the restructuring of the affiliation agreements for a public university's medical center. She received her Juris Doctorate in 1981 from the University of Michigan.

Strohm is a member of the American Bar Association, Kentucky Bar Association, and the National Association of College and University Attorneys. She has published and presented on a variety of professional subjects, including legal and policy issues on college campuses [29].

- **The Vice President and Chief Financial Officer (CFO)** serves as the university's highest-ranking financial executive and provides both strategic and operational financial support to the university's president, provost, Board of Trustees, and other institutional leaders. (Interim; national search initiated)

**Susan Howarth**, University Vice Provost and Chief Budget Officer, was appointed interim CFO of the University of Louisville in January 2017. She brings almost 30



years of enterprise-wide finance and administration experience to her current appointment as interim CFO. She has a Master's degree in finance from Northern Illinois University and has served at UofL in a variety of roles. She has functioned as the university's senior budget official since 2003. She previously was appointed as UofL's institutional CFO on an interim basis from September 2013 through January 2015.

Howarth is active in statewide budgetary workgroups—currently serving on the Kentucky Council on Postsecondary Education (CPE) Statewide Funding Model Task Force and in the CPE Chief Business Officers Group—and in regional and national professional organizations, such as SACUBO and NACUBO [30].

- **The Vice President and Chief Operations Officer (COO)** is the senior operations executive for the university. The COO oversees the university's offices of Business Services, Facilities Management, Information Technology, Performance Improvement and Business Analytics, and Public Safety and is the president's liaison with core constituency groups—students, faculty, and staff—regarding operational projects, policies and processes. (Interim)

**Lee Smith** joined the University of Louisville in 2015, as the Associate Vice President for Performance Improvement and Business Analytics. He was named the university's interim COO in January 2017. He is currently completing a doctorate in Higher Education Management from the University of Pennsylvania, with an expected 2017

graduation. He earned a Master of Divinity degree from Yale University and two bachelor's degrees from Furman University.

Smith has almost 15 years of higher education experience. Previously, he worked at the University of Alabama at Birmingham (UAB) and Emory University, in a variety of administrative roles related to business analytics and organizational communication. At UAB, he oversaw the projects to produce predictive models for forecasting outcomes for key performance indicators (KPI) and led development of self-service KPI reporting and visualizations.

He is a frequent presenter on topics related to data analytics, business intelligence, and business operations in higher education [31].

- **The Vice President for Enterprise Risk Management, Audit and Compliance** independently assesses the university risk and control environment and is responsible for assisting the administration, faculty, and staff in identifying and reducing compliance risks that could adversely affect the university and assisting the compliance oversight committee in carrying out all phases of the institutional compliance plan. (Interim)

**Cheri Jones** was appointed as the Associate Vice President for Audit and Institutional Compliance Officer on an interim basis in March 2017. The Board of Trustees approved a reorganization of the position to Vice President for Enterprise Risk

Management, Audit and Compliance effective July 20, 2017, and a national search will be conducted.

Jones was the university's Director of Audit Services—a position she held since 2010—with over 30 years of internal audit experience working in financial institutions, healthcare, and higher education. She has been at the University of Louisville since 2001, starting as the Associate Director of Audit Services. She holds a Juris Doctorate degree from the University of Louisville and a Master of Business Administration degree from Murray State University.

Jones is a Certified Public Accountant, a Certified Internal Auditor, and holds Certification in Risk Management Assurance. In addition to her responsibilities in audit services, she is the chair of the university's Risk and Compliance Oversight Committee and serves on the Strategic Technology Executive Committee (STEC) [32].

- **The Senior Associate Vice President for Communication and Marketing** supports the president, provost, and the executive vice presidents for health sciences and research innovation to build, enhance, promote, and protect the university's image through strategic internal and external communications and marketing that support the goals articulated in the university's strategic plan. (Interim)

**John Drees** was appointed to the Senior Associate Vice President for Communication

and Marketing position on an interim basis, effective January 2017. He has almost 35 years of professional communications experience, including over 30 years in numerous roles at the University of Louisville. He holds a Bachelor of Arts degree in Communication.

Drees joined UofL in 1986 and has served as Public Information Officer, internal communications manager, the university's first web manager, Director of Media Relations, and, since 2005, Associate Vice President for Communications and Marketing.

He has presented on communication issues at numerous local, state, and regional meetings and earned more than three dozen state, regional, and national public relations/writing awards. He has served on numerous university-wide committees and task forces and played a key role in the development and publication of the university's most recent strategic documents, the 2020 Plan and the University of the 21st Century Initiative [33].

- **The Associate Vice President for Human Resources/Chief Human Resources Officer (CHRO)** reports directly to the president and is responsible for leading the development and execution of a human resource strategy in support of the overall strategic direction of the university. (Interim)

**John Elliott** is a veteran of performance improvement management with more than 20

years of human resources experience. As CHRO for UofL Physicians, he is responsible for human resources administration, talent management, human capital planning, compensation and benefits, policy development, HR systems, credentialing, training, and organizational development. He has a bachelor's degree in International Business and Finance from the State University of New York and an MBA from the Sorrell School of Business at Troy State University in Alabama. He has a diploma in advanced human resources management from UCLA.

Prior to joining UofL Physicians in 2011, Elliott was Director of Recruitment Services and Interim Vice President of Human Resources for Dartmouth-Hitchcock in Lebanon, N.H., a nationally recognized research and healthcare delivery system with a quaternary care referral network and 8,500 employees. He previously worked at WakeMed Health and Hospitals in Raleigh, N.C., a \$1 billion, 7000-employee urban, Level 1 Trauma Center with 1000 operating beds. He held similar positions with Baptist Health and his own global recruitment consulting business, Elliott Consulting Group [37].

### **Additional Administrative Officers**

- **The Associate Vice President for Finance/Controller** reports to the president through the CFO and is responsible for oversight of university finance, accounting, and reporting activities and serves as a key advisor on long-range fiscal planning and financial services. (Interim)

**Ingrid Gentry** joined UofL in 2016, on an interim appointment as the university's AVP for Finance/Controller. She received her Master of Business Administration degree from the Northwestern University Kellogg Graduate School of Management in 1993. Gentry has over twenty years of experience in senior financial management, mostly at Brown Forman Corporation, a \$4B global products and distilling firm based in Kentucky.

At Brown Forman, she oversaw a two-hundred-person finance team and was responsible for corporate planning, budgeting, Board and executive reporting, brand/region-specific resource allocation and performance analytics and management. She also worked as CFO/Vice President for Keurig Green Mountain, where she led the company's largest division through a public-to-private transition [34].

- **The Associate Vice President for Facilities Management** reports to the president through the COO and is accountable for planning, implementation, and operation of all campus building assets. The AVP for Facilities Management is responsible for planning, program management, and implementation of best practices for all aspects of campus facilities and grounds operations, maintenance, and construction. (Permanent)

**James Sears** joined the University of Louisville in 2016 following a national search, after almost 20 years at Wayne State University, where he oversaw capital construction/renovation projects totaling over \$1 billion. He has almost 30 years of

executive experience in higher education facilities management. He has a Master of Science degree in Construction Project Management.

His current construction oversight activities at UofL include leading design and construction of projects totaling over \$250 million, including the new \$80.4 million academic classroom building scheduled to open in 2018 and the \$40 million expansion of the student activities center.

Sears has been active in the Association of Physical Plant Administrators (APPA), serving as president of the Michigan chapter from 2001-2004. While at Wayne State, he was adjunct faculty in the Construction Management program, leading classes in Construction Management, Facilities Maintenance, and Building Systems. He has been a speaker at professional conferences on topics regarding higher education facilities and construction project management [35].

- **The Associate Vice President for Business Services** reports to the president through the COO and is accountable for campus-wide auxiliary operations, including Parking and Transportation, Risk Management, Purchasing and Procurement, Print and Copy Management, Card Services, Mail Services, Campus Leasing and Contract Services, and providing outstanding customer support, innovative delivery, and exceptional quality to grow revenues while improving the value proposition. (Permanent)

**Mark Watkins** joined the University of Louisville in 2016, after over 13 years as a

regional vice president for Sodexo, Inc., where he led divisions specializing in services to universities, schools, and sports/leisure clients. He has a bachelor's degree from Iowa State University.

Watkins has over 25 total years of experience leading the provision of contract management services to universities, negotiating contracts, and overseeing the delivery of services for up to 90 client universities at a time. He has a proven record for creating successful, sustainable business models—under his guidance, the Education Division of Sodexo accounted for over \$275 million in annual sales, while achieving improved profit margins through modified delivery models [36].

## **SENIOR ACADEMIC ADMINISTRATIVE POSITIONS**

### **Vice Provosts reporting to the Executive Vice President and University Provost**

The provost has seven direct reports—six vice provosts and an associate provost. All seven positions currently are filled by permanent appointees.

As noted above, position and function realignments in senior administrative positions in the Office of the Provost have resulted in (1) the creation of the Vice Provost for Strategic Enrollment Management and Student Success position to provide increased administrative oversight and support for these key areas of institutional focus; (2) the



restructuring of the Vice Provost for Graduate Affairs position to include undergraduate academic affairs, and a resulting renaming as Vice Provost for Academic Affairs; (3) the suspension of the Vice Provost for Undergraduate Affairs position; and (4) the elimination of the Vice Provost for Academic Strategy position and reassignment of the position's responsibilities.

Vice Provost and Chief Budget Officer Susan Howarth is also currently serving as the university's CFO on an interim basis.

- **The Vice Provost for Strategic Enrollment Management and Student Success** has the overall strategic and tactical responsibility for undergraduate recruitment, retention, advising practice, and collaboration with academic unit-based advisors and academic support programs. (Permanent)

**James Begany** has over 25 years of experience working in fields related to enrollment management, with the last fourteen at the executive leadership level of comprehensive public universities. He holds a Master of Science degree in Computer Information Systems.

Begany joined the University of Louisville in October 2016 following a national search, having served as Vice President for Enrollment Management and Communication for almost 10 years at Indiana University of Pennsylvania (IUP) prior to coming to UofL. At IUP, Begany was responsible for the creation of a division focused on student recruitment

and communications and oversaw programs that resulted in significant enrollment growth. In addition to his enrollment management experience, Begany has executive experience in the areas of financial aid and institutional research. He has also served as an adjunct faculty member, teaching statistics courses for master's and doctoral level students [38].

- **The Vice Provost for Academic Affairs** is responsible for general education and undergraduate programs as well as interdisciplinary and graduate programs. The vice provost works closely with the Vice Provost for Strategic Enrollment Management and Student Success and the undergraduate deans in support of the university's undergraduate programs, and with the graduate deans and unit faculties in support of the university's graduate programs. (Permanent)

**Dr. Beth Boehm** received her Ph.D. in English from Ohio State University and joined the faculty of the University of Louisville as an assistant professor of English in 1987. She has been Dean of the School of Interdisciplinary and Graduate Studies since 2009 and has been a university vice provost since 2011.

While at UofL, Boehm has served in a variety of administrative and academic roles, including director of undergraduate studies and director of graduate studies in the Department of English, as vice chair of English, and as both vice chair and chair of the university's Faculty Senate.

Boehm was twice awarded the College of Arts and Sciences Distinguished Teaching Award and was selected as a University Distinguished Teaching Professor in 2003. In 2009, she was awarded for her distinguished service by both the college and the university. In 2014-15, she was selected as one of 24 participants in the Academy for Innovative Higher Education Leadership sponsored by Arizona State University and Georgetown University [39].

- **The Vice Provost for Faculty Affairs** works with the provost and academic deans to oversee all faculty personnel actions and to provide faculty and administrator professional development programs. (Permanent)

**Tracy Eells** has served as Vice Provost for Faculty Affairs since 2011. He has been a member of the faculty of the University of Louisville for 25 years. He received his Ph.D. from the University of North Carolina at Chapel Hill in 1989 and also holds an M.B.A. from the University of Louisville.

Eells primary area of scholarship is psychotherapy research, particularly clinical expertise in case formulation and computer-assisted cognitive-behavior therapy for depression. He has also published on academic issues such as promotion and tenure and post-tenure review. He was a visiting professor at the Vietnam National University (Hanoi) in 2010 and was named a fellow of the American Psychological Association Society for the Advancement of Psychotherapy in 2011.

Eells is a licensed psychologist in the Commonwealth of Kentucky (KY-00839) [40].

- **The Vice Provost for Institutional Research, Effectiveness and Analytics** supports several key university-wide functions, including institutional research, data analytics and visualization, strategic planning, and institutional effectiveness. Together with the Assistant University Provost/SACSCOC liaison the Vice Provost is also responsible for all matters concerning institutional accreditation. (Permanent)

**Robert S. Goldstein** joined the University of Louisville in 2004 as the Director of Institutional Research and Planning. He was appointed associate provost in 2008 and vice provost in 2013. He received his Master of Public Health degree in Biostatistics and Epidemiology from the Boston University School of Medicine/Public Health in 1990. Prior to working at UofL, Goldstein served as the director of epidemiology and immunization at the Massachusetts Department of Public Health.

Goldstein has been an active presenter at numerous national conferences. He is a member of the Association for Institutional Research (AIR) and the Kentucky Association for Institutional Research (KAIR). He has held several executive leaderships within KAIR from 2009-2012. He serves as the university liaison to the Kentucky Council on Postsecondary Education (CPE) on academic-specific data matters and issues related to academic program approval and review. Additionally, Goldstein serves as the institutional representative on the Kentucky Council on Postsecondary Education's Performance Funding Model Workgroup and the 2016-2020 Statewide Strategic Metric

Advisory Group [41].

- **The Vice Provost and Chief Budget Officer** is responsible for all aspects of strategic and operational financial planning, budgeting, financial analysis, position management, regulatory reporting, and management reporting and analyses to assist the University accomplish its strategic mission and goals. (Permanent)

**Susan Howarth** has almost 30 years of experience in enterprise-wide finance and administration. She has functioned as the university's senior budget official since 2003. She currently is also appointed as the university's interim CFO (as discussed above). Howarth served as an associate vice president from 2013-2016 and has been a vice provost since 2016 when the Office of Budget and Financial Planning was transferred to the Office of the Provost.

Howarth has served as a guest lecturer for the UofL College of Education and Human Development on topics related to budgeting in higher education [42].

- **The Vice Provost for Student Affairs/Dean of Students** is the chief student affairs officer for the University of Louisville, overseeing campus housing, career services, counseling, disabilities, student support services, student involvement, recreational sports, the Student Activities Center, student government, fraternity and sorority life, student rights and responsibilities, the dean of students office, off-campus student programs, service learning, assessment and planning, student grievance, and student

advocacy. (Permanent)

**Dr. James Michael Mardis** has more than nineteen years of professional experience working in Student Affairs. He returned to the University of Louisville in July 2007 as the Associate Vice President for Student Affairs and Dean of Students, having spent five years at Radford University where he was both Dean of Students and an associate vice president. Mardis completed his Ph.D. in Higher Education Administration in 2007.

A 1999 graduate of the Gehring Institute, Mardis previously served as the site coordinator and faculty member for the NASPA/SACSA New Professionals Institute, was the NASPA Kentucky Director for three years, and served on the NASPA Region III Board. He served two years as the ASCA National Coordinator for Communities of Practice on Threat Assessment and Behavioral Intervention Teams. Mardis also served as the NASPA Excellence Award Chair for Violence Education and prevention, Crisis Management, and Campus Security.

An active presenter at national conferences, webinars and regional conferences, Mardis speaks on a wide range of topics related specifically to student affairs and higher education. He has served as an adjunct instructor for graduate programs at Radford University and the University of Louisville [43].

- **The Vice Provost for Diversity and International Affairs** oversees diversity initiatives at the university on all levels. She has oversight of several programs, institutes and

centers, and student organizations, including the Cultural Center, the Office of Diversity Education and Inclusive Excellence, the International Center, the LGBT Center, the Muhammad Ali Institute for Peace and Justice, and the Women's Center. (Permanent)

**Dr. Mordean Taylor-Archer** has over 30 years of administrative leadership experience in higher education, having served as an assistant dean at Virginia Commonwealth University, an Associate Provost at Kansas State University, and as a vice provost at the University of Louisville beginning in 2001. Taylor-Archer received her Ph.D. from Brandeis University in 1979.

Under Taylor-Archer's leadership, UofL has received the Higher Education Excellence in Diversity (HEED) Award and the Minority Access Commitment to Diversity Award in 2014 and 2015. In addition, UofL has recently been recognized as one of the most LGBT friendly universities in the South by Campus Pride.

Taylor-Archer serves as liaison and representative to CPE's Committee on Equal Opportunity (CEO), APLU's Commission on Access, Diversity and Excellence (CADE), and she is active in various community organizations [44].

- **The Associate University Provost and Executive Director of the Delphi Center** is responsible for the management of all university programs supporting teaching and learning, leadership in the promotion of the effective use of technology in instruction, all distance education programs, and continuing and professional education and assumes

responsibility for over 50 professional staff and an \$8+ million annual budget.

Responsibilities also include oversight of the Shelby Campus, the suburban campus of the University of Louisville used primarily for continuing education instruction. The associate provost also has oversight for the university's Quality Enhancement Plan (QEP) program. (Permanent)

**Dr. Gale Rhodes** has over 40 years of higher education experience, including 25 years of experience in leadership roles. She came to the University of Louisville in 1987, having previously worked at both the University of Central Arkansas and Mississippi State University. She received her Doctor of Education (Ed.D.) degree from the University of Louisville in 1994.

She has been director of the University of Louisville's Delphi Center for Teaching and Learning since 2002. She was named an associate provost in 2008. She has also served as an adjunct professor in both the College of Business and the College of Education and Human Development at UofL [45].

In addition to these administrative officers, the university's chief academic officers (CAOs)/deans report directly to the university provost. As noted previously, 11 of the 13 academic deans are permanently appointed. Two currently are interim appointments—one (J.B. Speed School of Engineering) has a national search in process, while the other (Brandeis School of Law) already has a permanent appointee effective January 1, 2018.



## **Recruitment and Appointment of Qualified Administrators**

UofL's basic governance document, *The Redbook*, provides guidance in the appointment and review of administrators and academic officers at UofL. *The Redbook*, Chapter 2, establishes the process for the appointment and evaluation of university administrators. Section 2.2 addresses the executive vice president and university provost position. Information on the appointment and review of other administrators can be found in *The Redbook*, Sec. 2.3.

University administrators are recommended to the Board of Trustees for appointment. *The Redbook* stipulates that the appointment of the university provost or any vice president to whom academic units report must be made in consultation with the Faculty Senate. Likewise, any vice president to whom the Human Resources Department reports requires consultation with and recommendations from a committee designated by the Staff Senate, and any vice president to whom the responsibility for the operation of student affairs is assigned requires consultation with and recommendations from a committee designated by the Student Senate [46].

During transitional periods between permanent appointments, or while permanent appointments are pending, the university has established policies allowing for interim administrative appointments. As previously noted, persons holding positions on an interim basis are expected to possess the qualifications required for the permanent position and have the same status as regular board-appointed administrators [47].

The Board of Trustees approved a measure at their June 28, 2017 meeting to establish the framework for the presidential search. The measure stipulated that the search efforts would be managed directly by the Board. It also committed the Board to create an outreach plan to obtain input from the university's key constituencies—e.g., administration, students, faculty, alumni, donors, and community leaders. The Board's first order of business is to find and retain a national executive search firm that will coordinate the fielding and screening of applicants for the position as well as identify potential candidates. Twelve executive search firms responded to the Board's request for proposals for search services. The Board is currently evaluating those proposals. Outreach efforts by the selected executive search firm are expected to start in fall 2017 [48].

## **SUMMARY**

The University of Louisville is in compliance with Comprehensive Standard 3.2.8. The senior administrative and academic leadership of the university possess the qualifications, credentials, and expertise to properly serve in the roles to which they are appointed. While recent transitions in the Office of the President have brought some unanticipated attrition in the ranks of executive leadership, interim appointments of qualified and competent individuals ensure continuity in academic and administrative functions until permanent appointees can be identified through deliberate search processes. All interim appointments are consistent to, and fully comply with, the guidance outlined by UofL's basic governance document (*The Redbook*) and the established policies of the Board of Trustees. The curriculum vitae (CV) or resume for all positions listed in

this report are provided as documentation.

Currently, nine of the 12 senior-level positions within the Office of President are interim appointments, and a national search is being initiated by the Board of Trustees to identify the next university president. The majority of these changes in administrative leadership resulted from planned retirements or the pursuit of career advancement at other institutions or organizations. In most cases, interim appointees have provided lengthy and dedicated service to the University of Louisville. In all cases, interim appointees possess considerable experience in higher education or have successfully held leadership positions from other transferable business sectors.

Permanent administrators hold all seven positions that comprise the senior-level leadership within the Office of the Executive Vice President/Provost, and 11 of the 13 academic deans are permanently appointed. Of the two deanships held on an interim basis, one will have a permanent appointee effective January 1, 2018, while the other deanship has a national search in progress.

Under the experienced direction of Dr. Greg Postel and Dr. Dale Billingsley, the University of Louisville administrative and academic officers possess the necessary educational background, experience, competence, and capacity to execute their leadership functions. Those serving all have knowledge and professional expertise that benefit the university and provide stability as the university implements change and moves forward. A roster listing the responsibilities, educational credentials, and professional experience of the university administrators is provided

to document the qualifications of the individuals with appointments to senior positions at UofL  
[49].

[1] UofL Organizational Chart  
3\_2\_8\_fn01.pdf

[2] Board of Trustees Policy--Interim Appointments  
3\_2\_8\_fn02.pdf

[3] Board of Trustees Minutes July 27, 2016  
3\_2\_8\_fn03.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2016/july-27-2016/view>

[4] Message from Pinto--Billingsley Appointment  
3\_2\_8\_fn04.pdf  
<http://louisville.edu/president/news-feed-1/message-from-acting-president-pinto>

[5] Pinto Message about Interim Appointments  
3\_2\_8\_fn05.pdf

[6] Search Announcement CFO  
3\_2\_8\_fn06.pdf  
<http://www.imsearch.com/searches/details/content/S6-210>

[7] Postel Board of Trustees Appointment, January 21, 2017  
3\_2\_8\_fn07.pdf

[8] Hall Inman Retirement Notices  
3\_2\_8\_fn08.pdf

[9] Fitzpatrick/Robinson Appointments  
3\_2\_8\_fn09.pdf

[10] Gentry Appointed Interim AVP  
3\_2\_8\_fn10.pdf  
<http://louisville.edu/president/board-of-trustees/BOTExecCte12132016Publicagenda.pdf>

[11] Elliott Appointment  
3\_2\_8\_fn11.pdf

[12] Audit AVP to VP, Board of Trustees Approval, July 20, 2017

3\_2\_8\_fn12.pdf

[13] Begany Appointment VP-SEMSS

3\_2\_8\_fn13.pdf

[14] Boehm Announcement—VP for Academic Affairs

3\_2\_8\_fn14.pdf

[15] DePuy/Smith Temporary Dean Roles--UofL News

3\_2\_8\_fn15.pdf

<http://uoflnews.com/post/uofltoday/longtime-uofl-professors-step-into-temporary-dean-roles/>

[16] JB Speed School of Engineering Interim Dean

[16a] Usher Sabbatical/DePuy Interim Dean

3\_2\_8\_fn16a.pdf

<http://louisville.edu/speed/news/usher-to-step-down-depuy-named-acting-dean>

[16b] Search Announcement—Dean, J.B Speed School Engineering

3\_2\_8\_fn16b.pdf

<http://www.imsearch.com/searches/details/content/S6-189>

[17] Crawford Named Law Dean

3\_2\_8\_fn17.pdf

<http://louisville.edu/law/news/uofl-names-new-dean-for-brandeis-law>

[18] Board of Trustee Approvals Deans June 15, 2017

3\_2\_8\_fn18.pdf

<http://louisville.edu/president/board-of-trustees/minutes/2017/board-of-trustees-meeting-6-15-2017/view>

[19] Interim President--Postel CV

3\_2\_8\_fn19.pdf

<http://louisville.edu/president/biography>

[20] Acting Executive Vice President University Provost--Billingsley CV

3\_2\_8\_fn20.pdf

<http://louisville.edu/provost/who-we-are/evpup>

[21] Executive Vice President Research Innovation--Pierce CV

3\_2\_8\_fn21.pdf

<http://louisville.edu/research/about/william-pierce>

[22] Dean of Medicine--Ganzel CV

3\_2\_8\_fn22.pdf

<http://louisville.edu/medicine/dean>

[23] Postel Announcement--Interim Executive Dean  
3\_2\_8\_fn23.pdf

[24] Pinto Message--CFO/COO Restructure  
3\_2\_8\_fn24.pdf

[25] Postel Recommendation Concerning Restructure, Approved by Board of Trustees July 20,  
2017  
3\_2\_8\_fn25.pdf

[26] Interim Vice President for Community Engagement--Fitzpatrick CV  
3\_2\_8\_fn26.pdf  
<http://louisville.edu/communityengagement/office-of-the-vice-president-1/biographical-sketch>

[27] Interim Vice President University Advancement--Robinson CV  
3\_2\_8\_fn27.pdf

[28] Vice President for Athletics/Athletic Director--Jurich CV  
3\_2\_8\_fn28.pdf  
<http://www.uoflsports.com/staff.aspx?staff=1>

[29] Vice President for Strategy General Counsel--Strohm CV  
3\_2\_8\_fn29.pdf  
<http://louisville.edu/counsel/aboutus/leslie-chambers-strohm>

[30] Interim VP-Chief Financial Officer (CFO)--Howarth CV  
3\_2\_8\_fn30.pdf

[31] Interim VP-Chief Operating Officer (COO)--Smith CV  
3\_2\_8\_fn31.pdf

[32] Interim VP-Enterprise Risk Management Audit and Compliance--Jones CV  
3\_2\_8\_fn32.pdf

[33] Interim Senior Associate VP-Communications and Marketing--Drees CV  
3\_2\_8\_fn33.pdf

[34] Interim Associate VP-Finance Controller--Gentry CV  
3\_2\_8\_fn34.pdf

[35] Associate VP-Facilities Management--Sears CV  
3\_2\_8\_fn35.pdf

[36] Associate VP-Business Services--Watkins CV  
3\_2\_8\_fn36.pdf

[37] Interim Associate VP-Human Resources (CHRO)--Elliott CV  
3\_2\_8\_fn37.pdf

[38] Vice Provost-Strategic Enrollment Management Student Success--Begany CV  
3\_2\_8\_fn38.pdf

[39] Vice Provost-Academic Affairs--Boehm CV  
3\_2\_8\_fn39.pdf  
<http://louisville.edu/graduate/office-of-the-dean>

[40] Vice Provost-Faculty Affairs--Eells CV  
3\_2\_8\_fn40.pdf

[41] Vice Provost-Institutional Research Effectiveness Analytics--Goldstein CV  
3\_2\_8\_fn41.pdf

[42] Vice Provost-Chief Budget Officer--Howarth CV  
3\_2\_8\_fn42.pdf

[43] Vice Provost-Dean of Students--Mardis CV  
3\_2\_8\_fn43.pdf

[44] Vice Provost-Diversity International Affairs--Taylor-Archer CV  
3\_2\_8\_fn44.pdf

[45] Associate Provost-Director Delphi Center--Rhodes CV  
3\_2\_8\_fn45.pdf

[46] *The Redbook* 2.2.2  
3\_2\_8\_fn46.pdf  
<http://louisville.edu/provost/redbook/chap2.html#ART2.2>

[47] Board of Trustees, Policy on Interim Appointments  
3\_2\_8\_fn47.pdf

[48] Presidential Search, Board of Trustees Minutes June 28, 2017  
3\_2\_8\_fn48.pdf  
<http://louisville.edu/president/board-of-trustees/minutes/2017/board-of-trustees-meeting-6-28-2017/view>

[49] Roster UofL Senior Administrators  
3\_2\_8\_fn49.pdf