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UA3/9/2 WKU Institutional Review

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WESTERN KENTUCKY UNIVERSITY

INSTITUTIONAL REVIEW

James L. Fisher, Ltd.

**WESTERN KENTUCKY UNIVERSITY
REVIEW**

August - November 1997

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EXECUTIVE SUMMARY

Western Kentucky is a good university essentially trapped in time and therefore unable to change significantly. Until these constraints are eliminated or modified, the University will not be able to effectively address major issues of focus, enrollment, organization, personnel, curriculum, governance, athletics, planning and increased public and private support. Rather, it will continue to drift with occasional peripheral and cosmetic changes, none of which will be sufficient to successfully relate to Kentucky's new plan for post-secondary education.

The problems that prevent significant institutional transformation are several, but are largely constitutional. They include the enabling and unenlightened *Statutes of the University*; the *Board of Regents Bylaws*, which are both incomplete and in places inappropriate; a discordant and largely unknown *Board and University Policy Manual*; and a campus governance system that is both illogical and reductive of thoughtful and responsible faculty and student impact. Also an unhealthy measure of "Westeners" at all levels of the institution has resulted in a nostalgic torpor that clings to yesterday and inhibits change and virtually no one is happy with the way things are today. Both of these conditions have given rise to a discordant and expensive administration and a growing and increasingly officious campus bureaucracy. These unfortunate conditions combine to create a kind of organizational paralysis that must be directly addressed before the key issues noted above can be intelligently considered.

The coming of a new President is the ideal time to begin this process, but an able new President will not alone suffice. No one person can successfully move the inertia that presently embraces Western. Simultaneously, the operating premises of the University must be restored and a renaissance commenced, and from this more enlightened and efficient structure, a new President can be held accountable fairly.

These things done, Western can become the premier university in Kentucky and among the best in the land.

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Western Kentucky University Review

I. INTRODUCTION

Between August 15, 1997 and November 30, 1997, a team of five persons, each widely experienced in higher education and none having any present or past association with Western Kentucky University, reviewed the condition of the University (Appendix A). The Review was authorized by the Board of Regents, chaired by Ms. Peggy Loafman.

The purpose of the Review was to assist the Board of Regents and the President in assessing the condition of the University. It was felt that a completely objective assessment would candidly identify and address issues affecting Western Kentucky and help establish a tentative agenda for the immediate future.

In addition, the Review might offer these benefits:

- (1) The Board of Regents and the President would have a more accurate impression of Western Kentucky and approve more specific and realistic plans and expectations.
- (2) Others with whom the Review might be shared would need to consider a legitimate and less biased opinion of the University that might differ from their own.
- (3) The region, the state, and beyond would have an heightened awareness of, and interest in, Western Kentucky because of involvement in the Review.

The Review would consider the following in terms of strengths, limitations, and/or aspirations:

1. General condition of Western Kentucky University
2. Academic programs
3. Faculty
4. Students
5. Administration

6. The new technology
7. Senior officers, presidents, vice presidents, and deans
8. Budget and finance
9. Fund-raising
10. Public relations (including alumni relations)
11. Comparative condition
12. Governance
13. Other issues and conditions presented during the course of the Review

Before beginning interviews, the members of the team held discussions with members of the Board and with staff of national higher education and professional associations. Team members also read and evaluated materials assembled by Western Kentucky staff (Appendix D) and position papers prepared by key persons. All counted, interview and focus groups included over 200 persons including faculty, students, staff, alumni, state and local elected officials, local and state appointed officials, area residents, local and regional business persons, Board members, newspaper reporters, editors, benefactors and potential benefactors, persons associated with other colleges and universities, persons selected because of special knowledge, officers of national associations, and randomly selected persons from the community and the state (Appendix B).

The team conducted interviews throughout the period but particularly during October 5-7, 1997, when it conducted in-person interviews and focus groups on the campus and in the Bowling Green area.

All interviews followed a general format that included 16 separate areas (Appendix C).

Interviewers were to ask about, but not press, each of the areas and all interviewed were advised that their opinions might be used in the final report but *without* attribution.

Readers should bear in mind that although much of the Review can be documented, much of it is based on the opinions of those persons interviewed. Wherever the opinions of the Review team are expressed, it shall be obvious.

Readers should also know that recommendations are unequivocal and made on the basis of the opinions of more than 200 persons and the judgement of persons broadly experienced in and knowledgeable about higher education and none with any vested or special interest in Western Kentucky University.

II. OVERVIEW

Professor Lowell Harrison's well-received history of Western Kentucky University states forthrightly that "Most Hilltoppers believe that Western Kentucky University is unique." Brief though this statement may be, it is nonetheless profound, for it captures the notion that "Western" exudes a special sense of institutional identity and spirit. A typical member of the University's core constituencies is enthusiastic about Western, committed to its traditional role as an institution that has provided both access and quality educational services to the region, and loyal almost to a fault to the University. There exists a sense of pride, justifiably so, in the University's successes, its beautiful campus, and its longstanding commitment to improving the lives of Kentuckians.

At the very least, Western's supporters believe that "the college on the hill" is different from the hundreds of other former regional normal schools that have evolved successively into state colleges and comprehensive state universities. This perception is a function both of key individuals in Western's ninety-one year history who have shaped this belief, but also of the nature of the state and the region that it serves. With regard to the former, Western has been led by a series of strong and intensely loyal individuals who have cultivated and fashioned the idea that Western is special and a better institution than nearly all of its state competitors. With regard to the latter--the nature of the region--Kentucky is an inwardly-directed and rather self-contained state that traditionally has inspired fierce loyalties and occasional enmities amongst its regions. Kentucky was fully settled in the first century of this country's existence, and more than 70 percent of today's Kentuckians were born in the state--the highest among the 50 states in this regard. This phenomenon partially reflects the often rugged topography of the state, which has discouraged extensive movement and relocation.

The sense of mission and accomplishment that pervades Western is related to other characteristics of the State of Kentucky. Per capita income in the state was \$19,687 in 1996, approximately 19 percent below the national average. Almost twice as many Kentuckians as other Americans have

an eighth grade education or less, and only 13.6 percent held a baccalaureate or graduate degree in 1990 (compared to 20.3 percent nationally). Kentucky's high school dropout rate is about one-third above the national average. Hence, when Western Kentucky University asserts that its programs are badly needed, there is little quarrel. And when it asserts that it has made a significant difference, few contest this.

Consequently, when a former President talked about "*moving to a new level*," most Westerners thought this not only possible, but probably already achieved--Western was on a different level. While there was and is no agreement on the campus about what "moving to a new level" actually means, a majority of the faculty, staff, students, alumni, and friends of the University firmly believe that Western does operate on a somewhat different level than most other regional universities and that it is the product of a unique set of factors that have produced a superior institution. Among those most commonly cited are a loyal, highly competent, and caring cadre of faculty and staff; lower than ordinary faculty and staff turnover; a beautiful campus that is notable for its deployment of instructional technology and its computer connectivity; ambitious, energetic, and upwardly mobile students, some of whom match the best anywhere; strong alumni, citizen, and legislative support; and a common sense of mission. One faculty member summed up much of this feeling when she asserted that "*Yes, we think we are good. In fact, Western may be the best university in the country if helping students succeed is the measure.*"

Western's success with its students is at least partially a function of the quality of its academic programs. The University's journalism, and particularly photojournalism program, is acknowledged to be among the very best and, more so than any other program at Western, attracts a national student body. Other programs that are commonly regarded as superior include psychology, biology, chemistry, geography, economics, accounting, history, and several teacher education programs. The success of students graduating from the pre-professional programs in engineering, medicine, and veterinary medicine and gaining admission into professional schools generally confirms that these programs are solid. At the graduate level, Western's specialized

programs in folklore and coal chemistry are distinctive and highly regarded and its offerings in psychology and school administration often elicit compliments.

Regional business and political leaders often use superlatives about Western such as *"I think it is doing extremely well,"* and *"I'm really proud of what Western has done,"* when they talk about the University. Further, they tend to give high marks to Western graduates. Illustrative are the comments of a highly successful business CEO who declared that *"I have been impressed with Western graduates. Many have worked while in college and they know what it is like to get up in the morning."* Or, consider a prominent alumnus who observed with pleasure that *"Life has been awfully good to me because of Western."*

At the same time, most students and nearly all student leaders express their satisfaction with their overall educational experience at Western. Representative are a student leader who, despite advocating a variety of changes at the University, nonetheless asserted that *"I am very pleased with this place,"* and an undergraduate who averred that *"I recommend Western to everyone; it's a great place to be."*

Western Kentucky University faculty and staff as a group are less sanguine about the University and often carry with them a set of concerns and grievances, many of which we discuss in succeeding sections. Notwithstanding their distress on some issues, the large majority of faculty and staff conclude any negative conversation with the comment that *"I would still rather be here than anywhere else."*

At the same time, many of the University's more knowledgeable constituents and supporters are worried about Western's future. One retired senior administrator put it succinctly: *"I am a bit despondent about Western."* Their concerns focus primarily upon the gradual decline in headcount enrollment that the University has experienced during most of this decade; the future of its intercollegiate athletic programs; its sometimes unsuccessful struggles to maintain its physical plant; perceptions that the University has diluted or never

implemented some standards that they cherish; allegations that Western is guilty of excessive inbreeding in many areas; the anxiety related to the implementation of the community college connected to Western; a lack of focus and direction for the University (i.e., Is the University going to be elite or accessible, or both?); the promise and the uncertainty associated with the entree of a new president; and, most critically, Western's ability to prosper in the new performance- and merit-oriented world of higher education in Kentucky that has been introduced by Governor Paul Patton and the General Assembly. With regard to this final apprehension, no one doubts that Kentucky higher education is going through a transformation that will change its face for decades to come. This challenging and increasingly uncertain world presents Western with what one highly knowledgeable observer has termed both "*a golden opportunity and a potential for disaster.*" We will discuss each of these concerns in the various sections of this report, beginning with recent higher education reforms in Kentucky.

Governor Patton called the General Assembly into special session in May 1997 to consider far-reaching changes in state-supported higher education in Kentucky. After considerable sparring, the General Assembly and Governor approved the creation of a new, more powerful higher education coordinating authority (the Council on Postsecondary Education); a Board of Regents to oversee a new system composed of 13 community colleges and all of the state's technical schools; pledges of additional funding to bring Kentucky colleges closer to "benchmark institutions"; and, targeted funding for "distinctive and excellent" programs on state university campuses that assist the state in satisfying a strategic agenda that emphasizes economic growth and the generation, use, and commercialization of modern technology. In addition, individual campuses will be held accountable for their performance in areas ranging from the diversity of their student bodies to their graduation rates.

All of the above are among the reasons Western's future is no longer as assured as it once might have been. Not only is the state of higher education in Kentucky in flux, but also the future role of comprehensive state universities similar to Western (most of which are institutions that started

as single purpose teacher education institutions and are members of the American Association of State Colleges and Universities--AASCU) increasingly is less certain and more open to challenge. The reasons for this sea of change in higher education are many, but include:

- * Adverse demographic trends resulting in a declining pool of high school graduates in states such as Kentucky
- * Increasing demands for higher education accountability from citizens and legislatures
- * The declining share of higher education in most state budgets
- * Important new competition from institutions that provide accredited degree programs via distance learning technologies that enable students to "shop" higher education in ways impossible only a few years ago
- * Increasingly rebellious reactions by students and parents to tuition increases that have exceeded increases in the consumer price index; and
- * Dramatic changes in the increasingly expensive world of intercollegiate athletics.

In such a milieu, many AASCU institutions have experienced declines in enrollment that have ranged up to 40 percent since 1990. The institutions that have fared least well are those that are:

- * located outside of a populous metropolitan area
- * situated in states where adverse demographic trends have reduced the number of high school graduates
- * not attuned to serving non-traditional college students aged 25 or older

- * viewed as being inhospitable to women, African-Americans, and members of other minority groups
- * not particularly well known for particular academic programs or specialities
- * not involved in distance education and/or weekend education
- * priced in a noncompetitive fashion
- * burdened by costly non-instruction activities that, depending upon the situation, may include public service agencies, telecommunications outlets, intercollegiate athletics, research centers and parks, agricultural farms and extension, and hospitals
- * disadvantaged by lack of success in finding non-state funding via sources that include private gifts, partnerships, and privatization and outsourcing.
- * debilitated by an apparent absence of institutional vision, which nearly always reflects inferior leadership.

It is apparent that many of these conditions apply to Western. For example, the number of high school graduates in Kentucky will decline by 4 percent by 2004. And, Western Kentucky University is not located in a major metropolitan area.

Hence, while Western Kentucky University is a successful, ongoing enterprise with a proud history, it also is an institution that faces significant challenges. The rapidly changing nature of the environment for higher education in the United States (some prefer to say that a revolution is in process) implies that the "same old, same old" approach to the affairs of the day will not suffice. Yet, in many ways, Western seems to be an institution trapped in time and essentially paralyzed. A combination of nostalgia, ever creeping bureaucracy, and poor governance and

administrative procedures have given rise to stifling and suspicious behavior that has resulted in an atmosphere that makes significant institutional change problematic. **What is called for is energetic, open and visionary leadership that in effect rebuilds the structure and process of the University. This will take analysis, focused discussion, individual and group commitment, consultation, and an unequivocal action plan that is clearly and boldly responsive to the increasing challenges that Western faces. In Spite of "Western XXI or of "Moving to a New Level," Western begs for procedural restoration and planning. The new President should begin such efforts under his direct leadership. This should be highly visible, constituent inclusive, reality based, and with strict calendars for the process and its plans.**

III. CURRICULUM

Western is justifiably proud of its overall stable of academic programs. The University offers almost 70 undergraduate majors and nearly 40 graduate programs. The entire institution is accredited by the Southern Association of Colleges and Schools, and only four professional programs do not also boast the highest possible accreditation from their appropriate professional associations.

At the undergraduate level, the preeminent offering in terms of national reputation is photojournalism, a program that attracts students and attention on a national basis. Other programs with strong reputations include print journalism, psychology, history, economics, geography, biology, chemistry, and some aspects of teacher education. It is worth noting, however, that several of the stronger members of the Western faculty believe that some of the University's teacher education programs have lost their luster and are now in need of attention and cultivation. This is an issue and perception that the new President must cause to be examined.

As we discuss below, we also believe that the President should stimulate a reexamination of the University's General Education Program. The current program suffers from a "cafeteria" approach to courses and also lacks specific requirements that are critical to a liberal education and intelligent citizenship.

At the graduate level, the University's programs in folklore and coal chemistry are distinctive and enjoy excellent reputations. Offerings in school administration and psychology are frequently cited as among the best. The University's cooperative doctoral programs with the University of Kentucky and the University of Louisville offer interesting opportunities for Western faculty to undertake doctoral level teaching and research activities, although Western faculty members usually do not act formally as the primary supervisor of doctoral students. Recently, Western decided to resurrect its MBA program. This commitment will require both resources and

attention if the program is to meet established standards such as accreditation by the American Assembly of Collegiate Schools of Business (whose name has now been changed to the International Association for Management Education). **Western should not continue to offer its M.B.A. program if it is unable to meet IAME accreditation requirements.**

One of the centerpieces of any university is its library. While the main physical facilities that the library inhabits are both small and outdated, its budgetary situation is better. Over the past decade, Western has usually been able to allocate sufficient additional resources to the library so that it has not been forced to engage in widespread cancellation of serial subscriptions or to decimate its purchase of scholarly books. **Western's utilization of technology in its library is only average.** By way of illustration, neither Western nor the State of Kentucky have advanced as far as several other states in terms of initiating a "virtual shared library" such that electronic subscriptions to key journals are purchased cooperatively by a group of institutions and hence the property rights to these journals are shared among the institutions.

There are several specific issues that are deserving of more attention.

* Instructional Technology

Many academic programs at Western incorporate the use of instructional technology in their offerings. This is commendable and helps prepare Western for a future in which it will compete on a national basis with institutions that will utilize instructional technology (including the ubiquitous Internet, but also including satellite delivery of distance learning courses, use of cable modems, and the like). Western should be applauded for the bold step that it has taken to wire its entire campus and to committing itself to being one of the leaders in the application of technology to instruction. This, indeed, can be an important niche for Western if it pursues this promising opening with intelligence and determination.

Yet, the observation of one faculty member is salient: *We like to talk more about 'being connected' all around the campus than we do about actually using those connections to change and upgrade what we are doing in the classroom.*” It is one thing to “wire the campus” and quite another thing to make that wiring meaningful. **Western needs to move ahead more rapidly with faculty development activities that will demonstrate to faculty how they can utilize these new technological developments. Many faculty simply don't know how to utilize the expensive machines on their desks and/or are somewhat intimidated by the entire subject of technology.** These faculty members are not Luddites; instead, they are individuals who need cultivation and training. Otherwise, Western's auspicious new developments will never go beyond what another faculty member caustically called the *“conspicuous bell and whistle stage.”*

Further, it is not sufficient for the University simply to wire the campus, purchase equipment, and train faculty. Budgetary commitments also must be made to maintain the equipment and replace it as it grows obsolescent. Today, the half-life for an up-to-date microcomputer is less than two years. Western must come to grips with the fact that its investments in technology must be ongoing and continuous rather than a one shot expenditure. Otherwise, the University will be guilty of what one administrator argued was the tendency to be “more concerned with outward appearances than inward reality.”

* Distance Learning

There is another aspect of instructional technology, distance learning, that constitutes what the Chinese often label, somewhat oxymoronicly, a “threatening opportunity.” Hundreds of institutions now educate students at a distance and one regionally accredited institution claims to have more than 40,000 students registered for its programs. The availability of quality, competitively priced distance education programs (via interactive television or asynchronously over the Internet) has introduced hitherto unanticipated

competition into the higher education marketplace. This phenomenon is among the reasons that management guru Peter Drucker had predicted the demise and disappearance of many residential campuses in the next 25 years.

In Fall 1997, Western recorded 1,577 registrations in its distance learning courses, although almost one-half of these actually were on the home campus in Bowling Green. Even so, 800 "remote" student registrations via distance learning is not to be quibbled with in a time when the University has experienced gradually declining headcount.

Western's experience clearly demonstrates the potential of distance learning in a state with the characteristics of Kentucky. At the same time, however, it is apparent that many other institutions of higher education nationally will distribute distance education programs in the future. Consider a world in which Western must compete with degree programs offered by a consortium of Disney, Microsoft, and the University of California at Berkeley. Or, consider a world in which the British Open University distributes high quality, attractively priced courses throughout the United States.

The point is that Western must make some fundamental decisions about distance education. Will it "fight" other distance learning providers (some of whom will dwarf it in assets and expertise), or will it "join" them by making cooperative agreements that might well involve Western receiving some courses and programs and distributing others? This is far too complex a question for us to answer here; nonetheless, the President should devote the necessary time to evaluate Western's stance in this area, for it seems quite possible that the world of higher education will be turned upside down in the next decade because of newly available distance learning technologies. These considerations necessarily will be related to "institutional positioning" and Western's consideration of the "Miami" model, which we treat later in this report.

* Under Enrolled Graduate Programs

Among Western's graduate programs are several that enroll very small numbers of students. As a consequence, these programs are quite expensive; not only do they not use scarce faculty time well, but also they require library and other support purchases that benefit only a few students. According to data provided the team, the following master's degree programs were particularly notable for having small enrollments in Fall 1996:

Industrial Technology	0
Consumer and Family Services	0
Economics	6
Professional Accountancy	7
Music	7
Humanities	11

There may exist reasons why these data are not representative or why special circumstances exist. As a general rule, however, if a graduate program cannot generate at least five graduates per year, averaged over three years, it should be a strong candidate for elimination. Western's scarce resources would be better directed elsewhere. A *prima facie* case exists in favor of the conclusion that each of the above programs falls into this category. It may be that other academic programs should be included on this list as well.

* Undergraduate Curriculum

Western's General Education Program, which it requires all baccalaureate degree recipients to satisfy, lacks coherence and in some ways represents the worst of the "cafeteria" approach to liberal education whereby nearly any course in any discipline eventually can be utilized by a student to complete the program. Western's core requirements appear to be based on academic-political compromise rather than a thoughtful consideration of what a college graduate will need in the next century. For

example, at least 31 different courses might be utilized by a student to satisfy the three hour "World Cultures and American Cultural Diversity" requirement. Almost 75 choices exist for students to satisfy the two course Ethic Emphasis Component. An astronomical 240 courses in more than 50 separate disciplines can be utilized by a student to satisfy the six course Writing Component. Courses in Recreation and Industrial Technology are included on this list.

It is virtually impossible for an institution to engage in quality control in such a situation or to guarantee that specific outcomes are attained when so many different choices exist. It is as if Western subscribes to an "everything is equal" philosophy insofar as its General Education Program is concerned. Western would be well advised to narrow its General Education course options and insist that specific outcomes be realized by limited courses that the institution can guarantee are rigorously developed and rigorously evaluated.

Further, Western does not have a specific, binding computer literacy requirement for all of its undergraduate students. This is a major deficiency; a student today has not been liberally and broadly educated for full participation in an increasingly technological society if he/she is not computer literate. This is hardly arguable. It is noteworthy that 70% of the students report that they are required to use computing in classes and 64% of the courses/sections require students to use at least one of the computing technologies. There are also a number of information technology initiatives underway.

We also register our doubt that the Foreign Language requirement (3 semester hours) is meaningful because it can be satisfied by a student completing the first semester of the first year of a language. We are not aware of any evidence that this cursory level of language instruction has any lasting favorable effect. The Foreign Language requirement should require the completion of at least two years of college level language (or equivalent).

Full participation in an increasingly international world requires substantial command over a foreign language, not the least because this is how we begin to understand the nature of a foreign culture. Students that do not have significant foreign language abilities will seriously narrow their career options and compromise their understanding of the world.

President Ransdell should commission a fresh look at Western's General Education Program. It is a program that needs work.

There appear to be many undergraduate programs with less than five graduates per year. This Review shows that out of 109 different undergraduate majors, 46 had five or less graduates in 1996 and 14 of the 46 had no graduates. These numbers were typical for the preceding years. Disciplines of concern include art, music, philosophy of religion, sociology, chemistry, geography and geology, and industrial arts education.

Given the University's limited resources, a review of all the various degree majors needs to be accomplished to determine their economic viability.

Consideration should be given to combining the departments of industrial technology and engineering technology in order to provide for better integration and a more efficient operation. Out of the 50,903 student credit hours taught in the Ogden College, only 6.6% were taught in the departments of engineering technology and industrial technology combined.

The continuing education operation needs to be expanded. This is a growing market that provides many challenges and opportunities and a way to increase the University's resource base and enhance its image.

IV. FACULTY

The generally high quality of the University's academic programs is a function of several things, but especially Western's well qualified and dedicated faculty. Almost 84 percent of the faculty hold the requisite terminal degree in their discipline and several dozen have attained legitimate regional or national reputations as publishing scholars or performing artists. Western students typically are enthusiastic about their faculty: *"I've taken courses from some truly outstanding teachers and nearly everyone is willing to spend lots of time with me when I need information or have problems."* Western's students often compare these outstanding performances with their own experiences, or those of friends, at other institutions and conclude that *"our faculty really are excellent."* There is some concern among students that certain of the tenured faculty do not exhibit these qualities. Students feel that course evaluations should be done each semester rather than only in the fall. One senior student commented that a faculty member in the spring semester told the class that he "wouldn't have to work as hard since the class would not be evaluated." **Every class should be evaluated by students.**

Nonetheless, this Review found a great commitment on the part of faculty to students and students, without exception, reported the keen interest of their faculty. **Yet, while faculty members generally "loved" Western, they seemed quite dissatisfied with conditions: salaries, priorities, procedures, physical plant maintenance, general education, overbearing administration, and retention and graduation rates.**

Many of the challenges and problems associated with Western's faculty are similar to those that one finds at its peer institutions. The faculty has aged over time and perhaps as many as one-third of the faculty will enter prime retirement age brackets over the next five years. Both students and faculty note that *"some of these people are out of date."*

Other problems include the absence of significant merit incentives to reward the most outstanding faculty and to encourage all faculty to keep up with new developments;

insufficient institutional attention to meeting market conditions in faculty salaries (especially for new faculty) such that certain disciplines find it very difficult to appoint the talent they desire; and, the absence of a meaningful policy for the evaluation of tenured faculty. We address two of these topics--faculty salaries and post-tenure evaluation--in greater detail.

* Faculty Salaries

Inadequate faculty salaries are a persistent shortcoming cited by both Western's faculty and its administrators. There is some validity to this complaint, although the issue is more complex than it first seems. Governor Patton has pledged to bring faculty salaries at each senior public university in Kentucky up to at least 95 percent of each respective institution's "benchmark" set of comparable institutions. This should help Western, as its mean faculty salary (the weighted average of all ranks) is below most of its benchmark institutions (which include regional competitors such as Eastern Kentucky University and Middle Tennessee State University).

The latest available national salary data (for 1995-96, in 000s) are instructive:

<u>Institution</u>	<u>Mean Salary, All Ranks</u>	<u>Full Prof.</u>	<u>Assoc. Prof.</u>	<u>Assis. Prof.</u>	<u>Instructor</u>
Western	\$45.4	\$55.7	\$44.5	\$37.0	\$30.6
Eastern	48.2	56.5	48.6	39.6	30.2
Northern	42.2	57.2	45.0	37.0	NA
Middle Tenn.	44.0	58.1	44.5	36.3	28.3
Eastern Ill.	43.3	53.5	45.3	36.3	24.4
No. Iowa	49.2	64.1	50.1	42.7	34.5

Appalachian State	47.9	57.3	46.6	40.3	NA
Tenn.-Chat.	46.8	55.5	45.1	38.8	26.3

These data suggest several things. First, overall faculty salaries at Western are somewhat less than the salaries paid by many (but not all) of its reasonable competitors. This is a problem that must be addressed by the Governor and the General Assembly. It is not reasonable to expect Western to occupy a spot in the top quartile of similar universities nationally if its faculty salaries are in the lower half of those institutions. Both the Board and the President must make the leaders of the General Assembly aware of this discrepancy.

Second, setting aside the instructor rank, which typically is filled by temporary faculty, Western is in the best position, relatively speaking, at the full professor level and in the worst shape at the assistant and associate professor levels. This is problematic, for it is at the assistant and associate professor ranks where it must do most of its hiring of new, hopefully permanent faculty. Consequently, the institution is likely to have difficulty in meeting the market in high-demand, "hot" disciplines such as the health sciences and computer science. This phenomenon was confirmed by one dean (with several other deans nodding in agreement) who observed caustically that *"we simply cannot offer nationally competitive salaries to many of our new faculty and hence sometimes we have to settle for third or fourth choices, or hire our own graduates."*

Attention must be given to this situation, for it is in high-demand disciplines that the University is enrolling the most new students and building and assembling its future. It is untenable for Western to bring *"mediocre faculty"* to the University in some disciplines (these are the words of more than one experienced observer) because it refuses to recognize real market differences among disciplines.

Whether consciously or not, Western apparently has skewed its internal salary structure to favor full professors. This result (it probably has not been a policy) deserves discussion, especially since the typical full professor feels that just the opposite is true and that he/she has been damaged by recent administrative salary decisions, for example, granting salary increases in absolute dollars rather than on a percentage basis. Nonetheless, it is apparent from the above salary data and Council on Postsecondary Education information that the more senior members of the University's faculty are a bit closer to the market than the typical assistant and associate professor.

Given the rather large number of senior faculty at Western, the University will have plentiful opportunities in the future to change its salary circumstances. It is important that the institution commit itself to reinvesting the salaries of those faculty who retire into junior positions when the current senior incumbents retire. **Western needs to develop an intelligent "early retirement, early exit" program that will enable it to replenish its aging faculty with new blood, and to do so with individuals who are nationally competitive.** The existing policy that allows a faculty member to retire and teach a partial load for up to 37.5 percent of his/her salary is a step in the right direction, but a more comprehensive and flexible early retirement incentive program is needed in addition.

Third, the nature of Western's apparent faculty salary problem is diminished by the fact that the University offers a fringe benefit package that is considerably more attractive than most competitors. Nationally, the typical value of the fringe benefits (retirement, health insurance, etc.) for a faculty member in an AASCU institution is 26 percent of salary. At Western, the fringe benefit package is valued at 33 percent, and exceeds that for every institution in the table above (the next highest being 29 percent). Eastern Kentucky University, for example, reports a fringe benefit rate of 26 percent, while the state's flagship institution, the University of Kentucky, values its fringe benefit package at only 21 percent of salary. Some have suggested that these differences represent only accounting

customs and are not real. If not, then Western should adopt one of two courses. If these relatively generous fringe benefits are deliberate, then it should advertise these benefits more (because its compensation, as opposed to its salaries, is much more competitive). And many fringe benefits are not taxable. On the other hand, if this generous level of fringe benefits was not chosen deliberately, then Western should consider reducing it as appropriate and reinvesting these dollars in faculty salaries and other high priority items. Every dollar spent on fringe benefits could just as easily be spent on salaries. This is a difficult choice, but the world of higher education in the 21st century will be full of difficult choices.

Fourth, the new President should commission a study to determine if administrative salaries similarly trail national means and/or benchmark institution salaries. One of the articles of faith of many members of the faculty at Western is the contention that administrative salaries are, on the whole, well above national salary means, or at least above benchmark institution salaries. This question is easily answered, and it should be, for it is related to morale and resource allocation. One way or another, President Ransdell should dispose of this matter.

* Tenure and Post-Tenure Evaluation

The concept of faculty tenure is a construct peculiar to American higher education. Originally designed to protect the academic freedom of faculty by insulating them from the vicissitudes of politics and arbitrary leadership that might impinge on their ability to freely research and profess their disciplines, the institution of tenure has evolved increasingly into an employment security mechanism for faculty. At a typical university, when a faculty member is awarded tenure, he/she may be dismissed only for "demonstrated cause," that is, conspicuous incompetence, repeated refusal to fulfill one's duties, or gross immorality. As a matter of record, very few such dismissals ever have occurred on any campus.

It is apparent that the institution of tenure is in a state of flux. A 1996 survey by the American Association of Higher Education entitled Tenure Snapshot revealed that 15 percent of all institutions no longer maintain a traditional tenure system and that 29 percent had adopted post-tenure review processes that allowed the termination of tenured faculty. Simultaneous with this, most institutions of higher education (including Western) are appointing more faculty to non-tenure bearing positions that often carry with them conventional salaries and fringe benefits, but not the possibility of tenure. This is particularly true in professional schools, where the clinical professorship model often holds sway and faculty members float back and forth between the campus and their "other life" as a medical doctor, business executive, engineer, physical therapist, chemist, or journalist.

The most prominent alternative to tenure is a rolling term contract such that a faculty member is automatically renewed each year unless he/she is otherwise notified. Three to four years is the most common term and this status is not usually conferred until several probationary years have been completed satisfactorily. Thus, if a faculty member has a rolling four year contract, and he/she is given notice of termination, either he/she must be employed for three additional years, or provided with full salary and benefits for those three years if he/she is asked to leave immediately.

Other campuses provide higher salaries to those faculty who eschew tenure. Still others provide scheduled, guaranteed faculty development leaves to those faculty who are deemed "permanent," but do not hold tenure.

It is not our purpose here to recommend that Western abandon its system of granting tenure to faculty, but instead to note that the winds of change are blowing with increasing force on this issue in higher education. President Ransdell, the Board, and the Faculty Senate should begin to discuss the implications of these winds for Western. It is important that these discussions be initiated in a time when no significant external financial threat or political problems colors the conversations. And, when these discussions occur, Western

should invite to the campus national authorities who can explore the issues and pose alternatives.

In any case, it is vitally important that Western adopt a meaningful and consistent policy that permits the evaluation of tenured faculty as well as other faculty, prescribes specific remedial activity for those who fall short, and permits the eventual suspension and/or termination of tenured faculty who cannot improve. It should be understood, however, that a faculty member's own colleagues, the appropriate dean, and the provost must be the primary judges of an individual faculty member's competence and that there must be stated, previously agreed upon criteria for evaluation.

If a tenured faculty member consistently falls short of expected performance levels, he/she may be warned, and an improvement program designed. If the faculty member does not fulfill the program, or his/her performance continues to fall short of reasonable professional expectations, then penalties (including termination) may be recommended to the President and the Board. A faculty member so situated should be entitled to a final hearing. Prior to implementing such a policy, Western should ensure that it has in place a strong policy that firmly establishes the principles of academic freedom. The current policy in the Faculty Handbook falls short.

The eventual policy on the evaluation of tenured faculty that the Board adopts (upon recommendation of the President after consideration by campus faculty governance) would supplant the current evaluation policy re tenured faculty which one veteran faculty member labeled "*a policy without teeth, purposely so.*" Never in anyone's memory has the existing policy been used to terminate a faculty member despite several stories of faculty whose performance had fallen well below acceptable levels.

It is essential that any institution that maintains a tenure system have a post-tenure review policy. Faculty members who understand that tenure is not a refuge for incompetence will support such a policy and assist in developing a reasonable version that invokes due process and requires faculty colleagues to maintain standards and police their own ranks. Such a policy will be greeted with widespread public approval and will build credibility with citizens and legislators alike. A meaningful post-tenure review policy would be a tremendously persuasive accompaniment to Western's requests for "excellence" funding from the Governor and the General Assembly.

V. STUDENTS

Western's student body is relatively homogeneous in some respects (geographic origin, ethnic background), but relatively diverse in other respects (academic ability as measured by ACT test scores and high school rank in class). The following characteristics are salient:

- * More than 90 percent of Western's FTE enrollment is generated by undergraduate students.
- * The student body is more heavily female than most (about 60 percent).
- * About 6.5 percent of Western's student body is composed of African-Americans, a percent that is slightly below African-American representation in the State of Kentucky.
- * Western enrolls relatively few international students (about 125).
- * Western's undergraduate students score at about the national average on the American College Test (ACT), but there is great diversity in these scores.
- * The prime employers of Western Kentucky graduates are generally quite happy with Western products.

Faculty seem very aware of the diversity in the academic preparation and abilities of Western students. One faculty member observed that "*the best here can stand up to the best anywhere, but we do enroll many students who do not have high ability or motivation.*" Faculty generally favor more strict admissions standards for Western, but not all are acquainted with the fiscal implications of such a strategy.

Western's fall semester headcount enrollment peaked at 15,767 in 1991-92 and has gradually decreased since to a current level of slightly more than 14,600. Apparently, headcount enrollment stabilized at this level in Fall 1997. This headcount reduces to approximately 11,000 FTE students. While FTE undergraduate enrollment has decreased approximately 9% over the past four years, graduate enrollment has increased by almost 12%; overall, the enrollment decline has been negligible. At the undergraduate level 23.2% are non-traditional students, a figure that has stayed essentially constant during recent years. (This represents a future growth area for the University.) Exacerbating this condition is an apparently high attrition rate (reported at 40% from freshman to sophomore). There were no definitive data to explain this situation and, assuming none, **a study of student attrition should serve as the cornerstone of an aggressive plan to improve retention.**

Can Western reverse the stagnancy in its enrollment? Yes, but this will be quite challenging because of the following:

- * Western is highly dependent upon conventionally aged (17-22 years of age) undergraduates for its enrollment. Whereas only 32 percent of Western's enrollment is 25 years or older, the national average in that age category now exceeds 40 percent. Western has not yet tapped this market segment effectively.
- * Western's enrollment dependence upon recent high school graduates presents future problems because the absolute number of high school graduates in the State of Kentucky will decline by 4 percent between now and 2007/08.
- * Western's prime recruiting area (the region surrounding and including Bowling Green) is characterized by the lowest college-going rates in Kentucky. While these low college attendance rates clearly present a possible cultivation and expansion opportunity for Western, they also reflect a stubborn combination of factors (economic and social) that ordinarily imply reduced college enrollments.

One of the most important strategic issues facing the institution--perhaps the most important--is the question of Western's admissions standards and its role in the regional community college that it controls. Over the past few years, Western has made slow progress in improving the qualifications of its student body. ACT scores have increased, albeit in rather small increments, although the increased admissions selectivity that this implies probably is one of several reasons why overall enrollment has declined at the University. Further progress would appear to require smaller entering freshmen classes, or a much more productive admissions operation. Smaller enrollments, however, could in turn mean lower tuition collections and might mean lower levels of state financial support. Admissions standards are related to a variety of financial factors ranging from the amount of state support to residence hall occupancy, student fee support for intercollegiate athletics, and financial aid. **(Presently, many Western students receive financial aid from the University base budget; a concentrated effort should be made to generate outside support for scholarships.)**

At the same time, Western supports a regional community college that presumably operates on an open admission basis. There is considerable uncertainty, even confusion, at Western relative to the community college. Are these students also Western students? Under what circumstances can they transfer? Who will be the faculty there and how will they relate to the conventional home campus faculty? Will there be separate budgets? **The questions are almost endless and are representative of a set of extremely important strategic questions that President Ransdell must confront.**

Many individuals at Western feel that the institution should aspire after the "Ivy League Education at a State University" model, of which the most notable examples nationally are Miami (Ohio), Truman State University, the College of New Jersey, James Madison University, and (at the very high end), the College of William and Mary. Each of these institutions, in one way or another, occupies a distinctive and highly regarded niche in its state or region, or, in William and Mary's case, the nation. Each operates a selective admission process that limits its size, promotes the

quality of its undergraduate educational experience inside and outside of the classroom, and makes a point of differentiating itself from the flagship or land grant universities in its state.

This is a plausible niche for Western to fill because no other public institution in Kentucky can claim such a set of characteristics, and few other public institutions in the South lay serious claim to this role. In such a world, Western would increase its admission standards, place strong emphasis upon small classes and superb teaching faculty, enhance its support services, and (inevitably) point out what it would not be. It would not be an institution dedicated to generous or open access for most Kentuckians; it would not have a strong focus on graduate education (though graduate programs, pruned in number and enhanced in quality would remain); and, it would not attempt to emulate the University of Kentucky.

In this model, those students who could not be admitted to the more selective Western would be admitted to the community college, where they could, after "*showing their stuff*" (as one administrator put it), transfer to Western. The goal would be to produce a situation where, in the fashion of Miami (Ohio), far more students apply for admission than can be admitted, and gradually a certain cachet and esprit begins to attach itself to the institution.

If Western is indeed to "move to a different level," then it must decide precisely what that new level constitutes and devise a plan that tells it how to move to that new situation. It will suffice for us to observe that there is little agreement on campus in this regard. By way of illustration, some individuals on campus believe strongly that Western should maintain its traditional role of providing access and opportunity to "*kids from the hollow*," that is, to promising students, often not well prepared, who come to the University from the States' remote valleys. Others, however, point out that there is little that is unique for Western in this role; it is one that numerous of its current peer institutions fulfill.

Western should not embark upon the "Miami" model without: (1) having thorough discussions of the implications on campus; (2) initiating serious conversations with State of Kentucky authorities about its desires and their possible fiscal implications; and, (3) perfecting the role of the community college that would assume important functions in such a model. There is room in Kentucky and mid-South higher education for such a distinctive institution; however, such a model would constitute a departure from much of Western's tradition and would carry with it a set of academic, fiscal, alumni, political, and even possible athletic problems. This said, it is well worth exploration.

There are two final sets of student-related concerns that merit mention. The first is that many students feel that the upkeep and maintenance of many academic buildings and residence halls has been neglected. They recite multiple chapters and verses of roofs *"that leak constantly,"* classrooms in which *"there is no air conditioning or heating"* and in which they have to wear coats in the winter. Nor are these comments isolated. Faculty and staff report the same concerns. The new President would be wise to examine this situation early in his first year as a part of a general examination of how the University has allocated its resources.

The second concern relates to Western's enrollment of African-American students, which, while not large at 6.5 percent, is only slightly lower than African-American representation in the State's population (7.1 percent). Several African-American students assert that *"Western is not especially friendly to Blacks."* These students evince an almost indefinable sense of cultural and social isolation, and several observed with respect to the administration that *"it isn't that no one cares, it's just that they don't seem to know what to do."* While such feelings on the part of African-American students are not unusual in "majority" state universities, they should not be ignored, and President Ransdell would be wise to extend his hand in a highly visible fashion to African-American students on campus, find out what their concerns are, and (as necessary) develop an action plan.

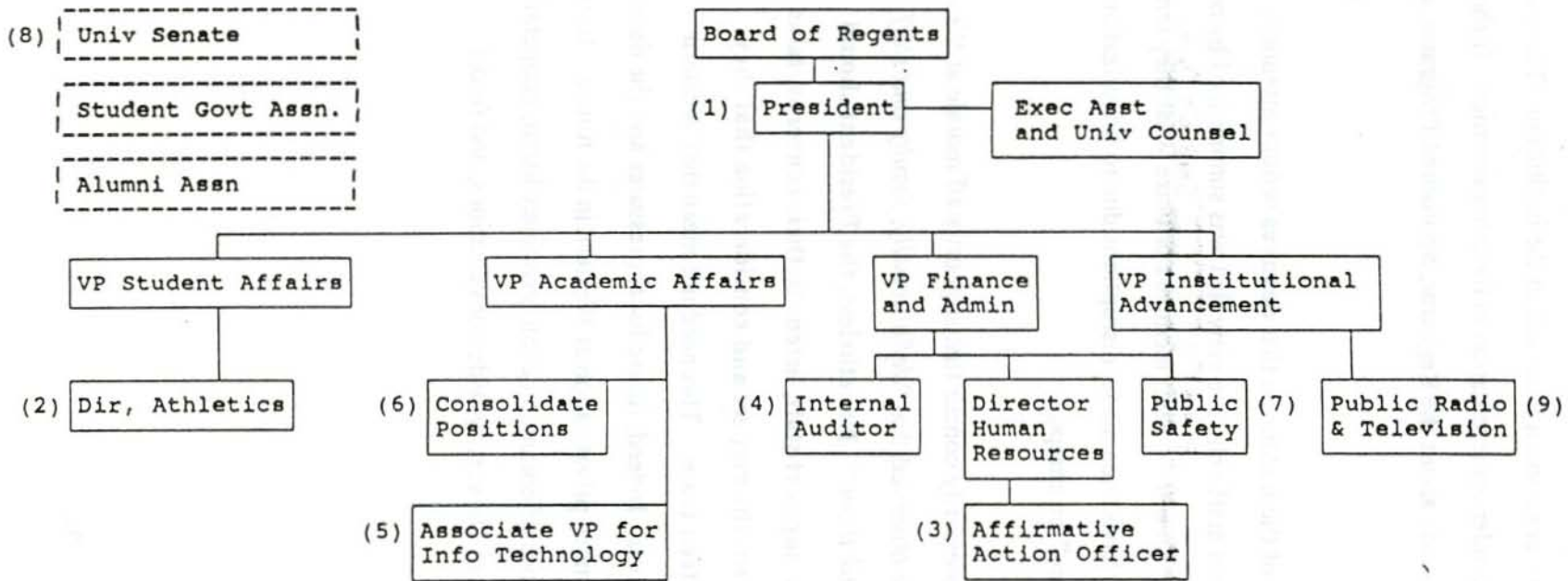
VI. ADMINISTRATION

A typical reaction to a question about Western's administration is "*There's a lot of it.*" A significant number of interviewees both on and off campus commented on poor leadership at all levels of the institution. Several business representatives reported that the "administration was difficult to work with" and many commented on the apparent "lack of focus" of the University. This was echoed on campus. Many reported that the administration was too bureaucratic.

Let's look more closely; for the most part, Western's administration is configured in a conventional fashion. The "classic four" vice presidencies exist: academic affairs, finance and administration, student affairs, and institutional advancement. More unusual, however, is the vice presidency for information technology. This vice presidency was created, some say, to entice the current incumbent to remain with the institution. Regardless, its purview includes telecommunications (including public radio and television), computer-related activities, and a variety of other related items. It is this vice presidency that has been charged with wiring the Western campus and related tasks, including faculty and staff computer and communications training, computer upkeep and repair, large scale software purchase and maintenance, and similar tasks.

While Western is not quite so far ahead of the rest of the nation in computer wiring and networking as some of its materials suggest, it merits great praise for the steps that it has taken to place the University on the cusp of new technologies in teaching, learning, and service. Much of this progress is due to the joint efforts and determination of the former President and the incumbent vice president. **Nonetheless, it is not so clear that a separate vice presidency is needed in order to accomplish this task. On most campuses, the individual occupying this post reports to the vice president for academic affairs or the financial/administrative vice president. This is another issue that President Gary Ransdell must address.**

The present organizational chart shows nine individuals reporting directly to the President. There is also one full-time position reporting to the Board as Secretary. This number needs to be reduced; i.e., the affirmative action officer could report to the director of human resources and the director of athletics to student affairs. Many commented on the three assistant vice presidents for academic affairs which is too many. President Ransdell should reduce the number of administrators who report directly to him by undertaking a general administrative reorganization. That reorganization should reflect conventional intelligence and the personalities and talents of those involved. The following line staff chart is offered:



- Notes:
- (1) All positions except Executive Asst removed from President's Office
 - (2) Athletics to Student Affairs
 - (3) Affirmative Action to Human Resources
 - (4) Internal Auditor to Finance and Administration
 - (5) VP for Information Technology assigned to Academic Affairs to Assoc VP
(Could also be assigned to Finance and Administration)
 - (6) Three staff positions in Academic Affairs reduced to two
 - (7) Public safety to Finance and Administration
 - (8) University Senate, SGA and Alumni Assn should relate to both the appropriate vice president and the President
 - (9) Public Radio & Television should be moved to Institutional Advancement where it can more appropriately reflect a positive role in promoting the University as part of its public relations functions.

Several interviewees felt that the academic credentials and experience of administrators were weak and many pointed out the *"incestuous"* nature of the entire administration; it was also pointed out that 3/4 of the department chairs were chosen from within the institution. There is also an obvious need to improve ethnic and gender representation in the administration. It should also be noted that favorable comments were made about the Registrar, Sponsored Programs, and Academic Advising.

There is another aspect of the administration of the institution that deserves serious attention. Numerous members of the University's support staff echo the view that was summarized by one: *"Morale is really bad; it's the worst I've ever seen it."* Staff members criticize what they term "sham participation" in decisions that already have been made; disruptions due to privatization; and, the disappearance of a "family atmosphere" on campus.

By reporting these perceptions, we do not necessarily concur that support staff morale at Western is terrible. A very perceptive individual once observed that *"definitionally, faculty and staff morale are always at an all-time low. Just ask them."* **Nonetheless, the President should ensure early in his term that he meets with support staff, listens to their concerns, talks with them about solutions, and accords them the respect and consideration that they deserve as important members of the Western team.** This need not mean that Western abandon its privatization and outsourcing efforts. Indeed, future fiscal pressures and the desire to upgrade support services likely will result in more privatization at Western in the future. Instead, it means that President Ransdell must open lines of communication, genuinely listen, cooperatively develop solutions, include support staff in more University-wide conversations, and (most important) treat them with courtesy.

VII. SENIOR OFFICERS AND PRESIDENT

Western has a highly dedicated set of executive officers (the vice presidents and those who report directly to the President). Most have served Western for many years and all have earned a degree at some level from Western. Hence, to some extent, all are considered to be "insiders." Some consider these connections advantageous ("*they know our situation*"), but many others regard the same situation as the central source of University problems. Those who adopt the latter view pine for senior administrators who have significant outside experience, whose degrees were earned elsewhere, and who were not roommates and/or long-term friends of the President or the Board. "*We have a terrible need for sophisticated, outside experience rather than people who were coopted years ago,*" said one respected faculty member. Another said, "*The new President has the kind of experience we need. I hope we'll have enough sense to listen to him.*" Similar statements were made by many.

Most institutions of higher education function best when the senior leadership reflects some mixture of "insiders" and "outsiders." Insiders are needed to provide context and history, and often have valuable contacts. They may, however, lack knowledge, vision, and wide experience, and become too comfortable over time. Outsiders are needed to provide fresh viewpoints and analysis and a more cosmopolitan set of contacts, and there is evidence that they often prove to be more effective leaders in many situations. However, they may stumble if they do not learn the history and saga of their new campus quickly and exhibit genuine appreciation for its people and their achievements. **While it is not our function to specify whom the new President must appoint, it does appear that he should, as opportunities arise, place emphasis upon appointing highly qualified, experienced outsiders in order to provide leavening to the current stable of executive level officers.**

* President Gary Ransdell

President Gary Ransdell is off to a splendid start. His initial campus visits have been warmly received and the campus looks forward to his leadership. At the same time,

candor requires us to note that the campus was "surprised" and even "astonished" at his appointment by the Board. This means that it is particularly important for the new President to plan his first year carefully and to take those actions that simultaneously open communication, build trust, generate a sense of movement, and address the problems outlined in this report. Whatever their views on the presidential selection process, Western's constituencies need and want a highly successful President and President Ransdell can be that person. "This campus will give him every chance to succeed," assured one well-placed faculty member. Already, President Ransdell has provided evidence of personal characteristics that observers know are connected to effective presidencies. He is energetic, a strong communicator, charismatic, intelligent, enlightened, and possesses vision. If he continues his so far astute judgment, and receives firm support from his Board, he will be a highly successful President.

VIII. BUDGET AND FINANCE

* Western's Funding

This subject may have been rendered moot by the decision of the Governor to increase funding for higher education. If not, then the data presented below are worthy of consideration. In 1995-96, Western's funding per full-time equivalent (FTE) student was as follows compared to other competitor institutions:

<u>Institution</u>	<u>FTE</u>	<u>State General Funds Per FTE</u>	<u>Total State Appropriation Per FTE</u>
Western	12,472	\$4,250	\$6,747
Eastern	13,091	\$4,244	\$6,616
Northern	8,898	\$3,434	\$6,836
Middle Tenn.	15,593	\$3,995	\$6,146
Eastern Ill.	10,855	\$4,408	\$6,982
Northern Ia.	11,425	\$6,626	\$9,441
Appalachian State	11,599	\$5,042	\$6,882
Tenn.-Chat.	7,180	\$4,623	\$7,075

(Note that the "total state appropriation" consists primarily of state general funds per FTE plus collected tuition and fees per FTE. Thus, an institution might overcome a low appropriation by means of higher tuition and fee levels, or it might charge lower tuition and fees because its state appropriation is higher.)

The above data suggest that Western's funding per FTE is below the level of several of its

reasonable competitors, but reasonably competitive within a Kentucky/Tennessee regional university context. Thus, while Western has a case to make for additional funding, it is not an overwhelming one.

There is, however, an allocational question that is provoked by these data and the faculty salary data already presented. Relatively speaking, Western is farther behind its peer institutions in the area of faculty salaries than it is in terms of overall funding. This implies that Western has been spending relatively more of its money on non-faculty salary items than its peers. This is confirmed by our analysis of Western's relatively low expenditures upon instruction, which we consider in the next section. In general, expenditure problems at Western relate less to the amount of money it has available, and more to where the money is being spent.

* Expenditures on Instruction

Western's 1997/98 budget reveals that it will spend 41.6 percent of its Educational and General (E&G) budget on instruction. This is down from 43.6 percent in 1994/95 and compares to the 50-65 percent of E&G budgets that most peer institutions spend on instruction. Thus, Western appears to devote a lower proportion of its budget to direct instruction and academic matters than most other institutions. This is a widely held perception on the academic side of the Western house, where one dean described academic affairs as "*starved*" relative to other areas of the University.

If Western is not spending as much on instruction as many other institutions, where is it spending money? The major answers seem to be: on generous numbers of administrative and quasi-administrative personnel and on support and public service activities. With respect to the number of administrative personnel, it is worth noting that the number of administrators has increased in recent years even while

enrollment has declined. Not surprisingly, many faculty echo the view of one who described the administration as "*top heavy and full of insiders.*"

In the area of expenditures upon support and public service activities, the most obvious examples are intercollegiate athletics, the University farm, public radio and television, and the Kentucky Museum. With reference to intercollegiate athletics, Western spends approximately \$2.6 million in addition to student fees, ticket revenues, gifts, NCAA payments received, etc. While it not immediately clear from budget materials precisely how much is being spent in the other areas, a vice president indicated that about \$443,000 is devoted to public broadcasting and about \$180,000 to the Kentucky Museum.

We do not argue that these expenditures are wrong, as they may fit Western's needs. Rather, there is an opportunity cost associated with each--that is, the next best use of these funds may involve the sacrifice of some highly attractive alternatives that range from faculty salaries to library acquisitions. Suffice it for us to note that many of Western's peers do not spend as many E&G dollars on similar items and hence spend more on direct instruction.

One of President Ransdell's most important tasks will be to examine the allocation of resources within the University. The relatively small size of expenditures upon instruction suggests that some reallocation should be considered. Such an action would send a clear message to faculty and others about Western's priorities and goals.

* Intercollegiate Athletics

Intercollegiate athletic teams at Western have assembled enviable competitive records over the decades. Hilltopper teams have attained national rankings and have generated significant favorable media exposure for the University. Intercollegiate athletics have inspired and united many on the campus, and for some members of the public are the

only way that they actually contact or know Western.

However, as noted above, intercollegiate athletics are a budget issue. They also are an issue in terms of conference affiliation and the long-term level of Western's commitment. Recently, Western departed from its "independent" status in football and reentered the Ohio Valley Conference in that sport. It remains within the Sun Belt Conference in other sports, including basketball.

Traditionally, the Sun Belt Conference was a very strong league in terms of the quality of the competition that it afforded, especially in sports such as men's and women's basketball and baseball. In recent years, turnover in membership has diluted that strength. Further, Western now finds itself competing with institutions located thousands of miles away and, in the words of one faculty member, "*Nobody gives a hoot whether we are playing XXXX university or not.*" Consequently, in some cases, attendance and interest have suffered. In addition, travel costs have increased, and athletes lose many more days of class when they play far away from home.

If not the Sun Belt, then what is the appropriate athletic affiliation for Western? While Western probably would be welcomed back into the Ohio Valley Conference as an all-sports participant, there are many of its followers who would regard this as a backward step. These individuals would prefer a variety of other conference affiliations, but none of these appears to be highly probable at this stage. A variety of reasons exist for this: intrastate politics, financial requirements, instability in the NCAA, television markets, etc. **This is not the place to settle the future of Western's intercollegiate athletic programs. It is sufficient for us to note that the financial stresses that afflict Western athletics in 1997 are likely to magnify in the future and that multiple Division I-AA institutions find themselves in the same general circumstances. This is yet another thorny issue for President Ransdell to consider.**

Budget and finance vice presidents are usually not very popular figures on college campuses. This is not the case here. This vice president seemed to be well thought of if not praised by all interviewed, both on campus and off. The strongest criticism was that he seemed somewhat "distracted" during the past year.

Nevertheless, a number of problems and concerns came up. Deferred maintenance is the most obvious problem -- even those off campus notice it. A local attorney was quite graphic, "*The physical condition sucks,*" he said. There obviously is general deterioration throughout the campus.

Several specific problems were mentioned. "*Only one of six hoods in chemistry works,*" said one professor. A colleague stated, "*The hoods in organic chemistry are so bad that for several years we have had to stop doing many experiments.*" He added that it was impacting seriously the quality of the teaching in that department. Several commented on the poor quality of faculty computers. "*Our computers are so old they can't relate to the student's computers.*"

Faculty were also somewhat critical of the budget process. "*There appears to be little knowledge or understanding of our needs,*" said one. "*The programs that get funded are the ones with the best PR,*" said another. "*Can we really afford new programs in student services when we have unsafe facilities?*" asked a colleague. Some felt inattention to details was affecting the quality of instruction. "*Last year they made a change in transformers and it cut out all the clocks in our building. They're still out,*" one complained. He went on to explain that students miss or are late to other classes because it's so difficult to know when classes are over. Several faculty were critical of how former academic department heads and other administrators have been handled. "*There are former administrators floating all over this place with huge salaries,*" claimed one. His colleagues seemed to agree.

There is considerable concern about inequities and "*a lack of integrity*" in administering some programs, as one faculty put it. He claimed, and several colleagues agreed, that costs were being

hidden in both athletics and development by covering them in other areas. In development, the reference was to colleges picking up a portion of the salaries of collegiate development directors. This actually is neither an unusual or uncalled for arrangement at a number of other universities, but its rationale perhaps should be explained better to the faculty.

There is more concern, however, on the athletics front. Faculty allege that a number of service and maintenance costs for the program are hidden by being "picked up" by other administrative or academic departments. This allegation is exacerbated by the widespread belief that large overruns permitted or overlooked for athletics but never allowed in academic areas. *"Football has been 80 to 100 thousand over budget year after year and no one seems to do anything about it,"* one critic claims. Several others agreed. If that is the case, either the program's feet need to be held to the fire or the budget increased if the expenses are truly warranted.

Despite these criticisms, and with the exception of deferred maintenance, most would agree with one faculty member who opined, *"We're sort of keeping up with inflation."*

IX. ADVANCEMENT; PUBLIC AND GOVERNMENT RELATIONS, ALUMNI AFFAIRS, AND FUND-RAISING

Advancement

The institutional advancement office is organized under a vice president who is also executive director of the Western Kentucky University Foundation, which was put in place about three years ago. The division is made up primarily of three departments: development, alumni affairs, and university relations, plus the related Western Kentucky University Foundation. Two additional foundations, the College Heights Foundation and the Hilltopper Athletic Foundation, also are involved in fund-raising and related activities.

Even though the University is placing greater emphasis on major gift fund-raising, there are several vacancies in key advancement positions which appear to be the result of some rather peculiar judgements. The vice president was fairly recently promoted (two years ago) from the position of director of university relations, but the University relations position he vacated remains vacant. The director of alumni affairs was permitted in 1996 to take a two-year leave of absence to pursue a doctoral degree and will not return before the end of this academic year. The office is currently administered by the assistant director who will be taking maternity leave in the relatively near future. The position of director of development has never been filled. The vice president, while generally perceived as well liked, had no development or alumni experience prior to his appointment (first on an interim basis) slightly more than two years ago.

In November 1996 the consulting firm of Bentz Whaler Flessner conducted a comprehensive and commendable Internal Analysis and Development Audit. A number of recommendations were made in that report, some of which have been implemented.

Even though the incumbent vice president had no development experience prior to assuming his current position, he has attended seminars and workshops in order to develop fund-raising knowledge and skills. Although a number of those interviewed spoke highly of him, many also are seriously concerned about his lack of any direct fund-raising experience at such a critical time

in the University's fund-raising involvement. In this situation, one should be quite concerned that none of the three principal directorships in this division are filled with experienced professionals,

We will examine these areas more specifically one by one:

Government Relations

It is generally perceived that government relations have been handled primarily outside this division by the outgoing vice president for administration and finance. The perception also is that they have been unusually effective. Since he will not be in his position in the future, it will be important that President Ransdell determine how that will be handled and by whom. It is important, however, that the President play the key role in this function himself. There is no state government relations officer as effective as the President.

Public Relations

Public relations effectiveness is somewhat difficult to measure because of the wide diversity of views concerning it. *"The PR is fairly good, but most of it involves athletics,"* observed a regent. She also felt the University *"works well with industry,"* although most business people interviewed would differ. Several faculty felt the program was *"fairly positive,"* as one put it. *"The Moving to a New Level Campaign was quite good,"* another thought. Several agreed *"it's been good for athletics, but poor for academics."* A local attorney thought, *"We get a good bit of coverage. It's certainly more positive statewide than the other regionals, but less than the University of Kentucky and Louisville."*

Others were more negative. Several alumni felt the University is no longer involved enough with the community. A businessman and alumni leader commented, *"Newspaper coverage is horrible. Only negative. There's no PR spokesman."* Another said about public relations, *"It doesn't exist!"* He also feels the school *"has become insular with the business community and the*

community in general." "They miss many opportunities for positive interaction, such as with internships and sharing expertise," he added. A businessman and alumnus from a neighboring community (Glasgow) said about the public relations department, "I didn't know we had one." "But nevertheless, the school has a good image," he added. Another attorney felt, "We don't get much local press -- but maybe it's the paper's fault." Several people commented similarly about the quality of the local press. A bank executive noted that "Western needs more visibility in Franklin. I seldom see anything in the local paper." He felt the school could get more students from that area if better publicized. He said other regional papers also are printed there, "but apparently they're not approached."

The public relations staff say they send "hometown clippings" pertaining to local students but claim the papers won't print other more substantive articles. Observers in the community all seem to agree that "Ramsey is the main player" in the public relations arena. None mentioned anyone from the advancement staff as active or visible in the broader community.

Surprisingly, several people mentioned the student newspaper, *The Herald*, as "reasonably good." Not many student papers are held in much regard by townspeople. One business person also noted, "The campus radio station is super -- wide coverage in the state. The TV is well done also."

It seems obvious the staff shortages in the public relations areas and the apparent lack of direction there is showing. The staff itself mentioned, "We've been without a director for fifteen months -- and we remain short-staffed." It is also apparent that public relations leadership must be displayed by the advancement vice president, who also should be highly visible and active in both the immediate community and regionally. Perhaps it has been difficult in the past because of the unusually prominent role the former business vice president had been playing, but there's a vacuum there now which must be filled. **Additionally, of course, the principal University spokesman, and the most visible one, should be President Ransdell. Given his background, he should fill that role well.**

Publications

The publications produced by the University relations office are generally well done and effective. The Graphics Standards Program put into place several years ago is good and having an impact. It could be strengthened, however, by being more universally applied. A logo's effectiveness depends on its being used consistently, uniformly, prominently, and repetitively. When done so, it soon becomes so well known that observers will recognize the University when seeing it so automatically and almost subliminally that their eyes will be drawn to it even when it appears only on a small advertisement on a full page in a newspaper's classified section, for example. Affiliated organizations, associations, and foundations should be encouraged, if not required, to work with the graphics department to design a suitable representation of the University logo for their organizations. Other institutions have done this effectively.

The Graphics Standards Manual also is well done, but it is confusing in some respects. We found it quite difficult to understand the finer points of what is acceptable and unacceptable as illustrated on pages 3 through 6 in the manual. Lay people and amateurs should be able to easily determine the rules and we doubt that they can. **We suggest a small group of such people be put together to work with the publications staff to attempt to make this section of the manual easier to understand.**

The main rationale for the utilizing of a consistent logo is to make it quick, easy, and automatic for external constituencies (alumni and prospective students especially) to recognize the University and its publications as something familiar and comfortable to them. That happens through repetitive use. The *Alumni* magazine is the only consistent communication vehicle for alumni but it has its own identity (in its masthead) and one has to look at the fine print to make the "Western" connection. The institution is missing its best opportunity graphic identification-wise by not finding a way to utilize the institutional logo prominently in that masthead. The small red cupula from the logo in the "U" from the word alumni is an effort in that direction, but it does not work. Perhaps the name of the magazine needs to be changed, but some way to utilize the

full logo needs to be found. In interviews with alumni, no one mentioned the *Alumni* magazine by name or as an effective communications piece. Several, when asked about communications with alumni, said, in effect, *"Yes, we get a mailing occasionally of a paper or something – maybe a magazine – from the school."* Only one knew it was a quarterly magazine and that person was an officer of the Alumni Association.

The weak supply of quality contemporary photographs for use in publications needs attention. The magazine could be improved in other ways also. Its effectiveness depends on its readability, yet the type faces used throughout are very small. Much of the target audience is aging and does not react well to print it cannot easily see. Even younger prospective readers are put off by the appearance of long boring articles, which is what happens when one looks at long pages of prose done in small type face. It tends to look like a cold, scholarly or even esoteric journal rather than a warm, comfortable, presentation of interesting news from one's alma mater.

The publication would also be more effective if more feature articles covering interesting faculty research or activities, alumni profiles, or other interesting University related matters could be presented. It does not appear to be having a major impact on the alumni as it is. **For substantially less cost, a quarterly tabloid printed on high quality newsprint could be produced with two or three times as much space for coverage of events, activities, and accomplishments of interest to alumni.** We recommend such a change be explored and considered. A number of institutions have done this effectively and examples of good university tabloids can be easily obtained.

Alumni Affairs

Given the nature of Western Kentucky University and its service to the region, it is not surprising that a large number of alumni have remained residents of the region. Several alumni interviewed revealed that even though they came to the school from other areas, they found the communities in Western Kentucky so congenial and accommodating they elected to settle here. Most

community people interviewed turned out to be alumni. **The most impressive thing discovered, however, was the universally high regard in which they held the University.** Even those who made critical comments about various aspects of the institution nevertheless displayed unusual levels of love and warmth towards "*our college.*" This high level of regard was demonstrated by the degree to which alumni business leaders look to the University for employees. One bank chairman said not only does his bank hire "*many Western people,*" but also bragged "*almost all our top management is Western.*" The University is fortunate to have an alumni body whose attitudes towards the institution are extremely warm.

There are criticisms from alumni, however. Some feel the University "*is not as close as it used to be.*" Others agree the institution does not exude the feeling of openness to the broad community it once did. One older alumnus was proud that he had served on the Alumni Board for many years "*in the past.*" But he then also expressed his disappointment "*at the lack of continuation of service some of us are asked to contribute.*" Obviously he was feeling somewhat neglected. Another alumnus was proud that his three daughters were all graduates, but "*in three or four years they have never heard anything from the University.*" Another alumnus who has been active in raising alumni contributions to support awards for faculty performance complained, "*For the third year in a row at the Faculty Awards Dinner, alumni with large checks in hand to support these awards have been left off the program.*" The impression clearly is that there may have been some deterioration in alumni programs in recent years.

The alumni office is small and being directed currently by the assistant director who is soon scheduled to be on maternity leave. The director, who apparently has done a good job in the past, was granted a two-year leave of absence by the former President to pursue a doctoral degree. **This decision has placed the alumni organization in a difficult position at a critical juncture and is hard to understand. A doctoral degree is not a typical requirement (or even a pertinent one) for an alumni director. The small staff also includes the annual fund coordinator.**

The Alumni Association is organized through an Alumni Association with a twenty-member Board of Directors which meets quarterly. There are currently forty-six alumni clubs, many in Kentucky, but some spread throughout the country. About one-half are considered active by the staff. The alumni board leadership sees the board's prime functions as oversight of alumni programs and *"bringing more cohesiveness to the alumni body and helping to improve enrollment."* They do not believe the institution recruits very well from local high schools and would like to help correct that problem. They feel the alumni programs are not funded well and the staff would agree. Staff claim the only institutional support is for salaries, so fund-raising, primarily through an alumni membership effort, is required to support programs. Board members state that all their fund-raising *"is for the Association itself to run programs."* They seem to believe it is important to become financially independent and feel the fund-raising has improved over the last three years. The Alumni Association Board seems to be dedicated and loyal but is troubled by the perceived lack of institutional direction and leadership. Critical mention was made by alumni leadership that not only is the director on leave but also that "the vice president has not attended the last three meetings."

The Membership Program requires some attention. It exists, according to staff, because of no institutional support beyond salaries. Staff reports that there have been lifetime membership programs *"off and on"* for many years. At one time approximately seven-hundred alumni purchased **lifetime** memberships for \$25. Lifetime memberships have been utilized by many organizations as a means of producing some quick cash; they are generally very ill-advised, however. The result is that a number of the most loyal and interested alumni give once and never have to give again. The key to any successful development program is to develop the **habit** of giving annually in order to generate predictable and ongoing support. Nevertheless, another lifetime membership program was started in 1996, this time for \$400 for a single membership and \$500 for a joint one. This is a mistake in our opinion.

A regular (non-lifetime) membership program itself is controversial among many development professionals and Western's should be examined closely by the new President. The current

membership is pegged at \$25 per year (\$30 for a joint membership) and generates \$48,000 annually at a cost of \$8,000. Only 3,800 alumni are members out of the 75,000 total alumni numbers (5%). The problems of such programs are several. Most are not very successful although there are some exceptions. Providing membership together with "perks" to only a small percentage of the alumni tends to disenfranchise all the nonmembers (in this case 95%). It is important to communicate with and cultivate **all alumni** as much as possible, and especially those who show the lesser amounts of interest! Some staff claim all alumni receive the *Alumni* magazine, but an association officer stated "*nonmembers receive two issues per year and members four.*" In either case a **perception** of not belonging is not a healthy condition under which to generate more alumni support. We have seen examples of membership programs being eliminated, followed by a mailing to all alumni granting them **membership(free)** and sending a membership card. These efforts have resulted in quite significant increases in alumni annual giving support when handled well. Alumni tend to respond to annual solicitations best when they are not duplicated (after a gift) nor frequent. Many have difficulty differentiating between a request for membership support and another request to give to the annual fund. We recommend that a serious look be given to this program and its effectiveness. It is quite possible that additional University support for alumni programs to offset the need for self-support through membership programs and the like could well result in substantially more net resources to the University through alumni annual giving support.

Other aspects of the alumni program are doing well, apparently. The homecoming luncheon, at which five Distinguished Alumni Awards are presented annually, reportedly had 360 attending last year, an impressive number.

The annual fund, currently administered through the alumni office, will be discussed in the following fund-raising section.

Development

A professionally run development program is a relatively new phenomenon at Western. A local engineering businessman noted, *"In the past the only fund-raising seen was in athletics. The last couple of years have been different."* He recently made a major gift. Most interviewed are critical, however. *"They haven't done a good job,"* claims an Alumni Board officer, *"We've been known for not asking people to give back to the University."* He complimented the commissioning of the consulting report a year ago, but feels *"the process has taken far too long."* An attorney agreed there has not been *"a very good job,"* and that *"the process takes forever."* *"They've been talking about it for three or four years,"* he adds, *"but there is no systematic solicitation program."* This attorney, whose firm does some estate planning, complains, *"I'm aware of a planned giving program, but only vaguely. I'm surprised we haven't been contacted."* A businessman who has been or is on three university fund-raising boards, stressed that University fund-raising *"needs combining and coordination. We're always being hit. There's no big picture approach to fund-raising."* Another attorney states that it's *"a confused, strange thing at Western. We're approached for funds by the museum, the TV station, Western itself, departments, athletics. That makes it difficult for everyone."* He did add that he thought *"Fred is well organized and has a nice approach."* A businessman recently recruited for the Western Kentucky University Foundation Board finds the University's fund-raising *"damned strange,"* and added, *"Fortunately, the Foundation Board looks surprisingly strong."* Another businessman complaining about the multiple solicitations said, *"Businesses are being nickel/dimed to death."* Another, pointing to fund-raising publicity, said, *"The College Heights Foundation group is always getting its picture in the paper for thousand-dollar gifts. That sends the wrong message -- that Western is a nickels and dimes organization."* He added that the University *"needs a major, organized fund-raising plan and strategy."* Fortunately, virtually all the critics are supporters of the University, most at major-giving levels, and want fund-raising to succeed.

A regent summed up and explained, *"We have a long way to go. We're way behind other institutions. First Meredith hired the wrong V.P., then had to make another change to the incumbent. I have confidence in the new V.P. as a person, but he was elevated from PR. We need some direction and stability."*

There have been a number of mistakes along the line, several of which are mentioned in last year's development audit. Another one, similar in misjudgement to the Alumni Life Membership Program, is the University's Cherry Society, which solicits commitments to give \$5,000 per year for five years (\$25,000) to become members. The problem is at the end of five years their commitment is finished and they are permanent members of the society. **A fund-raising truism is that the best prospects for future gifts are present and past donors. The people who become Cherry Society members should be the school's best prospects.** But they have done their duty, they are full members, and the implication is that they have fulfilled their responsibility to the school and need do no more. The University recently seems to have recognized this problem and attempted to correct it by adding several additional cumulative giving societies at higher levels. It would be better advised to try again and establish higher levels of **annual giving clubs**, i.e., \$5,000 per year, \$10,000 per year, etc., to encourage **annual giving** at higher levels. If handled well and publicized effectively, once donors are listed, say, at the \$10,000 level, they will try very hard to stay there, or perhaps elevate themselves to an even higher level.

One additional concern about the Cherry Society is the manner of promoting it. An affluent local businessman complains, *"Two years ago I was invited to the home of a friend who assumed I was a Cherry Society member. I had lived here 20 years (and been a donor) and for the first 18 years had never heard about it. I wrote a check for \$25,000 that night, but I became a member by accident. That's not the way the pros do it."*

Total giving to the University has remained static in recent years in a climate in which giving to higher education nationwide has increased impressively each year, as it has also at the better universities. Western's giving totals are as follows:

	<u>1994</u>	<u>1995</u>	<u>1996</u>	<u>1997</u>
Total giving:	\$3,189,330	\$3,117,426	\$2,971,470	\$3,045,724

Granted, Western's program is relatively new, but most development professionals would anticipate larger than typical increases in a new program, if well handled, not level or decreasing amounts.

Total giving at some of the stronger universities Western Kentucky considers "benchmark institutions" is also enlightening:

SELECTED WESTERN KENTUCKY BENCHMARK INSTITUTIONS

FY 1996

<u>Institution</u>	<u>Total Giving</u>	<u>Annual Giving for Current Operations</u>
Appalachian State University	\$5,460,218	\$ 734,894
Ball State University	9,610,858	1,279,266
East Carolina University	9,100,758	1,857,618
East Tennessee State University	12,540,866	302,486
Illinois State University	4,431,293	731,007
Kent State University	7,289,794	813,025
Miami University	15,005,246	2,162,891
Middle Tennessee State University	4,563,251	400,641
Ohio University	11,465,301	3,051,328
Southwest Missouri State University	5,684,417	585,358
Western Carolina University	3,582,425	301,299
Western Kentucky University	3,018,153	636,254

There are others on the benchmark list who have not done as well, but these listed are more indicative of development programs Western should emulate. The most encouraging observation from this list is that Western's alumni giving is quite impressive compared to many of these institutions, especially in terms of its proportionate size compared to total giving. **Western's alumni contribute about 21% of the giving to the University. Nationwide alumni account for roughly 28% of giving to higher education.** Western's record is impressive and

encouraging considering the relative youth of its program and the fact that over half of its alumni are not yet solicited.

Annual Giving

This program currently is administered out of the alumni office, primarily through a phonathon utilizing students who are paid to do the calling. Of the approximately 75,000 total alumni of the school, staff reports that they have at least 50 to 55 thousand good addresses, up substantially from previous years. However, there have not been funds available for direct mail solicitation efforts. Phone numbers are available only for 35,000 alumni. Without direct mail, close to 20,000 alumni are not asked to give at all. Furthermore, funds for the phonathon are sufficient only to call for a couple of months per year and last year only about 20,000 were reached by phone. A 15% fee is assessed on phonathon receipts to help with expenses, an ill-advised arrangement; donors tend not to like to give to programs or causes that assess a fee off the top.

Several changes in the administration of the program should result in substantially improved results over the approximately \$400,000 currently being raised.

We recommend that the coordinator of the annual fund be moved from the alumni office to the development office to report directly to the director of development.

We recommend that the 15% assessment arrangement be abandoned quickly and that funding sufficient to allow a phonathon to continue long enough to reach all alumni (within reason) be found. Also, funding should be found or provided sufficient to produce and send at least two direct-mail solicitation pieces to alumni whose phone numbers are not known and to others who cannot be reached by phone.

Coordination and Organization of Development Efforts

The numerous comments of interviewees pointing out the problem of multiple solicitations is a serious one and predictable by an analysis of the structure of Western Kentucky University. This problem is not unique to Western; many others have a similar situation, but many have solved it also. Western will not optimize its development potential without recognizing the problem fully and addressing it.

The problem of solicitations from inside the University can be solved quite simply by putting into place a coordinating policy and function in the development office and enforcing it. Such a function is handled through a sort of clearing house arrangement in the office through which all fund-raising efforts University-wide must be channeled and approved. There are many models of such arrangements at other universities. The President must establish such a policy and insist on it being respected for it to work. Most donor records should be on the data base already; the system merely requires a procedure for lists of prospects to be submitted periodically for clearance. A few prospects may prefer being contacted by all the campus organizations they currently support. Most will prefer being approached only once or a limited number of times annually and would welcome the opportunity to have one visit by a development officer and consider then which organizations they will support that year and for how much. Our experience is that many donors will give more in total under such a system than they will if they are continually badgered. A consultant could be secured to help set up this system, if desired.

Athletics is a more difficult challenge. Many athletic boosters will support nothing other than athletics. Those should be assigned as athletic's supporters exclusively and left alone, usually. Others must be handled differently. Athletic supporters frequently contribute not only through booster club membership campaigns but also through ticket purchases to banquets, golf tournaments, and the like. That is generally not a problem so long as what is a gift and what is not is well defined and understood. Currently, athletic fund-raising is theoretically coordinated by the athletic fund-raiser reporting to the development office. That will work, however, only if the coordinating policy is administered and enforced for athletics as well as for other campus entities.

The existence of the Hilltoppers Athletic Foundation contributes to the coordination confusion, but that will be addressed later.

The recent establishment of the Western Kentucky University Foundation as the principal fund-raising vehicle and depository was well advised, especially since it is designed to be administered through the development office. **The problem is that it is only one of three fund-raising foundations connected with the University, which tends to create confusion and competition automatically.**

College Heights Foundation

This Foundation was created in 1923 by President Cherry and was apparently the primary fund-raising vehicle for the institution through much of its history. Its emphasis historically (and currently) is in obtaining gifts for scholarships (both endowed and current) and in administering them. It also periodically raised money for other purposes such as constructing the Kentucky Building in 1930 and commissioning a Dr. Cherry statue in 1937. The Foundation currently has approximately \$14.5 million in assets and distributes approximately \$600,000 annually in scholarships in cooperation with the University scholarship committee. Gifts to the Foundation in calendar 1996 were \$1.2 million (although the University reported gifts to this Foundation of only approximately \$850,000 in both 1995 and 1996, their fiscal years are different).

The University has been given the impression as reported by both the vice president and development staff that the Foundation "*does not actively solicit gifts,*" but that apparently is not the case. The \$1.2 million in 1996 was almost \$500,000 more than the Western Kentucky University Foundation and the University together raised for non-athletic gifts. Leadership of the Foundation attempts to clarify this discrepancy: "We do not aggressively solicit gifts." They further explain this matter by explaining that a former development vice president "*was overly aggressive and didn't fit in.*" They also mentioned as an example a very recent visit with a 91-year-old alumnus who is in the process of setting up a will leaving everything to the Foundation.

They further explained, "*We don't want anyone from Western Kentucky University boogering with our prospects*" such as this one. Part of the problem, of course, is that Western has a trained planned giving officer whose job is precisely to "*booger*" with such alumni prospects. Clearly, the Foundation does continue to "*actively*" solicit gifts, although not "*aggressively*" as they consider it.

The College Heights Foundation maintains records of all its donors and contacts with them, albeit all the records are hard copy -- it does not use computers. Records of gifts reportedly are communicated to the University but not the more relevant donor details and histories in the files. Also, since the Foundation apparently receives more contributions than are reported to the University, that discrepancy also raises questions. Development staff does not have sufficient data to "*work*" the Foundation's donors effectively nor will the Foundation "*permit*" such contacts.

The best prospects for future gifts are current and former donors. It is apparent many, if not most, of the institution's major donors (and hence best prospects) are in the Foundation's files, not the University's. Certainly, the donors to the Foundation are among the very best prospects for the planned giving program, but they are "*off limits*" to the University's trained planned giving officer.

One additional concern is the manner in which College Heights Foundation endowment funds are being invested. The Foundation's motto is "Guardians of Trust" and obviously the leadership there sincerely believes they are doing a good job of protecting their donor's contributions. However, the total returns from their investments each of the last two years (1996 and 1995) have been in the 6% range. Nationally, average endowment total returns for universities (and related foundations) endowments in recent years have averaged well into the double digits. The Foundations's scholarship awards plus management expenses have also been in the 6% range according to financial statements. In other words, the endowment earnings have not even kept up with inflation. A University staff person asserted that someone at the University business office recently computed that the Foundation's assets "*could have been several times larger if invested*

and managed professionally.” If this is true, sophisticated donors to the Foundation cannot be very impressed.

Other universities have had similar problems. One that we are aware of had seven different related foundations. It now has one. **It appears difficult if not impossible for the University to maximize its fund-raising potential without finding a way to merge or combine its three foundations into one.** It is probably possible to find a way, though likely not an easy one, to do so while maintaining both the identity and integrity of the College Heights Foundation. Certainly no one would want to in any way embarrass or alienate the people who have worked hard to establish it over the years. A consultant to help might be well advised and the Board of Regents should play the “heavy” in such an effort. **This is not an area in which a new President should appear to be the instigator.** The combining of the three foundations should also result in considerable savings given that each organization currently has several full-time staff and probably considerable duplication of effort.

It is also recommended that the development office quickly complete the staff reorganization currently underway, especially the hiring of a seasoned development director with a strong track record.

The institution’s fund-raising potential is great providing it can complete its reorganization, eliminate unnecessary duplications of effort, and coordinate its various fund-raising efforts.

X. GOVERNANCE

General

The greatest deterrent to achieving effective leadership and change in higher education today is the state of governing board and campus governance. The first is the responsibility of the governing board, the second of the president (or should be). Both the condition of the university presidency today and the research on effective leadership and organizational behavior speak strongly to this point, for the bylaws, policies, and practices of both governing boards and campus governance bodies are often replete with provisions that make effective presidencies all but impossible. This is particularly so in public institutions. Such is clearly the case with Western Kentucky University.

During the recent past, the college presidency has been gradually but measurably diminished in stature and authority. While governing boards have continued to hold president's accountable, they have less and less power to get the job done. The result has been diminished respect for the office, and for those who hold the position, and a growing tendency for governing boards to get overly involved in the administration of the institution.

At Western Kentucky University as well as elsewhere, that involvement has led to more direct relationships between boards and faculty, students, and staff, often absent the president or agents of the president. Under such conditions, there is bound to be increasing estrangement of the president from each group. In such situations the leader, to survive at all, must become a master at pandering to each group until, almost inevitably, succumbing to their collective ineptitude as the obvious scapegoat. Effective leadership is therefore all but impossible.

Countless faculty petitions; board executive sessions, either official or secret; special meetings and committees including the Board and faculty and often students and even staff; and harried CEOs attest to this truth. At Western Kentucky University, some regents speak of "*vice presidents, deans and other officers who must go,*" or how they "*intend to see the University administered.*" **Such matters are not the province of an effective Board of Regents. The**

key to the effective conduct of an organization is for a board to establish and approve policies, appoint a president with executive authority, and annually rigorously and systematically evaluate the president. None of this has been done effectively at Western Kentucky University.

Basic Premises for University Governance

Although a university is a corporation, it is unlike a business and unique because of two conditions that have come to be considered fundamental: academic freedom and shared governance. There are two primary documents that most accept as standards against which the condition and conduct of a university is measured: *The 1940 Statement on Academic Freedom and Tenure* and *The Joint 1966 Statement on Government of Colleges and Universities*. Except in extreme cases, both faculty and administration consider these documents as essential roots for university governance.

Although some believe it is not possible to conduct an effective presidency under these premises, quite the contrary is true. The problem in many institutions has not been the concepts of academic freedom or shared governance. Rather, institutions often become stalled and/or in conflict -- in effect, leaderless because they become mired in their own faulty governance designs, ostensibly forged to protect or achieve these conditions. The unfortunate result has been that many boards and some faculty and administrators have come to question the concepts themselves. Yet, neither concept is at all frightening or demanding; to quote: "the fault is not in our stars, but in ourselves"

The 1940 Statement on Academic Freedom and Tenure

The 1940 Statement was enacted after a series of joint conferences begun in 1934 between representatives of the American Association of University Professors (AAUP) and the Association of American Colleges (AAC). Later, *The Statement* was officially endorsed by more than 100 professional organizations. Briefly, academic freedom means freedom in

teaching and research and is considered a fundamental declaration for the protection of the scholar/teacher and student. Tenure is a means of ensuring academic freedom and a sufficient degree of economic security to make the profession attractive to persons of ability. Both conditions carry obligations on the part of the teacher, but **under certain circumstances, tenured individuals can be terminated.**

Under academic freedom, the teacher is entitled to full freedom in research and publication of results, subject to the adequate performance of other academic duties. However, research for monetary return should be based on an understanding with the institution's authorities.

As discussed earlier, academic tenure means that at the end of a probationary period (not to exceed seven years), faculty should have continuous employment, **subject to termination for adequate cause, except in the case of retirement for age, or because of extraordinary financial exigencies.** It is also advisable to give at least one year's notice if a person is to be terminated or not granted tenure at the end of the probationary period.

The 1966 Joint Statement on Government of Colleges and Universities

This *Statement* was directed primarily to governing board members and presidents under an assumption of "shared responsibility and cooperative action" among the components of an institution. Generally, board members do not know it. It is the academic underpinning for the widely held notion of "shared governance" in American higher education. Board members and CEO's should know and take *The Statement* seriously, but it is subject to considerably broader interpretations than *The 1940 Statement on Academic Freedom and Tenure*.

It is important to note that although *The Statement* is promulgated as the joint statement of the American Association of University Professors (AAUP), the American Council on Education (ACE), and the Association of Governing Boards (AGB), ACE and AGB did not endorse The Statement. Rather both stated that they "*recognized The Statement as a significant step forward in the clarification of the respective jobs of governing boards, faculties, and*

administrations" and "commend it to institutions and governing boards." The Statement, in any case, is not intended to serve as an exact blueprint or as a defense in instances of controversy among the various interested parties of an institution.

While *The Statement* emphasizes the role of the faculty, in several places it clearly states that the faculty "*recommends*" to the president who then acts, or, in turn, "*recommends*" to the governing board. It speaks to the "*initiating capacity and decision-making participation*" of all institutional parties, and of differences in "*weight*" of each voice determined by the responsibility of each party for the particular matter under consideration. Valid points are also made about the generally debilitating nature of unilateral action on the part of presidents and the importance of standard procedures for areas of responsibility, authority, and continuing review.

It states that the faculty's primary area of responsibility should be to determine the curriculum "*after an educational goal has been established,*" but even here, it points out, the final institutional authority goes to the president and the governing board. Rarely, however, would a president or a governing board make any academic judgment against faculty recommendation, but under certain conditions, there have been exceptions, as may be the case at Western Kentucky University in general education requirements. Typically, however, the president would ask the faculty to reconsider the matter.

The Statement also recommends that faculty and, to a lesser degree, students be involved in long-range planning, decisions regarding existing or prospective physical resources, budgeting, the appointment of a president, and the appointment of chief academic officers. Note that The Statement says nothing about the evaluation of presidents or other institutional officers.

The Statement also assumes that the faculty, along with the board "*delegates authority*" to the president. Here we take exception to *The Statement*, for the faculty is neither the originating nor the legal authority; *the board grants all authority*. And, to grant authority without

accountability is a recipe for turmoil. The only way a faculty can delegate authority to a president is in unfortunate instances where governing boards have granted the faculty the power to do so. And, in such cases, the president is really caught in an unbridgeable dichotomy and substantive change is virtually impossible.

The faculty should play a major role in setting requirements for degrees and determining when requirements have been met. And faculty members should have an important voice in the curriculum, methods of instruction, research, faculty status, and those aspects of student life that relate to the academic process. But the strongest language used in *The Statement* in this regard is:

"On these matters, the power of review or final decision lodged in the governing board or delegated by it to the president should be exercised adversely only in exceptional circumstances, and for reasons communicated to the faculty. It is desirable that the faculty should, following such communication, have opportunity for further consideration and further transmittal of its views to the president or the board."

Unlike conditions at Western, *The Statement* does not call for direct formal contact between the faculty and the governing board. Rather it calls for faculty (and student) recommendations to the president, who may or may not endorse their positions to the board. It calls for the president to convey *"faculty views, including dissenting views"* to the board and asks the president to inform the faculty and students of the board position. Contrary to the 1994 governance changes at Western Kentucky University (164.321), **it does not ask for membership on the board or on board committees.**

Unfortunately, many governing boards (as well as some CEOs and faculty) have misunderstood *The Statement's* call for faculty participation in decision making as a plea for close association between all decision making parties. This has unfortunately resulted in countless instances of board/faculty/student formal associations, each potentially compromising

the role and ability of the president and the efficiency of the institution. The faculty member or student will quite understandably say, *"if I can get it from the board, why bother with the president or the dean ...?"* And the accountable CEO is left dancing between the three --- and all parties are less happy and less effective. But when things go bad and they invariably do in hard times, the CEO and other administrators pay the bill.

Rationale

As noted above, a special problem is associated with the membership and participation of faculty, staff, and students on the board or on board committees. There are three major reasons why faculty, staff, and students should not serve in these roles. First, this practice enables individual campus constituents to go around the President and deal directly with board members. Only the President should deal directly with the members of the Board of Regents and only he or she can represent the entire University community to the board. When faculty, students, and staff learn that they do not need to deal with the President, in a crunch, they will not do so. They will, quite understandably, go directly to the board via their membership roles. When difficult decisions must be made, they can (and experience on other campuses indicate they will) undercut the President, thus, faculty, student, and staff membership on boards or board committees sets up the President for difficulties during any period of controversy.

Note that removing faculty, students, and staff from the committees of a board does not mean that these individuals should never talk with board members. **Rather it means that when they do so, it should be a privilege extended by the President, and not considered to be a right.** Thus, when a student affairs committee considers a ban on first semester "rushing" by Greek organizations, the President may invite appropriate student representatives (including those from Greek organizations) to speak to the committee and present their views. But, this must be an invitation extended by the President, or his or her agent, and a privilege extended,

not a right. This will diminish disruptive and counterproductive behavior and contribute positively to the image of the President as the legitimate campus leader.

The board should, by means of a policy it adopts, charge the President with keeping the board informed about developments on the campus and charge him/her with providing the board with abundant opportunities to interact with faculty, students, and staff, both in committee meetings (where they should not sit at the table with board or committee members, but be called upon as appropriate) and at lunches, lectures, tours, concerts, and other events.

The second reason why faculty, students, and staff should not be members of the board's committees proceeds directly from leadership theory and empirical evidence. Those who exercise authority should also be held accountable. Unfortunately, faculty, staff, and students cannot be held accountable for anything related to the overall operation of Western Kentucky University. Only the Board of Regents and the President ultimately are accountable for the operation and prosperity of the institution. For example, if students on a committee were to vote to eliminate tuition and fees, Western would face a cataclysmic future. The students who voted in favor of this action, however, can return to their homes and will not face the consequences. The Board and the President, however, will. Here again, the lesson is that authority must be joined with accountability, and faculty, student, and staff membership on the board violates this fundamental rule.

The third reason why faculty, students, and staff should not be members of the board is obvious from the previous example. There exists a conflict of interest. Such individuals consistently vote on issues which directly affect their own circumstance and welfare. This is inappropriate. Note once again, however, that removing faculty, students, and staff from the board's committees does not mean that they should be ignored. Far from it. Instead, they should be called upon by the President (or his/her designees) for their views as appropriate. This is all that is called for by both the traditions of university governance and the empirical

research on effective management and leadership. If the state of Kentucky believes it appropriate to have faculty and student representation on public university governing boards, then those representatives should come from other universities in the state, not the institution with which the faculty member or student is directly associated.

A direct corollary of the previous point is that the University's vice presidents and other staff should participate in committee or board meetings only as the designees of the President. The vice presidents, or other staff and line administrators assigned to work with board committees or the board, including the secretary of the board, should be assigned by the President (not the board or the board bylaws) and clearly understand that they are the President's agents. Once again, only the Chair of the Board of Regents and the President ultimately can speak for the University, and in the far greater measure, the President should speak for the University.

Recommended Changes at Western Kentucky University

Based then on replicable research in the fields of effective management and leadership and the established codes of American higher education institutions, the following changes are recommended in the governance of Western Kentucky University:

I. Board of Regents State Statute No. 164,321

Legislation should be introduced calling for the following changes in the Board of Regents Statute:

- (A) **The number of regents should be increased from eleven to fifteen.**
(Explanation: Eleven is too small to give due service to an intelligent committee system which is discussed below.)
- (B) Western students and faculty should be excluded from membership on the board. Staff should also be excluded.

II. Board of Regents Bylaws (January 22, 1993)

(See Appendix E)

The following suggested changes are offered:

- (A) Page 6, ARTICLE II, SECRETARY, TREASURER. The Bylaws should clearly stipulate that any University officers assigned as Secretary or Treasurer are appointed by the President and not the Board.

(Explanation: To do otherwise is to compromise the clear authority of the President and/or to mislead the officers in question. No university officer should have two masters.)

- (B) Page 6, ARTICLE III, 1., Committees of the Board of Regents. Change to "The standing committees of the Board of Regents shall be the Executive Committee, the Academic Affairs Committee, the Administrative and Finance Committee, the Student Affairs Committee, and the Advancement Committee."

(Explanation: The substantive work of the Board should be done in committees and there are now not enough committees for the Board to fully exercise its responsibility. Assuming only eleven members, there should be three assigned to Academic Affairs; three to Administrative and Finance; two to Student Affairs, and three to Advancement.)

- (C) Page 7, ARTICLE III, 2. Executive Committee. Change first line to "The Executive Committee shall consist of the chairperson, vice chairperson, and each of the committee chairs." Before the next to last sentence insert "The Executive Committee shall also serve as the President's Review and Compensation Committee."

Add as the last line "The President of the University shall appoint a member of the staff to serve as administrative agent to the committee."

- (D) Page 7, ARTICLE III, Eliminate 3. The Finance Committee and 4. The Academics Committee and add as follows:

"3. The Administrative and Finance Committee. The Administrative and Finance Committee shall be responsible for reviewing, evaluating and recommending to the Board of Regents, the biennial budget requests which are submitted to all

appropriate government agencies of the University; the annual operating budget of the University for each fiscal year; adjustments to the annual operating budget as from time to time required by operations of the University; the allocation of unencumbered fund balances which accrue to the University at the close of each fiscal year; the maintenance and staffing of University facilities; and any proposal for the construction of academic, administrative or service facilities through the issuance of revenue bonds and all other financial and budget matters which involve the Board of Regents. This Committee shall also appoint the external auditor of the University. The Administrative and Finance Committee shall consist of a minimum of three members of the Board and shall be staffed by an officer of the administration appointed by the President.

4. The Academic Affairs Committee. The Academic Affairs Committee shall be responsible for evaluating and recommending to the Board of Regents all matters affecting the academic affairs of the University. The Academic Affairs Committee shall consist of a minimum of three members of the Board and shall be staffed by an officer of the administration appointed by the President.

5. The Student Affairs Committee. The Student Affairs Committee shall be responsible for continually assessing and appraising the non-academic aspects of student life, rules and regulations for student conduct, placement, morale, facilities and related needs. The Committee shall recommend to the Board of Regents matters concerning student life brought to the Committee's attention. The Student Affairs Committee shall consist of a minimum of two members of the Board and shall be staffed by an officer of the administration appointed by the President.

6. The Advancement Committee. The Advancement Committee shall be responsible for studying, designing, promoting, approving, and initiating leadership in plans and policies for achieving public awareness of Western Kentucky University as the basis for achieving financial support ensuring its philosophy, mission and goals, in the region and the nation. The Committee shall

recommend to the Board gift and grant policies, programs and volunteer leadership requirements for all relations, communications and philanthropic gifts and grant programs; and approve all University resource development programs. The Advancement Committee shall consist of a minimum of three members of the Board and shall be staffed by an officer of the administration appointed by the President."

- (E) Page 8, ARTICLE III, 6. Selection of Committee Members. The first sentence should be changed to read "Officers of the Board shall be elected by the Board of Regents at the third regular meeting (calendar year) of the regents." The last sentence should be changed to read "Members of the Committees of the Board shall be selected by the Chairperson of the Board of Regents, and the terms of the committees shall run concurrently with the Chairperson and Vice Chairperson."
- (F) Page 9, New ARTICLE V should now read: "1. Responsibilities of the President. The President of the University is appointed by the Board of Regents and serves at the pleasure of the Board. The President is the chief executive and academic officer of the University and has direct charge of and is responsible to the Board for the operation of the University. The President shall submit to the Board, in writing, an annual report on the condition of the University.
- A. Responsibilities of the President include, but are not limited to:
- (1) Providing leadership to the Board and the community in the development of the University's mission and programs;
 - (2) Supervising the University's faculty and all other University employees;
 - (3) Balancing the University's revenues and expenditures, managing the University's funds and other resources, assuring the financial integrity of the University, and reporting the financial condition of the University to the Board, on a regular basis;
 - (4) Managing and personally participating in public and private fund-raising;

- (5) Managing the University's facilities;
- (6) Implementing the Policies and Procedures of the Board;
- (7) Making recommendations to the Board concerning the initial appointment of faculty, the award of tenure to faculty, and the granting of emeritus status;
- (8) Making recommendations to the Board concerning student fees;
- (9) Recommending to the Board a management structure for the University and the organization of the University's academic programs into colleges, schools, departments, divisions, and centers of instruction;
- (10) Making other recommendations, as necessary, to the Board or to Board committees with regard to matters falling within the authority of the Board;
- (11) Speaking on behalf of the University as its official spokesman and representing the University as its designated representative;
- (12) Presiding over official meetings and functions of the University;
- (13) Informing the Board of actions taken by the President, as appropriate, and of the development of critical or controversial issues;
- (14) To review, accept, modify, or reject recommendations of the campus governance bodies, or to cause such activities to be done, with respect to any matter concerning academic policy, programs, or procedures. To present to the Board all formal recommendations on such matters, ensuring that significant dissenting positions are reported. In turn, the President shall inform the faculty of the Board's position in those areas where their interests and well-being are affected; and

(15) Performing such other specific responsibilities as are required by the Policies and Procedures of the Board or by the laws and regulations of the state of Kentucky.

B. The President is hereby designated as an official spokesman and representative of the University. As the University's designated representative, the President is delegated the general authority to act on behalf of the University and the Board of Regents.

C. The authority of the President to act on behalf of the University and the Board includes, but is not limited to, the authority:

- (1) To appoint and to reappoint all faculty and fix their salaries;
- (2) To approve promotions in rank of faculty;
- (3) To take final actions on behalf of the University in all other personnel matters concerning the University employees, except that the President shall not have the authority to make final decisions on faculty requests for Board review of negative tenure decisions or to make final decisions on severe sanctions including dismissal for cause and/or dismissal for financial reasons;
- (4) To approve the awarding of degrees and certificates to candidates who have completed all degree requirements and are recommended by the faculty of the appropriate college, school, or division, and the authority to confer such degrees and certificates;
- (5) To approve the use of University facilities;
- (6) To approve the use of the University's name and visual identification;
- (7) To execute contracts, leases, and other legal instruments;
- (8) To execute documents necessary to purchase, sell or otherwise convey interests in real property, subsequent to Board approval;

- (9) To accept gifts;
- (10) To make final decisions on student disciplinary matters;
- (11) To exercise such authority as is provided by the Policies and Procedures of the Board or by the statutes and regulations of the state of Kentucky.

D. The President may designate another University officer or employee to exercise, in whole or in part, the authority provided to the President herein, provided that the President shall be responsible for the actions of his/her designee.

2. Review and Compensation of the President.

A. The President shall be informally evaluated, in executive session, at the annual meeting of the Board, according to written objectives, specific and general, developed by the President and presented to the Board at the outset of each academic year.

B. The President shall be formally evaluated by the Board at least every four years or at any other time deemed desirable by the Board. The evaluation shall be conducted by an outside evaluator who will be appointed by the Board with approval of the President.

C. The Executive Committee shall serve as the President's Compensation Committee and based on each annual evaluation, meet in executive session to review the President's compensation package."

(G) ARTICLE V should now be numbered ARTICLE VI.

Campus Governance

Campus governance should be under the clear aegis of the President and neither campus governance bodies or staff, other than the President, should relate directly to the Board of

Regents; yet at Western there are many examples to the contrary, all of which compromise effective decision-making, individual accountability, and institutional progress.

As alluded to above, the campus governance arrangement at Western is one of the most illogical and incoherent we have seen. The existence of both a Faculty Senate and an Academic Council is confusing, time consuming, often redundant, and according to many interviewees, both bodies are essentially unimportant. One faculty member said, *"If a president wanted to render a faculty impotent, he would have designed a system like this."* At Western, one may make a choice regarding the relative importance of each body, or conclude as have many, that neither is particularly effective or worth taking seriously. While some of this critical disposition may be due to the general perception about the former President, the present arrangement, under any leadership style, is bound to become an exercise in frustration and ultimately, arbitrary decision-making. While all governance systems are problematic, the present design at Western simply will not work during a period of thoughtful and participative transformation.

It is recommended that the new President immediately commission a special task force on university governance chaired and made up of faculty with student representation (no staff) with an administrative officer appointed by the President. The task force should report to the President by May of 1998 and be charged with recommending a single university governance body with two provisos: (1) Those faculty and students (to a lesser degree) affected by decisions should have a voice in their making, and (2) all recommendations of the body are under the final authority of the President.

Generally, such a body would have a distinct majority of full-time faculty representatives with no more than 15-20% student representation with no administration or staff representation. The vice presidents of the University would serve as ex officio nonvoting members. This body would have reporting to it all of the committees of the University (i.e., budget, curriculum, et al) excepting certain appointed ad hoc committees which would operate only under strict time frames.

Finally, the body would operate under the spirit of the *1966 AAUP Statement on Shared Governance* discussed above and be finally approved by the President and not the Board of Regents, as is presently the case.

The Policy Manual

The Government Statutes, Rules and Policies of Western Kentucky University begins with apologetic equivocation in the Introduction and gets more confusing and inappropriate as one wanders through its essentially unnumbered pages. (It was also difficult for the Reviewers to secure.)

Ostensibly approved by the Board of Regents, it contains subjects which should be more appropriately included in the Bylaws of the Board (i.e., the evaluation of the President) or under the direct authority of the President (campus governance). It invites micromanagement by the Board as well as containing many ill-advised procedures which are totally inconsistent with the generic research on effective management and leadership (i.e., p. 43.2.2.).

It is recommended that the Board ask the President to develop a revised policy manual that is clear, concise, and essentially consistent with the traditional canons of university governance, individual accountability, and in the spirit of the other governance recommendations in this Review.

XI. RECOMMENDATIONS

1. **Legislation should be introduced calling for increasing the number of regents from eleven to fifteen and excluding Western faculty, students, or staff from Board membership. (Statute No. 164.321) (See Chapter X)**
2. **The Board of Regents Bylaws should be changed to legitimize more fully the presidency, define the roles of all parties, including the board, and more nearly insure effective conduct, communication and individual accountability throughout the University. (See Chapter X)**
3. **A Code of Ethics or a Standard of Conduct should be officially adopted by the Board which would clearly state the responsibilities of trustees and against which the behavior of members of the Board could be evaluated (See Appendix F).**
4. **A full-time position, Secretary to the Board, is unnecessary. The position should be eliminated, or in any case, reassigned to the office of the President with a new job description.**
5. **The Board of Regents should have a detailed orientation session in the immediate future. The session should be conducted by an outsider approved by the Board and approved by the President.**
6. **It is recommended that the Board ask the President to recommend a revised policy manual that is clear, concise, and essentially consistent with the traditional canons of university governance, individual accountability, and in the spirit of the other governance recommendations in this Review. (See Chapter X)**

7. The President should immediately commission a task force on University governance chaired and made up of faculty with student representation (no staff) with an administrative officer appointed by the President. The task force should report to the President by May of 1998 and be charged with recommending a single university governance body with two provisos: (1) Those faculty and students (to a lesser degree) affected by decisions should have a voice in their making, and (2) all actions of the body constitute recommendations to the President. (See Chapter X)

8. Western begs for procedural restoration and planning. The new President should begin strategic planning under his direct leadership. This should be highly visible, constituent inclusive, reality based, and sharply focused with strict calendars for the process and its plans. (See Chapter II)

9. Western should consider becoming the premier (selective) public institution of Kentucky. This is a plausible niche for Western to fill because no other public institution in Kentucky can claim such characteristics, and few other public institutions in the South lay serious claim to such a role. In such a world, Western would increase its admission standards, place strong emphasis upon small classes and superb teaching faculty, enhance its support services, and (inevitably) point out what it would not be. It would not be an institution dedicated to generous or open access for most Kentuckians; it would not have a strong focus on graduate education (though graduate programs, pruned in number and enhanced in quality would remain); and, it would not attempt to emulate the University of Kentucky.

In such a model, those students who could not be admitted to the more selective Western would be admitted to the community college, where they could, after "*showing their stuff*" (as one administrator put it), transfer to Western. The goal would be to produce a situation where, in the fashion of Miami (Ohio), far more students apply for admission than can be admitted, and gradually a certain cachet and esprit begins to attach itself to the institution. (See Chapter V)

10. The President should charge a reexamination of the University's General Education Program. The current program suffers from a "cafeteria" approach to courses and also lacks specific requirements that are critical to a liberal education and intelligent citizenship. The time frame should be no longer than one year. (See Chapter III)

11. Western does not have a specific, binding computer literacy requirement for all of its undergraduate students. This is a major deficiency; a student today has not been liberally and broadly educated for full participation in an increasingly technological society if he/she is not computer literate.

12. The Foreign Language requirement should require the completion of at least two years of college level language (or equivalent). Full participation in an increasingly international world requires substantive command over a foreign language, not the least because this is how we come to understand the nature of a foreign culture. Students that do not have substantive foreign language abilities will have seriously narrowed their career options in addition to compromising their understanding of the world.

13. It is not sufficient for the University simply to wire the campus, purchase equipment, and train faculty. Budgetary commitments also must be made to maintain the equipment and replace it as it grows obsolescent. Today, the half-life for an up-to-date microcomputer is less than two years. Western must come to grips with the fact that its investments in technology must be ongoing and continuous rather than a one shot expenditure. (See Chapter III)

14. Western needs to move ahead more rapidly with faculty development activities that will demonstrate to faculty how they can utilize new technological developments. Many faculty simply don't know how to utilize the expensive machines on their desks and/or are somewhat intimidated by the entire subject of technology.

15. Western must make some fundamental decisions about distance education. Will it “fight” other distance learning providers (some of whom will dwarf it in assets and expertise), or will it “join” them by making cooperative agreements that might well involve Western receiving some courses and programs and distributing others?
16. Western should initiate a “virtual shared library” such that electronic subscriptions to key journals et al are purchased cooperatively by a group of partner institutions.
17. If a graduate program cannot generate at least five graduates per year, averaged over three years, it should be a strong candidate for elimination. Western’s scarce resources would be better directed elsewhere. (See Chapter III)
18. Given the University’s limited resources, a review of all the various degree majors needs to be accomplished to determine their economic viability. (See Chapter III)
19. Consideration should be given to combining the departments of industrial technology and engineering technology in order to provide for better integration and a more efficient operation. Out of the 50,903 student credit hours taught in the Ogden College, only 6.6% were taught in the departments of engineering technology and industrial technology combined.
20. The continuing education operation needs to be expanded. This is a growing market that provides many challenges and opportunities and a way to increase the University’s resource base and enhance its image. (See Chapter III)
21. Every class should be evaluated by students, not only first semester classes. (See Chapter IV)

22. There should be developed significant merit incentives to reward the most outstanding faculty and to encourage all faculty to keep up with new developments; insufficient institutional attention to meeting market conditions in faculty salaries (especially for new faculty) such that certain disciplines find it very difficult to appoint the talent they desire; and the absence of a meaningful policy for the evaluation of tenured faculty. (See Chapter IV)

23. Overall faculty salaries at Western are somewhat less than the salaries paid by many (but not all) of its reasonable competitors. This is a problem that must be addressed by the Governor and the General Assembly. It is not reasonable to expect Western to occupy a spot in the top quartile of similar universities nationally if its faculty salaries are in the lower half of those institutions. (See Chapter IV)

24. Western needs to develop an intelligent "early retirement, early exit" program that will enable it to replenish its aging faculty with new blood, and to do so with individuals who are nationally competitive. The existing policy that allows a faculty member to retire and teach a partial load for up to 37.5 percent of his/her salary is a step in the right direction, but a more comprehensive and flexible early retirement incentive program is needed in addition.

25. If Western's relatively generous fringe benefits are deliberate, then it should advertise these benefits more (because its compensation, as opposed to its salaries, is much more competitive). And, many fringe benefits are not taxable. On the other hand, if this generous level of fringe benefits was not chosen deliberately, then Western should consider reducing them as appropriate and reinvesting these dollars in faculty salaries and other high priority items. Every dollar spent on fringe benefits could just as easily be spent on salaries. This is a difficult choice, but the world of higher education in the 21st century will be full of difficult choices.

26. The new President should ascertain if administrative salaries similarly trail national means and/or benchmark institution salaries. One of the articles of faith of many members of the faculty at Western is the contention that administrative salaries are, on the whole, well above national salary means, or at least above benchmark institution salaries.

27. It is vitally important that Western adopt a meaningful and consistent policy that permits the evaluation of tenured faculty as well as other faculty, prescribes specific remedial activity for those who fall short, and permits the eventual suspension and/or termination of tenured faculty who cannot improve. It should be understood, however, that a faculty member's own colleagues, the appropriate dean, and the chief academic officer must be the primary judges of an individual faculty member's competence and that there must be stated, previously agreed upon criteria for evaluation. (See Chapter IV)

28. Any institution that maintains a tenure system should have a post-tenure review policy. Faculty members who understand that tenure is not a refuge for incompetence will support such a policy and assist in developing a reasonable version that invokes due process and requires faculty colleagues to maintain standards and police their own ranks. Such a policy will be greeted with widespread public approval and will build credibility with citizens and legislators alike. A meaningful post-tenure review policy would be a tremendously persuasive accompaniment to Western's requests for "excellence" funding from the Governor and the General Assembly.

29. A study of student attrition should serve as the cornerstone of an aggressive plan to improve retention. (See Chapter V)

30. Presently, many Western students receive financial aid from the University base budget; a concentrated effort should be made to generate more outside support for scholarships.

31. Many students feel that the upkeep and maintenance of many academic buildings and residence halls has been neglected. They recite multiple chapters and verses of roofs *"that leak constantly,"* classrooms in which *"there is no air conditioning or heating"* and in which they have to wear coats in the winter. Nor are these comments isolated. Faculty and staff report the same concerns. The new President should examine this situation early in his first year as a part of general examination of how the University has allocated its resources.

32. Several African-American students assert that *"Western is not especially friendly to Blacks."* These students evince an almost indefinable sense of cultural and social isolation, and several observed with respect to the administration that *"it isn't that no one cares, it's just that they don't seem to know what to do."* While such feelings on the part of African-American students are not unusual in "majority" state universities, they should not be ignored, and the President would be wise to extend his hand in a highly visible fashion to African-American students on campus, find out what their concerns are, and (as necessary) develop an action plan.

33. The Spirit Masters are the most extraordinary student support group we have seen. They represent the University in the most effective way and should be engaged in an even broader range of activities.

34. There is too much administration at Western Kentucky University. The present organizational chart shows nine individuals reporting directly to the President. This number needs to be reduced; for instance, the affirmative action officer could report to the director of human resources and the director of athletics to student affairs. Many commented on an unnecessary vice presidency and of the three assistant vice presidents for academic affairs which is too many. There appears to be too many staff in Finance and Administration. Others commented on Student Affairs. The President should reduce the number of administrators who report directly to him by undertaking a general

administrative reorganization essentially consistent with the recommendations in this Review. (See Chapter VI)

35. Members of the administration must be systematically and regularly evaluated. This has not been the case at Western and the President should put in place a design that evaluates and holds accountable every administrative officer of the University. This should apply especially to each University vice president who should be soon judged in terms of both qualifications and compatibility with the new President.

36. The President should ensure early in his term that he meets with support staff, listens to their concerns, talks with them about solutions, and accords them the respect and consideration that they deserve as important members of the Western team.

37. One of the President's most important tasks will be to examine the allocation of resources within the University. The relatively small size of expenditures upon instruction suggests that some reallocation should be considered. Such an action would send a clear message to faculty and others about Western's priorities and goals. (See Chapter VIII)

38. The financial stresses caused by Western's intercollegiate athletics programs in 1997 are likely to magnify in the future and that multiple Division I-AA institutions find themselves in the same general circumstances. This issue must be addressed and reconciled. Consideration should be given to changing athletic conferences, reducing budgets and/or eliminating programs. (See Chapter VIII)

39. There is too much Western at Western. The new President should appoint, as opportunities arise, highly qualified, experienced outsiders in order to provide leavening to the current stable of executive level officers, as well as throughout all professional areas of the University.

40. The President must give early priority to appointing a new and exceedingly capable financial officer. (See Chapter VII)
41. The entire advancement area should be closely judged and decisions made consistent with generating more private support for this will be the prime measure in achieving future excellence. (See Chapter IX)
42. The coordinator of the annual fund should be moved from the alumni office to the development office to report to the director of development.
43. Leadership for the alumni office needs to be found and put in place to deal with the upcoming leave of the acting director and to help fill the void until the permanent director returns from his leave of absence.
44. The annual membership program also should be reviewed carefully and its elimination considered in favor of improving the Annual Fund.
45. It is recommended that the President determine how government relations will be handled and by whom. It is important however that the President play the key role in this function himself. There is no state government relations officer as effective as the President.
46. It is recommended that the 15% assessment arrangement be abandoned quickly and that funding sufficient to allow a phonathon to continue long enough to reach all alumni (within reason) be found. Also, funding should be found or provided sufficient to produce and send at least two direct-mail solicitation pieces to alumni whose phone numbers are not known and to others who cannot be reached by phone.
47. The three Foundations should be combined into one. (See Chapter IX)

48. It is recommended that the development office quickly complete the staff reorganization currently underway, especially the hiring of a seasoned development director with a strong track record.
49. The University's affiliated organizations, associations, and foundations should be encouraged or required to find a way to adopt the University logo to their organizations.
50. The Graphics Standards Manual should be revised to clarify in layman's language what are and are not acceptable applications of the logo.
51. The alumni magazine's masthead, and perhaps its name, should be revised in order to use the University logo prominently on that publication.
52. Larger typefaces should be utilized throughout the "Alumni" magazine to make it more readable.
53. Consideration should be given to replacing the "Alumni" magazine with a tabloid quarterly newsletter printed on high quality newsprint. Doing so might save money and permit a much larger number of interesting articles and information items to be utilized.
54. The advancement vice president should encourage the Alumni Board and illustrate the University's interest in their activities by attending most, if not all, Board meetings.
55. The alumni Life Membership program should be abolished and funds should be found to support alumni programs adequately from University resources.
56. The administration should find a diplomatic way to reconstitute the Cherry Society in favor of an *annual* \$5,000 giving club; create new annual giving clubs at larger intervals, and create cumulative gift societies at six and seven figure levels.

57. A coordinating policy through the development office to establish a clearing house to control solicitations and eliminate duplication of effort and multiple solicitations should be established and enforced.

APPENDIX A

James L. Fisher Review Team Chair Brief Biography

James L. Fisher is the most published writer on leadership and organization in higher education today. He has written scores of professional articles and has also been published in such popular media as *The New York Times*, *The Washington Times*, and *The Baltimore Sun*. The author or editor of eight books, his 1991 book, The Board and the President, "clearly established him as the nation's leading authority on the college presidency," wrote Michael Worth of George Washington University reviewing in Currents. His The Power of the Presidency, was reviewed in Change magazine as "... the most important book ever written on the college presidency" and was nominated for the non-fiction Pulitzer Prize. His most recent book, Presidential Leadership: Making a Difference, was published by the American Council on Education in the spring of 1996. In recent reviews, the book has been described as "...a major, impressive, immensely instructive book, ...a virtual Dr. Spock for aspiring or new college presidents, and ...a must read for all trustees."

A registered psychologist with a Ph.D. from Northwestern University, Dr. Fisher is President Emeritus of the Council for Advancement & Support of Education (CASE) and President Emeritus of Towson State University. He is presently professor of Leadership Studies at The Union Institute and a consultant to boards and presidents. He has taught at Northwestern, Illinois State, Johns Hopkins, Harvard, and the University of Georgia and has been a consultant to more than two hundred colleges and universities.

Dr. Fisher has been a trustee at nine private colleges and universities and two preparatory schools. He has received awards for teaching, writing, citizenship and leadership and has been awarded eleven honorary degrees. At Illinois State, The Outstanding Thesis Award was named by the faculty The James L. Fisher Thesis Award. The faculty at Towson State University recently recommended that the new psychology building be named after Dr. Fisher, and the CASE Distinguished Service to Education Award bears his name.

James V. Koch
President
Old Dominion University
Brief Biography

Dr. James V. Koch became the sixth president of Old Dominion University on July 1, 1990. Prior to coming to Old Dominion University, he was President of the University of Montana (1986-1990). A recent study funded by the Exxon Foundation named Dr. Koch as one of the 100 most effective college presidents in the United States.

Dr. Koch earned a bachelor of arts degree at Illinois State University in 1964 and a Ph.D. in economics at Northwestern University in 1968. He has received honorary doctoral degrees from Toyo University in Tokyo, Japan, Yeungnam University in Taegu, Korea, and Kyushu Institute of Technology, Kitakyushu, Japan. Dr. Koch was employed as a research economist at the Harris Bank in Chicago and has held faculty positions at Illinois State University, California State University at Los Angeles, the University of Grenoble (France), Brown University, and the University of Hawaii.

Dr. Koch has published seven books and over sixty articles in the field of economics. His book, *Industrial Organization and Prices*, published by Prentice-Hall, has been one of the leading texts in the discipline. He is a co-author of the book, *Presidential Leadership* published by the American Council on Education. Dr. Koch has served as a consultant and expert witness for over thirty legal firms.

One of Dr. Koch's most enduring interests and objectives has been utilizing technology to bring higher education to individuals who are place bound. The University's cost-efficient TELETECHNET distance learning system is the largest in the United States and involves a unique partnership with the Virginia Community College System. 4,000 students annually now complete Old Dominion University courses via TELETECHNET by means of interactive television, prolific use of Internet, and sophisticated simulations that are presented live on more than 30 community college campuses. Old Dominion and the community colleges share resources, personnel, space, students, and faculty.

**Curtis L. McCray
President
Millikin University
Brief Biography**

Dr. McCray, who also holds the rank of professor of English, has served as Millikin's 11th president since March 1, 1993. Previously he was president of California State University-Long Beach for five years and for six years was president of the University of North Florida.

He taught English at Nebraska, Cornell College in Iowa and Saginaw Valley State University in Michigan before launching an administrative career. He was dean of the School of Arts and Sciences at Saginaw Valley State and later vice president for academic affairs there before serving five years as provost/vice president for academic affairs at Governors State University.

He is a graduate of Knox College, received a Woodrow Wilson Fellowship for graduate study at the University of Pennsylvania and earned his Ph.D. in English at the University of Nebraska.

Lynn E. Weaver
President
Florida Institute of Technology
Brief Biography

Dr. Weaver has thirty-five years of academic and administrative experience, having served on the faculty of five major universities, i.e., Purdue University, University of Arizona, University of Oklahoma, Georgia Institute of Technology, and Auburn University. He has held every academic rank and currently is President of Florida Institute of Technology.

Dr. Weaver has served in academic administration for the past twenty-five years in the positions of Department Head, University of Arizona; Associate Dean, University of Oklahoma; School Director, Georgia Institute of Technology; and Dean and Distinguished Professor, Auburn University.

He has been active in research, receiving major funding from industry and government; is the author of two textbooks; the editor or co-editor of five technical books and over fifty publications in professional journals; and is Executive Editor of the technical journal, *Annals of Nuclear Energy*.

He has held offices in a number of national professional organizations and is a Fellow of the American Nuclear Society. Two of his speeches on energy were selected for reprint in *Vital Speeches of the Day* and read into the Congressional Record.

Dr. Weaver has served on advisory committees to government and industry and, on several occasions, given expert testimony to congressional committees. He is a consultant to a number of industrial organizations, legal firms, and has consulted with the Organization of American States in education and research development in Latin America. He has served on state commissions and the Board of Directors of Oak Ridge Associated Universities, the National Center for Asphalt Technology, several civic organizations and currently is on the Board of Directors of DBA Systems, Inc., and the Board of the Florida Distance Learning Network.

Dr. Weaver has provided a leadership role in the development and restructuring of academic and research programs, introduction of innovation in education, raising outside support for buildings, equipment, endowed chairs, scholarships and faculty development.

Paul E. Wisdom
Brief Biography

Paul E. Wisdom, a vice president for external affairs for 27 years, is widely recognized for his expertise in college and university advancement. At Colorado State University, annual voluntary giving tripled during his first three years. Programs he has headed have three times won the CASE (ACPR) Grand Gold Award for most improved advancement program in the nation.

In addition to Colorado State, Paul Wisdom was vice president at Towson State University, Lafayette College, and Florida Tech. Perhaps his crowning achievement was the orchestration of a recent \$50 million gift to the Florida Institute of Technology, one of the 10 largest ever received in higher education.

Paul Wisdom recently retired from academic life in order to devote more time to writing and consulting.

He has a bachelor's degree from Dartmouth College and did his graduate work at the University of Northern Colorado and the University of Illinois. He has published a number of articles and papers and contributed to several books on higher education.

APPENDIX B

Interviewees in the Western Kentucky University (WKU) Review:

Kathryn Abbott, Professor

Jo-Ann Huff Albers, Dept. Head, Journalism

Charles Anderson, Vice President, Information Technology

Robert August, Adjunct Faculty

Matthew Ayers, Student

Howard Bailey, Dean, Student Life

Thomas Baldwin, Dept. Head, Modern Languages & Intercultural Studies

Kristen Bale, Board of Regents

Gary Beagle, Adjunct Faculty

Ron Beck, Director, Planned Giving

Hugo Becker, Vice President, Fruit of the Loom (Ret)

Michael Binder, Dean, Libraries

James Bingham, Professor

John Paul Blair, Development Officer

Jim Blankenship, President, BANDO Manufacturing of America

Jill Blythe, Assistant Director, Alumni Affairs

Hoyt Bowen, Retired Faculty

Stephanie Brady, Student

Ken Bragg, Donor

Myrl Brashear, Retired Faculty

Barry Bray, Transfinancial Bank, Member of University Libraries Advisory Council

Marilyn Brookman, Director, Owensboro Campus

Amanda Brooks, Adjunct Faculty

Linda Brown, Professor

Schlater Brown, Marketing Manager, Equitable of Iowa

Ray Buckberry, Attorney, Member of WKU Museum Advisory Council

Nancy Bunton, Support Staff

Barbara Burch, Interim President, V.P. for Academic Affairs

Kevin Burney, Counseling Services

Cindy Burnette, Support Staff

Linda Cantrell, Support Staff

Randy Capps, Optional Retirement Faculty

Eddie Carter, Owner, M. Eddie Carter Enterprises
John Chamberlain, Optional Retirement Faculty
Cheryl Chambless, Director, Admissions
Marilyn Clark, Director, Student Financial Assistance
Amanda Coates, Student
Keith Coffman, Student Member, Board of Regents
Patricia Collins, Counseling Services
Glen Connor, Professor
Stephanie Cosby, Student
Brian Coutts, Dept. Head, Library Public Services
Peggy Cowles, Principal, Greenwood High School
Raymond Cravens, Retired Faculty
Thad Crews, Professor
Nancy Cron, Adjunct Faculty
Stephanie Crosby, Student
Emily Crume, Student
Carol Cummings, Development Officer
Mike Dale, Asst to V.P., Academic Affairs
Bill Davis, rep for Dept. Head, Economics & Marketing
Jim Davis, Optional Retirement Faculty
Rose Davis, Faculty Senate Executive Committee
Marge Deller, Adjunct Faculty
Clay Diamond, Support Staff
Robert Dietle, Professor
Gary Dillard, Distinguished University Professor
Mary Dillingham, Adjunct Faculty
Alex Downing, Treasurer, College Heights Foundation
Dero Downing, President, College Heights Foundation
Rick Dubose, Development Officer
John Duff, Dept. Head, Music
David Dunn, Dept. Head, Public Health
Jerrianna Dunville, Student
Jeff Durham, Director, Mediplex Rehabilitation Hospital
Sharon Dyrsen, Director, Orientation & Special Projects

Frieda Eggleton, Registrar
Karin Egloff, Professor
Chuck Eison, Optional Retirement Faculty
Ryan Faught, Student
Blaine Ferrell, Dept. Head, Biology
Noland Fields, Optional Retirement Faculty
Jeanne Fiene, Professor
James Flynn, Professor
Kirk Freeman, Student
Jan Garrett, Professor
Dana Gibbs, Student
Fred Gibson, Support Staff
Tony Glisson, Director, Human Resources
Brian Goff, Professor
N.Joy Grambling, Board of Regents
Dorothy Graves, University Bookstore
Elmer Gray, Dean, Graduate Studies & Research
Howard Gray, Board of Regents
Lois Gray, Board of Regents
Richard Greer, Director, Counseling Services Center
John Grider, Partner, Baird, Kurtz & Dobson, Member of WKU Libraries Advisory Council
Richard Grise, Alumnus
Stephen Groce, Professor
Jack Hall, Dept. Head, Accounting & Finance
Riley Handy, Dept. Head, Library Special Collections
Michael Hardin, Associated Student Government
Lowell Harrison, University Historian (Ret)
Gene Harryman, Retired Faculty
Kevin Hart, Student
David Hawpe, Editor & Vice President, *Courier-Journal*
Robert Haynes, Professor
Bill Hays, Director, Public Works, Bowling Green
Steve Henry, Lieutenant Governor of Kentucky
Fred Hensley, Vice President for Institutional Advancement

Wayne Hoffman, Dept. Head, Geography & Geology
Mandy Holbert, Associated Student Government
John Holder, Student Financial Assistance
Carolyn Houk, Professor
Steve House, Executive Director, Institute for Economic Development & Public Service
Martin Houston, Dean, College of Science, Technology, & Health
Diane Howerton, Bowling Green City Commissioner
Robert Hoyt, Distinguished University Professor
Amanda Hudson, Student
Luther Hughes, Associate V.P., Academic Affairs
Sara Hulse, Board of Regents
Norman Hunter, Optional Retirement Faculty
Augustine Ihator, Professor
Carlton Jackson, Distinguished University Professor
Kim Jackson, Student
Danna Jacobson, Support Staff
Paula Jarboe, WKU Foundation
Tuffy Jeannette, Local Businessperson (Ret)
Jeff Jenkins, Optional Retirement Faculty
C. Wayne Jones, Director, Glasgow Campus
Elizabeth Jones, Professor
Martin Jones, Director, Existing Industries of Bowling Green-Warren County Chamber of
Commerce
Wilburn Jones, Retired Faculty
William Jones, Associated Student Government
Debra Jordan, Admissions
Nick Kafoglis, State Senator
David Keeling, Chair, Faculty Senate's Fiscal Affairs Committee
Carl Kell, Faculty Senate Executive Committee
Scott Kieffer, Professor
Joe Kim, Adjunct Faculty
William King, Student
Joan Krenzin, Optional Retirement Faculty
Robert Krenzin, Retired Faculty

Sally Kuhlenschmidt, Director, Center for Teaching & Learning
Biff Kummer, Professor
Bud Layne, Span Tech Inc.
David Lee, Dean, Arts, Humanities & Social Sciences
Jennie Lee, Student
Melissa Lee, Associated Student Government
Matt Lega, Student
Terry Likes, Professor
John Lillybridge, Controller, Hills Pet Nutrition, Inc.
Alton Little, Professor
Peggy Loafman, Chair, Board of Regents
Darlene Lodmell, Student
Tara Logsdon, Associated Student Government
Nace Richard Magner, Professor
Pete Mahurin, Alumnus
Shiu Yue Mak, Professor
Cornelius Martin, Board of Regents
Vernon Martin, Retired Faculty
Carl Martray, Dean, College of Education and Behavioral Sciences
Sam McFarland, Director, Honors Program
Charles McGruder, Dept. Head, Physics & Astronomy
Ann Mead, Director, Budget & Management Information
Ray Mendel, Board of Regents
Burns Mercer, Board of Regents
Lewis Mills, Director, Athletics
Russell Moore, Professor
Fred Murphy, Faculty Senate Executive Committee
Phil Myers, Director, Sponsored Programs
Donald Neat, Retired Faculty
Donald Nims, Professor
Gretchen Niva, Optional Retirement Faculty
Adrienne Nobles, Student
John O'Connor, Dept. Head, Psychology
Don Offutt, Alumnus

Anne Onyekwuluje, Professor
John Osborne, Finance and Administration
Michael Owsley, Attorney, Member of WKU Libraries Advisory Council
Leon Page, Chairman, Franklin Bank & Trust Co.
Sebastian Pantano, Student
John Parker, Dept. Head, Government
Holly Payne, Adjunct Faculty
Gay Helen Perkins, Professor
Lester Pesterfield, Professor
John Petersen, Associate V.P., Academic Affairs
Mary Ellen Pitts, Dept. Head, English
James Porter, Dept. Head, Mathematics
Sylvia Pulliam, Faculty Senate Executive Committee
James Ramsey, V.P., Finance & Administration
Gary Ransdell, President
Patricia Randolph, Instructor
Erin Reneau, Student
Paul Rice, Dean, Community College & Continuing Education
Jody Richards, Speaker, Kentucky House of Representatives
Patricia Richardson, Alumna
Elizabeth Riggs, Coordinator, Counseling Services
Larkin Ritter, Scott & Ritter, Inc.
Mania Ritter, Retired Faculty
Harry Robe, Retired Faculty
Jennifer Roberts, Support Staff
Dan Roenker, Distinguished University Professor
John Russell, Dept. Head, Engineering Technology
Mary Sample, College Heights Foundation
Ivan Schieferdecker, Professor
Jacqueline Schliefer, Professor
Leigh Ann Sears, Associated Student Government
Lowell Shank, Dept. Head, Chemistry
Art Shindhelm, Dept. Head, Computer Science
Bob Skipper, University Relations

Donald Smith, Alumni Affairs
Lisa Smith, Adjunct Faculty
David Southard, Student
Neal Spencer, Managing Partner, Baird, Kurtz & Dobson
Rebecca Stamper, Instructor
Vicki Stayton, Dept. Head, School of Integrative Studies in Teacher Education
Jeremy Stephens, Student
Ronald Stephens, Director, Ft. Knox Campus
Garrick Straub, Student
Wendell Strode, Alumnus
Joseph Survant, Professor
Robyn Swanson, Professor
Doris Thomas, Alumna
Kathryn Thomas, Student
James Thomason, Adjunct Faculty
Steve Thornton, Alumnus
Norman Tomazic, Dept. Head, Industrial Technology
Michael Trapasso, Professor
Liz Tweddell, Student
Don Vitale, President, Manchester Capital
Arvin Vos, Chair, Faculty Senate
Andy Wagoner, Admissions
Bobbie Warren, Office Associate
Phyllis Washington, Director, Minority Student Services
John Wassom, Rep for Dean, Business Administration
Richard Weigel, Faculty Senate Executive Committee
Karen Westbrook, Professor
John White, Faculty Senate Executive Committee
Jason Whitsell, Student
Jerry Wilder, Vice President, Student Affairs
Carol Wilson, Instructor
Philip Wilson, Professor
Rick Wilson, President, Bowling Bank & Trust
Tara Wise, Student

Patty Witty, Day Operations Manager
Frank Wyatt, Professor
Marsha Wyzykowski, Adjunct Faculty
Edward Yager, Professor
Sarah Young, Student
Sharon Young, Support Staff
Jeff Younglove, Special Events Director
Uta Ziegler, Professor
Twenty (20) Anonymous students, faculty, staff & townspeople

APPENDIX C

WESTERN KENTUCKY UNIVERSITY
REVIEW INTERVIEW FORM

Name

Title

Date

The Board has asked us to review the condition of Western Kentucky University. Please respond in terms of your impression of the following. Your answers will be kept in confidence.

1. GENERAL CONDITION OF THE UNIVERSITY (STRENGTHS, LIMITATIONS)

2. ACADEMIC PROGRAMS

3. THE NEW TECHNOLOGY

4. FACULTY (QUALITY, MORALE, PRODUCTION, SALARY)

5. STUDENTS (CREDENTIALS, MORALE, AWARENESS, RACIAL, NATIONAL, FINANCIAL AID, ET AL)

6. ADMINISTRATION

7. SENIOR OFFICERS

8. BUDGET AND FINANCE

9. FUND-RAISING AND DEVELOPMENT

10. PUBLIC AND GOVERNMENT RELATIONS

11. ALUMNI AFFAIRS

12. CAMPUS GOVERNANCE

13. BOARD OF REGENTS

14. COMPARATIVE CONDITION OF THE UNIVERSITY, DOCUMENTATION IF ANY

15. MAIN TASKS OF THE NEW PRESIDENT

16. ADDITIONAL COMMENTS AND OBSERVATIONS

APPENDIX D

Index of Materials Used in the Western Kentucky University (WKU) Review:

WKU Organizational Chart
WKU President's Reports, 1988-97
Programs/Actions initiated at WKU during Presidency of T.C. Meredith
WKU Five-year Student Enrollment Profile
WKU Graphic Standards Manual
WKU Faculty Senate XX, Minutes
WKU Academic Council, Minutes
WKU Board of Regents Bylaws
WKU Board of Regents Academics Committee Agenda
WKU Board of Regents Facilities Oversight Committee
WKU Board of Regents New Level Oversight Committee
WKU Board of Regents Minutes (9/5/96 & 10/25/96)
WKU Board of Regents Finance Committee Minutes
WKU Institutional Marketing Plan
Division of Institutional Advancement: Comprehensive Major Gifts Campaign Report
WKU Foundation, Strategic Major Gift Fund-raising Plan
WKU Foundation Report on Fund-raising Activities
Key Elements for Major Gift Campaign
Internal Analysis and Development Audit
Institutional Self-Study 1992-94
Self-Evaluation Report, Bowling Green College of Business Administration
Publications and Presentations in College of Education & Behavioral Sciences (1 year)
Publications of University Libraries Faculty
Ogden College Annual Faculty Activity Report, 1996
Faculty with Terminal Degree by Rank, 1996-97
Summary of Data for Board of Regents Consultant, Office of the Dean of Potter College of Arts,
 Humanities & Social Sciences
Summary of House Bill 1 as enacted
Commonwealth of Kentucky's Higher Education Reform Act of 1997
Commonwealth of Kentucky's Higher Education Tuition Policy
1997 Spring Commencement and Commencement Exercises Invitation
Alumni Magazine, Spring & Summer 1997
Various *On Campus* magazines and articles

Various WKU Newline Scripts and Magnet
Media Sourcebook & Speakers Guide
Poster Advertisement for Judy Chicago
List of Campus Signs
WKU Graduation and Persistence Report for First-time, Full-time Freshmen
Affirmative Action/Equal Opportunity Form
WKU William E. Bivin Forensics Society ad
1996 Accountability Report
Western's Deferred Maintenance Plan Summary
Western's 1997-98 Operation Plan
List of Client Surveys
WKU News Releases:
 Dean's, President's, and Graduates lists
 General Releases
 Internet Releases
 Clippings
WKU Brochures:
 WKU, A New Level of Excellence with a Personal Touch
 WKU, Western Kentucky University
 Moving to a New Level
 Alumni Grant Program
 WKU Crime Report
 Minority Student Support Services
 This is Western
Video Tapes:
 E.A. Diddle Park Dedication
 1997 WKU Athletic Hall of Fame
 Moving to a New Level
 1996 Presidential Christmas Greeting
 Sun Belt Conference Highlights
 Welcome to the World of Western
 WKU Hall of Distinguished Alumni: Presentation & Acceptance Program 1996
Audio Tape: Various Information Line Releases and Halftime Features

APPENDIX E

1997: James L. Fisher¹

The Enlightened Board; Membership, Meetings, The CEO, and The Chair

I have spent most of my professional life studying, conducting research on, writing about and practicing leadership; I have served on more than fifty non-profit or profit boards, including nine colleges or universities; worked with more than three hundred colleges and universities; and been a CEO in two different organizations. Not surprisingly, I have some rather certain conclusions about how boards, their directors and CEO's should behave and about how board meetings should be conducted.

I have also concluded that transformational (change oriented) leadership, even during settled times, is the only way an organization can achieve and maintain a valid and prosperous condition. Such leadership sets a mood, a dynamic that permeates the entire organization. This organizational disposition is impossible under any other leadership style. Typically, most college and university boards are not constituted or conducted to inspire such leadership. With this in mind, the following prescriptions are offered:

The Role of the Board

If the board expects the CEO to accomplish anything of significance, it simply must insure that the CEO is empowered; only then can the CEO empower others and not be pressed toward coercive behavior. After establishing mission and policy and appointing a CEO, the primary role of a board is to review, audit, inspire and evaluate rigorously, especially the CEO. A board implements only with the complete approval of its CEO. Today, because of diffused authority, politics, micro-management, and a deeply entrenched status quo, it is impossible for most boards to hold their CEO accountable.

No board or board chair has ever effectively led or managed an organization for long; nor has any faculty. Too many board members, who know better, forget this classic truth. Individual accountability must maintain throughout the organization, starting with the CEO who should be completely empowered by the board; in turn the CEO can empower others in the organization and affect any style that gets the job done. With few, if any, exceptions (informational and some social functions), a board should not engage in relationships with

¹James L. Fisher is Professor of Leadership Studies at the Union Institute and a consultant to boards and presidents. He lives in Baltimore, MD.

persons who report to the CEO. The CEO is the board's; everyone else is the CEO's, and a wise and enlightened board will ritualize this relationship in its operating by-laws. These conditions apply to businesses, companies, banks and non-profit organizations including government and military organizations, and certainly to colleges and universities. It should be noted that, these things done, the CEO can then resort to virtually any leadership or management style; for the CEO is both fully empowered and evaluated in terms of results.

The key to a successful board meeting then is to insure that the books are balanced and showing a profit and to maintain and enhance the legitimacy of the accountable leader, the CEO. It follows that the board will rigorously evaluate the CEO according to mutually acceptable predetermined objectives. With this in mind, the following specifics are offered regarding colleges or university boards and their CEO's. If these or very similar conditions are not present, any institution involved in controversial issues will result in a presidential disaster or a substantive compromise. All the recommendations that follow are born from the generic empirical research on effective leadership and organizational behavior and are consistent with both the 1940 and 1966 AAUP Statements on Academic Freedom and Shared Governance.

Board Membership

1. The CEO may be an ex officio, non-voting member of the board, but preferably not on the board at all.
2. The board chair and the CEO should influence board appointments.
3. Have at least these criteria for board membership before appointment to the board:
 - * all board members must understand and support the mission of the institution
 - * ... and understand and accept a single governance philosophy
 - * ... and have potentially good chemistry with the rest of the board
 - * ... and have money or influence or both.
4. No more than two consecutive terms for board members; after which all board members should retire for at least one year.
5. No faculty, students or administrators on board. If students and faculty must be on the board, they should come from other institutions. They must not vote on policies that affect them.
6. No faculty or students on board committees, only administrators assigned by the CEO as agents of the CEO, although faculty and students may be asked to make presentations to board committees.

7. Other than the CEO, administrators should not be constitutionally empowered (i.e. treasurer or officially on board committee(s)). The CEO should make administrative assignments to board committees.
8. Except in highly unusual situations, if a staff person serves as board secretary, that person should report to the CEO and not the board or the board chair.
9. Don't have any "authorities" on the board unless they are enthusiastically endorsed by the CEO, i.e. other college CEO's and other "expert" types (some would say, "Never have any experts and no second guessers.").

The Board Meeting

1. At least seven days before each board meeting, the office of the CEO should forward to the full board written reports on the state of each area represented by a board committee. These reports should serve as an agenda for committee meetings and should not be labored at length by the committee chair when reporting to the board. Should a committee chair be absent, another committee member should make the report, not a member of the staff. In some circumstances approved by the CEO, a staff member may briefly augment a committee report.
2. The CEO should open every board meeting with inspiring, carefully prepared, written remarks. This reestablishes the CEO at his/her inaugural height and insures a written record.
3. Long board meetings are a sure sign of micro-management, and an anathema to any organization.
4. *The detailed work of the board should be done in board committees staffed by agents of the CEO and committees should meet only at the time the board meets.*
5. The board meeting should last one day or at the most an evening and one day.
6. There should be no more than four meetings per year; three is better.
7. Executive committee meetings should be infrequent, brief and reported to the full board.
8. Reorder regular board agenda subjects from time to time (i.e. development is typically too low).
9. The CEO should always have the opportunity to speak to the board in executive session at the end of each meeting (absolutely no staff, including secretarial, present).

The Board Chair

1. The board has final authority over everything.

2. Always remember the CEO is the leader of the institution, your main job is to be certain that the CEO is evaluated regularly and objectively.
3. Comport yourself with diffident consistency.
4. Set an example for other board members.
5. Listen.
6. Lead quietly.
7. Delegate everything but final authority.
8. Praise the CEO in public, be candid in private.
9. Empower the CEO constitutionally and psychologically.
10. Don't micromanage.
11. Remember the institution is your most important denominator.
12. Never have an office on campus.

The CEO

1. Have a vision that is greater than the institution.
2. Stay warmly distant, and from that vantage point, be enthusiastic and as charming as you can, but don't tell jokes, be thoughtful of everyone.
3. Be the leader.
4. Think before speaking.
5. Never be directly involved in specific rewards or punishments.
6. Respect your office.
7. The CEO is the authority on higher education.
8. No surprises for the board; tell them more than they want to know.
9. No secrets from any, including faculty. Don't compromise faculty or students in private meetings with the board.
10. After the mission and goals are accomplished, don't ever ask a board what to do, they may tell you.
11. The board chair should be the closest of your professional relationships, but know that the board must always act in the corporate interest.
12. Have regular one-on-one contacts with every board member (calls, breakfasts, luncheons, dinners, athletic and cultural activities).
13. Don't ever play politics with the board. The CEO is above such things.
14. Don't encourage formal faculty or student access, but the board should have regular contact with different faculty/students.
15. Cultivate the people who are important to board members.
16. Deliver impressive results.

In Sum

From the beginning to the end, a board member must remember that he or she cannot run the institution, nor can the board chair; only the instrument of the board, a fully accountable and closely evaluated CEO, can do that job. At this point, and only at this point, a trustee can intelligently applaud or take issue.

For most institutions, this means reviewing and revising the operating by-laws and establishing annual goals against which the CEO can be evaluated. Assuming these conditions, a CEO will be able to soar or stall, and the board will quickly know the difference. **Any approach that is not a strong facsimile of these conditions is an intellectual compromise and bound to frustrate board members and faculty, inhibit CEO's and reduce morale and production.**

APPENDIX F

1997:James L. Fisher

Now would be a good time for the Board to affirm its commitment to the duties and obligations of a Board member in more specific terms. Such a code would also prove useful in orienting new Board members and in communicating to all interested parties the basic operating premises of the Board. It is recommended that this be added to the Bylaws.

The following is suggested for approval and adoption by the Board as:

The Western Kentucky University Board of Regents Code of Ethics

- 1) To become familiar with, committed to, and abide by the major responsibilities and duties of the Board as set out in the Bylaws of the Western Kentucky University.
- 2) To devote time to learn how the University functions--its uniquenesses, strengths, and needs.
- 3) To accept the spirit of academic freedom and shared governance as fundamental characteristics of University governance.
- 4) To prepare carefully for, regularly attend, and actively participate in Board meetings and committee assignments.
- 5) To vote and speak according to one's individual conviction, yet to be willing to support the majority decision of the Board and work with fellow Board members in a spirit of cooperation.
- 6) To maintain confidentiality when called for, and to avoid acting as spokesperson for the entire Board unless specifically authorized to do so.
- 7) To support University fund raising efforts through personal giving in accordance with one's means (both annual and capital drives), and to be willing to share in the solicitation of others.
- 8) To understand the role of the Board as a policy-making body and to avoid participation in the administration of policy.
- 9) To understand that the president is the exclusive agent of the Board in the conduct of all University affairs.
- 10) To insure that the conduct of the University by the president be systematically evaluated annually.
- 11) To learn and consistently use designated institutional channels when conducting Board business.
- 12) To insure that any relationships that could be perceived as conflicts of interest are to the distinct and obvious advantage of the University.
- 13) To refrain from actions and involvements that might prove embarrassing to the University and to resign if such actions or involvements develop.
- 14) To make judgments always on the basis of what is best for the University as a whole and for the advancement of higher education rather than to serve special interests.