

March 28, 2013

**MEMORANDUM**

**TO:** University Senate Members

**FROM:** Martha Nell Smith  
Chair of the University Senate

**SUBJECT:** University Senate Meeting on Thursday, April 4, 2013

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The next meeting of the University Senate will be held on Thursday, April 4, 2013. The meeting will run from **3:15 p.m. – 5:30 p.m.**, in the **Colony Ballroom of the Stamp Student Union**. *\*Please note the new location and extended time for the meeting.*

If you are unable to attend, please contact the Senate Office by calling 301-405-5805 or sending an email to [senate-admin@umd.edu](mailto:senate-admin@umd.edu) for an excused absence. Your response will assure an accurate quorum count for the meeting.

**The meeting materials can be accessed on the Senate Web site. Please go to <http://www.senate.umd.edu/meetings/materials/> and click on the date of the meeting.**

**Meeting Agenda**

1. Call to Order
2. Approval of the February 14, 2013 Senate Minutes (Action)
3. Report of the Chair
4. Implementation of the Policy On Smoking At USM Institutions (Senate Doc. No. 12-13-07) (Action)
5. PCC Proposal to Establish a Master of Finance (Senate Doc. No. 12-13-46) (Action)
6. Special Order of the Day  
Bradley Hatfield  
Chair, Joint Provost/Senate APT Guidelines Task Force  
*Feedback on the Task Force's Charge*
7. Non-Tenure-Track Faculty Policies & Procedures (Senate Doc. No. 12-13-41) (Action)

8. Proposal to Change the Committee on the Review of Student Fees (CRSF) Operating Procedure (Senate Doc. No. 11-12-13) (Action)
9. Calculation of Commencement Honors (Senate Doc. No. 12-13-03) (Action)
10. Revisions to the College of Behavioral and Social Sciences (BSOS) Plan of Organization (Senate Doc. No. 12-13-08) (Action)
11. Revisions to the Philip Merrill College of Journalism Plan of Organization (Senate Doc. No. 12-13-09) (Action)
12. New Business
13. Adjournment

## **University Senate**

February 14, 2013

### **Members Present**

Members present at the meeting: 112

### **Call to Order**

Senate Chair Smith called the meeting to order at 3:22 p.m.

*The Senate observed a moment of silence in honor of University of Maryland students Stephen Alex Rane and Dayvon Maurice Green who died and for Neal M. Oa, who was injured, as a result of the shootings on Tuesday, February 12, 2013.*

### **Approval of the Minutes**

Chair Smith asked for additions or corrections to the minutes of the December 5, 2012 meeting. Hearing none she declared the minutes approved as distributed.

### **Report of the Chair**

#### Senate Elections

The Senate Office just completed the candidacy process for all staff, student, and single-member constituency senators for 2013-2014 on February 8, 2013. Elections will be held February 25-March 8. Smith encouraged everyone to vote for his/her senators. You can find more details about the timeline and process under the "Elections" tab on the Senate website.

#### Spring Senate Meetings

The remaining meetings for the spring semester are posted on the screen. We are anticipating a significant amount of work coming out of our committees over these meetings. Smith noted that the April 17<sup>th</sup> meeting will be the last for any outgoing senators and that the May 2<sup>nd</sup> meeting is the transition meeting where new senators will be seated.

#### Howard University Senate Representatives

Smith welcomed representatives from the Howard University Student Association's Inaugural Senate, Cortney Robinson and Dean Bryson. She explained that they are student senators from Howard University who are here to learn more about how our Senate operates.

**Special Order of the Day**  
**Mary Ann Rankin**  
**Senior Vice President & Provost of the University of Maryland, College Park**  
**Provost's Address**

Smith introduced Mary Ann Rankin, Senior Vice President & Provost, to address the Senate.

Provost Rankin thanked the Senate for the opportunity to speak. She welcomed input from the Senate on her presentation and other topics.

Mission

The mission of the administration is to serve the University community in every way possible. This includes raising money, advances in efficiency, and recruiting faculty. We want to create the best possible learning and living environment for our students. We want to attract the best students and create an environment that fosters their success. We want to facilitate and support academic and research achievement of the faculty and our students at the highest level. We should create and support an environment where entrepreneurship and innovation thrive. The Provost's vision supports the President's agenda. We will foster partnerships and fundraising that results in creation of opportunities and connections with the outside world in a variety of ways.

Undergraduate Education & Student Success Initiatives

Provost Rankin commented on the remarkable existing programs at Maryland and the ones that were successful during her tenure at the University of Texas. She would like to bring some programs to the University and integrate them with existing programs to create an exciting set of opportunities for our students and faculty. We are living in a changing world with respect to teaching, learning, and teaching delivery that will be a challenge for all universities.

Provost Rankin introduced Dean Chang, Director of MTECH Ventures, who will lead the new Academy of Innovation and Entrepreneurship. This new academy will partner with each school to help grow their existing programs and fill new needs and opportunities with new initiatives. In a pre-recorded video message, he commented on the upcoming entrepreneurship opportunities.

Provost Rankin commented on the Freshman Discovery and Innovation Initiative, a new initiative in various disciplines for freshmen research. This was started by the faculty at the University of Texas in response to a call to involve undergraduates in research. It is a 3-semester experience that replaces introductory-level lab courses and some other freshmen requirements. This program increased retention rates, major GPA performance, graduation rates, and graduates pursuing higher degrees.

### Online Learning Options

Provost Rankin commented on the various options that have developed over the years and the new options being offered. They range from the “traditional” online institutions, blended learning, and adaptive learning platforms to learning management systems and MOOCs (Massive Open Online Courses). MOOCs are online courses that are developed using videotaped lectures and some additional learning tools. Students participate voluntarily at no cost and learning may be accomplished via the “flipped classroom” model where students help one another using social networking. We are currently offering one course and plan to offer five more shortly. However, the issues surrounding this option include the business model, intellectual property of the course and course material, identity verification, course credit, certification, and degrees. We also need to consider the impact on the way we structure and deliver courses, how MOOCs fit into our degree programs, how we train faculty to use these new methods, our capacity to deliver MOOCs, where they fit into our e-Learning strategy, and improvement of facilities to support online instruction. She noted that the new St. John Center would incorporate some of these ideals.

She also noted that the University is looking into ways to improve graduation and retention rates. We will replicate programs like the Keystone program. We will use online tools to improve college readiness. The University will improve course scheduling to maximize course availability, counseling and mentoring, tutoring, counseling students into appropriate majors, and will review the effect of limited enrollment programs on graduation.

### Academic Excellence (recruiting, supporting and retaining leaders at the highest level)

We will start strategic planning with the deans and chairs. We need to understand the barriers, including facilities. She introduced Terence McCann, the new Director of Academic Facilities. In a pre-recorded video message, he noted a few current projects, including the Physical Sciences Complex (Physics, Astronomy and the Institute for Physical Science and Technology), the Edward St. John Learning and Teaching Center (academic building to support collaborative teaching spaces), the Bioengineering Building (Department of Bioengineering and Institute for Biomedical Devices), the Chemistry Building Renovation (wing1 and wing2), the Tawes Hall Renovation (new offices and classrooms for American Studies in the theatre area), the H.J. Patterson Renovation (wing1 for displaced international programs, and Jimenez Hall Renovation (updates to hvac systems and modernization).

We are also improving core facilities, process improvement for promotion and tenure, target of opportunity hires, and diversity initiatives. The University is likewise focusing on quality of life improvements such as implementation of the family leave policy, creating a childcare facility, and a University club.

### Fundraising Partnerships

Provost Rankin noted that we to do more and better in terms of fundraising. Vice President Weiler will prepare us for a new capital campaign to raise funds for the University. We have a great location for creating partnerships and connecting with alumni. We are preparing our strategy and messages and working with the Board of Visitors and other partners.

### Financial Issues

Provost Rankin also noted the financial issues that the University faces. The University's mean salary has dropped to nearly 15% below our peers over the last five years. We need to look at what we can do with merit raises to try to stretch the pool and make some headway against this deficit. We are also planning on how to deal with sequestration. She noted that the University does have resources to help but it is important to spend funds at a normal rate. Otherwise, unexpended funds will be taken back. The University will work with the campus community to minimize the damage.

### Big 10 Move

Provost Rankin noted that Steve Fetter, Associate Provost for Academic Affairs, would lead the effort with the Committee on Institutional Cooperation (CIC). This group regularly convenes peer groups to exchange information and best practices in dozens of areas, including education, international programs, libraries, and information technology. CIC shared study abroad programs will give our undergraduates access to programs at over 70 locations around the world. The CIC course-share program will allow students to have electronic access to language courses not taught at our University. The traveling scholar program will allow PhD students to spend a year at another CIC institution taking courses and doing research in facilities not available here. Faculty can take advantage of the CIC's academic leadership program and the departmental executive officer seminar. The CIC also provides for joint licensing of journals and books at reduced cost, shared access to libraries, and a project with Google to scan books. Technology initiatives include a high-speed fiber optic network and shared storage services. The CIC purchasing consortium will reduce costs of computer equipment, software licensing, and other items and services through joint purchasing and service agreements. Current institutions save up to \$2M per year through these purchasing agreements. These are savings that we can invest into academic programs.

Provost Rankin stated that we would like to become leaders in the CIC. She encouraged senators to submit ideas that we can take to the CIC.

Smith thanked Provost Rankin for the comprehensive and capacious presentation and opened the floor to questions.

David Colon-Cabrera, GSG President, stated that the research and mentorship program is a good idea. He asked how graduate students fit into this mission,

especially students in the humanities and the social sciences. How can recruitment and retention efforts of graduate students of color improve on this?

Provost Rankin stated that the freshman research initiative allows undergraduates to work with graduate students on research. It is an expansion of the research endeavor and a different and effective teaching paradigm. Students of color are less likely to seek these types of experiences. That is why there appears to be a greater boost in this population. We all need to realize that students coming in with non-traditional backgrounds need more mentoring at any level. They need to be comfortable and understand the environment. They need empowerment in their fields through engagement in research.

**PCC Proposal to Establish a Post-Baccalaureate Certificate in Achievement Motivation & Adolescent Self and Social Processes (Senate Doc. No. 12-13-31) (Action)**

Elizabeth Beise, Member of the Programs Curricula and Courses (PCC) Committee, presented the PCC Proposal to Establish a Post-Baccalaureate Certificate in Achievement Motivation & Adolescent Self and Social Processes and provided background information.

Smith opened the floor to discussion of the proposal; hearing none, she called for a vote on the proposal. The result was 87 in favor, 2 opposed, and 1 abstention. **The motion to approve the proposal passed.**

**PCC Proposal to Establish a Post-Baccalaureate Certificate in Adolescent Cognitive Development and Motivation to Read (Senate Doc. No. 12-13-32) (Action)**

Elizabeth Beise, Member of the Programs Curricula and Courses (PCC) Committee, presented the PCC Proposal to Establish a Post-Baccalaureate Certificate in Adolescent Cognitive Development and Motivation to Read and provided background information.

Smith opened the floor to discussion of the proposal; hearing none, she called for a vote on the proposal. The result was 88 in favor, 1 opposed, and 0 abstentions. **The motion to approve the proposal passed.**

**Promoting Innovation: The University of Maryland Information Technology Strategic Plan (Senate Doc. No. 12-13-35) (Action)**

Senate Chair Smith presented the final Information Technology Strategic Plan and explained that the draft plan, presented to the Senate on December 5, 2013, had been revised and put forward for final approval.

Smith opened the floor to discussion of the proposal; hearing none, she called for a vote on the proposal. The result was 74 in favor, 5 opposed, and 8 abstentions. **The motion to approve the final plan passed.**

**Expansion of Promoting Responsible Action in Medical Emergencies (Senate Doc. No. 11-12-22) (Action)**

Jason Speck, Chair of the Student Conduct Committee, presented the Expansion of Promoting Responsible Action in Medical Emergencies and provided background information.

Smith opened the floor to discussion of the committee's recommendations.

Senator Popkin, Undergraduate, College of Behavioral & Social Sciences, thanked the committee for its hard work to develop the revised policy. He provided a story about a student who was in need of medical care but was hesitant to call for help because he was using marijuana. He believes that this example shows the necessity of having an inclusive policy. He encouraged senators to support the committee's recommendations.

Senator Varkalis, Undergraduate, College of Agriculture & Natural Resources, stated that in medical emergencies there is reluctance about what to do, largely due to fear of university sanctions. There should be no barrier preventing students from seeking medical assistance when needed. Many other universities already have similar policies. She asked senators to vote in favor of the recommendation. The policy does not condone drug use but seeks to ameliorate concerns that may result in hesitation for seeking medical assistance.

Senator Varkalis introduced Brandon Levey, author of the expansion proposal. He thanked the various committees and student organizations that helped review and promote this expansion. If the Senate approves the recommendations, it is important to educate students about the policy so that they are aware. The policy is only effective if students are aware of it.

Samantha Zwerling, SGA President, stated that the SGA passed a resolution unanimously supporting the policy. She submitted the resolution for the record. Student leaders are discussing this issue throughout the country and in the Big

10. We should be leaders on student safety in the Big 10 by voting to approve the recommendations.

Senator Robinson, Undergraduate, College of Behavioral & Social Sciences, stated that the policy is ultimately about student safety. Students know about the consequences of drug use but need to prevent further injury. As a community we want our members to use our resources rather than fear them. We need to promote this policy and so that there is not further tragedy in our community.

Senator Lieb, Undergraduate, College of Computer, Mathematical & Natural Sciences, stated that he is in full support of the policy. He stated that there are no legal issues because the Attorney General has already stated that legality is not an issue. He further stated that enacting the policy would not encourage drug use. The policy is a common sense safety measure. He encouraged senators to vote in favor.

Speck clarified that the Attorney General's Office has never provided an opinion on this issue. It is a misconception that the committee has tried to correct several times. However, that does not detract from the committee's unanimous support of the recommendations.

Senator Fagan, Undergraduate, Robert H. Smith School of Business, stated that the interfraternity council is supportive of this policy.

Senator Novara, Chair-Elect, Faculty, Libraries, made a motion to extend the meeting by 30 minutes. The motion was seconded. Smith opened the floor to discussion of the motion; hearing none, she called for a vote to extend the meeting and noted that it required a 2/3 majority to pass. The result was 32 in favor, 49 opposed, and 2 abstentions. **The motion failed.**

Senator Farshchi, Undergraduate, Robert H. Smith School of Business, stated that as a residence assistant, the responsible action protocol has been very beneficial and expanding it would make it more so.

Hearing no further discussion, Smith called for a vote on the proposal. The result was 81 in favor, 2 opposed, and 1 abstention. **The motion to approve the recommendations passed.**

### **Report of the Joint Provost/Senate Open Access Task Force (Senate Doc. No. 12-13-36) (Action)**

Patricia Steele, Chair of the Joint Provost/Senate Open Access Task Force, presented the report of the task force and provided background information.

Smith opened the floor to discussion of the task force's recommendations; hearing none, she called for a vote on the recommendations. The result was 65 in favor, 0 opposed, and 5 abstentions. **The motion to approve the recommendations passed.**

Senator Popkin, Undergraduate, College of Behavioral & Social Sciences, stated that we still had five minutes left in the meeting so we should continue on to the next agenda item.

**Proposal to Implement a Retroactive Withdrawal Policy at the University of Maryland (Senate Doc. No. 11-12-30) (Action)**

Christopher Davis, Chair of the Academic, Procedures & Standards (APAS) Committee, presented the committee's recommendations and provided background information.

Smith opened the floor to discussion of the committee's recommendations.

Senator Popkin, Undergraduate, College of Behavioral & Social Sciences, thanked the committee and stated that this recommendation would make a difference.

Davis thanked the proposer for her well-documented proposal. While it focused on mental health issues, the committee felt that the policy should cover broader issues by providing flexibility.

Hearing no further discussion, Smith called for a vote on the recommendations. The result was 68 in favor, 2 opposed, and 0 abstentions. **The motion to approve the recommendations passed.**

Senate Chair Smith adjourned the meeting at 5:00 p.m. and announced that any remaining agenda items would automatically be placed on the agenda of the next Senate Meeting.



## University Senate TRANSMITTAL FORM

<b>Senate Document #:</b>	12-13-07
<b>Title:</b>	Implementation of the Policy on Smoking at USM Institutions
<b>Presenter:</b>	Marcy Marinelli, Chair, Campus Affairs Committee
<b>Date of SEC Review:</b>	February 1, 2013
<b>Date of Senate Review:</b>	February 14, 2013
<b>Voting (highlight one):</b>	1. On resolutions or recommendations one by one, or 2. In a single vote 3. To endorse entire report
<b>Statement of Issue:</b>	<p>In June 2012, the Board of Regents (BOR) instituted a policy requiring smoke-free environments at each institution throughout the University System of Maryland (USM). Each institution must implement this policy prior to June 30, 2013. The Senate Executive Committee (SEC) charged the Campus Affairs Committee (CAC) with reviewing the USM policy on smoking and making recommendations on a related campus policy and an implementation process for the University of Maryland.</p>
<b>Relevant Policy # &amp; URL:</b>	USM Policy VI-8.10 "Policy on Smoking at USM Institutions." <a href="http://www.president.umd.edu/policies/vi810.html">http://www.president.umd.edu/policies/vi810.html</a>
<b>Recommendation:</b>	<p>The CAC recommends that the attached policy entitled, "VI – 8.10 (A) Policy on Smoking at University of Maryland" be adopted as official University of Maryland policy and be added to the Consolidated USM and UMD Policies and Procedures Manual.</p> <p>In addition, the CAC presents thirteen recommendations on the implementation of the policy for Senate consideration. These recommendations are organized under the following categories: Communication; Policy Management, Assessment, and Evaluation; Enforcement; Prevention, Education, and Treatment; and Reporting Responsibilities.</p>

<b>Committee Work:</b>	<p>The CAC began reviewing the charge and the USM policy at its meeting on September 6, 2012. The committee devoted six meetings to consideration of the charge.</p> <p>In order to organize its research and discussion over the course of the semester, the CAC formed a number of subgroups focused on different aspects of the policy and its implementation. The subgroups were charged with studying peer institutions, creating and disseminating a survey, researching prevention, education, and treatment resources on campus, exploring models of enforcement at institutions with smoke-free policies, considering the management, assessment, and evaluation of the policy, and considering communications strategies related to the new smoke-free policy. These subgroups performed research and made recommendations to the full committee.</p> <p>Over the course of its work, the CAC reached out to various units and groups on campus to better understand how the new policy would affect the community and its operations. The CAC spoke with representatives from the University Health Center, Resident Life, Residential Facilities, the Department of Intercollegiate Athletics, University Human Resources, and the Office of Legal Affairs, and also asked for feedback from the Senate Staff Affairs Committee.</p> <p>After much review and discussion, the Campus Affairs Committee voted to approve the recommendations and send them forward for consideration at its meetings on December 13, 2012 and January 24, 2013.</p>
<b>Alternatives:</b>	<p>The Senate could reject the proposed policy and the recommendations for implementing a policy tailored to the University of Maryland campus. The USM policy would remain as the official policy for the campus.</p>
<b>Risks:</b>	<p>There are no associated risks.</p>
<b>Financial Implications:</b>	<p>Financial resources may be needed to carry out some of the recommendations for implementation, particularly those affecting the University Health Center and its services.</p>
<b>Further Approvals Required:</b>	<p>Senate approval, Presidential approval.</p>

# **Senate Campus Affairs Committee**

## **Senate Document # 12-13-07**

### **Implementation of the Policy on Smoking at USM Institutions**

**January 2013**

#### **BACKGROUND**

In June 2012, the Board of Regents (BOR) of the University System of Maryland (USM) instituted a policy that requires smoke-free environments at each institution throughout the system (Appendix 4). Each institution is required to implement this policy prior to June 30, 2013. The University of Maryland (UM) Senate Executive Committee (SEC) charged the Campus Affairs Committee (CAC) with reviewing the USM policy on smoking and making recommendations on a related campus policy and an implementation process for UM (Appendix 5).

#### **CURRENT PRACTICE**

The University Senate has previously considered whether to ban smoking on campus, and has received a number of proposals related to smoking policies over the past few years. In 2009-2010, the CAC was charged with reviewing a proposal to ban smoking from campus and chose not to recommend the adoption of a smoke-free campus policy. The CAC did, however, make administrative recommendations regarding the existing smoking policies on campus. In response, the Division of Administration and Finance (then known as the Division of Administrative Affairs) proposed that the campus smoking policy be amended to adjust the distance from buildings in which smoking is allowed. The CAC reviewed the proposal and recommended its adoption, which was subsequently approved by the Senate and the President in September 2011.

The recently approved USM policy on smoking (Appendix 4) prohibits smoking on all institution grounds and property. As a USM policy, this new initiative takes precedence over the current UM campus policy. However, the new policy allows each campus the latitude to establish limited designated areas in which smoking would be allowed at its discretion.

#### **COMMITTEE WORK**

Over the course of five months during the 2012-2013 academic year, the CAC considered its charge regarding the implementation of the policy banning smoking at UM. Throughout its review, the CAC discussed the complexity of implementing a campus-wide ban. The CAC recognizes that smoking is not illegal, and the committee is sensitive to the fact that smoking is an addiction that is difficult to quit. It is also cognizant of the campus climate and the message that the University wants to send about being smoke-free.

From September 2012 to January 2013, the CAC focused on consideration of the smoking policy and its implementation. At its initial meeting, the CAC developed a plan and timeline for studying the issue.

In order to organize its research and discussion over the course of the semester, the CAC formed a number of subgroups focused on different aspects of the policy and its implementation. These subgroups performed research and made recommendations to the full committee.

The Peer Institutions Subgroup was charged with researching policies and practices related to smoking at peer institutions. This group reviewed the experiences of Towson University, Montgomery College, University of Missouri, Ball State, University of North Carolina, Oregon State University, and University of Michigan in their implementation of a smoke-free campus. The CAC discussed experiences at other universities, which sent conflicting messages when they included designated areas for smoking in their smoke-free policy. For example, the University of Michigan designed a policy with designated areas that included smoking pavilions, and specifically changed its policy after its implementation to remove the designated areas on campus, because it felt the existence of smoking pavilions weakened the smoking policy and made it less effective.

The Survey Subgroup was charged with creating a survey to measure campus-wide awareness of the USM policy and attitudes towards a smoke-free campus policy. A survey was created by the subgroup, with the committee's advice, and was sent to a random sample of faculty, staff, and students. The survey was also advertised on the Senate website, Facebook, and Twitter, and promoted at the Great American Smoke-Out event hosted by the University Health Center (UHC).

The smoking ban survey received over 2,900 responses (Appendix 3). Significant findings from the survey include the following:

- Only a small percentage (21.76%) of respondents were familiar with the USM policy;
- More than half (58.09%) of the respondents were in favor of banning smoking on campus;
- 58% of respondents would approve of having designated smoking areas;
- Respondents do not feel comfortable asking others to stop smoking – only 35.28% would feel comfortable doing so; and
- 21.48% of the respondents indicated that they were smokers. Of those who smoke, only 7.74% would be encouraged to quit because of the ban, and only 3.63% indicated they would take advantage of smoking cessation services on campus.

The Prevention, Education, and Treatment Subgroup was charged with researching smoking cessation resources available on campus through the UHC. It reported that services are provided free of cost by the UHC to students, faculty, and staff, and include smoking cessation counseling, nicotine patches, acupuncture, and the other services. These services are provided primarily in English, as well as in Spanish to some extent. The subgroup reported a concern that the UHC may have to impose a fee for these services if the smoking ban results in a great number of campus members seeking services. It noted that additional financial support for the UHC for increased staffing may be needed to continue to provide these services.

An Enforcement Subgroup focused on enforcement of the policy and explored models at peer institutions, while considering what scenarios may be appropriate for use at UM. It reported on the policies at University of Michigan, Frostburg State University, and Towson University, and found differing levels of enforcement at each institution, ranging from emphasis on a climate of respect and wellness to more severe enforcement methods involving fines and infractions as part of the staff performance, review, and development (PRD) process. The CAC discussed UM's campus climate and agreed that a policy focused on respect and wellness, rather than punitive actions, would be a better fit. The CAC agreed that communication, education, social norming, and a strong focus on the health benefits of a smoke-free environment would be better suited to the University than strict enforcement methods. The CAC also agreed that efforts to change the campus culture may prove more effective in aiding enforcement of the policy than punitive measures, and discussed ways to utilize the influence and passion of student groups to affect such change.

The Enforcement Subgroup also led a lengthy discussion on designated smoking areas. It presented the challenges of enforcing the smoking ban on UM's large, non-contiguous campus. It also noted that it would be difficult to prohibit activity on UM property that is legal on the property surrounding campus. The CAC discussed whether designated areas would weaken the policy and noted that the USM policy intentionally provides the option of designated areas.

The Policy Management, Assessment, and Evaluation Subgroup was charged with reviewing the exact specifications of the BOR policy and reporting on what a campus policy might entail. This subgroup presented its finding that it would be difficult to enforce designated smoking areas, and advocated that the committee recommend following the BOR's intent to create a smoke-free campus. It cited the University of Michigan's experience, where smoking pavilions were initially created in designated areas and then eliminated. Michigan's continued requests for additional pavilions eventually made them realize the smoke-free policy seemed to be moving in the opposite direction of its original intent. The subgroup recognized the difficulties in changing the culture on campus, and recommended that the first year of implementation should focus on education and communication tailored to each campus constituency to explain that UM is now a smoke-free campus.

The CAC discussed communications strategies at length and noted how important communication will be to implementation of the policy. Committee members agreed that communications should have a supportive and positive tone, and that they should be put in the context of a "smoke-free environment," while being sensitive to the challenges that smokers will face. The CAC discussed a phased-in communications campaign to start immediately, which would focus on awareness of the new policy and campus resources, involvement of the campus community, and implementation of the policy. A marketing campaign, similar to the "Nothing is Slower than a Sick Turtle" or the sustainability awareness campaigns, was discussed.

In the course of its work, the CAC reached out to various units and groups on campus to better understand how the new policy would affect the community and its operations. The committee spoke with representatives from the University Health Center, Resident Life, Residential Facilities, and the Department of Intercollegiate Athletics, to make them aware of the smoking ban and learn how this might affect their operations. The CAC met with representatives of University Human Resources (UHR) on their perspective on the new USM policy. UHR had concerns about how it might affect faculty and staff differently, in terms of enforcement and possible disciplinary action. For instance, staff members have limited breaks in their schedule, and requiring them to leave campus to smoke may place more of a burden on staff than on faculty or students who smoke.

The CAC also reviewed feedback that it received from the Senate Staff Affairs Committee about the smoking ban and its potential impact on staff members. The Staff Affairs Committee noted that there has been little communication about the impending smoking ban, and committee members felt that more should be done to inform the campus community of the upcoming changes. Members of the committee also agreed with the idea of a progressive system of implementation that focuses on communication and education first.

In addition, the CAC consulted with the Office of Legal Affairs on the text of a draft policy on smoking at UM (Appendix 2).

## **RECOMMENDATIONS**

At its meetings on December 13<sup>th</sup>, 2012 and January 24<sup>th</sup>, 2013, the Campus Affairs Committee voted in favor of recommendations on the implementation of the smoke-free campus policy.

The Campus Affairs Committee recommends that the attached policy (Appendix 2) entitled “VI – 8.10 (A) Policy on Smoking at University of Maryland” be adopted as official University of Maryland policy and be added to the Consolidated USM and UMD Policies and Procedures Manual. In addition, the CAC presents the following recommendations on the implementation of the policy for Senate consideration.

### ***Communication***

- The Campus Affairs Committee recommends that the Division of Administration and Finance and University Relations lead the development and dissemination of an appropriate communication and signage strategy for the campus, beginning with awareness communication to start immediately. A smoke-free campus identity campaign should be promulgated throughout campus, and adequate and appropriate signage should be located at all entrances to campus, as well as at major public thoroughfares and spaces, and in campus buildings.
- The Campus Affairs Committee recommends that the smoke-free policy be continually communicated to the University community in a simple, positive, and respectful manner throughout each phase of implementation.
- The Campus Affairs Committee recommends that the smoke-free policy be adequately communicated to external constituents, including but not limited to, applicants for admission and employment, contractors, visitors to campus, and vendors.

### ***Policy Specifications, Management, and Evaluation***

- The Campus Affairs Committee recommends that all University of Maryland property be smoke-free. Any limited and specific designated areas in which smoking may be permitted would be subject to the designation of the President.
- The Campus Affairs Committee recommends that the new smoking policy be administered by the Division of Administration and Finance, with appropriate involvement of relevant groups on campus, including University Relations, the University Health Center, the Division of Student Affairs and other appropriate units as designated by the President. The committee recommends that the Division of Administration and Finance have responsibility to oversee implementation and manage enforcement of the policy, and recommends that it involve faculty, staff, and students in its processes when appropriate.
- The Campus Affairs Committee recommends that the Division of Administration and Finance develop a centralized reporting mechanism for concerns regarding the policy from the campus community.
- The Campus Affairs Committee recommends that the University conduct periodic evaluations of effectiveness of the policy during the first five years of its implementation. The data collected could include measurements of the utilization of health and educational services, and annual surveys of random faculty, staff, and students, among other sources.

### ***Enforcement***

- The Campus Affairs Committee recommends that enforcement and administration of the smoking policy focus on respect and wellness as opposed to discipline and punitive measures by utilizing a progressive enforcement program whereupon we seek voluntary compliance before any strict sanctions. Such a program should focus on warnings and persuasion first; referrals to resources

second; and punitive measures as a last resort in situations of blatant or repeated violation of the policy. The committee recommends that any punitive enforcement be delayed during the initial year of the policy to allow the University to first focus on communication and preparation.

- The Campus Affairs Committee recommends that the Division of Administration and Finance (or other appropriate units as designated by the President) work with University Human Resources and the University Health Center to develop resources for faculty, staff, and students that empower them to assist in achieving campus compliance with the smoke-free policy through peer interaction.

### ***Prevention, Education, and Treatment***

- The Campus Affairs Committee recommends that the University Health Center continue to be designated as a centralized resource for information regarding both on-campus and off-campus smoking cessation resources and peer education programs for faculty, staff, and students.
- The Campus Affairs Committee recommends that prevention, education, and treatment strategies be equally geared towards all constituencies and that steps be taken to ensure that faculty, staff, and students all have access to the services provided. One way to accomplish this goal would be to effectively promote services to faculty, staff, and students through concerted communication efforts.
- Campus Affairs Committee recommends that sufficient resources be allocated to the University Health Center to support smoking cessation efforts for faculty, staff, and students, and that the current smoking cessation services offered by the University Health Center be expanded, where appropriate.

### ***Reporting Responsibilities***

- The Campus Affairs Committee recommends that the Division of Administration and Finance (and other appropriate units as designated by the President) provide status reports to the University Senate on the progress and outcomes of implementation as well as on campus compliance with the policy each year for the first five years of the smoking policy.

## **APPENDICES**

Appendix 1 – Suggestions for Implementation

Appendix 2 – Proposed Policy on Smoking at University Of Maryland (VI – 8.10(A))

Appendix 3 – Campus Affairs Committee Smoking Ban Survey – Abbreviated Results

Appendix 4 – University System of Maryland (USM) Policy VI – 8.10 Policy on Smoking at USM Institutions

Appendix 5 – Senate Executive Committee Charge on Implementation of the Policy on Smoking at USM Institutions

## **SUGGESTIONS FOR IMPLEMENTATION**

The Campus Affairs Committee discussed implementation scenarios and options in depth from September 2012 through January 2013. As a result, the CAC would like to share suggestions for how implementation could proceed, while ultimately encouraging the administration to conduct its implementation efforts however it feels appropriate outside of the recommendations the CAC has previously presented.

### ***Communication***

The CAC stresses that communication should be the first priority of implementation of the smoking policy, and it should begin immediately. The CAC has found that most faculty, staff, and students are not familiar with the policy and do not know that the University will be smoke-free by June 30, 2013. There is a great deal of confusion over whether it will in fact be implemented. Understanding this reality, the CAC developed its recommendations regarding communication with the consensus that these are the most critical for implementation of the policy.

In its committee work, the CAC discussed many options for implementation of its communication recommendations. The committee discussed breaking communications strategies into phases, to appropriately focus efforts at specific points before and during implementation. It suggests focusing first on awareness and education about the policy, next on engaging the campus community in discussions about the policy, and then focusing on the actual details of the policy and its implementation.

Immediate communication efforts could start small and grow as appropriate.

- The CAC found the countdown ticker on the UHR webpage, and suggests incorporating a similar effort into other critical websites, such as the UM homepage.
- Websites and promotional materials that reach external constituents, such as applicants for admission and employment and visitors to campus, could incorporate notices about the smoke-free policy.
- Email messages or other communications from the University administration may raise the profile of the policy and greatly assist in spreading awareness across campus.
- Also, common venues that communicate campus news to faculty, staff, and students – such as *Between the Columns*, *Faculty Voice*, and *The Diamondback*, -- could be utilized as well.
- Physical signage campaigns take a great deal of time, so the CAC suggests that other strategies be utilized for quicker dissemination of information while physical signage is created. The committee suggests maximizing use of social media messaging, FYI advertisements, email messages, website announcements, and other digital methods as appropriate.

In discussing the content of communications, the CAC stresses a focus on positive language and the phrase “smoke-free environment” can be more effective than messages that single out those who smoke or focus on negative language, such as “smoking strictly prohibited.” Using such language is also one way of shaping the context for the policy and building a campus identity that could lead to a genuine acceptance of the policy. As an example of a simple, positive, and respectful messaging campaign, the CAC discussed the “Nothing Slower Than a Sick Turtle” flu prevention campaign and suggests development of a similar messaging tool that can be placed on windows, doors, or elsewhere throughout campus to serve as a positive daily reminder of the smoke-free policy.

### ***Policy Specifications, Management, and Evaluation***

The CAC believes that the leadership of the Division of Administration and Finance (DAF) in administering the policy will help provide centralization for the efforts associated with the smoking policy and significantly impact its success. The committee feels that many of the critical aspects of the policy will involve different departments in DAF – from UHR to Facilities Management to Finance and Community Engagement – and that it warrants the oversight of the Vice President for Administration and Finance (VPAF).

However, the CAC would not suggest that the DAF work alone in its efforts and offers the following suggestions for implementation process:

- The CAC suggests that the DAF work closely with other groups across campus as necessary to implement and enforce the policy.
  - Other universities have found it helpful to form smoke-free environment implementation committees or work groups with all of the relevant departments represented. Such a committee could be useful in:
    - Carrying out implementation details,
    - Tracking the progress of implementation across campus, and
    - Making decisions as new developments unfold.
- The DAF should engage with faculty, staff, and students whenever possible as it makes decisions about implementation and policy assessment. The DAF could:
  - Conduct surveys where the campus or specific constituencies are asked to rate their preferences on different implementation options;
  - Invite representatives of different constituencies to meetings; or
  - Hold specific meetings or open forums with each constituency.

The CAC stresses the importance of continual evaluation of the smoking policy. By evaluating the effectiveness of the policy on an annual basis, the University will have an opportunity to identify pieces that are not working and adjust its procedures over time. The CAC suggests that evaluations:

- Examine the violations of the policy, including violations resulting in “formal” action (such as referral to smoking cessation resources or further measures) and the trend of violations over the years;
- Attempt to illustrate the extent to which smoking remains a problem on campus over time; and
- Seek to determine whether the campus culture is changing to incorporate a smoke-free identity.

### ***Enforcement***

The CAC stresses a policy based on respect and wellness, and feels that, consistent with policies at other campuses, such a policy will be more likely to be respected. However, the committee also understands that further enforcement options should be available for more serious violations of the policy. It recommends a progressive enforcement system, and presents the following suggestions for such a program.

The CAC found that in most peer institutions, implementation of a smoke-free policy is a multi-year process, and the CAC is concerned about the level of understanding of and preparation for the new policy in the UM community. The CAC suggests that any aspects of implementation that involve punitive enforcement measures be delayed initially, and that the University place emphasis on awareness and preparation within the first year of the policy.

The CAC feels that persuasion and peer interaction should be the basis of the first level of enforcement. Peer interaction is a powerful tool, and the CAC regards it as an important enforcement mechanism. While CAC’s survey results show that most people would not feel comfortable addressing smokers, the

committee believes that if individuals are given appropriate tools, they will be more likely to address situations they see arising across campus. The CAC suggests that tools and language specifically geared towards faculty, staff, and students be developed to give the campus community constructive ways to address smoking and smokers on campus with the goal of encouraging compliance with the policy.

The CAC also suggests developing a friendly reminder system that can be used by all campus members to encourage adherence to the smoking policy. Similar to the previously discussed communications strategies, the CAC suggests creating a simple, positive tool that each person can use to encourage others to adhere to the policy. The CAC discussed the friendly warning tickets used for first-time parking violations as a guide.

The tools developed should be widely shared and the community should be encouraged to use them appropriately. While the CAC is hesitant to suggest involving campus police too heavily in enforcement, the committee considered that the Police Auxiliary might be involved in dissemination of communications and friendly reminders about the policy. Likewise, student groups could be called upon to assist in spreading information about the policy in particular areas where smoking has been reported as a problem. These could be either existing groups that focus on smoking cessation or related activities that wish to be involved, or new groups created specifically for this purpose.

The second and third levels of enforcement would be reserved for repeat instances of violation of the policy. The CAC feels that referring individuals to the resources available to them is a critical step in enforcement of the policy. Referring individuals to the UHC or other resources on campus for smoking cessation, stress relief, or other assistance should be prioritized. In situations of blatant or repeated violations of the policy, additional intervention may be necessary and disciplinary measures can be considered. However, the CAC strongly rejects the idea that smoking should enter into any PRD discussions for faculty or staff.

### ***Prevention, Education, and Treatment***

During its review of the smoking policy, the CAC found that the UHC already has programs in place to provide resources and information about smoking cessation opportunities, and the CAC recommends that it continue to do so. The CAC was very pleased to hear that their services are open to all campus constituencies, and was also pleased to learn that some of the services are currently provided with Spanish translations. The CAC offers the following suggestions for enhancing the services already offered in the wake of the new smoking policy.

- The committee recommends that the UHC be given the resources it needs to appropriately fulfill their responsibilities under this new policy.
- The CAC feels that an expansion of UHC services may be warranted
  - In its review, the CAC found that some smoking cessation services are not provided due to cost considerations. The CAC suggests considering whether these services would be possible with appropriate additional funding.
  - The committee's survey results included many comments that asked for more options for smoking cessation services. Specifically,
    - Additional smoking cessation workshops and seminars,
    - Campus support groups,
    - Resources on how to adapt smoking habits around new schedules,
    - Extra stress management and reduction services as a component of smoking cessation
  - The committee also received many concerns that staff members feel that they are unable to take advantage of the services available to them. The UHC could consider:

- Providing more Spanish-language services and assessing whether additional languages would be appropriate,
  - Tailoring some services more effectively to staff members,
  - Offering certain events or resources at different hours to reach those with different schedules,
  - Offering more services and resources online, and
  - Communicating with supervisors about encouraging staff and faculty who choose to take advantage of these services.
- The CAC suggests that peer education on smoking cessation be added to existing Peer Education programs.
- The CAC suggests that UHC evaluate the marketing of its smoking cessation programs and consider how to use the new policy to enhance awareness of its services.
  - The committee's survey showed that only 49.39% of those who reported that they smoked were familiar with the smoking cessation services offered by the UHC.
  - The CAC suggests that UHC work with the DAF to combine communication efforts where possible.

### ***Reporting Responsibilities***

Due to a short time-frame for implementation, it is unrealistic to expect full implementation and campus acceptance immediately. The CAC anticipates this reality, and will remain interested in the implementation and success of the policy as it progresses. To encourage communication between the representatives for the University's diverse constituencies and the administrators of this policy, the CAC recommends that the DAF report to the SEC once every year for the first five years of implementation of the smoking policy. The committee suggests that these reports contain a brief status update on how the implementation is progressing, what the DAF's internal evaluations of the policy find on its acceptance across campus, and what future steps need to be taken to successfully implement the policy. These updates can also serve as an opportunity for the DAF to ask the Senate for further review of any aspect of the smoking policy if such reviews become necessary.

## APPENDIX 2 - PROPOSED POLICY ON SMOKING AT UNIVERSITY OF MARYLAND (VI - 8.10 (A))

### VI – 8.10(A) POLICY ON SMOKING AT UNIVERSITY OF MARYLAND (Proposed Policy)

- I. Purpose and Scope
  - a. Purpose. This policy establishes standards and requirements to provide a smoke-free environment for all UMD faculty, staff, students, and visitors, in compliance with the Board of Regents Policy on Smoking at USM Institutions (VI – 8.10).
  - b. Scope. This policy applies to all UMD students, faculty, staff, contractors and employees of contractors providing services at UMD, agents, guests, and visitors.
  - c. The following policy, VI-8.10(A) Policy on Smoking at University of Maryland, replaces any policies or procedures previously established at the University of Maryland that are in conflict with the purpose, applicability, or intent herein.
- II. Definitions
  - a. “Institutional Property” means any property owned, leased, or otherwise controlled or operated by UMD, including buildings, other structures and grounds, and vehicles owned or leased by the institution.
  - b. “Smoking” means carrying or smoking a lighted tobacco product or the burning of any material to be inhaled including, but not limited to, cigarettes, cigars, hookahs, and pipes.
- III. Prohibitions on Institution Property
  - a. Prohibitions against Smoking
    - i. Consistent with Maryland law, smoking is not permitted in any institution building, including academic buildings, residence halls, administrative buildings, other enclosed facilities, or vehicles, except as provided in Section III(a)iii, below.
    - ii. Smoking is prohibited on all institution grounds and property, including walkways, parking lots, and recreational and athletic areas, except as provided in Section III(a)iii, below.
    - iii. Smoking in and on institution property will be permitted only as follows:
      - 1. For controlled research, and educational, theatrical, or religious ceremonial purposes, with prior approval of the President or the President’s designee;
      - 2. In limited and specifically designated areas on University property and areas leased to third parties as may from time-to-time be approved by the President; or
      - 3. Subject to any other exception to this policy recommended by the President and approved by the Chancellor.
  - b. Prohibitions against Sale. The sale of tobacco and smoking-related products is prohibited on institution property.
- IV. Smoking Cessation Assistance
  - a. Assistance Programs. The University Health Center shall make available smoking cessation assistance to students, faculty and staff, which may include opportunities to participate in smoking cessation seminars, classes, and counseling and the availability of smoking cessation products and materials.
  - b. Smoking Cessation Information. The University Health Center shall be designated to answer questions, refer students and employees to on-campus and outside resources, and otherwise provide information about smoking cessation assistance options and opportunities.
- V. Implementation Process
  - a. This policy shall be administered by the Division of Administration and Finance.

- b. Communication. The University shall provide initial and ongoing information to communicate the requirements of this policy, including:
  - i. Dissemination of the key elements of the policy to faculty, staff, students, and others on websites and in appropriate written materials; and
  - ii. The placement of exterior and interior notices and signs announcing that smoking is prohibited.
- c. Community Outreach. The University will engage in outreach to the community, as appropriate, to facilitate coordination with local government authorities and to assist residents and businesses near the institution in preventing trespass and littering that may result if members of the campus community seek to smoke in nearby off-campus areas.
- d. Consequences. The University may establish appropriate procedures and consequences, which may include fines or disciplinary measures, for violations of this policy.
- e. Implementation. The provisions of this policy shall be implemented at the University of Maryland no later than June 30, 2013.

## APPENDIX 3 - CAMPUS AFFAIRS COMMITTEE SMOKING SURVEY - ABBREVIATED RESULTS

**NOTE: A complete record of survey comments is on file in the Senate Office.**

### Q1. How familiar are you with the University System of Maryland's new policy banning smoking on all campuses?

Count	Percent	
209	7.12%	Extremely familiar
430	14.64%	Very familiar
893	30.41%	Moderately familiar
704	23.97%	Slightly familiar
701	23.87%	Not at all familiar
2937		Respondents

### Q2. Are you in favor of banning all smoking on campus?

Count	Percent	
1301	44.30%	A great deal
405	13.79%	Considerably
226	7.69%	Moderately
146	4.97%	Slightly
859	29.25%	Not at all
2937		Respondents

### Q3. How will the campus-wide smoking ban make you feel about our campus community?

Count	Percent	
206	7.01%	1 - Doesn't care about my health
177	6.03%	2
633	21.55%	3
620	21.11%	4
1301	44.30%	5 - Cares a lot about my health
2937		Respondents

### Q4. Do you favor asking people to leave campus entirely in order to smoke?

Count	Percent	
636	21.65%	Strongly favor
574	19.54%	Favor
422	14.37%	Neither opposed or in favor
436	14.85%	Opposed
845	28.77%	Strongly opposed
24	0.82%	Prefer not to respond
2937		Respondents

### Q5. Are you in favor of having designated areas on campus for smoking?

Count	Percent	
1713	58.32%	Yes (where would you want these areas to be?)
979	33.33%	No
245	8.34%	Prefer not to respond
2937		Respondents

### Q6. Please indicate your level of agreement with the following statements: - Breathing smoke-free air in my daily environment is important to me

Count	Percent	
1734	59.04%	Strongly agree
568	19.34%	Agree
282	9.60%	Neither agree nor disagree

**Q6. Please indicate your level of agreement with the following statements: - Breathing smoke-free air in my daily environment is important to me**

Count	Percent	
130	4.43%	Disagree
194	6.61%	Strongly disagree
29	0.99%	Prefer not to respond
2937		Respondents

**Q7. Please indicate your level of agreement with the following statements: - Having smokers leave campus to smoke will lead to lost productivity**

Count	Percent	
815	27.75%	Strongly agree
796	27.10%	Agree
603	20.53%	Neither agree nor disagree
370	12.60%	Disagree
306	10.42%	Strongly disagree
47	1.60%	Prefer not to respond
2937		Respondents

**Q8. Please indicate your level of agreement with the following statements: - Having smokers who live on campus leave their residence hall at night to smoke is a safety concern**

Count	Percent	
858	29.21%	Strongly agree
914	31.12%	Agree
467	15.90%	Neither agree nor disagree
410	13.96%	Disagree
248	8.44%	Strongly disagree
40	1.36%	Prefer not to respond
2937		Respondents

**Q9. Please indicate your level of agreement with the following statements: - I would feel comfortable telling a smoker that this is a non-smoking campus.**

Count	Percent	
498	16.96%	Strongly agree
538	18.32%	Agree
441	15.02%	Neither agree nor disagree
652	22.20%	Disagree
745	25.37%	Strongly disagree
63	2.15%	Prefer not to respond
2937		Respondents

**Q10. Please indicate your level of agreement with the following statements: - No Smoking signs are effective at deterring smoking**

Count	Percent	
248	8.44%	Strongly agree
685	23.32%	Agree
621	21.14%	Neither agree nor disagree
714	24.31%	Disagree
629	21.42%	Strongly disagree
40	1.36%	Prefer not to respond
2937		Respondents

**Q11. Do you smoke (cigarettes, cigars, pipe, hookah, marijuana)?**

Count	Percent	
620	21.48%	Yes
2267	78.52%	No
2887		Respondents

**Q12. How often during the last 30 days have you smoked?**

Count	Percent	
181	6.27%	1 - 2 days
81	2.81%	3 - 5 days
50	1.73%	6 - 9 days
73	2.53%	10 - 19 days
77	2.67%	20 - 29 days
181	6.27%	All 30 days
2244	77.73%	I have not smoked in the last 30 days.
2887		Respondents

**Q13. Do you smoke on campus?**

Count	Percent	
427	14.79%	Yes
2460	85.21%	No
2887		Respondents

**Q14. Where on campus do you smoke? (Check all that apply)**

Count	Respondent %	Response %	
146	35.35%	15.45%	Outside my residence hall
161	38.98%	17.04%	Outside my office building
133	32.20%	14.07%	Outside the Stamp Student Union
189	45.76%	20.00%	Outside McKeldin and Hornbake Libraries
201	48.67%	21.27%	In the parking lots
115	27.85%	12.17%	Other (please specify)
413			Respondents
945			Responses

**Q15. Please indicate your level of agreement with the following statements: - When more restrictive smoking regulations are implemented at UMCP I would transfer to another college or seek employment elsewhere.**

Count	Percent	
46	11.14%	Strongly agree
41	9.93%	Agree
90	21.79%	Neither agree nor disagree
92	22.28%	Disagree
107	25.91%	Strongly disagree
37	8.96%	Prefer not to respond
413		Respondents

**Q16. Please indicate your level of agreement with the following statements: - Having a no smoking policy on campus would encourage me to quit smoking.**

Count	Percent	
16	3.87%	Strongly agree

**Q16. Please indicate your level of agreement with the following statements: - Having a no smoking policy on campus would encourage me to quit smoking.**

Count	Percent	
16	3.87%	Agree
52	12.59%	Neither agree nor disagree
82	19.85%	Disagree
239	57.87%	Strongly disagree
8	1.94%	Prefer not to respond
413		Respondents

**Q17. Please indicate your level of agreement with the following statements: - I am familiar with the campus smoking cessation services.**

Count	Percent	
67	16.22%	Strongly agree
137	33.17%	Agree
63	15.25%	Neither agree nor disagree
58	14.04%	Disagree
72	17.43%	Strongly disagree
16	3.87%	Prefer not to respond
413		Respondents

**Q18. Please indicate your level of agreement with the following statements: - After the smoking ban is implemented, I will take advantage of the campus smoking cessation services.**

Count	Percent	
4	0.97%	Strongly agree
11	2.66%	Agree
102	24.70%	Neither agree nor disagree
77	18.64%	Disagree
195	47.22%	Strongly disagree
24	5.81%	Prefer not to respond
413		Respondents

**Q19. What is your age?**

Count	Percent	
21	0.74%	17 years old or younger
1128	39.58%	18 - 21 years old
560	19.65%	22 - 26 years old
284	9.96%	27 - 30 years old
246	8.63%	31 - 39 years old
218	7.65%	40 - 49 years old
226	7.93%	50 - 59 years old
128	4.49%	60 - 69 years old
19	0.67%	Over 70 years old
20	0.70%	Prefer not to respond
2850		Respondents

**Q20. What is your classification?**

Count	Percent	
1398	49.05%	Undergraduate student
642	22.53%	Graduate student
281	9.86%	Faculty
336	11.79%	Exempt staff

**Q20. What is your classification?**

Count	Percent	
137	4.81%	Non-exempt staff
32	1.12%	Contingent staff (I or II)
24	0.84%	Other (please specify)
2850	Respondents	

**Q21. Are you an international student?**

Count	Percent	
145	5.09%	Yes
2705	94.91%	No
2850	Respondents	

**Q22. Where do you live?**

Count	Percent	
108	3.79%	On campus - North Campus
91	3.19%	On campus - Denton
68	2.39%	On campus - Ellicott
67	2.35%	On campus - Cambridge
170	5.96%	On campus - Commons
145	5.09%	On campus - South Hill
33	1.16%	On campus - Leonardtown
2168	76.07%	Off campus (please specify)
2850	Respondents	

## APPENDIX 4 - UNIVERSITY SYSTEM OF MARYLAND POLICY VI- 8.10 POLICY ON SMOKING AT USM INSTITUTIONS

### VI – 8.10 POLICY ON SMOKING AT USM INSTITUTIONS

(Approved by the Board of Regents, June 22, 2012)

#### I. PURPOSE AND SCOPE

- A. Purpose. The University System of Maryland (USM) seeks to promote a healthy, smoke-free environment for students and employees. In recognition of the health risks of tobacco smoke, this policy establishes standards and requirements to provide a smoke-free environment for all USM faculty, staff, students, and visitors.
- B. Scope. This policy applies to all USM students, faculty, staff, contractors and employees of contractors providing services on USM campuses, agents, guests, and visitors.

#### II. DEFINITIONS

- A. “Institution Property” means any property owned, leased, or otherwise controlled or operated by an institution, including buildings, other structures and grounds, and vehicles owned or leased by the institution.
- B. “Smoking” means carrying or smoking a lighted tobacco product or the burning of any material to be inhaled including, but not limited to, cigarettes, cigars, hookahs, and pipes.

#### III. PROHIBITIONS ON INSTITUTION PROPERTY

- A. Prohibitions against Smoking
  - 1. Consistent with Maryland law, smoking is not permitted in any institution building, including academic buildings, residence halls, administrative buildings, other enclosed facilities, or vehicles, except as provided in Section III(A)3, below.
  - 2. Smoking is prohibited on all institution grounds and property, including walkways, parking lots, and recreational and athletic areas, except as provided in Section III(A)3, below.
  - 3. Smoking in and on institution property will be permitted only as follows:
    - a. For controlled research, and educational, theatrical, or religious ceremonial purposes, with prior approval of the President or the President’s designee;
    - b. In limited and specific designated areas on institution grounds, as approved by the President; or
    - c. Subject to any other exception to this policy recommended by the President and approved by the Chancellor.

- B. Prohibitions against Sale. The sale of tobacco and smoking-related products is prohibited on institution property.

#### IV. SMOKING CESSATION ASSISTANCE

- A. Assistance Programs. Each institution may make available smoking cessation assistance to students, faculty and staff, which may include opportunities to participate in smoking cessation seminars, classes, and counseling and the availability of smoking cessation products and materials.
- B. Smoking Cessation Information. The President of each institution shall designate an individual or individuals to answer questions, refer students and employees to on-campus and outside resources, and otherwise provide information about smoking cessation assistance options and opportunities.

#### V. IMPLEMENTATION PROCESS

- A. Communication. Each institution shall provide initial and ongoing information to communicate the requirements of this policy, including:
  - 1. Dissemination of the key elements of the policy to faculty, staff, students, and others on websites and in appropriate written materials; and
  - 2. The placement of exterior and interior notices and signs announcing that smoking is prohibited.
- B. Community Outreach. Each institution will engage in outreach to the community, as appropriate, to facilitate coordination with local government authorities and to assist residents and businesses near the institution in preventing trespass and littering that may result if members of the campus community seek to smoke in nearby off-campus areas.
- C. Consequences. Each institution may establish appropriate consequences, which may include fines or disciplinary measures, for violations of this policy.
- D. Implementation. The provisions of this policy shall be implemented at each institution no later than June 30, 2013.

**APPENDIX 5 - SENATE EXECUTIVE COMMITTEE CHARGE ON  
IMPLEMENTATION OF THE POLICY ON SMOKING AT USM INSTITUTIONS**



**University Senate  
CHARGE**

<b>Date:</b>	September 5, 2012
<b>To:</b>	Marcia Marinelli Chair, Campus Affairs Committee
<b>From:</b>	Martha Nell Smith Chair, University Senate 
<b>Subject:</b>	Implementation of the Policy on Smoking at USM Institutions
<b>Senate Document #:</b>	12-13-07
<b>Deadline:</b>	January 11, 2013

The Senate Executive Committee (SEC) requests that the Campus Affairs Committee review the recently approved University System of Maryland (USM) Policy on Smoking at USM Institutions (VI-8.10) and make recommendations on a related policy and implementation process for our campus.

Specifically, we ask that you:

1. Review the report of the 2010-2011 Campus Affairs Committee regarding the Proposal for a Tobacco-Free Campus (Senate Doc. No. 08-09-15).
2. Review similar policies and implementation strategies at other USM and peer institutions.
3. Consult with representatives from University Human Resources regarding the impact of such a policy on the University's employees,
4. Consult with a representative from the Office of Staff Relations.
5. Consult with a representative of the University Health Center regarding smoking cessation programs, including who will be designated to answer questions, refer students and employees to on-campus and outside resources, and otherwise provide information about smoking cessation assistance options and opportunities.
6. Consult with representatives from the Division of Administrative Affairs regarding potential implementation and enforcement procedures, and effective communication about campus policy.

7. Gather input from various campus constituents, including faculty, staff, and students, regarding the impact of such a policy.
8. Consider the impact of such a policy on external constituents such as visitors, alumni, patrons of University events etc.
9. Develop a campus policy that aligns with the USM Policy on Smoking at USM Institutions.
10. Develop potential implementation procedures for a campus policy.
11. Consult with a representative of the Office of Legal Affairs.

We ask that you submit your report and recommendations to the Senate Office no later than January 11, 2013. If you have questions or need assistance, please contact Reka Montfort in the Senate Office, extension 5-5804.



## University Senate TRANSMITTAL FORM

<b>Senate Document #:</b>	12-13-46
<b>PCC ID #:</b>	12031
<b>Title:</b>	Proposal to Establish a Master of Finance
<b>Presenter:</b>	William Idsardi, Chair, Senate Programs, Curricula, and Courses Committee
<b>Date of SEC Review:</b>	March 13, 2013
<b>Date of Senate Review:</b>	April 4, 2013
<b>Voting (highlight one):</b>	<ol style="list-style-type: none"> <li>1. On resolutions or recommendations one by one, or</li> <li>2. In a single vote</li> <li>3. To endorse entire report</li> </ol>
<b>Statement of Issue:</b>	<p>The Robert H. Smith School of Business proposes to take its existing Master of Science in Business area of concentration in Finance and reclassify it as its own, stand-alone degree program, the Master of Finance. The context of the Master of Science in Business is important for understanding this proposal. Designed to provide an alternative to the generalist approach of the Master of Business Administration, the Master of Science in Business was created in 1978 to allow students to specialize in an academic field within business and management. Consequently, the Master of Science in Business has a structure that is uncommon for campus degree programs that have areas of concentration. The Master of Science of Business does not have a set of core requirements that is shared by each area of concentration. The curriculum of each area of concentration focuses on its own content; thus, the curriculum of the Finance area of concentration is comprised entirely of finance courses.</p> <p>In the past, the structure of the Master of Science in Business was sufficient for the purposes of the area of concentration in Finance. In recent years, however, it has become apparent that this structure poses unnecessary limitations for students, staff and faculty. Currently, the diploma only indicates the Master of Science in Business, not the actual focus of the curriculum. The general degree name also puts the School of Business at a competitive disadvantage when trying to attract students who are</p>

	<p>strongly interested in a degree in Finance. Graduates of the Finance area of concentration have also reported that they have encountered difficulty in getting recognition of their degree by foreign governments and institutions.</p> <p>Other than reclassifying the area of concentration as its own degree program, there are no other changes proposed. The new degree program will continue to be administered in the same manner as the area of concentration had been in the past, with the same faculty responsible for oversight. The curriculum will also remain the same. Consequently, there is no need for additional resources as a result of the proposed action.</p> <p>The Academic Planning Advisory Committee approved the proposal on February 11, 2013. The Graduate PCC committee approved the proposal on February 19, 2013. The Senate PCC committee approved the proposal at its meeting on March 1, 2013.</p>
<b>Relevant Policy # &amp; URL:</b>	Not Applicable
<b>Recommendation:</b>	The Senate Committee on Programs, Curricula, and Courses recommends that the Senate approve this new degree program.
<b>Committee Work:</b>	The Committee considered the proposal at its meeting on March 1, 2013. Vojislav Maksimovic, Dean's Chair Professor of Finance, and Michael Marcellino, Assistant Dean, Robert H. Smith School of Business presented the proposal. After discussion, the Committee voted unanimously to recommend the proposal.
<b>Alternatives:</b>	The Senate could decline to approve this new degree program.
<b>Risks:</b>	If the Senate does not approve the reclassifying the area of concentration as a degree program, the program and the students will continue to be at a disadvantage because of the generic name of their degree program.
<b>Financial Implications:</b>	There are no significant financial implications with this proposal.
<b>Further Approvals Required:</b> <i>(*Important for PCC Items)</i>	If the Senate approves this proposal, it would still require further approval by the President, the Board of Regents, and the Maryland Higher Education Commission.

# THE UNIVERSITY OF MARYLAND, COLLEGE PARK

## PROGRAM/CURRICULUM/UNIT PROPOSAL

- Please email the rest of the proposal as an MSWord attachment to [pcc-submissions@umd.edu](mailto:pcc-submissions@umd.edu).

PCC LOG NO.

12031

- Please submit the signed form to the Office of the Associate Provost for Academic Planning and Programs, 1119 Main Administration Building, Campus.

### College/School:

Please also add College/School Unit Code-First 8 digits: 01202900

Unit Codes can be found at: [https://hypprod.umd.edu/Html\\_Reports/units.htm](https://hypprod.umd.edu/Html_Reports/units.htm)

### Department/Program:

Please also add Department/Program Unit Code-Last 7 digits: 1290103

### Type of Action (choose one):

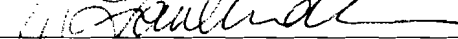
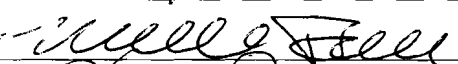
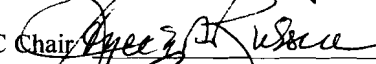
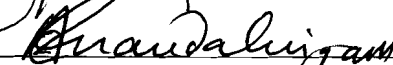
- |   |  |
|---|--|
| <input type="checkbox"/> Curriculum change (including informal specializations)     | <input checked="" type="checkbox"/> <i>New academic degree/award program</i> |
| <input type="checkbox"/> <i>Renaming of program or formal Area of Concentration</i> | <input type="checkbox"/> New Professional Studies award iteration            |
| <input type="checkbox"/> <i>Addition/deletion of formal Area of Concentration</i>   | <input type="checkbox"/> New Minor   |
| <input type="checkbox"/> <i>Suspend/delete program</i>                              | <input type="checkbox"/> Other   |

*Italics indicate that the proposed program action must be presented to the full University Senate for consideration.*

### Summary of Proposed Action:

The Robert H Smith School of Business proposes launching a Masters in Finance (MFin) program designed to provide students with a rigorous understanding of and the ability to apply core finance principles. The school currently offers a Masters of Science in Business with a concentration in Finance (MSBF). Unfortunately there is no distinction between the concentrations on the diplomas or transcripts and we are limited in our ability to treat the programs differently (such as offering lower tuition rates for some concentrations). The creation of this formal degree program will provide us with an opportunity to better reflect the degree being earned and provide the school with the ability to align our administrative activities with the market demands.

APPROVAL SIGNATURES - Please print name, sign, and date. Use additional lines for multi-unit programs.

1. Department Committee Chair  MIKE FAULKENDER
2. Department Chair  MICHAEL BALL
3. College/School PCC Chair  JOYCE RUSSELL
4. Dean  ANAND ANANDALINGAM
5. Dean of the Graduate School (if required) \_\_\_\_\_
6. Chair, Senate PCC W. IDSARDI Chair 3/1/13
7. University Senate Chair (if required) \_\_\_\_\_
8. Senior Vice President and Provost \_\_\_\_\_

PROPOSAL FOR  
NEW INSTRUCTIONAL PROGRAM  
UNIVERSITY OF MARYLAND AT COLLEGE PARK, MARYLAND  
MASTERS IN FINANCE (MFin)

ROBERT H. SMITH SCHOOL OF **BUSINESS**

DEAN **G. "Anand" Anandalingam**

**MASTERS IN FINANCE**

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Award to Be Offered Fall 2013

## **I. OVERVIEW and RATIONALE**

**A. Briefly describe the nature of the proposed program and explain why the institution should offer it. [You may want to refer to student demand, market demand for graduates, institutional strengths, disciplinary trends, synergy with existing programs, and/or institutional strategic priorities.]**

### **Goal and Contribution to the Strategic Plan**

The Robert H. Smith School of Business proposes launching a Masters in Finance (MFin) program designed to provide students with a rigorous understanding of and the ability to apply core finance principles. The financial crisis on Wall Street and around the globe has forever changed the way we think about finance. The world of modern finance is now shaped by evolving regulation, globalization and a renewed focus on corporate responsibility. Now more than ever, financial planning and decision making depend on understanding and using the new ideas and tools required in sophisticated financial management. Students who complete the MFin degree will possess the knowledge and skills necessary to address the challenges confronting financial decision makers and financial market participants.

The Robert H. Smith School of Business houses one of the strongest academic finance departments in the world as well as the recently created Center for Financial Policy (CFP). The research and experience of the faculty are particularly suited to attract some of the brightest students in the world who are seeking a more thorough understanding of financial issues. Faculty and staff currently affiliated with the Robert H. Smith School of Business and the Center for Financial Policy hold appropriate degrees in finance, economics, and public policy that are relevant and necessary for the Masters in Finance degree.

The strategic plan of the Robert H. Smith School of Business states as its first objective the goal of “Growing future leaders to address global issues.” The University of Maryland College Park mission statement sets a goal to “continue to build a strong, university-wide culture of graduate and professional education” and to provide knowledge-based programs and services that are responsive to the needs of the citizens of the state and the nation. Faculty and students in the Masters of Finance program will collaborate with financial institutions and regulators at the state, national, and international level to address current issues challenging financial markets. Given UMCP’s proximity to the nation’s capital, our facility in Washington DC, and the significant changes in financial regulation resulting from the Dodd-Frank financial reform bill, we are in a unique position to offer students opportunities unmatched by competitor institutions.

The School currently offers a Masters of Science in Business with a concentration in Finance (MSBF). However, the diploma does not state the word “finance” on it. This degree name will strengthen the recognition of the degree and increase its attractiveness to a worldwide applicant pool. Some of our MSBF graduates have informed us of difficulty in getting recognition of their degree by foreign governments and institutions because it is viewed as a degree in business and not in finance. Offering a degree with the word finance in the title will clarify the content of the knowledge our students obtain. The creation of this degree will also provide greater opportunities to be flexible within our portfolio of Masters of Science degrees to uniquely address issues within each discipline rather than pooling all of them under the same Masters of Science in Business degree that is currently offered.

The School currently offers a joint MBA-MSBF program for students and we would also seek to offer students the opportunity to enroll in a joint MBA-MFin program. Such an opportunity enables our MBA students to further distinguish themselves in the MBA marketplace and the fact that the joint program would likewise have the word “finance” in it would improve our ability to market these students.

This program is also an ideal path for some of our students to pursue PhD programs in finance. One graduate from our MSBF program is currently enrolled in our PhD program and our graduates have also placed into other PhD programs. Having the program entitled Masters in Finance will again likely improve the marketability of our students seeking to pursue a PhD specializing in finance.

### **Market Demand for Graduates**

In light of the financial crisis, employers are looking for finance specialists who have a thorough understanding of financial concepts and the ability to rigorously apply these concepts within organizations. In particular, as international financial markets become more interdependent, international companies and foreign countries have significant demand for students with the skill set that our current MSBF offers. We anticipate this demand to increase due to the increased international acceptance and recognition of MFin program relative to an MSBF. Appendix 1 shows that the inclusion of the word “finance” in the degree name is standard for this type of degree.

### **Student Demand**

Business schools are undergoing a significant shift in the applicant pool for Master’s degree programs. Applications for traditional MBA programs that provide a general management focus have seen a sustained reduction nationwide. Contemporaneously, more students are seeking Master’s degrees that specialize in a particular business field, particularly finance and accounting. In addition to the MSBF program that we launched three years ago, competitor institutions such as MIT (2008) and University of Texas at Austin (summer 2012) have similarly launched Master’s degree programs in finance within the last five years. Institutions such as Georgetown University are currently exploring whether to enter this market and launch their own Master’s in Finance programs. Such degrees are becoming an increasingly common offering at peer and aspirational institutions.

Student demand for a Master’s in Finance program is extremely high. For the 2011-2012 academic year, we received 1,123 applications and enrolled 183 students in our MSBF program. For the 2012-2013 academic year, we received 1,507 applications. Admitted student statistics demonstrate the quality of students demanding this offering:

	Fall 2012	Fall 2011
Average GMAT	723	722
Average GPA	3.5	3.44

### **B. How big is the program expected to be? From what other programs serving current students, or from what new populations of potential students, onsite or offsite, are you expecting to draw?**

Current enrollment in our MS Business with a concentration in Finance (MSBF) is approximately 180 newly admitted students per year. Students take 30 credits in the program. Students have the ability to complete the program within one academic year but many choose to elongate the program to two academic years. Such elongation provides students an opportunity to seek an internship. We anticipate that students enrolled in the MSBF program will all instead enroll in the MFin program. Therefore, enrollment should remain at the current 150 student class size after creating the Masters in Finance degree.

Most of the students we attract to this program are international, primarily from East Asia. The strategic plan for this program seeks to expand domestic enrollment, primarily by targeting students receiving

Bachelor's degrees in mathematics, statistics, and physics who are looking for an opportunity to apply their skill set to the financial industry.

## **II. CURRICULUM**

### **A. Provide a full catalog description of the proposed program, including educational objectives and any areas of concentration.**

The Masters in Finance degree (MFin) is a professional degree for students wishing to pursue careers in investment banking, money management, commercial banking, corporate finance, and financial market regulation. Core courses provide excellent fundamentals and a large number of electives will allow students the flexibility to become specialists or highly qualified generalists. They will learn how to analyze and direct the financial decisions of an organization, and gain a fresh understanding and a deep appreciation for the theoretical foundations of finance today.

The proposed MFin program offered by the Robert H Smith School of Business will provide students with:

- a) Comprehensive knowledge of foundational financial concepts, products, and financial market structure necessary for engaging in any form of financial analysis.
- b) In-depth understanding of estimating value creation on the part of private enterprises
- c) The ability to measure and manage trade-offs between risk and return
- d) Analytical skills including detailed financial modeling, the ability to design and empirically estimate financial relationships, and the creation of financial statements and forecasts
- e) Knowledge of the legal and ethical issues related to financial management and an understanding of the role of all stakeholders when capital allocation decisions are made
- f) An understanding of the regulatory structure of financial markets and the role that policymakers and regulators play in the efficient operation of financial markets
- g) Skills that will endure beyond the next business cycle and that will enable institutions to endure and thrive, even during times of economic downturn
- h) Expertise in financial management that will make our students valuable contributors to a variety of employers and organizations in diverse communities

### **B. List the courses (number, title, semester credit hours) that would constitute the requirements and other components of the proposed program. Provide a catalog description for any courses that will be newly developed or substantially modified for the program.**

Students will enter the MFin program with a Bachelor's degree. The proposed MFin program requires 30 credit hours comprised of core courses (14 credits) and electives (at least 16 credits). Completion of the degree is feasible within one academic year though many students may choose to spread their coursework over two academic years to offer an opportunity to gain experience from an internship during the summer.

While not required, some students may pursue the option of writing a master's thesis as part of reaching their 30 credit hours requirement. Others may take advantage of experiential learning opportunities for course credit. In both cases, such credit would be limited to 6 credit hours, **be overseen by a faculty member, and follow the Graduate School's guidelines for the Master's degree with thesis.** Appendix 2 provides a curriculum comparison of the Finance Programs offered by MBA ranked peers.

#### **Core Courses**

Course descriptions are provided below. All courses are 2 credits.

**BUSI 610 Introduction to Financial Accounting:** Provides an overview of financial accounting, periodic financial statements and the financial reporting process.

**BUSI 640 Financial Management:** Explores capital budgeting, security portfolio theory, operation and efficiency of financial markets, options pricing, financing decisions, capital structure, payout policy and international finance.

**BUFN740 Capital Markets:** Designed to deepen the foundations necessary to finance focused students, especially those intending to specialize in the quantitative areas of finance including investments, fixed income, and financial engineering.

**BUFN 750 Valuation in Corporate Finance:** Examines investment decisions by corporations, using various tools such as NPV, APV, and real option valuation. Particular attention is paid to cost of capital computation, pro forma cash flow statements, and other important elements of carefully executed evaluation of capital investments.

**BUFN 758N/O Financial Econometrics I/II:** Introduces the basic skills for analyzing financial data and testing financial models. The course includes a review of linear optimization for use in factor models, the statistical properties of asset returns, event studies, time series analysis and models of stochastic volatility. The course will include theory mixed with several applications.

**BUFN 761 Derivative Securities:** Introduces options and futures contracts, and presents an overview of why and how they are used. The course focuses on the valuation, and the measuring and management of risk exposure, of options and futures. Derivative securities on various underlying assets (equities, indices, commodities, foreign exchange, etc.) are analyzed, using different application contexts

The part-time curriculum consists of the same core courses. However, part-time students who are unable to take the Financial Econometrics classes may substitute for this requirement by taking at least four credits in the more quantitative finance electives upon approval of the Academic Director. Possible options include:

**BUFN 758Q Quantitative Investment Strategies:** Provides an advanced treatment of asset allocation strategies and performance evaluation. Quantitative techniques are applied to examine equity and fixed-income portfolio management strategies. The course provides a deeper understanding of the measurement of risk and its relationship to return, as well as of multi-factor models. Implementation issues, including statistical estimation, backtesting and portfolio construction, are covered, as are strategic versus tactical asset allocation, and performance evaluation.

**BUFN 765 Fixed Income Derivatives:** Introduces the use and valuation of fixed income assets such as exchange-traded bond futures and options, forward contracts on interest rates, fixed and floating rate bonds with embedded options, floating rate notes, caps, collars, floors, interest rate swaps, and mortgage backed securities. Tools include the application of binomial option pricing trees, and the analysis of stochastic yield curves.

**BUFN 766 Financial Engineering:** Introduces and applies various computational techniques useful in the management of equity and fixed income portfolios and the valuation of financial derivatives and fixed income securities. Techniques include Monte Carlo Simulation and binomial/lattice pricing models. Emphasis is on bridging theory with the design of algorithms and models that can be directly applied in practice.

## **Elective Courses**

All courses listed below are 2 credit courses. In addition to these finance electives and upon approval of the academic advisor, students may take up to six credits in related fields.

**BUFN 751 Financial Strategy For Corporations:** An advanced course in corporate finance, focusing on the issues that firms face when they plan to raise external capital from financial markets. The focus is on the financing problems faced by mid-market to large firms and on capital raised from public markets. The forms of external finance vary from simple debt or equity to more complex securities that bundle with an element of risk management.

**BUFN 752 Financial Restructuring:** Examines alternative ways to increase firm value through corporate restructuring, including domestic and international acquisitions, spin-offs, carve-outs, and leveraged buy-outs. Focus is on theory, practice, and empirical evidence related to each of these forms of restructuring, and emphasis is placed on valuation analysis and strategic considerations.

**BUFN 753 Corporate Governance:** Examines corporate governance and its impact on shareholder value. Topics include conceptual foundation for corporate governance, the role and duties of the board of directors, indicators of board effectiveness and best practices, design features of executive compensation contracts, the significance and prevalence of stock options, the perverse incentives of stock options and controversy over compensation practices, corporate governance failures and anatomy of corporate scandals, the essentials of the Sarbanes-Oxley Act and other regulatory reforms.

**BUFN 754 Corporate Risk Management:** Explores the theory and practice of financial risk identification, measurement, and mitigation at financial and non-financial firms. Topics include hedging with options and futures, interest rate risk management, Value-at-Risk (VaR), Cashflow-at-Risk (CaR), Earnings-at-risk (EaR), credit risk, equity risk, commodities risk, exchange rate risk, and lessons from risk management disasters.

**BUFN 755 Entrepreneurial Finance and Private Equity:** Explores advanced topics in corporate finance, with major emphasis on how financiers help firms plan for growth and develop finance strategies firms use for different types of securities at different points in the industry's and firm's life. Securities will include private financing and placements, Venture Capital (VC), Initial Public Offerings (IPOs), Private Equity and Leveraged Buyouts.

**BUFN 758Q Quantitative Investment Strategies:** Provides an advanced treatment of asset allocation strategies and performance evaluation. Quantitative techniques are applied to examine equity and fixed-income portfolio management strategies. The course provides a deeper understanding of the measurement of risk and its relationship to return, as well as of multi-factor models. Implementation issues, including statistical estimation, backtesting and portfolio construction, are covered, as are strategic versus tactical asset allocation, and performance evaluation.

**BUFN 760 Applied Equity Analysis:** Applies financial concepts and tools to the analysis and valuation of equity securities. In addition to focusing on fundamental (DCF based) analysis of corporations, the course covers topics such as the EIC (Economy/Industry/Company) framework, financial statement analysis, relative value analysis, and contingent value analysis. Students will apply tools to value stocks and provide stock recommendations.

**BUFN 762 Fixed Income Analysis:** Focuses on understanding and valuing financial instruments whose market values are tied to interest rate movements. Develops tools such as discount functions, duration, convexity, and immunization to analyze the interest rate sensitivity and value of fixed income securities and portfolios. A variety of fixed income securities are examined, particularly zero coupon and coupon bearing bonds.

**BUFN 763 Portfolio Management:** Examines the theory and application of portfolio management techniques in detail, including the use of various asset classes in constructing efficient portfolios. Various risk and performance measurements for portfolios are examined, drawing on classic portfolio theory, as well as more recent index and factor models.

**BUFN 765 Fixed Income Derivatives:** Introduces the use and valuation of fixed income assets such as exchange-traded bond futures and options, forward contracts on interest rates, fixed and floating rate bonds with embedded options, floating rate notes, caps, collars, floors, interest rate swaps, and mortgage backed securities. Tools include the application of binomial option pricing trees, and the analysis of stochastic yield curves.

**BUFN 766 Financial Engineering:** Introduces and applies various computational techniques useful in the management of equity and fixed income portfolios and the valuation of financial derivatives and fixed income securities. Techniques include Monte Carlo Simulation and binomial/lattice pricing models. Emphasis is on bridging theory with the design of algorithms and models that can be directly applied in practice.

**BUFN 770 International Investment:** Examines foreign exchange markets (spot, forwards, futures, swaps, options), focusing on the use and valuation of these instruments. Other issues related to international security markets (equities and bonds/interest rates) and global portfolio management are discussed.

**BUFN 771 International Corporate and Project Finance:** Focuses on the role of financial management in the multinational firm, and the financing and management of international projects. Topics include international capital budgeting, global cost of capital, project financing, and the measurement and management of exchange rate exposure by corporations.

**BUFN 772 Bank Management:** Examines the economic role and regulation of banks and other financial institutions, and the structure of assets, liabilities and capital in these institutions. Tools are presented to analyze the various risks faced by banks, including interest rate risk, market risk, operational risk and off-balance sheet risk. Topics also include liquidity risk, liability risk, reserve management, deposit insurance, and capital requirements.

**BUFN 773 Institutional Asset Management:** Examines how money is managed by organizations such as university endowments, pension funds, mutual funds, hedge funds, and private equity funds. Emphasizes the incentives professional money managers face within the context of the organizational structure in which they operate. Particular attention will be paid to compensation structures and monitoring mechanisms.

## Sample Student Schedule

Below are tables showing how a typical MFin student can complete the required coursework over a one-year period as a full-time student and over a two-year time period as a full-time or part-time student.

### Student Schedule for Full-time MFin, Masters in Finance, completed in one year

Fall A	Fall B	Spring C	Spring D
BUSI 610*	BUFN 750*	BUFN 758N*	BUFN 758O*
BUSI 640*	BUFN 761 *	BUFN 754	BUFN 751
BUFN 740*	BUFN 760	BUFN 763	BUFN 765
	BUFN 762	BUFN 773	BUFN 766

### Student Schedule for Full-time MFin, Masters in Finance, completed in two years

	Fall A	Fall B	Spring C	Spring D
First Year	BUSI 610* BUSI 640* BUFN 740*	BUFN 750* BUFN 761*	BUFN 758N* BUFN 754 BUFN 763	BUFN 758O* BUFN 751
Second Year	BUFN 755 BUFN 770	BUFN 760 BUFN 762	BUFN 773	

\*Core MFin Course

## C. Describe any selective admissions policy or special criteria for students selecting this field of study.

Applicants to the MFin program must have completed all of the requirements for a baccalaureate degree prior to their acceptance into the program, with particular emphasis on the student having sufficient mathematical background. All applicants must submit: Transcripts from all undergraduate and graduate institutions that have been previously attended, Graduate Record Examination (GRE) scores or the Graduate Management Admissions Test (GMAT) scores, a complete online application form that includes a written essay articulating qualifications and motivation for pursuing advanced education, two letters of recommendation from supervisors or from professors competent to judge the applicant's probability of success in graduate school.

In addition, an admissions interview may be required. After initial screening, the Admissions Office may select candidates for interviews which may be done in person or by telephone. Proof of English language proficiency (TOEFL or IELTS official scores) is also required unless the applicant has received an undergraduate or graduate degree from a select list of countries. For international student needing an F1 visa, a completed certification of finance form and supporting financial documentation are required.

In addition to Graduate School requirements, admission decisions for the MFin program will be based on the quality of previous undergraduate and graduate course work (if applicable), the strength of Graduate Record Examination scores or the Graduate Management Admissions Test scores, the relevance of prior work and research experience, and the congruence of professional goals with those of the program. Students should submit application materials for the fall semester by April 1. This program does not accept applications for Spring semester admission.

### III. STUDENT LEARNING OUTCOMES AND ASSESSMENT

List the program's learning outcomes and explain how they will be measured and assessed

<b>Learning Outcome 1</b>	Students will demonstrate a clear understanding of the basic concepts of Corporate Finance, Capital Markets, Financial Accounting and Financial Econometrics.
Measure:	Students will be required to pass a core set of classes in each of these areas.
Criterion:	At least 90% of students will receive a rating of "Satisfactory" or better from the Academic Director, who will review their performance in the core classes. The Academic Director will meet with students rated below "Satisfactory" to help improve their performance or determine their continued participation in the program.
Assessment:	Every Year, starting in the 2012-2013 academic year.
<b>Learning Outcome 2</b>	Students will demonstrate critical reasoning and written communication skills through the analysis of financial case studies.
Measure:	Students must take at least one class that uses the case study method.
Criterion:	At least 90% of students will receive a rating of "Satisfactory" or better from the course instructor.
Assessment:	Every Year, starting in the 2012-2013 academic year.
<b>Learning Outcome 3</b>	Students will demonstrate oral communication skills through the presentation of a financial case study.
Measure:	Students must make at least one presentation of a case study.
Criterion:	At least 90% of students will receive a rating of "Satisfactory" or better from the course instructor.
Assessment:	Every Year, starting in the 2012-2013 academic year.
<b>Learning Outcome 4</b>	Students will demonstrate their ability to work effectively with other members of a team in the preparation of a group project..
Measure:	Students must prepare group projects as part of a class.
Criterion:	At least 90% of students will receive a rating of "Satisfactory" or better from the course instructor.
Assessment:	Every Year, starting in the 2012-2013 academic year.
<b>Learning Outcome 5</b>	Students will demonstrate a deeper understanding of one or more areas of Finance, related to their chosen career path or specialized plan of study
Measure:	Students will be required to pass elective classes related to their educational plan.
Criterion:	At least 90% of students will receive a rating of "Satisfactory" or better from the Academic Director, who will review their performance in the core classes.
Assessment:	Every Year, starting in the 2012-2013 academic year.
The Master in Finance degree is designed to be a flexible program that allows students to specialize in one area of finance or to become a generalist. All students are required to gain a basic understanding of each major area of Finance through taking core classes in Corporate Finance, Capital Markets, Financial Accounting, Derivative Securities, Corporate Valuation and Financial Econometrics. All students must	

take electives to enhance this basic training. Some students may want to be generalists to give them more options for the future or to prepare for the Certified Financial Analyst certification. Others may want to do advanced work in preparation for a career track in Finance. The department has identified five career tracks and has made suggestions for how students can best prepare for these fields. The tracks are:

- Corporate Finance
- Investment banking
- Equity Analysis/Portfolio Management
- Financial Engineering/Risk Management
- Commercial Banking

The following table shows classes that will help students to achieve the desired learning outcomes.

Elective ↓ Career Track →	Corporate Finance	Investment Banking	Equity Analysis Portfolio Management	Financial Engineering Risk Management	Commercial Banking
751 – Financial Strategies for Corporations	★★	★★			★★
752 – Corporate Restructuring	★★	★★			
753 – Corporate Governance	★		★		
754 – Corporate Risk Management	★			★★	★★
755 – VC, Private Equity	★★	★★	★		★
760 – Applied Equity Analysis	★★	★★	★★		
762 – Fixed Income Analysis			★★	★★	★★
763 – Portfolio Management			★★	★★	
765 – Fixed Income Derivatives				★	★
766 – Financial Engineering				★★	
758Q – Quantitative Investment Strategies			★★	★	
770 – International Investments	★	★	★	★	★
771 – International Corp/Project Finance	★	★			★
772 – Bank Management and Regulation		★			★★
773 – Institutional Money Management		★	★	★	★

★★ - Should probably take

★ - Nice to have

#### **IV. FACULTY AND ORGANIZATION**

##### **A. Who will provide academic direction and oversight for the program? [This might be a department, a departmental subgroup, a list of faculty members, or some other defined group.]**

Primary oversight of this program will be provided by a faculty member assigned as the director of the program. A committee of faculty members has been created to address issues including admissions, academic policies, student activities, and internship / placement opportunities. The program would also be overseen by the chair of the finance department and the Dean's office.

The finance department of the Robert H Smith School of Business currently has 28 FTE faculty. Twenty-one of these are tenure/ tenure track. All of these twenty-one faculty have doctoral degrees in economics, finance, or industrial engineering. Seven additional teaching faculty also have graduate degrees in economics, finance, or business.

##### **Finance Faculty Expected to Teach in the Proposed MFin Program**

Vojislav Maksimovic, PhD, Dean's Chair Professor of Finance and Department Chair

Teaching / research focus: corporate finance, industrial organization, international finance

Course: To be Determined

Michael Faulkender, PhD, Associate Professor of Finance and MFin Director

Teaching / research focus: empirical corporate finance, risk management, executive compensation

Course: BUFN 751 Financial Strategy For Corporations

Mark Taranto, PhD, Lecturer and MFin Academic Director

Teaching / research focus: empirical corporate finance

Courses: BUFN 762 Fixed Income Analysis

BUFN 765 Fixed Income Derivatives

BUFN 766 Financial Engineering

Gurdip Bakshi, PhD, Dean's Professor of Finance

Teaching / research focus: asset pricing, international finance, fixed income, derivatives

Course: BUFN 740 Capital Markets

BUFN 770 International Investment

Steve Heston, PhD, Professor of Finance

Teaching / research focus: asset pricing, derivatives, volatility, international finance

Courses: BUFN 770 International Investment

BUFN 771 International Corporate and Project Finance

Gordon Phillips, PhD, Bank of America Professor of Finance

Teaching / research focus: empirical corporate finance, industrial organization

Course: BUFN 755 Entrepreneurial Finance and Private Equity

Albert "Pete" Kyle, PhD, Charles E. Smith Chair Professor of Finance

Teaching / research focus: asset pricing, market microstructure

Course: BUFN 773 Institutional Asset Management

Lemma Senbet, PhD, William E. Mayer Chair Professor of Finance, Director: Center for Financial Policy

Teaching / research focus: corporate governance, financial institutions, international finance

Course: BUFN 753 Corporate Governance

Dilip Madan, PhD, Professor of Finance

Teaching / research focus: asset pricing, mathematical finance, derivatives

Course: BUFN 761 Derivative Securities

Alex Triantis, PhD, Professor of Finance

Teaching / research focus: corporate finance, risk management, real options

Course: BUSI 640 Financial Management

Haluk Unal, PhD, Professor of Finance

Teaching / research focus: financial institutions and banking, executive compensation

Course: BUFN 762 Fixed Income Analysis

Gerard Hoberg, PhD, Associate Professor of Finance

Teaching / research focus: corporate finance, industrial organization, security issuance

Course: BUFN 752 Financial Restructuring

Mark Loewenstein, PhD, Associate Professor of Finance

Teaching / research focus: theoretical asset pricing, portfolio selection

Course: BUFN 763 Portfolio Management

N.R. Prabhala, PhD, Associate Professor of Finance

Teaching / research focus: empirical corporate finance, executive compensation

Course: BUFN 751 Financial Strategy For Corporations

Russ Wermers, PhD, Associate Professor of Finance

Teaching / research focus: empirical asset pricing, institutional money management

Courses: BUFN 763 Portfolio Management

BUFN 758Q Quantitative Investment Strategies

Laurent Fresard, PhD, Assistant Professor of Finance

Teaching / research focus: empirical corporate finance, international corporate finance

Course: BUFN 750 Valuation in Corporate Finance

Dalida Kadyrzhanova, PhD, Assistant Professor of Finance

Teaching / research focus: corporate finance, mergers and acquisitions, corporate governance

Course: BUFN 750 Valuation in Corporate Finance

Richmond Matthews, PhD, Assistant Professor of Finance

Teaching / research focus: theoretical corporate finance, corporate governance

Course: BUSI 640 Financial Management

Anna Obizhaeva, PhD, Assistant Professor of Finance

Teaching / research focus: market microstructure

Course: BUFN 773 Institutional Asset Management

Alberto Rossi, PhD, Assistant Professor of Finance

Teaching / research focus: empirical asset pricing, financial econometrics

Courses: BUFN 758N Financial Econometrics I

BUFN 758O Financial Econometrics II

Georgios Skoulakis, PhD, Assistant Professor of Finance

Teaching / research focus: empirical asset pricing, financial econometrics

Courses: BUFN 758N Financial Econometrics I

BUFN 758O Financial Econometrics II

Yajun Wang, PhD, Assistant Professor of Finance

Teaching / research focus: theoretical and empirical asset pricing, market microstructure

Course: BUFN 740 Capital Markets

Liu Yang, PhD, Assistant Professor of Finance

Teaching / research focus: empirical corporate finance

Course: BUSI 640 Financial Management

David Kass, PhD, Senior Lecturer

Teaching / research focus: corporate finance, industrial organization

Course: BUFN 752 Financial Restructuring

Elinda Kiss, PhD, Lecturer

Teaching / research focus: financial institutions, bank regulation

Course: BUFN 772 Bank Management

Sarah Kroncke, MBA, Lecturer

Teaching / research focus: investment banking, equity analysis

Courses: BUFN 760 Applied Equity Analysis

BUFN 763 Portfolio Management

Cliff Rossi, PhD, Lecturer

Teaching / research focus: financial institutions, risk management

Courses: BUFN 754 Corporate Risk Management

BUFN 761 Derivative Securities

BUFN 772 Bank Management

Steve Wallenstein, M.A., J.D., Professor of the Practice

Teaching / research focus: corporate governance, international finance

Courses: BUFN 755 Entrepreneurial Finance and Private Equity

BUFN 771 International Corporate and Project Finance

Sue White, PhD, Lecturer

Teaching / research focus: corporate finance, taxes and payout policy

Courses: To be Determined

### **Accounting Faculty Expected to Teach in the Program**

Michael Kimbrough, PhD, Associate Professor of Accounting  
Teaching / research focus: corporate financial reporting, disclosure  
Courses: BUSI 610 Introduction to Financial Accounting

#### **B. If the program is not to be housed and administered within a single academic unit, provide details of its administrative structure. This should include at least the following:**

Not applicable. All classes will be housed and administered within the Robert H Smith School of Business

### **V. OFF CAMPUS PROGRAMS**

#### **A. If the program is to be offered to students at an off-campus location, with instructors in classrooms and/or via distance education modalities, indicate how student access to the full range of services (including advising, financial aid, and career services) and facilities (including library and information facilities, and computer and laboratory facilities if needed) will be assured.**

In addition to holding classes on the UMCP campus, some sections of the program will meet at our DC location in the US Department of Commerce building, our Baltimore facility in the Baltimore BioPark, or our facility at the Universities of Shady Grove. Those facilities already contain adequate classrooms, computer facilities, study rooms, and administrative space for academic advising, career advising, and student activity support.

#### **B. If the program is to be offered mostly or completely via distance education, you must describe in detail how the concerns in Principles and Guidelines for Online Programs are to be addressed.**

Currently, the program is structured to be entirely delivered in a traditional classroom setting. Over time, we may evaluate online learning opportunities, but nothing is currently scheduled. Should we move towards some courses being offered online, all online courses would adhere to the policies and concerns outlined in the University of Maryland document, Principles and Guidelines for Online Programs.

Program Development, Control and Implementation Would Be By Faculty - The faculty would have overall control over the design, development, and will have the overall bulk of any online academic instruction. Smith school technical support personnel would be available, as well as agreements with the off-campus sites for technical support during classroom hours. Support will be available to faculty during course development, as well as during the offering of the program.

### **VI. OTHER ISSUES**

#### **A. Describe any cooperative arrangements with other institutions or organizations that will be important for the success of this program.**

Not applicable. All aspects of the program from admissions to academic programming to career advising will be provided by the Robert H Smith School of Business. While the program will reach out to local companies and institutions for guest speakers, internship opportunities, experiential learning projects, and job placement, no particular relationship is pivotal to the success of the program.

**B. Will the program require or seek accreditation? Is it intended to provide certification or licensure for its graduates? Are there academic or administrative constraints as a consequence?**

The University of Maryland's Robert H. Smith School of Business is already accredited by the AACSB (American Association of Collegiate Schools of Business). No accreditation is sought for this individual program.

**VII. COMMITMENT TO DIVERSITY**

**Identify specific actions and strategies that will be utilized to recruit and retain a diverse student body.**

The Robert H. Smith School of Business community is multifaceted at every level – students, staff and faculty represent a diverse blend of backgrounds, nationalities, ethnicities and experiences. About a dozen Smith School and student clubs are focused on bringing members together who have similar interests in gender, nationality, religion, and sexual orientation.

To attract the most diverse population possible for the proposed Master of Finance program, Smith School recruiting staff will focus on domestic efforts. These efforts will be targeted at recruiting U.S. minorities and American women of all ethnicities.

Current efforts include:

- Representing Masters programs in U.S. MBA and Masters Fairs and Tours
- Representing Masters programs in International MBA and Masters Fairs and Tours
- Online Chats
- U.S. College Visits
- International College Visits
- GMASS-based Mailings
- GRE-based Mailings
- Direct Mail
- Email Campaigns
- Outreach to College and Campus Organizations and Clubs
- Participating in Career/Graduate Study Panels or Workshops
- Presentations at Professional Conferences
- Creation of "Leap Your Career Forward" for Current UMD Students Looking At MBA and Masters Study Post-Undergraduate Studies (An Annual Event)
- Advertising in UMD Campus Newspapers
- Masters Only Education Fairs (Fall And Spring) Throughout the U.S.
- Participation in a Masters-focused Business School Alliance
- Participant in Graduate Business Education Events Targeted for Underrepresented Populations, Particularly U.S. Minorities and Women

Future efforts include:

- Including Master's Level Programming in Marketing Content Targeted to U.S. Military/Veterans
- Outreach to College Organizations in the Washington, D.C. Area
- Enhancement of Website for All Masters Programs
- Inclusion of Spotlight and Vignettes of Masters Alumni and Current Students who Reflect Diversity
- Participation in Events Targeted for Women Seeking Graduate Study (General And Non-MBA Based Events)
- Social Media and Online Advertising within U.S. Markets
- Partnerships with Academic Testing Centers and Overseas Advisors For International Graduate Study
- Marketing Targeting Young UMD Alumni and Young University Of Maryland System Alumni

## **VIII. REQUIRED PHYSICAL RESOURCES**

The proposed Masters in Finance (MFin) program replaces the existing Masters of Science in Business with a concentration in Finance (MSBF) degree currently offered. The proposed program can be implemented in accordance with Section 11 206.1 in which programs developed under this provision can be implemented within existing resources of the campus. In proceeding with the submission of this program, the institution's president certifies that no new general funds will be required for the implementation of this master's-level program.

**A. Additional library and other information resources required to support the proposed program. You must include a formal evaluation by Library staff.**

The evaluation is attached.

**B. Additional facilities, facility modifications, and equipment that will be required. This is to include faculty and staff office space, laboratories, special classrooms, computers, etc.**

As this proposed program replaces a current program and we do not at this time anticipate growing the program beyond its current scale, no additional facilities or facility modification is required. The School has adequate space in Van Munching Hall and in our DC location to house current faculty and students in the proposed program. No additional classrooms or computer laboratories are required.

**C. Impact, if any, on the use of existing facilities and equipment. Examples are laboratories, computer labs, specially equipped classrooms, and access to computer servers.**

See response to VIII.B above.

## **IX. RESOURCE NEEDS and SOURCES**

**Describe the resources that are required to offer this program, and the source of these resources. Project this for five years. In particular:**

**A. List new courses to be taught, and needed additional sections of existing courses. Describe the anticipated advising and administrative loads. Indicate the personnel resources (faculty, staff, and teaching assistants) that will be needed to cover all these responsibilities.**

As this proposed program replaces a current program and we do not at this time anticipate growing the program beyond its current scale, no additional courses or changes in advising or administrative workload is required.

**B. List new faculty, staff, and teaching assistants needed for the responsibilities in A, and indicate the source of the resources for hiring them.**

Faculty resources of the Robert H Smith School of Business and in particular the finance department of the School (as described herein) are adequate to cover the size of the proposed MFin program. Approval of this proposal would not alter the responsibilities of the faculty beyond those already generated by the MSBF program that this proposal seeks to replace.

**C. Some of these teaching, advising, and administrative duties may be covered by existing faculty and staff. Describe your expectations for this, and indicate how the current duties of these individuals will be covered, and the source of any needed resources.**

As described above, teaching, advising, and administrative duties will be handled by existing faculty members (who are already teaching and conducting research on finance topics).

**D. Identify the source to pay the for the required physical resources identified in Section VIII. above.**

No additional resources are required.

**E. List any other required resources and the anticipated source for them.**

Not applicable.

**F. Provide the information requested in [Table 1](#) and [Table 2](#) (for Academic Affairs to include in the external proposal submitted to USM and MHEC).**

Given that this degree replaces a degree already offered, there are no incremental revenues or expenses.

**Appendix 1: Peer Comparisons – Degree Name of Finance Program offered by MBA Ranked Peers**

<b>MBA Ranking</b>	<b>University</b>	<b>Degree Name of Finance Program</b>
#4	MIT	Masters in Finance
#7	UC Berkeley	MFE
#15	UCLA	MFE
#17	University of Texas	MS Finance
#18	CMU	MS – Computational Finance
#25	University of Wisconsin	Quantitative MFin
#25	Vanderbilt University	MS in Finance
#25	Ohio State University	Specialized Master - Finance
#37	University of Rochester	MS in Finance
#37	Boston College	MS Finance
#43	Tulane University	Master of Finance
#44	Michigan State University	MS Finance
#44	University of Florida	MS Finance
N/A	American University	MS Finance
N/A	George Washington University	MS Finance
N/A (No MBA)	Princeton University	Masters in Finance

**Appendix 2: Peer Comparisons – Curriculum Content Comparisons of Finance Programs offered by MBA Ranked Peers**

**Key:**

**Bold** - Class currently offered by UMCP as part of our core.

*Italics* – Class currently offered by UMCP but not as part of the core.

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
<b>MIT Masters in Finance #4</b>	<b>Finance Theory I</b> <b>Corporate Fin Accounting</b> <b>Analytics of Finance</b>  <b>Electives:</b> <i>Corporate Risk Management</i> <b>Investments</b> <i>Advanced Corporate Finance</i> <b>Options and Futures</b> <i>Fixed Income</i> <i>International (Cap Mkts)</i> <i>International (Corp)</i> <i>Analytics of Finance II</i> <i>Business Analysis/Fin</i> <i>Statements</i> <i>Mergers &amp; Acquisitions</i> <b>Valuation</b> <i>Applied Fixed Income</i> <i>Strategies</i> Data Technologies for Quant Fin Retirement Finance Learning Project <ul style="list-style-type: none"> <li>a. Financial Engineering</li> <li>b. Financial Management</li> <li>c. Research Practicum</li> </ul>	Suggested Math Background: Linear Algebra Calculus Probability Statistics Computer Literacy	Despite its reputation, this MIT degree is a general one comparable to ours. While students could get a more quantitative degree there, it is not required. They actually have fewer requirements.  The Financial Engineering class looks different from ours, with teams assigned to tackle a problem for a sponsoring organization.

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
UC Berkeley MFE #7	<p><b>28 units to graduate. 16 units required,</b></p> <p><b>Investments &amp; Derivatives</b>  <b>Empirical Methods in Finance</b>  Intro to Stochastic Calculus  <i>Financial Institutions Seminar</i>  Derivatives: Quant Methods  <i>Fixed Income Markets</i>  Credit Risk Modeling  Accounting/Taxation  Derivatives  Financial Institutions  Seminar II  <i>Fin Risk Management</i>  Advanced Comp Finance  Fin Innovation in Global Mkt  <i>International Equity/Currency</i>  Topics in Fin Eng  Required Internship  Finance Project  ABS Markets  <i>Dynamic Asset Management</i>  Behavioral Finance  Real Options</p>	<p>Programming experience in C or C++</p> <p>Background in Calculus, Linear Algebra, Differential Equations, <b>Statistics</b> and Numerical Analysis</p> <p>Training in Finance</p> <p><b>Language Skills</b></p>	<p>Berkeley's MFE is a very different degree from ours. It is not aimed at generalists, but is specifically designed for students who want to work as financial engineers who already have a strong quantitative background. Many of their students already have a MS in engineering or a PhD in a quantitative field.</p> <p>The first course combines our Capital Markets class and our Derivatives class. Quant Methods has some overlap with our Fin Engineering class, but also emphasizes continuous time models. Some of the material in the Credit Risk course is covered in Fixed Income Derivatives and Risk Management. Some of the topics in ABS Markets are covered in Fixed Income Derivatives.</p>

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
UCLA MFE #15			UCLA's MFE is very similar to the one at Berkeley. Originally, it was a joint program between the two schools.

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
University of Texas MS Finance #17	<b>Required</b> <b>Financial Management</b> <b>Valuation</b> <b>Financial Accounting</b> <b>Statistics for Fin</b> <b>Applications</b> <i>Security Analysis</i> <i>Practicum</i> <b>Investments</b> <i>Advanced Corporate Finance</i> <i>Financial Mkts and</i> <i>Institutions</i> <b>Derivatives</b> <i>Fixed Income</i> <i>Advanced Valuation</i> <i>Practicum II</i> <i>Raising Capital</i> <i>Alternative Investments</i> <i>Risk Management</i> <i>Global Fin Strategies</i>		It looks like Texas has a lockstep program which incorporates many of the classes that we offer. It includes two practicums, but does not offer the flexibility that we have and may be a little less quantitative.

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
CMU MS-Computational Finance #18	It is unclear what is required. The program offers 25 courses. I see no corporate classes offered. There are many capital markets classes that look extremely quantitative. There are also a number of mathematics classes, IT classes and economics classes. There are two classes on Stochastic Calculus		This program is nothing like ours. It is sponsored jointly by four different schools within the university.

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
University of Wisconsin Quantitative MFin #25	<p><b>Core</b>  Microeconomics  Econometrics I &amp; II  Investments  Futures and Options  Derivatives  Theory of Finance I  Independent Study Project  Brownian Motion (Math)  Computational Math (Math)</p> <p><b>Electives</b>  Security Analysis  Intermediate Investments  Courses offered by  Economics, Statistics,  Mathematics and Real  Estate-</p>		Wisconsin's program seems lighter than ours on finance and heavier on mathematics and statistics than ours. It is more quantitative, but does not look very strong in terms of finance training.

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
<b>Vanderbilt University</b> <b>MS in Finance</b> <b>#25</b>	<b>Required</b> <b>Financial Economics I &amp; II</b> <b>Financial Accounting</b> <b>Econometrics I &amp; II</b> <i>Financial Modeling</i> <b>Corporate Valuation</b> <b>Derivatives</b>  <b>Electives</b> <i>Financial Reporting</i> <i>Game Theory</i> <i>Corp Fin Policy</i> <i>International Markets</i> <i>International Corporate</i> <i>Equities Markets</i> <i>Bond Markets</i> <i>Financial Institutions</i> <i>Real Estate I &amp; II</i> <i>Active Portfolio Analysis</i>		The degree looks very similar to ours.

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
<b>Ohio State University</b> <b>Specialized Master-</b> <b>Finance</b> <b>#25</b>	<b>Required</b> Economics I & II Data Analysis I & II <b>Intro Finance</b> Leadership <b>Corporate Finance</b> <b>Derivatives</b> <b>Electives</b> Standard electives in Corporate Finance, Investments, Risk Management and Real Estate.		Ohio State requires MBA type classes outside of Finance and offers courses very similar to ours. We have more requirements. They do not offer Econometrics, and we do not offer Real Estate classes.

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
University of Rochester MS in Finance #37	<p><b>Required without MBA</b>  <i>MBA Economics</i>  <i>MBA Statistics</i>  <b>Financial Accounting</b></p> <p><b>Required</b>  <b>MBA Accounting</b>  <b>Capital Budgeting</b>  <i>Economic</i>  <i>Theory/Organizations</i>  <i>Managerial Accounting</i>  <b>Investments</b>  <b>Corporate Finance</b>  Business Communications</p> <p><b>Electives</b>  <i>Accounting/Economics</i>  <i>classes</i>  <i>Corporate Financial Policy</i>  <b>Derivatives</b>  <i>Financial Institutions</i>  Cases in Finance  <i>Investment Mgt/Trading</i>  <i>Strat</i>  <i>International Finance</i>  Financial Information  Systems  <i>Fixed Income Securities</i>  <i>Advanced Financial</i>  <i>Economics</i>  <i>Advanced Topics/Corporate</i>  <i>Governance</i></p>	Students without an MBA must start in the Summer and take foundation classes	Rochester is one of our closest peers. It is a generalist degree. They require more core classes outside of finance and fewer inside finance.

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
<b>Boston College</b> <b>MS Finance</b> <b>#37</b>	<b>Required</b> <b>Investments</b> <b>Corporate Finance</b> <i>Financial Institutions</i> <b>Financial Econometrics</b> <i>Corporate Finance Theory</i> <i>Portfolio Theory</i> <b>Derivatives/Risk</b> <i>Management</i> <i>Fixed Income</i> <i>Financial Policy</i>  <b>Electives</b> These were not listed on the page	Calculus Linear Algebra Statistics Accounting	Boston College offers an MSF that looks pretty standard.  However, they also offer a quantitative track that includes PhD level courses in economics and finance.

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
<b>Tulane University</b> <b>Master of Finance</b> <b>#43</b>	<b>Required</b> <b>Financial Accounting</b> <b>Corporate Finance</b> <i>Financial Communications</i> <b>Valuation</b> <b>Investments</b> <i>Fixed Income</i> <b>Derivatives</b> <i>Equity Analysis</i>  <b>Electives</b> <i>Cases in Real Estate</i> <i>International Finance</i> <i>Real Estate Planning</i> <i>Private Equity and VC</i> <i>Student Managed Fund</i> <i>Energy/Environmental Econ</i> <i>Energy Markets</i>		The degree looks very similar to ours.

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
Michigan State University MS Finance #44	<b>Required</b> 30 Credits including 18 Credits in Finance. It must include Managerial Finance.		There is no strong core, and they do not offer a large number of electives.

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
University of Florida MS Finance #44	It is difficult to see the requirements, however, they offer standard MBA type classes.		It looks like Florida's program is aimed at combined BS/MS students. The degree looks less quantitative than ours.

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
American University MS Finance N/A	<b>Required</b> <b>Financial Management</b> <i>Financial Modeling</i> <b>Derivatives/Risk</b> <i>Management</i> <b>Quantitative Methods I &amp; II</b> <i>Fixed Income</i>  <b>Electives</b> Similar to our MBA electives		American requires courses similar to our core and to our MBA level courses. It does not look like it offers the same level of flexibility nor does it offer as many quantitative classes.

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
George Washington MS Finance N/A	<b>Required</b> <b>Financial Econometrics</b> <i>Global Financial Markets</i> I-Banking Cases <b>Corporate Finance</b> <b>Investments</b> <i>Fin Eng</i> and <b>Derivatives</b> <i>Market Regulation</i> Financial Theory and Research <i>Real Estate/Fixed Income</i> <i>Financial Institutions</i> Cases in Financial Modeling <b>Advanced Fin Econometrics</b>		GW is a lockstep program that hits many of the same themes as our program. It is less flexible, and does not allow for deeper study as our program does.

University Degree MBA Ranking	Curriculum/Required Classes	Prerequisites	Comments
<b>Princeton University</b> <b>Masters in Finance</b> <b>N/A (No MBA)</b>	<p>Core</p> <p><b>Financial Investments</b></p> <p>Asset Pricing I</p> <p><b>Regression and Time Series</b></p> <p><b>Corp Fin/Fin Accounting</b></p> <p>Asset Pricing II</p> <p><b>Financial Econometrics</b></p> <p>Electives.</p> <p>Some electives are similar to our classes. Many are more quantitative.</p>		<p>The Asset Pricing classes are more like our PhD level classes.</p> <p><b>Asset Pricing I:</b></p> <p>Topics include: no arbitrage, Arrow-Debreu prices and equivalent martingale measures, security structure and market completeness, mean-variance analysis, Beta-pricing, CAPM, and introduction to derivative pricing.</p> <p><b>Asset Pricing II</b></p> <p>Stochastic calculus and stochastic differential equations Topics include Brownian motion, martingales, and diffusions and their uses in stochastic volatility; volatility smiles; risk management; interest-rate models; and derivatives, swaps, credit risk, and real options.</p>

# Full - Time MSB:Finance Curriculum DC

## FIRST YEAR (2012-2013)

Fall Semester (10 - 14 credits)	Winter Semester (2 credits)	Spring Semester (8 - 16 credits)
<u>Term A</u>		<u>Term C</u>
BUSI 610 - Introduction to Financial Accounting (2)	Optional BUFN 7xx - Finance Elective (2)	BUFN 758N - Financial Econometrics I (2)
BUSI 640 - Financial Management (2)		BUFN 7xx - Finance Elective (2)
BUFN 740 - Capital Markets (2)		Optional BUFN 7xx - Finance Elective (2)
		Optional BUFN 7xx - Finance Elective (2)
<u>Term B</u>		<u>Term D</u>
BUFN 750 - Valuation of Corporate Finance (2)		BUFN 758O - Financial Econometrics II (2)
BUFN 761 - Derivative Securities (2)		BUFN 7xx - Finance Elective (2)
BUFN 762 - Fixed Income Analysis (2)		Optional BUFN 7xx - Finance Elective (2)
Optional BUFN 7xx - Finance Elective (2)		Optional BUFN 7xx - Finance Elective (2)

## Michael D Colson

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**From:** Mike Marcellino [mmarcellino@rhsmith.umd.edu]  
**Sent:** Tuesday, February 26, 2013 8:53 PM  
**To:** Michael D Colson  
**Cc:** kenwhite-contact; Michael Faulkender  
**Subject:** Re: FW: Master of Finance  
**Attachments:** MS-Finance Curriculum Fall 2012.xlsx

Hi Mike C,

Here is a followup to our conversation this afternoon.

Here is the link to the current MSB: Finance curriculum and I've attached a document with this layout as well.  
[https://mbanetworth.rhsmith.umd.edu/MBACOP/PortalHub.nsf/id/curriculum\\_fall2012\\_admits\\_MSBF\\_CP](https://mbanetworth.rhsmith.umd.edu/MBACOP/PortalHub.nsf/id/curriculum_fall2012_admits_MSBF_CP)  
The curriculum requirements will be the same for the Masters in Finance as they currently are for the MSB: Finance.

Regarding the faculty director (question #4), the MSB: Finance has a overall Director (Dr Michael Faulkender) and an Academic Director (Dr Mark Taranto). They are currently serving in these roles for the MSB Finance and no responsibility changes are expected with the change in the program.

Please let me know if you need additional information.

Thanks

Mike

**Michael R Marcellino**  
**Assistant Dean**  
**MBA & MS Programs**  
**Masters Programs Office**  
**Robert H. Smith School of Business**  
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On Tue, Feb 26, 2013 at 4:54 PM, Michael D Colson <[mcolson@umd.edu](mailto:mcolson@umd.edu)> wrote:

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# UNIVERSITY OF MARYLAND

APT GUIDELINES TASK FORCE

1100 Marie Mount Hall  
College Park, Maryland 20742-4111  
Tel: (301) 405-5805 Fax: (301) 405-5749  
<http://www.senate.umd.edu>

## Memorandum

**To:** University Senate

**From:** Bradley Hatfield, Chair of the Joint Provost/Senate APT Guidelines Task Force  
*Bradley R. Hatfield*

**Date:** February 25, 2013

**Re:** Review of the University of Maryland Guidelines for Appointment, Promotion, and Tenure (Senate Doc. No. 12-13-24)

The Joint Provost/Senate APT Guidelines Task Force has been charged with conducting a broad review of the University of Maryland Guidelines for Appointment, Promotion, and Tenure (APT). The attached charge outlines the specific aspects of the process that we will consider. The task force is in the beginning stages of conducting its review and would like to get feedback from the University community regarding the current APT process.

I will give a brief overview of the task force's goals at the March 6, 2013 Senate Meeting and then open the floor to questions and feedback. We ask that you keep your questions broad so that we do not violate the confidentiality of specific cases. It would also be helpful if questions were sent in advance so that we can be prepared to respond. However, questions will also be taken at the meeting. If you would like to submit a question in advance by emailing it to [senate-admin@umd.edu](mailto:senate-admin@umd.edu) by Monday, March 4, 2013.

Attachment



**University Senate  
CHARGE**

<b>Date:</b>	February 1, 2013
<b>To:</b>	Brad Hatfield Chair, Joint Provost/Senate APT Guidelines Task Force
<b>From:</b>	Mary Ann Rankin Senior Vice President & Provost Martha Nell Smith Chair, University Senate
<b>Subject:</b>	APT Guidelines
<b>Senate Document #:</b>	12-13-24
<b>Deadline:</b>	December 15, 2013

Provost Rankin and the Senate Executive Committee (SEC) request that the APT Guidelines Task Force conduct a broad review of the University of Maryland Guidelines for Appointment, Promotion, and Tenure (APT).

During the 2011-2012 academic year, the Senate Faculty Affairs Committee reviewed a proposal entitled, Reform of the University APT Procedures (Senate Doc. No. 11-12-03). Following an extensive review of the proposal and the current review process, the committee concluded that a broader review of the APT Procedures should be conducted and that a formal cycle be established to review the yearly updates recommended by the Council of Associate Deans for Faculty Affairs (CADFA). Specifically, the Task force is being asked to address the following:

1. Review the University of Maryland Guidelines for Appointment, Promotion, and Tenure (APT) (<http://www.faculty.umd.edu/policies/>).
2. Review the University of Maryland Policy on Appointment, Promotion, and Tenure of Faculty II-1.00(A) as it relates to the APT Guidelines.
3. Consult with the Office of Faculty Affairs and representatives from CADFA to understand the current review/update process.
4. Review the standards used to select external evaluators.
5. Consider the elements and approaches used to evaluate candidates including: (a) the current process for requesting letters and evaluating letters and “non-responses” from external evaluators, plus (b) the evaluation of teaching and whether a teaching dossier is appropriate. The candidate notification process should be reviewed as well.

6. Consider how varying facets of scholarly activity such as innovation and entrepreneurship (including social entrepreneurship), application of intellectual property through technology transfer, interdisciplinary/collaborative research, and the application of research to solve existing problems in society, should be evaluated as part of the APT review process.
7. Consider the impact of new work-life balance policies and tenure delay on the APT review process, including ways in which presence of relevant practices should be deemed automatic.
8. Develop a regular review cycle and a process for subsequent reviews of the APT procedures and the APT Policy.
9. Review the APT Procedures used at our peer institutions including the construction of dossiers.
10. Consider developing a standard dossier format based on best practices at our peer institutions.
11. Consider how issues of diversity impact the equity of the APT process, for example, how faculty research on diversity issues or underserved populations can be evaluated fairly.
12. Consider methods for streamlining the entire APT process, but particularly so in the appointment of “star” senior appointments.
13. Consider how the APT Guidelines can be modified to encourage stronger, consistent, and more effective mentoring of junior faculty.
14. Please consult with the Office of Legal Affairs in developing your recommendations.

We ask that you submit your report and recommendations to the Senate Office no later than November 1, 2013. If you have questions or need assistance, please contact Reka Montfort in the Senate Office, extension 5-5804.



## University Senate TRANSMITTAL FORM

<b>Senate Document #:</b>	12-13-41
<b>PCC ID #:</b>	N/A
<b>Title:</b>	Non-Tenure Track Faculty Policies & Procedures
<b>Presenter:</b>	Thomas R. Holtz, Jr. – Chair, Joint Provost/Senate Non-Tenure-Track Faculty Task Force
<b>Date of SEC Review:</b>	February 22, 2013
<b>Date of Senate Review:</b>	March 6, 2013
<b>Voting (highlight one):</b>	<ol style="list-style-type: none"> <li>1. On resolutions or recommendations one by one, or</li> <li>2. In a single vote</li> <li>3. To endorse entire report</li> </ol>
<b>Statement of Issue:</b>	Raise and examine issues related to NTT Faculty contracts, recognition, promotion policies and other relevant policy matters.
<b>Relevant Policy # &amp; URL:</b>	Policies related to NTT Faculty.
<b>Recommendation:</b>	<p>The Task Force recommends change in four areas: Appointment, Rank, and Promotion; Evaluation, Recognition, and Compensation; Governance; and Policies. The list of recommendations is extensive, but only because the problems are substantial.</p> <p><u>Appointment, Rank, and Promotion</u></p> <p>We recommend that the Senate and the Provost collaborate with the relevant bodies across campus to:</p> <ol style="list-style-type: none"> <li>1. Revise both the system of NTT faculty titles and the administration of those titles such that titles accurately represent the primary contribution of faculty so appointed;</li> <li>2. Create a Teaching Professor series on par with the Research Professor series and the Clinical Professor series;</li> <li>3. Create a Faculty Administrator position and provide the opportunity for promotion by defining Faculty Administrator I, II, and III levels;</li> <li>4. Provide promotion opportunities for FRAs by creating FRA I,</li> </ol>

	<p>II, and III levels;</p> <ol style="list-style-type: none"> <li>5. Create a system for tracking appointments, reappointments, contract length, and adherence to the contract templates provided by Legal Affairs, including designation of eligibility for different benefits given the specifics of the appointment;</li> <li>6. Improve the administration of instructional contracts such that year-long or multi-year appointments become the norm.</li> </ol> <p><u>Evaluation, Compensation, and Recognition</u></p> <p>We recommend that the Senate and the Provost collaborate with the relevant bodies across campus to:</p> <ol style="list-style-type: none"> <li>7. Create, where they don't already exist, college-level evaluation and promotion guidelines for appointments in the Research Professor/Scientist/Engineer/Scholar series, the Clinical Professor series, and the (proposed) Teaching Professor series;</li> <li>8. Ensure that evaluations of Instructional Faculty are not tied solely to the CourseEvalUM tool;</li> <li>9. Whereas responses to the faculty survey indicate significant financial hardship for many NTT faculty, especially Instructional Faculty, the institution should ensure that base-line salaries for NTT faculty are commensurate with their experience, skills, and contributions;</li> <li>10. Ensure that NTT faculty are included in merit pay increases in departments where they aren't already, and establish a system for providing merit pay for Instructional Faculty whose salaries are determined by the courses they teach;</li> <li>11. Provide funding and other resources for participating in professional development activities. Successful participation in such activities should be included in evaluations for merit pay increases;</li> <li>12. Ensure that faculty with dual 25% FTE appointments are provided those benefits afforded part-time faculty who have a single appointment at 50% FTE;</li> <li>13. Provide compensation when asking instructional faculty whose salaries are determined by the courses they teach to</li> </ol>
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	<p>engage in tasks beyond those specified in their contracts.</p> <p>14. Include NTT faculty in all campus awards and honors; or create college-level awards and honors, where none currently exist, and a campus-wide award in each of the three domains of academic activity, i.e. an award for excellence within Research, Teaching, and Service.</p> <p><u>Governance</u></p> <p>We recommend that the Senate and the Provost collaborate with the relevant bodies across campus to:</p> <p>15. Increase the representation of NTT faculty in the University Senate;</p> <p>16. Ensure that departments and colleges have written policies for including NTT faculty in unit-level self-governance for matters that involve them.</p> <p><u>Policies</u></p> <p>We recommend that the Senate and the Provost collaborate with the relevant bodies across campus to:</p> <p>17. Improve the administration and oversight of NTT faculty policies by tasking an administrator or committee within each college/school with coordinating such efforts both internally and with Faculty Affairs;</p> <p>18. Improve access to faculty policies by establishing a campus protocol for how such information is presented through department and college web sites;</p> <p>19. Amend the Policy on the Employment of Adjunct Faculty, II-1.07(A), so that all courses taught count toward eligibility for Adjunct II status.</p> <p>20. Adopt either the term <b>Professional Faculty</b> or <b>Professional Track Faculty</b> in all institutional policies, procedures, guidelines, and communications when referring to faculty who are not tenured nor on the tenure track;</p> <p>21. Revise applicability clauses in existing faculty policies to refer explicitly to "All Faculty", "Tenured/Tenure-Track Faculty", or "Professional Faculty", as appropriate.</p>
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<b>Committee Work:</b>	<p>After initial meetings of the entire Task Force to discuss strategy and scope of the work, the Task Force formed three sub-committees to perform the research needed to fulfill the charge: Policies and Procedures; Faculty Survey; Database Mining and Analysis. During the spring of 2012, Task Force members met with NTT focus groups to pilot the faculty survey and get feedback on how well it covered areas that concerned the NTT faculty. The faculty survey format and questions were revised in response to these focus groups. In late spring of 2012, the Task Force recognized the need to survey administrators who manage NTT Faculty appointments. As such, the "Faculty Survey" sub-committee broadened its scope to include a survey of unit administrators. Task Force members met during summer 2012 to review subcommittee findings, finalize the survey questions, and detail the work to be completed. The Administrator Survey was released in July 2012 and the Faculty Survey in Sept 2012. Task Force meetings in the fall 2012 were held to review and analyze the survey results and begin drafting the report. The Data Mining subcommittee requested from ORA data on research awards and continued its analysis of teaching load data. In late fall of 2012, the Chair of the Senate requested that the Task Force also include in its study a white paper, circulated by the Office of Faculty Affairs, which presents an analysis of a set of problems related to NTT faculty titles and appointments. The Task Force expanded the scope of its report to include discussion of this important document. In Jan/Feb 2013, the Data Mining subcommittee analyzed data returned by ORA. The final report was approved and submitted to the Senate Executive Committee on Feb 15, 2013.</p>
<b>Alternatives:</b>	The University could continue with its current policies and practices.
<b>Risks:</b>	Lack of remedy of the concerns detailed in this report could result in further inequities and alienation of the NTT faculty.
<b>Financial Implications:</b>	Additional resources to enact the recommendations here.
<b>Further Approvals Required:</b>	Senate Approval, Presidential Approval

# Task Force on Non-Tenure Track Faculty

## Final Report

February 15, 2013

Thomas Holtz, Jr., Co-Chair  
Eric Vermote, Co-Chair  
Robert Briber  
Natasha Brown  
Deb Nelson  
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Susan White  
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Chuck Wilson (*ex officio*)

## Executive Summary

This Task Force was charged with determining "whether there are areas of concern with existing policies related to non-tenure-track faculty at the University of Maryland." To determine the scope of concerns, the Task Force researched policy and procedures both at the University and at peers, engaged focus groups, surveyed faculty and administrators, and mined campus data on teaching loads, credit delivery and research grants. Our conclusion is that many areas of concern require substantive changes in order to allow the institution to engage fully this "large subset of our faculty as a valuable resource."

Indeed, the roughly 3,000 members of the Non-Tenure Track (NTT) faculty make significant contributions to the University, and in general, their dedication to their work is what one would expect of any professional. The recommendations presented here will allow this large and dedicated group to contribute more fully to the institution by addressing the concerns of both administrators and NTT faculty. In particular, the work of this Task Force and the resulting recommendations should not be seen as an attempt to undermine the tenure system. The goal has been to provide recommendations that will propel the institution to further success by improving the systems for engaging NTT faculty.

The specific areas of concern involve knowledge of, and compliance with, existing policies; policies and procedures for evaluating and promoting of NTT faculty; recognition for outstanding contributions, including merit pay for NTT faculty; opportunities for participation in shared governance; and compensation, especially among instructional faculty. In each of the problem areas, we make specific, substantive recommendations to rectify them.

We are pleased to report that the concerns do not apply to all units. Some departments and colleges have already implemented measures that address many of these concerns. We recommend that these unit-level efforts be institutionalized through Senate and Provost action. Additionally, we offer recommendations that require campus-level action simply because some of the concerns cannot be addressed at the unit level alone.

In light of the serious nature of the concerns, we suggest that the Senate and Provost apply the spirit of innovation, the principles of inclusion, and the drive to excellence at the heart of the campus strategic plan when addressing these problems. Enacting the recommendations presented here will establish the University of Maryland's leadership in creating a model for how a major research institution fully engages all members of its faculty regardless of their tenure status.

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## **1. Overview**

In response to concerns raised by the University Senate's Faculty Affairs Committee in the 2010-2011 Academic Year (Senate Document #10-11-04), the Provost and the Senate Executive Committee charged a task force of University faculty to:

- "determine whether there are areas of concern with existing policies related to non-tenure-track faculty at the University of Maryland," and
- "review current policies and procedures for non-tenure track faculty and determine how best to engage this large subset of our faculty as a valuable resource." (See Appendix 1 for the full list of the specific tasks included in the charge.)

With respect to the first point, we conclude that several areas of concern require substantive changes to how the institution engages "this large subset of our faculty." Indeed, the concerns are not solely those of the faculty themselves; many of the concerns have a bearing on how our institution will meet the challenges confronting institutions of higher education nationally.

With respect to the second point, we propose to address these concerns by drawing on the spirit of innovation, the principles of inclusion, and the broad goals of excellence that underlie our strategic plan. Enacting the recommendations presented here will establish the University of Maryland's leadership in creating a model for how a major research institution fully engages all members of its faculty regardless of tenure status.

## **2. Who are the "Non-Tenure Track Faculty" at the University?**

Members of the campus community have differing ideas about who the NTT faculty are, and many people are unfamiliar with how many there are. All told, UMCP has roughly 3,000 NTT faculty, comprised of over 300 full-time Instructional Faculty, over 700 part-time Instructional Faculty, approximately 1,800 Research Faculty, and another 200 faculty who fulfill service roles both on campus and off. To put these numbers in perspective, recall that there are approximately 1,600 Tenured/Tenure-track (T/TT) faculty.

To better understand the contributions NTT faculty make, the Task Force analyzed credits delivered for the past 15 years, teaching loads, and grants awarded to research faculty in the previous 4 years. Additionally, department/unit administrators were

surveyed to gain additional information about NTT faculty contributions and appointments.

### **Instructional Faculty**

#### Credits Delivered 2007-2012

Over the past 15 years, the percentage of undergraduate credits delivered by T/TT faculty has fallen to roughly 40%, with NTT faculty delivering another 40%, and the remaining 20% being delivered by Staff and Teaching Assistants. (Keep in mind that many of those Staff members are likely former NTT faculty.)

An important note is that the number of credits delivered by T/TT faculty has remained roughly constant, but because the total number of credits delivered has increased, the percentage of credits delivered by T/TT faculty has fallen. The observation is that the University has increased the delivery of credits by virtue of an increase in the NTT faculty ranks. See Appendix 2 for data.

#### Scholars and Honors Programs

In addition to overall credits delivered, the Task Force also considered the contributions of NTT faculty to the institution's programs for the most highly engaged undergraduates, namely Scholars and Honors students. For Fall 2012, T/TT faculty were listed as Instructor of Record for only 12% of the credits delivered for Scholars courses and 48% for Honors courses.<sup>1</sup> See Appendix 3 for data.

Thus, the data show that when the most highly prepared and engaged undergraduates take courses in their special programs, they are likely to have instructors who are either NTT faculty or Staff.

#### Teaching Loads

Beyond credits delivered, another metric for analyzing teaching load is to consider the role of TAs, Graders, and Non-Teaching Course Managers in support of the delivery of courses. Accordingly, the Task Force analyzed the course records for every active course section offered in Fall 2012. Because NTT faculty teach predominantly undergraduate courses, the analysis focused on those courses.

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<sup>1</sup> An interesting note regarding the Honors data is that the one-credit, first-year Honors seminar, HONR100, comprises approximately 8% of the total Honors credits delivered in the fall. If those credits are taken out of the analysis because the individual sections are generally conducted by TAs rather than the T/TT Instructor of Record, the percentages of credits delivered by T/TT faculty drops to 43% , with the remaining 57% being delivered by NTT faculty, Staff, and TAs.

The data for Fall 2012 show that NTT faculty are significantly more likely to teach courses that require direct contact with students, and NTT faculty are much less likely to receive teaching support (see Appendix 4).

Combining the credits delivered data with the distribution of support for teaching shows that while T/TT faculty and NTT faculty now deliver approximately the same number of undergraduate credits each semester, NTT faculty are more likely to teach courses that carry the additional load of working directly with students, and they tend to deliver courses without the help of TAs, Graders, or Non-Teaching Course Managers.

### **Research Awards**

Data supplied by ORA show that for Fiscal Years 2009-2012, NTT faculty brought over \$375,000,000 to campus, or nearly \$100,000,000 per year. Over the same period, the average credit award for NTT faculty was comparable to that of T/TT faculty. When we celebrate hitting our \$500,000,000 per year award goals, we should keep in mind that NTT faculty are responsible for a large part of that success. See Appendix 5 for award data.

Beyond the grants that NTT faculty win, many provide vital bridges to broader research communities by working at agencies such as NASA, NOAA, and NIST, to name a few. Though such faculty may spend most of their time at other institutions' facilities, they are nonetheless members of the faculty at the University of Maryland. Such faculty ensure that our campus is well-integrated in the research programs of major federal agencies in the region, and as such, make a valuable contribution to the institution that is not easily measured in award amounts.

### **Service/Outreach**

An additional corps of NTT faculty fall into the Service/Outreach arena: the Extension Service fulfills important functions throughout the state; and many other units provide professional degree and certification programs for professionals, e.g. K-12 teacher training and certification programs. In many instances, NTT faculty provide a substantial component of the workforce for such programs.

As will become clear in later sections, calculating how many NTT faculty provide Service/Outreach functions is non-trivial simply because our system has no ready way to identify them. A reasonable estimate would put the number at 150-200. Whatever the exact number, the point is that NTT faculty play a major role in the institution's

Service/Outreach functions and, as such, are an important part of the public face of the University.

### **3. Task Force Research and Findings**

#### **Overview**

The Task Force formed three sub-committees to perform the research needed to fulfill the charge:

- Policies and Procedures
- Faculty Survey
- Database Mining and Analysis

In late spring of 2012, the Task Force recognized the need to survey administrators who manage NTT faculty appointments. As such, the "Faculty Survey" sub-committee broadened its scope to include a survey of unit administrators.

In late fall of 2012, the Chair of the Senate requested that the Task Force also include in its study a white paper, circulated by the Office of Faculty Affairs, which presents an analysis of a set of problems related to NTT faculty titles and appointments.

The report presents the Task Force's research on the following topics:

- Review of Current UMCP Policies and Procedures
- Review of Policies at Other Institutions
- Survey of NTT faculty
- Survey of Unit Administrators about NTT faculty Appointments
- Review of the White Paper on Faculty Titles from the Office of Faculty Affairs

Synthesizing the various findings from these studies led to the recommendations in section 4.

#### **Review of Current UMCP Policies and Procedures**

##### Methods

Two Task Force members reviewed all policies on the President's web site to determine:

1. the import of the policies given the clarifications from Legal Affairs (as indicated in the FAC report) about which policies are applicable to just T/TT faculty, just NTT faculty, or both;

2. whether there are ambiguous or contradictory provisions across existing policies; and
3. whether additional policies need to be implemented to provide a more comprehensive set of guidelines for NTT faculty appointments.

### Findings

Broadly speaking, while some policies explicitly target Instructional Faculty, the applicability of policies that apply generally to “faculty” is much less clear. In fact, the previous FAC study included an interpretation from Legal Affairs on the applicability of faculty policies. We contend that faculty and administrators should not have to consult with Legal Affairs to determine the applicability of campus policies concerning faculty appointments. See Appendix 6 for an explicit example of lack of clarity and specificity of current policies.

In addition to the general problems with applicability noted above, when viewed in light of the results of both the administrator and the faculty surveys, the Task Force finds the following additional concerns related to existing policies and procedures at UMCP. See Appendix 7 for an explanation of each of these findings.

1. Knowledge/understanding of existing policies, difficulty finding the relevant policies for a given situation, and lack of compliance with policies.
2. Appropriate titles for the range of contributions NTT faculty make.
3. Policies and/or guidelines regarding evaluations and promotions.
4. Level of representation in shared governance.
5. Gaps in policies regarding instructional faculty relative to their 50% FTE status.

### **Review of Peer Institution Policies and Procedures**

#### Methods

Two Task Force members reviewed faculty policies at other institutions to determine whether the scope of the policies at UMCP is comparable to policies elsewhere and to identify any models that we might consider adopting.

The institutions included in the review were:

- University of California, Berkeley
- University of California, Los Angeles
- University of Illinois at Urbana-Champaign
- University of Michigan
- University of North Carolina at Chapel Hill

- University of Pennsylvania
- Pennsylvania State University
- Virginia Technical Institute

### Findings

While no peer institution seems to have addressed all issues regarding NTT appointments, promotion, and full integration into the university community, there are some good practices that UMCP should consider. (See Appendix 8 for a full explanation of the following points.)

1. Make all policies and guidelines related to NTT faculty appointments, promotions, evaluations, and contracts easily accessible on-line.
2. Create an institutionally defined matrix for performance and evaluation of NTT faculty modeled on that of Virginia Tech.
3. Provide additional ranks for Instructional Faculty.
4. Create new titles/positions for NTT faculty in administrative positions.
5. Repeated one-year or one-semester contracts should be [strongly] discouraged in favor of multi-year contracts.
6. Avoid policies/practices that imply that NTT faculty and T/TT faculty are separate classes of employee, e.g. NTT faculty should be able to find the policies that apply to them on the Faculty Affairs web site, not the UHR site (as happens at the University of Michigan).

### **Surveys**

#### Overview

The Task Force was explicitly charged with surveying NTT faculty in order to better understand the issues and concerns of the various constituencies. The Task Force also recognized the utility of surveying campus administrators who deal most directly with NTT faculty appointments, namely departmental program coordinators and business managers.

#### Faculty Survey

The survey consisted of three main parts (see [http://faculty.umd.edu/ntt/ntt\\_rpt.cfm](http://faculty.umd.edu/ntt/ntt_rpt.cfm))

1. basic information such as title, unit, length of service, type of appointment
2. appointment specific information such as duties and responsibilities
3. Likert questions gauging various facets of professional engagement

848 NTT faculty participated in the survey (a 30% response rate given the 2823 emailed invitations — see Appendix 9 for a summary of the survey methodology and respondent demographics).

Findings (see Appendix 10 for discussion of the following points)

1. Contracts for NTT faculty often do not accurately represent the tasks/duties the faculty members are asked to perform.
2. NTT faculty are dedicated professionals who often perform additional work on their own initiative.
3. NTT faculty don't know about departmental policies and procedures regarding evaluations, promotions, merit pay, or methods of recognition for outstanding performance.
4. NTT faculty are generally unaware of opportunities for participation in governance at either the department/unit level, their college, or the University.
5. Of the 29 Likert prompts probing professional engagement and satisfaction:
  - a. 15 had dissatisfaction rates above 20% ("dissatisfaction" being responses of either "Disagree" or "Strongly Disagree").
  - b. Nine had negative responses at 40% or higher, four of which related to compensation, workload, and access to funds/grants for professional development.
  - c. Two of the three questions with negative responses rates above 50% were related to criteria for promotions and merit pay increases.
6. When controlling for type of work and college, the dissatisfaction rate for the prompt related to compensation was significantly higher for instructional faculty in ARHU and JOUR than any other type of appointment in any other colleges.

#### Review of Comments on Faculty Survey

Due to the large number of text comments that respondents provided, the Task Force focused its review of comments on those related to the Likert questions with the highest dissatisfaction rates. In broad terms, the major concerns of NTT faculty, as expressed through the text comments, are:

- low pay, especially for Lecturers, especially in ARHU and Journalism;
- lack of respect for the work that NTT faculty perform as well as their contributions within their units;
- lack of recognition for high-level contributions and/or accomplishments;
- lack of performance evaluations, and for instructional faculty, that performance evaluations are based almost entirely on the online evaluations;

- lack of job security
  - for research faculty: uncertainty related to grant supported salaries and benefits;
  - for instructional faculty: one semester contracts even for faculty with many years of service to the institution;
- promotions
  - for research faculty: lack of clarity about criteria;
  - for instructional faculty: lack of opportunity for promotions;
- no merit pay raises for instructional faculty;
- soft money issues for research faculty: they have to fund their own salaries but are still subject to salary freezes; the challenge of funding their own salaries given award agency preferences/constraints.

#### Administrator Survey

Of the 88 units that were asked to complete the administrator survey, 82 units did so. Visit [http://faculty.umd.edu/ntt/nttprofile\\_rpt.html](http://faculty.umd.edu/ntt/nttprofile_rpt.html) to view the administrator survey.

In order to gauge the completeness of the survey data, the Task Force compared the number of appointments detailed in the survey to the number of active PHR appointments for the units that completed the survey. The survey provided details on 2199 appointments while the PHR records returned 2152 active appointment records for those units that completed the survey, a discrepancy of roughly 2%. We therefore take the results to be a good representation of the campus as a whole.

The survey of administrators led to three main findings (see Appendix 11 for a discussion of the survey methods and the following 3 points).

1. differences in typical length of contracts for instructional vs. research faculty;
2. inconsistent use of titles;
3. difficulties making NTT faculty appointments
  - a. lack of adequate titles hinder appointment process
  - b. mechanics and constraints of the system hinder fully engaging NTT faculty.

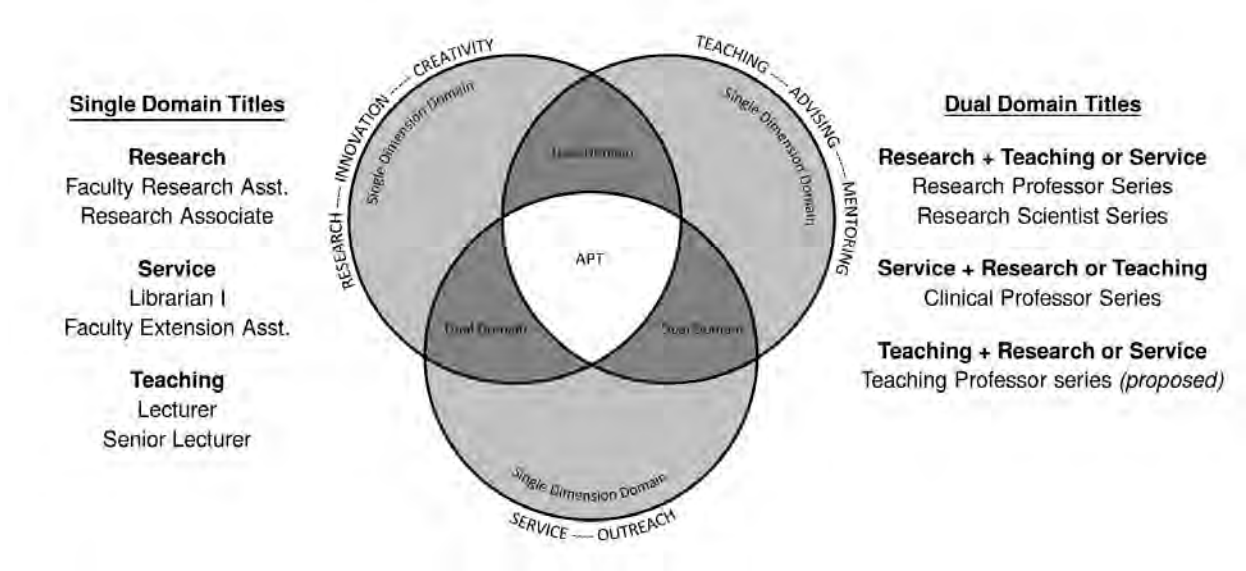
In sum, the current system for making NTT faculty appointments appears to be a series of ad hoc solutions that vary from unit to unit and that creates confusion and frustration for faculty and unit administrators alike. With nearly 3,000 NTT faculty, many of whom are re-appointed every semester, the institution incurs substantial administrative costs

given the current system, not to mention the unseen costs that stem from the related low morale and frustration among the NTT faculty.

### Faculty Affairs White Paper Concerning Faculty Titles

The Office of Faculty Affairs presents a framework for developing a systematic approach to the use of faculty titles and for how NTT faculty appointments can be incorporated into the domains of faculty activity that define the academic enterprise, namely Teaching, Research, and Service. See Appendix 12 for the White Paper circulated by Faculty Affairs for full discussion of the characterization of the model represented in Figure 1.

**Figure 1 – NTT Faculty Titles and Academic Activity, from the Faculty Affairs White Paper**



While certain details in the paper beg further explanation — for example, the assertion that the Clinical Professor series is primarily a Service appointment requires substantially more explanation and motivation than the paper provides — the model provides a framework for characterizing in a systematic way various problems and concerns the Task Force has identified. See Appendix 13 for discussion of these points.

1. Lack of adequate titles and opportunities for promotions within the instructional ranks
2. Lack of titles for NTT faculty who administer academic programs

3. Lack of clarity for evaluating and promoting NTT faculty, especially for the Research faculty

#### **4. Recommendations**

In light of our examination of the present contributions in teaching, research, and service from NTT faculty; of policies and procedures here and at peer institutions; of the comments and data obtained from the surveys of NTT faculty and unit administrator; the Task Force recommends change in four areas:

1. Appointment, Rank, and Promotion
2. Evaluation, Recognition, and Compensation
3. Governance
4. Policies

The list of recommendations is extensive, but only because the problems are substantial. We propose that the Senate and the administration adopt the perspective that these "challenges are opportunities" and take bold steps to develop new systems for how the University engages NTT faculty.

By drawing on the spirit of innovation and the principles of inclusion laid out in our Strategic Plan, the institution can expand on its numerous successes by ensuring that all members of its faculty can contribute the full measure of their knowledge, skills, and talents to fulfilling the mission of the institution. In fact, through our success in this endeavor, we can create a model for our peers to emulate, thereby adding another facet to our growing role as a leader among major research universities.

#### **Summary of Recommendations**

We summarize here our recommendations, grouped by area of concern. For discussion and explanation of each recommendation, see the relevant sub-sections of Appendix 14.

##### Appointment, Rank, and Promotion

We recommend that the Senate and the Provost collaborate with the relevant bodies across campus to:

1. Revise both the system of NTT faculty titles and the administration of those titles such that titles accurately represent the primary contribution of faculty so appointed;

2. Create a Teaching Professor series on par with the Research Professor series and the Clinical Professor series;
3. Create a Faculty Administrator position and provide the opportunity for promotion by defining Faculty Administrator I, II, and III levels;
4. Provide promotion opportunities for FRAs by creating FRA I, II, and III levels;
5. Create a system for tracking appointments, reappointments, contract length, and adherence to the contract templates provided by Legal Affairs, including designation of eligibility for different benefits given the specifics of the appointment;
6. Improve the administration of instructional contracts such that year-long or multi-year appointments become the norm.

#### Evaluation, Compensation, and Recognition

We recommend that the Senate and the Provost collaborate with the relevant bodies across campus to:

1. Create, where they don't already exist, college-level evaluation and promotion guidelines for appointments in the Research Professor/Scientist/Engineer/Scholar series, the Clinical Professor series, and the (proposed) Teaching Professor series;
2. Ensure that evaluations of Instructional Faculty are not tied solely to the CourseEvalUM tool;
3. Whereas responses to the faculty survey indicate significant financial hardship for many NTT faculty, especially Instructional Faculty, the institution should ensure that base-line salaries for NTT faculty are commensurate with their experience, skills, and contributions;
4. Ensure that NTT faculty are included in merit pay increases in departments where they aren't already, and establish a system for providing merit pay for Instructional Faculty whose salaries are determined by the courses they teach;
5. Provide funding and other resources for participating in professional development activities. Successful participation in such activities should be included in evaluations for merit pay increases;
6. Ensure that faculty with dual 25% FTE appointments are provided those benefits afforded part-time faculty who have a single appointment at 50% FTE;
7. Provide compensation when asking instructional faculty whose salaries are determined by the courses they teach to engage in tasks beyond those specified in their contracts.
8. Include NTT faculty in all campus awards and honors; or create college-level awards and honors, where none currently exist, and a campus-wide award in

each of the three domains of academic activity, i.e. an award for excellence within Research, Teaching, and Service.

### Governance

We recommend that the Senate and the Provost collaborate with the relevant bodies across campus to:

1. Increase the representation of NTT faculty in the University Senate;
2. Ensure that departments and colleges have written policies for including NTT faculty in unit-level self-governance for matters that involve them.

### Policies

We recommend that the Senate and the Provost collaborate with the relevant bodies across campus to:

1. Improve the administration and oversight of NTT faculty policies by tasking an administrator or committee within each college/school with coordinating such efforts both internally and with Faculty Affairs;
2. Improve access to faculty policies by establishing a campus protocol for how such information is presented through department and college web sites;
3. Amend the Policy on the Employment of Adjunct Faculty, II-1.07(A), so that all courses taught count toward eligibility for Adjunct II status;
4. Adopt either the term **Professional Faculty** or **Professional Track Faculty** in all institutional policies, procedures, guidelines, and communications when referring to faculty who are not tenured nor on the tenure track;<sup>2</sup>
5. Revise applicability clauses in existing faculty policies to refer explicitly to "All Faculty", "Tenured/Tenure-Track Faculty", or "Professional Faculty", as appropriate.

## **5. Conclusion**

Our list of recommendations is extensive because the list of problems is extensive. And given that there are nearly two NTT faculty for every one T/TT faculty, the impact of those problems is substantial.

Keeping in mind the challenges facing institutions of higher education nationally, from the economics of limited state support to the need for rapid responses to a changing global landscape, we recommend that the administration implement our recommendations as a first step to ensuring that all faculty, regardless of tenure status,

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<sup>2</sup> For example, Virginia Tech, Texas A&M, and Oregon State are just a few of the institutions using *Professional Faculty* or *Professional Track Faculty* for faculty not on the tenure track. See <http://policies.tamus.edu/12-07.pdf> for sample language related to this classification.

can contribute the full measure of their knowledge, skills, and talents in the effort to realize the goals laid out in the institution's strategic plan. Nothing in this report questions the contributions and roles of the T/TT faculty on campus. The recommendations are meant to allow the University to improve upon its successes.

Moreover, we contend that the administration should act on our recommendations not simply because doing so will accelerate the institution's successes, but also because doing so is the right thing to do in terms of how a world class institution manages its most valuable resource: its people.

## Appendix 1 – Task Force Charge

### University Senate

#### CHARGE

<b>Date:</b>	February 7, 2012
<b>To:</b>	Eric Vermote & Thomas Holtz Co-Chairs, Joint Provost/Senate Non-Tenure-Track Faculty Task Force
<b>From:</b>	Ann Wylie, Senior Vice President & Provost Eric Kasischke, Chair, University Senate
<b>Subject:</b>	University Policies Related to Lecturers/Instructors & Research Faculty
<b>Senate Document #:</b>	10-11-04
<b>Deadline:</b>	December 15, 2012

Provost Wylie and the Senate Executive Committee (SEC) request that the Non-Tenure-Track (NTT) Faculty Task Force determine whether there are areas of concern with existing policies related to non-tenure-track faculty at the University of Maryland. During the 2010-2011 academic year, the Senate's Faculty Affairs Committee raised concerns about whether there should be centralized oversight of the NTT faculty with regard to issues related to contracts, recognition, procedures for promotion and other relevant policy matters (see attached report). They note that a thorough and systematic review of campus policy is necessary including a careful survey of all UM non-tenure track faculty. We ask that you review current policies and procedures for non-tenure-track faculty and determine how best to engage this large subset of our faculty as a valuable resource. Specifically, we would like you to review the following:

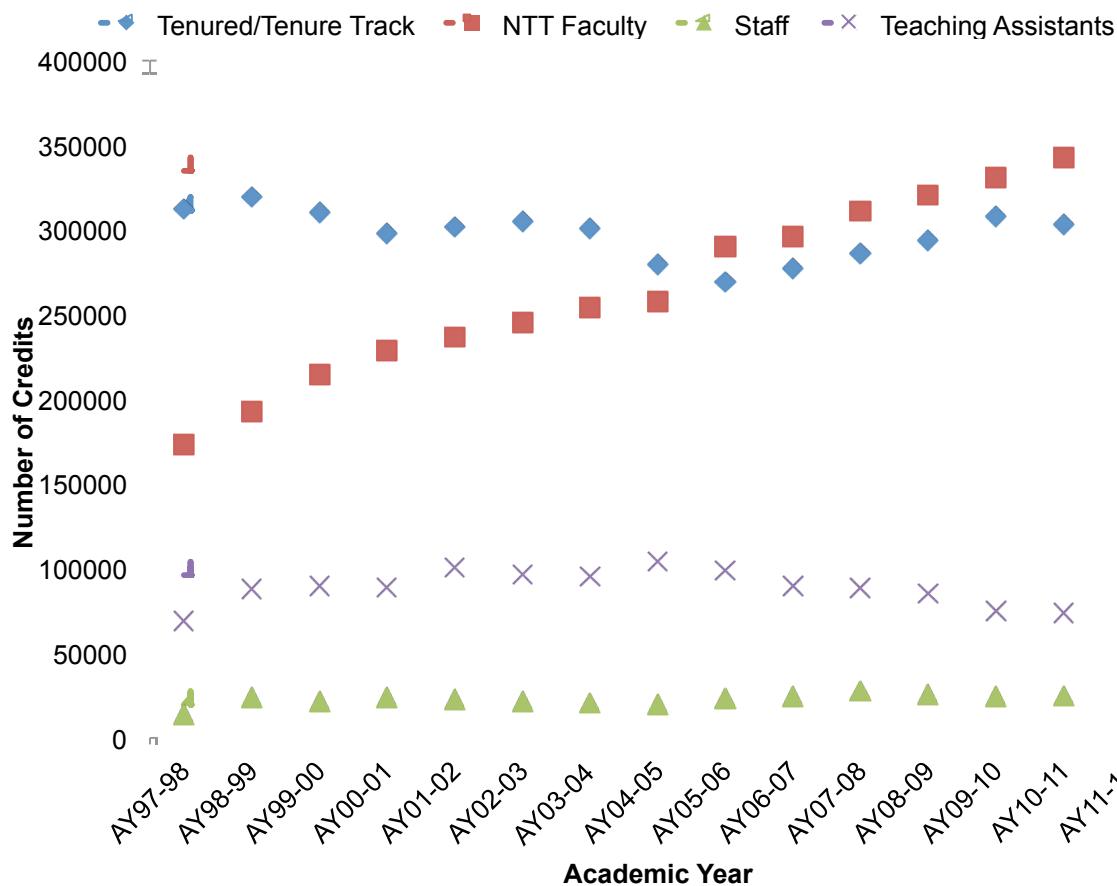
1. Review existing policies for instructors, research faculty, and teaching assistants.
2. Review existing performance review policies for these constituencies and recommend whether they should be improved.
3. Review policies for these constituencies at peer institutions.
4. Conduct a comprehensive survey of these constituencies to evaluate their concerns.
5. Review the teaching loads per semester of instructors.

6. Consult with the Office of Faculty Affairs to review terms of employment for these constituencies
7. Consider whether new policies should be developed or existing policies be revised for these constituencies.
8. Consider whether policies on appointing teaching assistants as lecturers should be developed.
9. Consider whether guidelines for contracts for these constituencies should include comprehensive assignments and responsibilities.
10. Explore ways in which outstanding instructors can be recognized.
11. Consider how these constituencies can best participate in department governance.

We ask that you submit your report and recommendations to the Senate Office no later than December 15, 2012. If you have questions or need assistance, please contact Reka Montfort in the Senate Office, extension 5-5804.

## Appendix 2 – Undergraduate credits delivered by type of instructor

**Figure 2 - Total Undergraduate Credits Delivered by Type of Instructor \***



**Table 1 - Percentage Undergraduate Credits Delivered by Type of Instructor \***

Instructor of Record	97-98	98-99	99-00	00-01	01-02	02-03	03-04	04-05	05-06	06-07	07-08	08-09	09-10	10-11	11-12
T/TT	55%	51%	49%	47%	46%	46%	45%	42%	39%	40%	40%	41%	42%	41%	41%
NTT	30%	31%	34%	36%	36%	37%	38%	39%	43%	43%	44%	44%	45%	46%	46%
Staff	2%	4%	3%	4%	3%	3%	3%	3%	3%	4%	4%	3%	3%	3%	4%
GA	12%	14%	14%	14%	15%	14%	14%	16%	14%	13%	12%	12%	10%	10%	10%

\*Source data gathered using IRPA's Profiles Ad-hoc reporting tool.

### Appendix 3 – Credits Delivered for Scholars and Honors, Fall 2012

**Table 2 – Credits Delivered for Scholars Courses by Type of Instructor**

	Credits	%
T/TT	364	12%
NTT, Staff, and GAs	2565	88%
Total	2929	

**Table 3 – Credits Delivered for Honors Courses by Type of Instructor**

	Credits	%
T/TT	3141	48%
NTT, Staff, and GAs	3462	52%
Total	6603	

**Table 4 – Credits Delivered for Honors Courses, minus HONR100, by Type of Instructor**

	Credits	%
T/TT	2590	43%
NTT, Staff, and GAs	3462	57%
Total	6052	

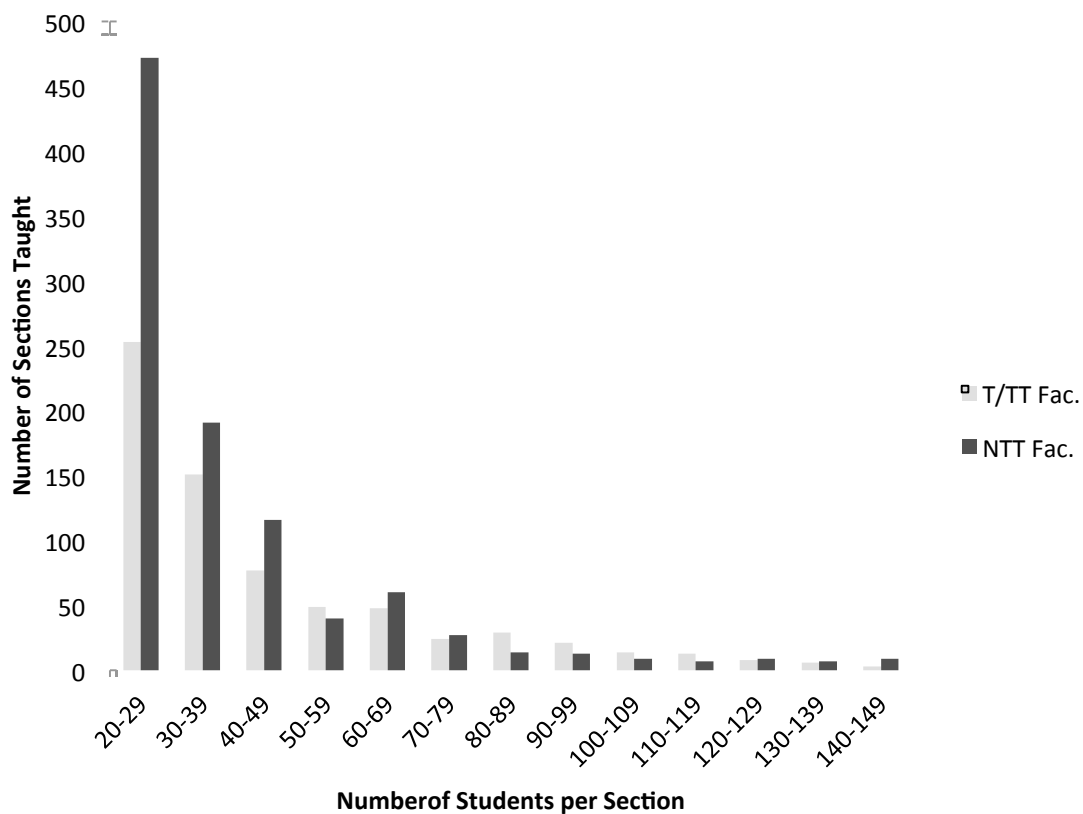
## Appendix 4 – Teaching Load, Discussion and Data

### Teaching Load and Support for Teaching

Teaching generally requires direct contact with students, grading, and other out-of-classroom requirements; therefore, another measure of teaching load is to consider which faculty receive support for their teaching from TAs, Graders, and Non-Teaching Course Managers. To analyze this aspect of teaching load, the Task Force analyzed the course records for every active course section offered in Fall 2012. Because NTT faculty teach predominantly undergraduate courses, the analysis focused on those courses.

First, we tabulated, for classes of different sizes, how many sections of undergraduate sections had TT faculty versus NTT faculty or GAs as the Instructor of Record.

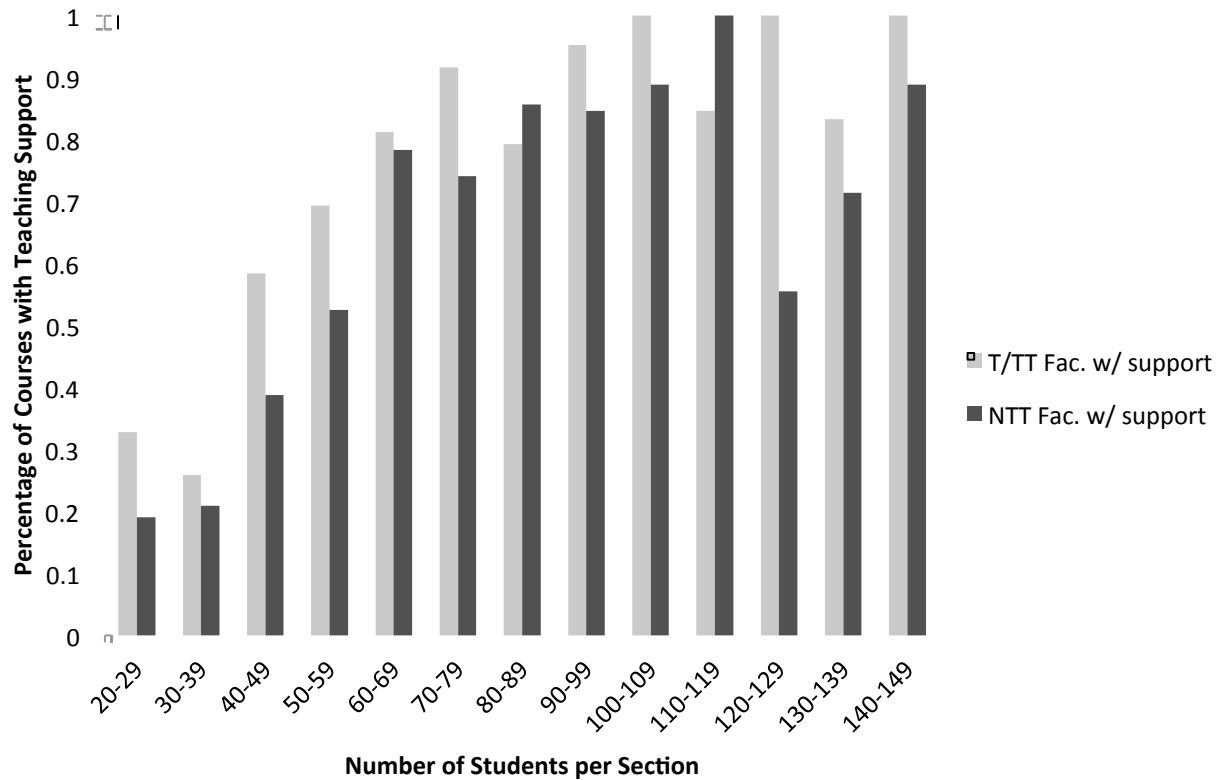
**Figure 3 – Number of Sections Taught by Faculty Classification, Split by Class Size**



The data show that Professional Faculty are more likely to teach the classes that require direct contact with students.

Second, we tabulated how many sections had teaching support in the form of either a TA, a Grader, or a Non-teaching Course Manager.

**Figure 4 – Percentage of Sections Taught with Support**



The finding is that NTT faculty are much less likely to receive teaching support.

When viewed together, the data show that NTT faculty are more likely to teach courses that require direct contact with students, and they are less likely to receive teaching support.

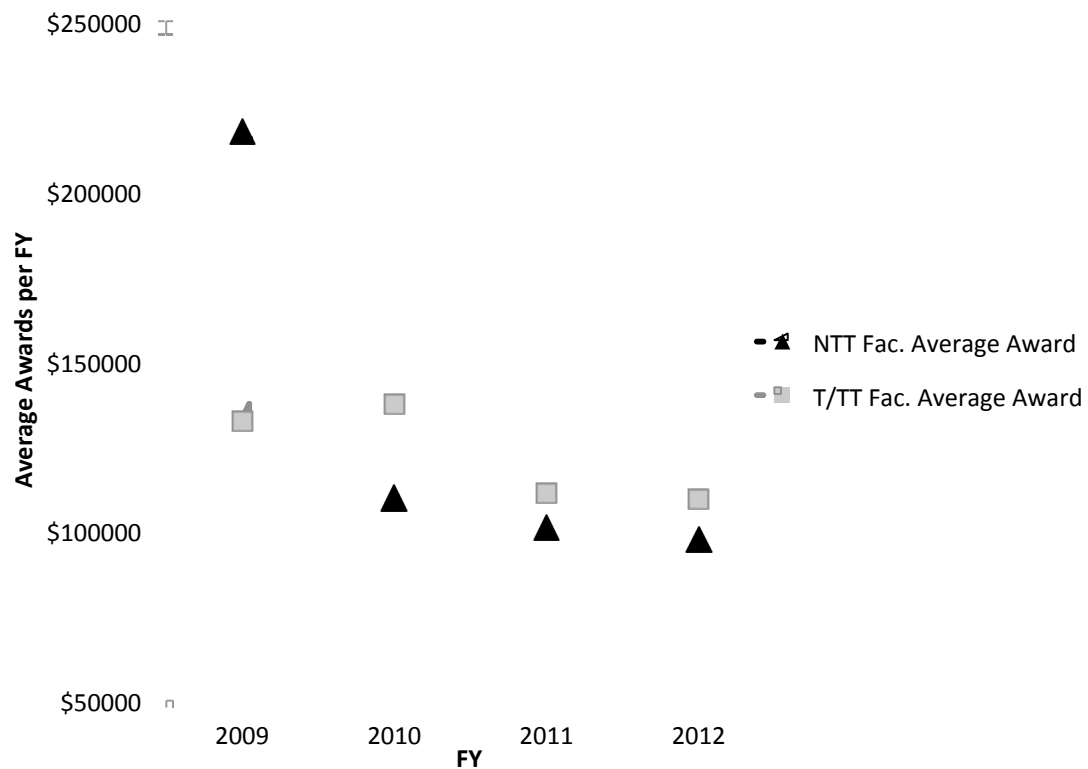
In terms of analyzing teaching load and the contributions to undergraduate education made by NTT faculty, it is thus important to keep in mind the extent to which students are more likely to be in classes in which they interact directly with NTT faculty, both because NTT faculty are more likely to be the Instructor of Record for smaller classes and because students are more likely to interact with NTT faculty (rather than a TA) when seeking help outside of regular class times.

## Appendix 5 – Research Award Data

**Table 5 – Credit Awards for Fiscal Years 09-12**

FY	T/TT Awards	# of non-zero T/TT Credit Awards	T/TT Average/Year	NTT Credit Awards	# of non-zero NTT Credit Awards	NTT Average/Year
2009	257,463,234	1948	132,168	131,157,140	603	217,508
2010	346,356,945	2522	137,334	81,417,374	742	109,727
2011	285,097,189	2566	111,106	76,194,013	754	101,053
2012	311,449,423	2852	109,204	88,914,312	913	97,387
Average			122,453			131,419

**Figure 5 - Average Annual Credit Award by Faculty Type**



## **Appendix 6 – Example of Problems with Applicability Clauses in Current Policies**

Example of lack of clarity regarding applicability and specificity of policies.

II-1.21- POLICY ON COMPENSATION FOR FACULTY states that

Salary increases for current faculty shall be based on merit, and shall be determined on the basis of exceptionally effective teaching, scholarship and public service. Equity considerations may be taken into account in awarding salary increases.

Basing salary increases on “teaching, scholarship, and public service” suggests that the policy only applies to T/TT faculty. As such, salary increases for faculty who are appointed exclusively as instructional or research faculty are not addressed.

Conversely, II-1.20(A) UMCP POLICY ON PERIODIC EVALUATION OF FACULTY PERFORMANCE provides detailed guidelines for how faculty performance shall be evaluated, but because the policy only applies to “tenured faculty, and instructors and lecturers with job security,” research faculty and instructional faculty without job security have no such evaluation guidelines. The policy that provides an evaluation requirement for NTT instructional faculty, II-1.00(F) UNIVERSITY OF MARYLAND POLICY ON FULL-TIME and PART-TIME NON-TENURE TRACK INSTRUCTIONAL FACULTY, provides nothing more than the following passage as a guideline for evaluation of NTT instructional faculty:

Performance Evaluation: Each department shall have written procedures for evaluating FT-NTT Faculty and PT-NTT Faculty performance on a regular schedule, as required by BOR Policy II-1.20. Evaluations shall be kept on record in a personnel file and shall be consulted when decisions are made about rank, salary, and contract renewal. FT-NTT Faculty and PT-NTT Faculty members shall have the opportunity to review each evaluation and sign off on it.

Such generally stated policies do not, in general, lead to thorough or systematic procedures.

## Appendix 7 – Discussion of Findings Regarding Current Policies at UM

### 1. Lack of knowledge/understanding of existing policies, and lack of compliance with those policies

This problem occurs for both the faculty members as well as departmental administrators. Faculty are often left to trust that “campus policy” is what a departmental administrator has told them it is, and departmental administrators often confuse, conflate, or otherwise mis-apply policy.

The general lack of knowledge or understanding of existing policies presumably stems from various causes, but a significant contributing factor is likely the lack of easily-accessible, fully-documented policies and procedures on departmental and college web sites. Task Force members collectively spent over 30 hours searching departmental and college web sites for information that administrators had indicated was available on the web. With the exception of only two units’ web sites, Task Force members were generally unable to locate the information that administrators had said was available on line.

An additional contributing factor is presumably lack of clearly articulated applicability clauses in some policies — the fact that the one facet of the previous FAC study was to consult with Legal Affairs to determine which policies applied to which group of faculty illustrates the depth of this problem. We contend that faculty and administrators should not have to consult with Legal Affairs to determine the applicability of campus policies concerning faculty appointments.

### 2. Lack of adequate representation in shared governance

The “Single Member Constituency” structure for representation in the Senate has created a system in which three Senators represent nearly 3000 NTT faculty:<sup>3</sup>

**Table 6 – Number of Senators for Different NTT faculty Constituencies**

Full-time Instructors	Part-time Instructors	Research Faculty	3 Senators for:
304	647	1889	2840 faculty

As the Table 6 illustrates, the representation of Research Faculty is especially diluted, with only one Senator representing the nearly 2,000 research faculty.

<sup>3</sup> Data from December 2012.

The fact that there are nearly 100 Senators representing approximately 1,600 T/TT faculty – i.e. one Senator for every 16 T/TT faculty – underscores the lack of adequate representation of NTT faculty in the University Senate.

3. Lack of policies and/or guidelines regarding evaluations and promotions within the research faculty ranks

The lack of policies and/or guidelines regarding promotions within the research faculty ranks leads to frustration and low morale for research faculty. Without clear policies or guidelines, promotions can appear arbitrary or even capricious.

4. Gaps in policies regarding part-time instructional faculty at or above 50% FTE

The “Meet and Confer” provisions to the Policy on the Employment of Adjunct Faculty provide enhanced opportunities for instructional faculty to participate in shared governance; however, part-time instructional faculty with appointments at or above 50% FTE are not eligible to participate in Meet and Confer.

The Adjunct Policy also provides for Adjunct II status in order to recognize the significant contributions of long-time faculty who teach less than 50% FTE. However, the policy does not allow for all courses taught by such faculty to count toward the eligibility for Adjunct II status.

Additionally, part-time instructional faculty with appointments at or above 50% FTE also face a contradiction in policies regarding leave and provisions for notice of non-renewal: faculty at or above 50% FTE earn sick leave, but faculty below 100% can be terminated with 30 days’ notice. The result is that part-time faculty who have been with the institution for many years and who have accrued months of sick leave might not be allowed to use it when dealing with a major health problem or serious injury because they can be terminated with 30 days’ notice.

## Appendix 8 – Discussion of Findings Regarding Policies at Peer Institutions

### 1. Ease of access to policies

Searching other institutions' web sites suggests that many institutions have not found an adequate solution to the challenge of providing easy access to institutional policies. Two sites stand out as particularly easy to use: Virginia Tech's Faculty Handbook, and UNC's Faculty Policies, Procedures and Guidelines page.

### 2. Evaluation and promotion guidelines

Among the institutions the Task Force reviewed, Virginia Tech is notable in that it has a thoroughly articulated, institutionally defined matrix for performance evaluations and promotions for its NTT faculty. See

[http://www.provost.vt.edu/promotion\\_tenure/instructor\\_promotion\\_timeline\\_2012-13.pdf](http://www.provost.vt.edu/promotion_tenure/instructor_promotion_timeline_2012-13.pdf) for instructional faculty and

[http://www.provost.vt.edu/faculty\\_handbook/chapter06/chapter06.html](http://www.provost.vt.edu/faculty_handbook/chapter06/chapter06.html) for research faculty.

### 3. Ranks for instructional faculty

In contrast to the two titles available for Lecturers at UMCP (i.e. Lecturer and Senior Lecturer), UN-Chapel Hill and Virginia Tech have three ranks within the Lecturer or Instructor categories. The UC System, while using only the titles Lecturer and Senior Lecturer, provide for Potential Security of Employment and Security of Employment within the Lecturer ranks, thus providing for multiple ranks within the Lecturer series.

### 4. Titles for NTT faculty administrators

The UC system includes an "Academic Coordinator" position as well as an "Academic Administrator" position, both of which have multiple steps or levels. The titles are used for "appointees who administer academic programs that provide service closely related to the teaching or research mission of the University."

The University of Illinois at Urbana-Champaign provides for NTT faculty academic administrator titles.

Virginia Tech provides for Administrative and Professional faculty appointments that are distinct from Tenure Track appointments. Such faculty hold the title Lecturer plus the appropriate functional title, e.g. Lecturer and Director. The policy for Administrative and Professional ranks includes specific guidelines for evaluating and promoting such faculty.

5. Length of NTT faculty appointments and contracts

Most institutions encourage year- or multi-year contracts. One semester contracts are typically used for last-minute appointments or for first-time appointments.

Virginia Tech explicitly discourages the practice of repeated one-year appointments. VT also provides specific timelines by which instructional faculty should be considered for promotion to the next Instructor rank.

6. Inclusion of NTT faculty within institutional systems

At the University of Michigan, appointments of Lecturers and Adjunct Instructional Faculty are managed under a collective bargaining agreement. As such, searching for policies related to NTT faculty leads to the University Human Resources web site rather than the Faculty Handbook on the Provost's web site. The tacit institutional perspective appears to be that Lecturers are not an integrated part of the faculty. We find this perspective to be counter-productive to creating an environment in which the institution can best engage "this large subset of our faculty as a valuable resource."

## **Appendix 9 – Discussion of Faculty Survey Methodology and Results**

Using the Senate's FAC report on NTT faculty as its starting point, the Task Force's Survey Subcommittee reviewed the questions the FAC had used for its focus groups as well the report's summaries and quotes from the focus group discussions. The Survey Subcommittee then extended the FAC's survey questions and developed a draft Faculty Survey (see Appendix 9.1).

In order to gauge the potential effectiveness of the survey, NTT faculty from all 12 colleges were invited to participate in working review sessions of the draft survey. Invitations to participate were sent to randomly generated lists of NTT faculty, ultimately leading to 35 participants attending five working sessions. Later, a special session for Faculty Research Assistants generated input from four additional NTT faculty.

The draft survey was emailed to participants prior to the working sessions with a request that they review the draft for both the clarity of the individual questions as well as the scope of the survey as a whole. The feedback from the working sessions led to significant revisions to the draft, which was then adapted to a web-based format.

The participants in the working sessions were then asked to pilot the online version of the survey, the primary purpose of which was to test the web application's functionalities. However, minor revisions to the survey were made based on the feedback on the pilot version. See [http://faculty.umd.edu/ntt/ntt\\_rpt.cfm](http://faculty.umd.edu/ntt/ntt_rpt.cfm) to view the survey.

Invitations to participate in the survey were emailed to 2823 NTT faculty on September 11, 2012, with three follow up reminders sent during the three weeks the survey was open. Reminders about the survey were also published on two consecutive days in the Diamondback halfway through the two week period the survey was open.

### Demographics of Respondents

The faculty survey was completed by 848 respondents, or 30% of the 2823 faculty who were sent email announcements about the survey. 473 respondents hold the Ph.D., 14 hold the J.D., 228 hold a Masters, and 82 a Bachelors.

The gender and racial demographic data show that the survey respondents were a good representation of the campus demographic, though the response rate from women was higher than the representation of women in the NTT faculty overall: of the 797

respondents who identified their gender, 429 (54%) were women and 368 (46%) were men; this compares to a campus-wide NTT faculty ratio of 42% women to 58% men.

Table 7 presents the percentages of respondents reporting race on the survey compared to the racial demographics of the overall NTT faculty ranks on campus.

**Table 7 - Racial profile of survey respondents and NTT faculty campus-wide**

	African American	Asian	Hispanic	White	Unknown – not indicated
Survey	4%	12%	3%	70%	11%
Campus-wide	4%	20%	3%	63%	11%

In terms of the type of work that respondents do, the results capture the extent to which NTT faculty contributions are more extensive than simply either "Instructional" or "Research":

**Table 8 - Number of faculty reporting for each type of appointment**

Instructional	Research	Service / Outreach	Administrative	Combination
305	310	44	31	151

**Table 9 – For combination appointments in Table 8, average of the percentage of effort given to each type of work:**

Instructional	Research	Service / Outreach	Administrative
41.06%	42.18%	26.47%	37.30%

## **Appendix 9.1 – Draft Faculty Survey Used for Focus Group**

17 April, 2012

Dear Fellow Faculty Member,

The Provost and the Senate have formed the Non-Tenure Track Faculty Task Force to determine areas of concern with existing University policies and procedures related to Non-Tenure Track Faculty (NTT faculty) and to recommend changes to those policies based on that determination. As part of the work of the Task Force, we will be issuing a survey to all current NTT faculty to gauge and understand their views and concerns.

Attached is a working draft of that survey; we thank you for taking the time to provide feedback on it. Your participation now will help ensure that the final version, scheduled for distribution in the fall, will be as clear and comprehensive as possible. We ask that you fill out the survey as completely as you can before attending one of the 1-hour working sessions.

Please keep in mind that the final survey will be web-based, with both point-and-click buttons and text boxes for adding comments. At this point, the goal is primarily to gather feedback on two fronts:

1. the clarity of the questions as they are currently written
2. the scope of the survey given the current set of questions, i.e. do you have concerns that are not addressed (or not adequately addressed) by the current questions.

The answers you provide to specific questions will certainly be helpful as we review the results of the pilot survey over the summer. We are particularly interested in your feedback about the two points above, so please feel free to write notes on the survey itself about the questions, e.g. point out a phrase that's not clear, or note a way in which a question is ambiguous to you.

If you would like to use MS Word's reviewing tools, i.e. the Track Changes and Comment functions, we would be happy to print hard copy for your use during the working session. Please email the file to Mark Arnold at [mdarnold@umd.edu](mailto:mdarnold@umd.edu) the day before your session.

The agenda for the working sessions will be to improve the survey by discussing participants' observations and concerns about the draft version of the survey.

All discussion during the pilot survey working sessions will be kept confidential and is only for the use of the Task Force members.

All working sessions will be held in 1200 Marie Mount Hall.

Thank you again for your willingness to help.

Sincerely,

Members of the Non-Tenure Track Faculty Task Force

Draft

**NON TENURE-TRACK FACULTY SURVEY**

1. What is your current rank/title and how long have you held that rank/title?

2. For which department(s) are you currently working?

3. Does your work take place principally on the UMCP campus or off campus?

\_\_\_\_\_ On campus

\_\_\_\_\_ Off campus

4. Were you given a written contract or letter of appointment for your current appointment?

\_\_\_\_\_ contract

\_\_\_\_\_ letter of appointment

\_\_\_\_\_ neither

If you were given a letter/contract, what is the length of your current appointment/contract?

5. How long in advance do you receive appointment/re-appointment notification? (e.g. 30 days in advance, one semester in advance, no real pattern)

6. For faculty engaged in instruction: What are the minimum and maximum per course salaries you have received at UM? (If you don't know exact numbers, please provide an estimate.)

7. What are the factors that determine your salary? (check all that apply):

\_\_\_\_\_ the courses being taught (e.g., upper vs. lower level)

\_\_\_\_\_ credentials of faculty member (e.g., Master's vs. PhD)

\_\_\_\_\_ length of service to the University

\_\_\_\_\_ other (please explain):

8. For faculty engaged in instruction: What is your typical course workload per semester?

Number of courses \_\_\_\_\_

Level of course(s) \_\_\_\_\_

Class size \_\_\_\_\_

9. Does your work include administrative duties (e.g., advising, contract management)? yes/no  
If yes, are these duties spelled out in your contract?

10. How would you rate the physical conditions of your work environment? (e.g., your office/lab, building overall state)

\_\_\_\_\_ excellent

\_\_\_\_\_ good

\_\_\_\_\_ fair

\_\_\_\_\_ poor

\_\_\_\_\_ unacceptable

11. Do you get sufficient administrative and technical support (e.g., clerical, travel, grant preparation and accounting, computing)?
12. Do you have opportunities to mentor students? yes/no  
If yes, what type(s) of students do you mentor (check all that apply)  
☐ high school  
☐ undergraduate  
☐ graduate (including professional certification students)
13. Is there someone in your department/unit who provides you with research and professional development mentorship (i.e., solving research problems, professional growth, promotion, etc. )?  
Yes/no  
If yes, is this mentoring informal or formal/assigned?  
☐ Informal                      ☐ Formal/Assigned
14. Do you undergo periodic performance review/evaluation?    yes/no  
If yes, who performs these evaluations?
15. Is merit pay included as a part of the larger review/evaluation process? yes/no/don't know
16. Do you know if your department/unit has written policies/procedures regarding NTT faculty appointments?                      yes/no
17. Do you know if your department/unit has written policies/procedures regarding NTT faculty promotions?                      yes/no
18. Does your department/unit have a mechanism for recognizing outstanding contributions from NTT faculty?    yes/no  
If yes, please describe this mechanism.
19. Do you have opportunities for professional development? (e.g., conferences, in-house presentations, service for dept/college/university/community)
20. Are you aware of opportunities to share in governance in your department/unit, in your College, or in the University?
21. Are NTT faculty kept adequately apprised of and involved in the affairs of your department/unit (e.g., governance, course assignments, hiring decisions, budget outlook)? Yes/No/Not sure
22. If you work primarily on campus, do you feel NTT faculty are treated as valued members of your department/unit?    Yes/No  
  
If you work primarily off campus, do you feel NTT faculty are treated as valued members at the institution where you primarily work?    Yes/No  
  
If yes, do you feel that the value of your work off campus is adequately relayed back to your on-campus department/unit?

## Appendix 10 – Discussion of Findings from Faculty Survey

### Questions probing job responsibilities and knowledge of opportunities

1. Contracts for NTT faculty often do not accurately represent the tasks/duties the faculty members are asked to perform
2. NTT faculty are dedicated professionals who often perform additional work on their own initiative

For the questions about job responsibilities, at least 10% of the respondents reported that they were given additional duties without receiving extra compensation for 19 of the 26 duties. For 20 of the 26 tasks, at least 20% of respondents reported that they performed additional work on their own volition.

**Table 10 - Results of Job Responsibilities Survey Data — All Responses**

Task/Responsibility	total responses	paid to do		assigned without extra pay		done on own volition	
Advise / mentor Undergraduates	445	175	39%	64	14%	206	46%
Advise/mentor Graduates	358	127	35%	68	19%	163	46%
Advise/mentor junior faculty	125	39	31%	26	21%	60	48%
Attend conferences/colloquia	563	275	49%	49	9%	239	42%
Attend professional development functions	420	169	40%	51	12%	200	48%
Develop new course(s)	275	122	44%	44	16%	109	40%
Develop new academic program(s)	113	64	57%	21	19%	28	25%
Edit/Revise manuscripts	393	196	50%	47	12%	150	38%
Maintain computer hardware or software	187	83	44%	34	18%	70	37%
Manage/maintain laboratory facilities	144	98	68%	17	12%	29	20%
Manage academic program(s)	109	88	81%	12	11%	9	8%
Manage research program(s)	208	170	82%	9	4%	29	14%
Manage service/outreach program(s)	166	112	67%	18	11%	36	22%
Meet minimum grant funding levels	100	70	70%	12	12%	18	18%
Perform peer evaluation(s)	214	96	45%	52	24%	66	31%
Perform in concerts or show works	30	5	17%	2	7%	23	77%
Plan conference(s)/event(s)	222	101	45%	38	17%	83	37%
Present at conferences/colloquia series	460	243	53%	48	10%	169	37%

Task/Responsibility	total responses	paid to do		assigned without extra pay		done on own volition	
Provide clerical/office support	122	63	52%	31	25%	28	23%
Publish research papers	444	271	61%	34	8%	139	31%
Supervise Graduate Assistants	214	138	64%	34	16%	42	20%
Supervise Post-doctoral fellows	60	36	60%	6	10%	18	30%
Supervise undergraduates	244	146	60%	37	15%	61	25%
Supervise staff	144	119	83%	10	7%	15	10%
Teaching/course assignment(s)	442	392	89%	17	4%	33	7%
Write grants/proposals	332	177	53%	53	16%	102	31%

Some comments about this question indicated that because salaried professionals are expected to do additional duties as assigned, the question about being assigned additional work without additional compensation was out of place. Conversely, many other comments made essentially the point that this one articulates so well:

When surrounded by tenured/T/TT faculty, many of whom work much more than 40 hrs per week, it is seen as the norm -- regardless of whether we get paid similarly or whether the work advances our careers in the way that it might for tenured/T/TT.

Moreover, many respondents engage in additional work on their own initiative. The quantitative data reflect a sentiment expressed in many comments, namely that many NTT faculty are willing to do extra work because they recognize that such work is beneficial for their students or their units—they just wish that the institution would recognize their efforts.

3. NTT faculty don't know about departmental policies and procedures regarding evaluations, promotions, merit pay, or methods of recognition for outstanding performance

Responses to a series of questions about departmental policies and procedures regarding NTT faculty appointments illustrate either wide-spread lack of, or lack of knowledge of, policies for evaluations, promotions, and recognition of NTT faculty:

**Table 11 – Responses to questions probing knowledge of campus policies**

Question	Yes	No	Don't Know
Is merit pay included as a part of the larger review / evaluation process?	108	413	306
Does your department / unit have written policies / procedures regarding faculty with your appointment title?	242	103	487
Does your department / unit have written policies / procedures regarding promotions for faculty with your appointment title?	146	176	503
Does your department / unit have a mechanism for recognizing outstanding contributions from faculty with your appointment title?	108	213	507

4. NTT faculty are generally unaware of opportunities for participation in governance at either the department/unit level, their college, or the University

The question probing awareness of opportunities to participate in self-governance illustrates another area where NTT faculty are not engaged with the institution:

**Table 12 – Responses to questions probing opportunities for self-governance**

Are you aware of opportunities to share in governance in:	Yes	No
Your department / unit	352	456
Your College	276	512
The University	357	431

### **Likert questions probing working conditions and job satisfaction**

The survey used 29 Likert questions to survey NTT faculty on a range of job satisfaction measures. Given that certain questions were targeted at different types of appointments, a "Not Applicable" option was provided in an attempt to allow respondents to actively indicate that a question was not applicable rather than simply leaving it blank. For the purposes of the analysis, we considered responses of "Disagree" and "Strongly Disagree" to be negative indicators of satisfaction.

The following pages summarize some of the results of the Likert questions. Beyond the selected results presented in Tables 13-15, full results are presented as follows:

- Table 16 - all responses taken together;
- Table 17 - responses are split by gender;
- Table 18 - responses are split by primary type of work (instructional, research, service, admin, or combination);

- Table 19 - responses are split by college.

When viewing the results, recall that respondents did not answer every question.

Of the 29 questions, 15 had negative indicators of satisfaction of 20% or higher, i.e. 20% or more of respondents to 15 questions selected either "Disagree" or "Strongly Disagree". For two additional questions, 19% of responses were either "Disagree" or "Strongly Disagree".

Of those 17 questions for which the negative responses were at 19% or higher, nine had negative responses at 40% or higher. Two of the three questions with negative responses rates above 50% were related to criteria for promotions and merit pay increases.

Splitting the responses by gender shows that women are less satisfied than men, especially on matters of compensation and recognition, as shown in Table 13. (Table 17 presents the entire set of results split by gender.)

**Table 13 - Selected responses for Likert questions split by gender**

Prompt	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Sum - All	Sum - Disagree	% Dissatisfied	Gen
Pursuing professional development opportunities enhances my position or status in my department/unit.	49 51	83 88	122 112	100 48	35 20	389 319	135 68	35 21	F M
Departmental administrators are aware of my contributions to the division and the university.	43 42	119 119	126 113	72 43	29 10	389 327	101 53	26 16	F M
My research and resulting publications are included in my performance evaluations.	28 44	64 86	57 52	37 23	25 19	211 224	62 42	29 19	F M
I am well compensated for my contributions to the institution.	26 28	73 109	103 88	103 67	100 56	405 348	203 123	50 35	F M

When reviewing the Likert responses split by type of work, the prompt "I am well compensated for my contributions to the institution" generates significantly higher levels of dissatisfaction from Instructional and Administrative Faculty than Research Faculty, a concern that is masked when viewing the Likert responses as a whole, as shown in Table 14, where I=Instructional, R=Research, S=Service, A=Administrative, and C=Combination:

**Table 14 - Selected responses for Likert questions split by type of work**

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Sum - All	Sum - Disagree	% Dissatisfied	Work Type
I am well compensated for my contributions to the institution.	20	42	70	65	90	287	155	54	I
	25	100	85	53	28	291	81	28	R
	1	8	12	11	9	41	20	49	S
	2	7	4	11	4	28	15	54	A
	9	35	31	39	32	146	71	49	C

Moreover, splitting the Likert responses by college provides additional insight into the concern regarding compensation, as shown in Table 15:

**Table 15 - Selected responses for Likert questions split by college**

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	N/A	Sum - All	Sum - Disagree	% Dissatisfied
I am well compensated for my contributions to the institution.	AGNR	2	11	21	14	16	1	64	30	47
	ARCH	2	1	2	1	1	0	7	2	29
	ARHU	4	7	16	18	39	5	84	57	68
	BMGT	3	5	1	1	2	0	12	3	25
	BSOS	2	21	14	13	20	7	70	33	47
	CMNS	17	60	50	29	19	11	175	48	27
	EDUC	0	0	1	1	3	0	5	4	80
	ENGR	3	14	14	13	4	6	48	17	35
	INFO	2	1	4	2	0	0	9	2	22
	JOUR	0	2	4	7	4	0	17	11	65
	PUAF	1	3	2	1	1	0	8	2	25
	SPHL	4	5	3	7	1	1	20	8	40

Combining the results of splitting the Likert responses by type of work with the Likert responses split by college highlights an area of exceptional concern: for prompts with more than 10 responses, two of the highest indicators of dissatisfaction in the entire survey come from ARHU and JOUR for the prompt "I am well compensated for my contributions to the institution" (68% and 65% respectively).

Given that per-course salaries in those colleges translate to an FTE equivalent salary of \$32,000 - \$34,000/year, the high dissatisfaction rates among Instructional Faculty in those colleges is no surprise.

While we understand that everyone feels "overworked and underpaid," and while we understand that faculty in some colleges will necessarily make more than faculty in other colleges, even among the T/TT ranks, we must draw attention to the fact a salary

of \$32,000/year is less than what the Bureau of Labor Statistics reports as the mean annual wage for unskilled laborers in the construction industry for 2012.<sup>4</sup>

Given the skills, expertise, and dedication required for teaching rigorous courses at a major research institution, we strongly recommend that the administration find the means to raise the base-line salaries for Instructional Faculty.

**Table 16 - Results of Likert Questions - Questions with Negative Indicator > 19%**

Prompt	Total Responses	Total "Disagree" or "Strongly Disagree"	%
My department/unit has created an environment that allows the university to benefit fully from the knowledge and skills I can offer.	805	166	21
My job responsibilities are accurately documented in my contract or appointment letter.	800	155	19
My contributions are acknowledged and openly appreciated within my department/unit.	803	151	19
Pursuing professional development opportunities enhances my position or status in my department/unit.	748	217	29
Departmental administrators are aware of my contributions to the division and the university.	755	161	21
I have a clear understanding of the criteria that are used to determine promotions in my department/unit.	712	398	56
The FAR is a useful tool for reporting the full range of my contributions to the institution.	556	226	41
My research and resulting publications are included in my performance evaluations.	457	109	24
Were merit raises to be in the budget, I would have a clear understanding of the criteria that would be used to determine merit raises in my department/unit.	671	339	51
When my supervisor substantially increases one facet of my responsibilities, I am either compensated accordingly or another facet of my workload is reduced accordingly.	592	255	43
Working on an evening or weekend is assumed to be part of my "at least 40 hours/week" work week, so there is no acknowledgement that adding evening and weekend assignments to my responsibilities might create hardship in my personal life. <sup>5</sup>	646	381	59

<sup>4</sup> See <http://www.bls.gov/oes/current/oes472061.htm>. accessed 2/13/13.

<sup>5</sup> Question was inadvertently worded in reverse; results are for number of "Strongly Agree" or "Agree"

Prompt	Total Responses	Total "Disagree" or "Strongly Disagree"	%
I am certain that I would receive the same respect and consideration as tenure track faculty in response to significant personal events such as the birth of a child or death of a family member.	750	192	26
I have equal access to faculty grants that will benefit my research and/or teaching.	610	265	43
When developing improvements to the course(s) I teach, I have access to the same levels of funding and administrative support as tenure track faculty.	449	198	44
I am satisfied with my physical office space.	775	153	20
I am well compensated for my contributions to the institution.	796	342	43
I am treated as a full faculty colleague by all members of my department.	775	312	40

**Table 17 - Results of Likert Questions—Split by Gender**

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Sum - All	Sum - Disagrees	% Dissatisfied	Gen
My department/unit has created an environment that allows the university to benefit fully from the knowledge and skills I can offer.	46 69 11	164 156 17	98 71 7	72 40 6	32 14 2	412 350 43	104 54 8	25 15 19	F M U
My job responsibilities are accurately documented in my contract or appointment letter.	50 51 9	187 168 16	85 68 11	71 48 4	15 14 3	408 349 43	86 62 7	21 18 16	F M U
My contributions are acknowledged and openly appreciated within my department/unit.	65 66 10	144 127 16	106 106 12	66 32 3	30 17 3	411 348 44	96 49 6	23 14 14	F M U
My department's chair / director fully supports my professional activities.	88 104 15	145 127 13	97 72 10	40 18 4	21 10 2	391 331 44	61 28 6	16 08 14	F M U
Pursuing professional development opportunities enhances my position or status in my department/unit.	49 51 4	83 88 9	122 112 13	100 48 9	35 20 5	389 319 40	135 68 14	35 21 35	F M U
Departmental administrators are aware of my contributions to the division and the university.	43 42 7	119 119 16	126 113 9	72 43 4	29 10 3	389 327 39	101 53 7	26 16 18	F M U
I have a clear understanding of the criteria that are used to determine promotions in my department/unit.	19 17 2	43 59 2	71 90 11	132 95 10	97 54 10	362 315 35	229 149 20	63 47 57	F M U
The FAR is a useful tool for reporting the full range of my contributions to the institution.	4 8 2	43 59 2	108 94 10	73 54 7	57 31 4	285 246 25	130 85 11	46 35 44	F M U
My research and resulting publications are included in my performance evaluations.	28 44 4	64 86 7	57 52 6	37 23 4	25 19 1	211 224 22	62 42 5	29 19 23	F M U

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Sum - All	Sum - Disagrees	% Dis- satisfied	Gen
Were merit raises to be in the budget, I would have a clear understanding of the criteria that would be used to determine merit raises in my department/unit.	12 14 3	55 71 2	82 83 10	117 78 10	81 44 9	347 290 34	198 122 19	57 42 56	F M U
When my supervisor substantially increases one facet of my responsibilities, I am either compensated accordingly or another facet of my workload is reduced accordingly.	19 8 1	64 62 5	82 86 10	84 52 8	65 39 7	314 247 31	149 91 15	47 37 48	F M U
When changes to the programs or projects I work on become necessary, I am included in the development of the new way of doing the work that I do.	60 47 7	148 118 14	69 67 6	51 21 3	21 17 3	349 270 33	72 38 6	21 14 18	F M U
Working on an evening or weekend is assumed to be part of my "at least 40 hours/week" work week, so there is no acknowledgement that adding evening and weekend assignments to my responsibilities might create hardship in my personal life.	70 55 6	133 108 9	70 70 7	35 33 5	25 17 3	333 283 30	203 163 15	61 58 50	F M U
I am certain that I would receive the same respect and consideration as tenure track faculty in response to significant personal events such as the birth of a child or death of a family member.	76 67 6	115 108 16	78 84 8	60 32 4	59 32 5	388 323 39	119 64 9	31 20 23	F M U
I am routinely included in communications about departmental events and initiatives.	117 114 14	180 158 20	55 39 6	36 25 0	16 13 0	404 349 40	52 38 0	13 11 00	F M U
I have equal access to faculty grants that will benefit my research and/or teaching.	25 24 4	55 55 2	88 77 15	65 61 6	79 48 6	312 265 33	144 109 12	46 41 36	F M U
When developing improvements to the course(s) I teach, I have access to the same levels of funding and administrative support as tenure track faculty.	17 24 3	47 37 4	70 41 8	59 44 4	59 29 3	252 175 22	118 73 7	47 42 32	F M U
I have access to the technology that is the norm for doing work in my field.	111 107 13	198 183 19	49 35 4	28 12 3	15 6 1	401 343 40	43 18 4	11 05 10	F M U
I have access to training for the technology that is the norm for doing work in my field.	86 72 5	175 143 18	86 76 5	31 14 7	12 11 1	390 316 36	43 25 8	11 08 22	F M U
I am satisfied with my physical office space.	104 94 10	147 132 20	61 51 3	42 35 2	43 29 2	397 341 37	85 64 4	21 19 11	F M U

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Sum - All	Sum - Disagree	% Dis- satisfied	Gen
For the courses I teach, I am listed as instructor of record and have an appropriate level of autonomy in terms of course design and implementation.	135 91 10	97 63 10	22 21 3	9 5 0	4 5 0	267 185 23	13 10 0	05 05 00	F M U
I am confident that my program or department will support my decisions regarding students.	104 80 9	141 90 15	34 38 2	9 10 1	4 1 2	292 219 29	13 11 3	04 05 10	F M U
Adequate advance notice is given when enrollment for my classes increases.	49 37 5	82 57 7	38 44 5	31 15 1	9 7 1	209 160 19	40 22 2	19 14 11	F M U
If I were to encounter a problematic student or co-worker, I know who in my department would help me resolve the issue.	122 83 10	161 141 16	50 48 9	40 29 4	22 6 2	395 307 41	62 35 6	16 11 15	F M U
If I were to encounter a problem with the space in which I work or the equipment I use, I know who in my department would help me resolve the issue.	107 91 11	197 170 21	45 31 5	34 22 4	20 10 0	403 324 41	54 32 4	13 10 10	F M U
My work adds greatly to the mission of the University.	145 123 13	188 163 18	63 53 7	6 6 2	4 3 0	406 348 40	10 9 2	02 03 05	F M U
I am well compensated for my contributions to the institution.	26 28 3	73 109 11	103 88 13	103 67 9	100 56 7	405 348 43	203 123 16	50 35 37	F M U
I am treated as a full faculty colleague by all members of my department.	42 40 7	82 92 8	89 91 12	86 65 5	92 56 8	391 344 40	178 121 13	46 35 33	F M U
I have confidence in being reappointed in my department.	88 81 11	169 146 16	77 74 9	35 21 2	23 12 0	392 334 38	58 33 2	15 10 05	F M U

**Table 18 - Likert Responses Split by Primary Work Type**

I = Instructional

R = Research

S = Service

A = Admin

C = Combination

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Sum - All	Sum - Disagree	% Dis- satisfied	Work Type
My department/unit has created an environment that allows the university to benefit fully from the knowledge and skills I can offer.	54 36 3 5 28	113 131 20 11 59	56 76 8 6 29	43 36 7 5 27	26 11 3 3 5	292 290 41 30 148	69 47 10 8 32	24 16 24 27 22	I R S A C
My job responsibilities are accurately documented in my contract or appointment letter.	68 28 4 2 7	142 130 22 10 65	41 69 9 9 35	28 53 6 6 29	11 12 0 1 8	290 292 41 28 144	39 65 6 7 37	13 22 15 25 26	I R S A C

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Sum - All	Sum - Disagree	% Dis- satisfied	Work Type
My contributions are acknowledged and openly appreciated within my department/unit.	51	93	81	38	27	290	65	22	I
	47	99	95	34	12	287	46	16	R
	7	19	8	4	4	42	8	19	S
	7	12	7	0	3	29	3	10	A
	28	61	32	25	4	150	29	19	C
My department's chair / director fully supports my professional activities.	68	92	70	26	19	275	45	16	I
	68	107	74	19	6	274	25	09	R
	9	19	6	5	2	41	7	17	S
	9	12	3	3	0	27	3	11	A
	51	52	26	9	6	144	15	10	C
Pursuing professional development opportunities enhances my position or status in my department/unit.	29	44	94	63	32	262	95	36	I
	38	77	101	46	13	275	59	21	R
	7	11	12	7	2	39	9	23	S
	7	10	7	3	1	28	4	14	A
	21	36	33	38	12	140	50	36	C
Departmental administrators are aware of my contributions to the division and the university.	29	80	92	46	24	271	70	26	I
	23	84	104	50	10	271	60	22	R
	3	22	11	4	0	40	4	10	S
	7	11	7	2	1	28	3	11	A
	30	54	33	17	7	141	24	17	C
I have a clear understanding of the criteria that are used to determine promotions in my department/unit.	10	18	69	81	69	247	150	61	I
	15	49	60	95	47	266	142	53	R
	1	8	12	12	5	38	17	45	S
	1	6	6	6	7	26	13	50	A
	11	23	25	43	32	134	75	56	C
The FAR is a useful tool for reporting the full range of my contributions to the institution.	2	22	65	41	32	162	73	45	I
	7	59	96	42	22	226	64	28	R
	0	4	15	6	8	33	14	42	S
	0	3	4	9	7	23	16	70	A
	5	16	32	36	23	112	59	53	C
My research and resulting publications are included in my performance evaluations.	4	21	38	31	26	120	57	48	I
	58	100	46	14	7	225	21	09	R
	0	10	7	5	2	24	7	29	S
	1	3	1	4	1	10	5	50	A
	13	23	23	10	9	78	19	24	C
Were merit raises to be in the budget, I would have a clear understanding of the criteria that would be used to determine merit raises in my department/unit.	8	35	52	76	55	226	131	58	I
	12	64	75	64	36	251	100	40	R
	1	8	13	9	6	37	15	41	S
	0	4	9	11	4	28	15	54	A
	8	17	26	44	32	127	76	60	C
When my supervisor substantially increases one facet of my responsibilities, I am either compensated accordingly or another facet of my workload is reduced accordingly.	12	35	60	34	36	177	70	40	I
	7	55	74	62	29	227	91	40	R
	1	5	8	14	8	36	22	61	S
	2	3	7	9	6	27	15	56	A
	6	31	29	25	32	123	57	46	C

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Sum - All	Sum - Disagree	% Dissatisfied	Work Type
When changes to the programs or projects I work on become necessary, I am included in the development of the new way of doing the work that I do.	22 44 6 8 34	80 122 18 7 51	45 57 8 5 27	40 11 5 3 16	26 10 1 1 3	213 244 38 24 131	66 21 6 4 19	31 09 16 17 15	I R S A C
Working on an evening or weekend is assumed to be part of my "at least 40 hours/week" work week, so there is no acknowledgement that adding evening and weekend assignments to my responsibilities might create hardship in my personal life.	39 44 8 8 32	71 104 11 9 54	47 63 10 4 23	19 39 6 1 7	9 20 1 3 12	185 270 36 25 128	110 148 19 17 86	59 55 53 68 67	I R S A C
I am certain that I would receive the same respect and consideration as tenure track faculty in response to significant personal events such as the birth of a child or death of a family member.	45 48 11 9 36	65 103 15 11 42	67 68 4 2 29	50 25 4 3 14	43 24 5 2 22	270 268 39 27 143	93 49 9 5 36	34 18 23 19 25	I R S A C
I am routinely included in communications about departmental events and initiatives.	89 72 12 13 58	131 140 22 10 53	31 40 4 4 21	25 26 2 1 7	11 12 0 0 6	287 290 40 28 145	36 38 2 1 13	13 13 05 04 09	I R S A C
I have equal access to faculty grants that will benefit my research and/or teaching.	10 22 9 4 8	28 52 6 6 20	70 61 10 2 37	52 52 4 4 19	50 43 4 3 32	210 230 33 19 116	102 95 8 7 51	49 41 24 37 44	I R S A C
When developing improvements to the course(s) I teach, I have access to the same levels of funding and administrative support as tenure track faculty.	17 4 3 4 16	39 18 7 3 21	59 31 6 3 20	68 10 5 3 21	53 11 4 3 19	236 74 25 16 97	121 21 9 6 40	51 28 36 38 41	I R S A C
I have access to the technology that is the norm for doing work in my field.	71 95 13 9 42	140 153 25 14 66	40 26 2 4 15	24 11 1 0 7	6 5 0 0 11	281 290 41 27 141	30 16 1 0 18	11 06 02 00 13	I R S A C
I have access to training for the technology that is the norm for doing work in my field.	60 51 8 7 36	117 120 24 12 60	57 72 7 5 26	24 18 1 2 6	11 5 0 1 7	269 266 40 27 135	35 23 1 3 13	13 09 03 11 10	I R S A C
I am satisfied with my physical office space.	68 70 11 9 47	98 127 15 6 52	46 40 5 6 18	28 30 3 4 14	25 25 6 2 15	265 292 40 27 146	53 55 9 6 29	20 19 23 22 20	I R S A C

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Sum - All	Sum - Disagree	% Dis- satisfied	Work Type
For the courses I teach, I am listed as instructor of record and have an appropriate level of autonomy in terms of course design and implementation.	137 20 7 12 60	114 14 5 4 32	19 18 4 0 5	7 3 0 1 3	4 3 1 0 1	281 58 17 17 101	11 6 1 1 4	04 10 06 06 04	I R S A C
I am confident that my program or department will support my decisions regarding students.	104 18 6 12 53	141 46 7 5 46	25 32 2 1 14	11 5 1 1 2	3 2 0 0 2	284 103 16 19 117	14 7 1 1 4	05 07 06 05 03	I R S A C
Adequate advance notice is given when enrollment for my classes increases.	46 5 2 6 32	96 16 1 5 27	45 26 5 2 9	35 3 1 1 7	12 2 1 0 2	234 52 10 14 77	47 5 2 1 9	20 10 20 07 12	I R S A C
If I were to encounter a problematic student or co-worker, I know who in my department would help me resolve the issue.	108 40 9 11 46	132 99 12 13 62	26 55 9 1 15	19 41 3 1 9	9 11 3 2 4	294 246 36 28 136	28 52 6 3 13	10 21 17 11 10	I R S A C
If I were to encounter a problem with the space in which I work or the equipment I use, I know who in my department would help me resolve the issue.	96 50 8 11 44	134 152 21 9 69	22 38 5 5 11	27 16 2 3 12	10 11 3 0 6	289 267 39 28 142	37 27 5 3 18	13 10 13 11 13	I R S A C
My work adds greatly to the mission of the University.	109 77 9 11 72	127 148 24 12 57	45 55 5 4 13	3 8 0 0 3	4 2 0 1 0	288 290 38 28 145	7 10 0 1 3	02 03 00 04 02	I R S A C
I am well compensated for my contributions to the institution.	20 25 1 2 9	42 100 8 7 35	70 85 12 4 31	65 53 11 11 39	90 28 9 4 32	287 291 41 28 146	155 81 20 15 71	54 28 49 54 49	I R S A C
I am treated as a full faculty colleague by all members of my department.	32 23 5 2 26	62 65 14 7 33	66 85 9 7 24	52 64 5 3 32	74 44 6 6 26	286 281 39 25 141	126 108 11 9 58	44 38 28 36 41	I R S A C
I have confidence in being reappointed in my department.	70 51 7 9 43	121 119 24 10 55	55 68 2 4 31	25 21 4 1 6	13 12 2 1 7	284 271 39 25 142	38 33 6 2 13	13 12 15 08 09	I R S A C

**Table 19 - Likert Responses Split by College**

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	N/A	Sum - All	Sum - Disagree	% Dis- satisfied
My department/unit has created an environment that allows the university to benefit fully from the knowledge and skills I can offer.	AGNR	9	27	11	14	3	1	64	17	27
	ARCH	2	4	0	0	1	0	7	1	14
	ARHU	14	32	16	12	12	3	86	24	28
	BMGT	4	4	2	1	0	1	11	1	9
	BSOS	11	31	16	14	1	4	73	15	21
	CMNS	26	80	45	21	6	8	178	27	15
	EDUC	0	1	1	2	1	0	5	3	60
	ENGR	11	22	9	7	0	5	49	7	14
	INFO	3	5	1	0	0	0	9	0	0
	JOUR	2	7	6	1	1	0	17	2	12
	PUAF	1	1	2	3	1	0	8	4	50
	SPHL	8	7	3	1	1	1	20	2	10
My job responsibilities are accurately documented in my contract or appointment letter.	AGNR	6	40	11	6	1	1	64	7	11
	ARCH	2	4	1	0	0	0	7	0	0
	ARHU	17	44	8	13	5	2	87	18	21
	BMGT	2	5	3	1	1	0	12	2	17
	BSOS	8	33	17	10	5	4	73	15	21
	CMNS	28	81	32	25	9	11	175	34	19
	EDUC	1	2	0	1	0	1	4	1	25
	ENGR	8	20	11	8	0	7	47	8	17
	INFO	1	6	2	0	0	0	9	0	0
	JOUR	3	6	2	6	0	0	17	6	35
	PUAF	1	4	1	2	0	0	8	2	25
	SPHL	8	8	2	2	1	0	21	3	14
My contributions are acknowledged and openly appreciated within my department/unit.	AGNR	10	28	15	7	5	0	65	12	18
	ARCH	3	3	0	0	1	0	7	1	14
	ARHU	17	24	27	12	5	4	85	17	20
	BMGT	3	7	1	1	0	0	12	1	8
	BSOS	14	23	19	12	4	5	72	16	22
	CMNS	29	60	62	20	5	10	176	25	14
	EDUC	1	2	0	2	0	0	5	2	40
	ENGR	6	21	14	5	2	6	48	7	15
	INFO	3	3	2	1	0	0	9	1	11
	JOUR	0	8	6	1	2	0	17	3	18
	PUAF	1	2	3	1	1	0	8	2	25
	SPHL	.9	8	1	2	1	0	21	3	14
My department's chair / director fully supports my professional activities.	AGNR	13	32	10	6	2	2	63	8	13
	ARCH	4	1	0	0	0	2	5	0	0
	ARHU	22	28	19	10	6	4	85	16	19
	BMGT	6	5	1	0	0	0	12	0	0
	BSOS	21	22	19	7	0	8	69	7	10
	CMNS	44	70	44	6	3	19	167	9	5
	EDUC	1	1	2	0	0	1	4	0	0
	ENGR	8	14	14	3	3	12	42	6	14
	INFO	3	2	4	0	0	0	9	0	0
	JOUR	2	5	4	2	1	3	14	3	21
	PUAF	1	1	2	1	3	0	8	4	50
	SPHL	11	6	0	1	2	1	20	3	15

## Likert Responses Split by College

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	N/A	Sum - All	Sum - Disagrees	% Dis- satisfied
Pursuing professional development opportunities enhances my position or status in my department/unit.	AGNR	11	19	22	8	4	1	64	12	19
	ARCH	1	2	1	0	0	3	4	0	0
	ARHU	10	10	29	21	17	2	87	38	44
	BMGT	4	3	4	0	0	1	11	0	0
	BSOS	12	14	20	18	3	10	67	21	31
	CMNS	16	49	62	29	6	24	162	35	22
	EDUC	0	0	2	1	1	1	4	2	50
	ENGR	5	8	13	10	2	16	38	12	32
	INFO	3	3	3	0	0	0	9	0	0
	JOUR	1	2	5	4	0	5	12	4	33
	PUAF	0	2	2	1	1	2	6	2	33
	SPHL	8	6	4	2	1	0	21	3	14
Departmental administrators are aware of my contributions to the division and the university.	AGNR	8	27	16	7	4	3	62	11	18
	ARCH	1	2	2	0	0	2	5	0	0
	ARHU	9	16	31	17	11	5	84	28	33
	BMGT	4	3	3	2	0	0	12	2	17
	BSOS	8	22	21	11	2	13	64	13	20
	CMNS	14	58	64	25	3	22	164	28	17
	EDUC	0	1	2	2	0	0	5	2	40
	ENGR	2	19	14	7	1	11	43	8	19
	INFO	2	4	2	1	0	0	9	1	11
	JOUR	0	5	6	2	1	3	14	3	21
	PUAF	1	2	1	3	0	1	7	3	43
	SPHL	9	7	1	1	2	1	20	3	15
I have a clear understanding of the criteria that are used to determine promotions in my department/unit.	AGNR	2	7	19	14	14	9	56	28	50
	ARCH	1	0	1	2	1	2	5	3	60
	ARHU	3	8	17	32	16	13	76	48	63
	BMGT	3	0	2	5	1	1	11	6	55
	BSOS	5	6	14	20	21	11	66	41	62
	CMNS	7	33	36	56	27	27	159	83	52
	EDUC	0	0	1	2	1	1	4	3	75
	ENGR	0	6	9	16	7	16	38	23	61
	INFO	1	1	2	4	0	1	8	4	50
	JOUR	0	1	4	7	2	3	14	9	64
	PUAF	0	0	2	0	4	2	6	4	67
	SPHL	4	1	7	6	1	2	19	7	37
The FAR is a useful tool for reporting the full range of my contributions to the institution.	AGNR	1	7	24	8	4	21	44	12	27
	ARCH	0	0	3	0	0	4	3	0	0
	ARHU	1	4	18	12	10	44	45	22	49
	BMGT	0	1	2	3	2	4	8	5	63
	BSOS	1	13	14	11	9	29	48	20	42
	CMNS	4	35	55	27	18	47	139	45	32
	EDUC	0	0	1	0	1	3	2	1	50
	ENGR	0	8	14	6	2	24	30	8	27
	INFO	2	0	2	0	0	5	4	0	0
	JOUR	0	0	3	4	1	9	8	5	63
	PUAF	0	0	4	0	1	3	5	1	20
	SPHL	0	3	3	5	3	7	14	8	57

## Likert Responses Split by College

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	N/A	Sum - All	Sum - Disagrees	% Dis- satisfied
My research and resulting publications are included in my performance evaluations.	AGNR	4	16	9	5	1	30	35	6	17
	ARCH	1	0	0	0	0	6	1	0	0
	ARHU	2	8	13	13	14	39	50	27	54
	BMGT	0	1	0	4	1	6	6	5	83
	BSOS	15	14	8	6	4	30	47	10	21
	CMNS	21	52	24	7	5	77	109	12	11
	EDUC	0	0	0	2	0	3	2	2	100
	ENGR	4	10	8	2	1	29	25	3	12
	INFO	0	1	4	0	0	4	5	0	0
	JOUR	0	0	4	1	0	12	5	1	20
	PUAF	0	1	2	1	1	3	5	2	40
Were merit raises to be in the budget, I would have a clear understanding of the criteria that would be used to determine merit raises in my department/unit.	SPHL	1	4	2	0	0	14	7	0	0
	AGNR	3	9	15	17	13	8	57	30	53
	ARCH	0	0	1	1	0	5	2	1	50
	ARHU	2	15	13	26	14	19	70	40	57
	BMGT	2	1	2	4	0	3	9	4	44
	BSOS	2	8	17	18	12	20	57	30	53
	CMNS	6	29	45	47	27	32	154	74	48
	EDUC	0	1	1	1	1	1	4	2	50
	ENGR	3	11	7	13	8	12	42	21	50
	INFO	1	0	3	2	1	2	7	3	43
	JOUR	0	1	4	7	2	3	14	9	64
When my supervisor substantially increases one facet of my responsibilities, I am either compensated accordingly or another facet of my workload is reduced accordingly.	PUAF	0	1	1	2	2	2	6	4	67
	SPHL	2	3	2	6	1	7	14	7	50
	AGNR	1	11	19	13	14	7	58	27	47
	ARCH	0	2	1	1	1	2	5	2	40
	ARHU	3	5	16	11	11	43	46	22	48
	BMGT	1	4	4	1	0	2	10	1	10
	BSOS	3	15	16	7	12	24	53	19	36
	CMNS	7	41	34	33	16	55	131	49	37
	EDUC	0	0	1	1	1	2	3	2	67
	ENGR	2	4	10	10	6	22	32	16	50
	INFO	1	0	4	0	0	4	5	0	0
When changes to the programs or projects I work on become necessary, I am included in the development of the new way of doing the work that I do.	JOUR	0	0	2	5	3	7	10	8	80
	PUAF	0	1	0	2	2	3	5	4	80
	SPHL	5	5	0	4	4	3	18	8	44
	AGNR	12	27	11	7	3	5	60	10	17
	ARCH	1	2	1	0	1	2	5	1	20
	ARHU	3	17	18	16	10	25	64	26	41
	BMGT	2	6	2	1	0	1	11	1	9
	BSOS	12	31	8	4	2	20	57	6	11
	CMNS	29	73	28	7	3	46	140	10	7
	EDUC	0	2	0	0	0	3	2	0	0
	ENGR	7	10	9	2	3	23	31	5	16
	INFO	1	4	2	1	0	1	8	1	13
	JOUR	0	7	4	1	1	4	13	2	15
	PUAF	1	2	2	1	0	2	6	1	17
	SPHL	10	7	2	1	0	1	20	1	5

## Likert Responses Split by College

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	N/A	Sum - All	Sum - Disagrees	% Dis- satisfied
Working on an evening or weekend is assumed to be part of my "at least 40 hours/week" work week, so there is no acknowledgement that adding evening and weekend assignments to my responsibilities might create hardship in my personal life.	AGNR	14	21	15	7	4	4	61	35	57
	ARCH	0	2	2	0	0	3	4	2	50
	ARHU	16	28	15	5	1	24	65	44	68
	BMGT	6	4	1	0	0	1	11	10	91
	BSOS	9	21	11	7	11	18	59	30	51
	CMNS	27	62	35	18	12	32	154	89	58
	EDUC	0	3	0	0	1	1	4	3	75
	ENGR	6	14	6	1	4	23	31	20	65
	INFO	1	2	3	1	0	2	7	3	43
	JOUR	0	2	2	3	0	10	7	2	29
	PUAF	1	3	1	0	0	3	5	4	80
I am certain that I would receive the same respect and consideration as tenure track faculty in response to significant personal events such as the birth of a child or death of a family member.	SPHL	7	2	2	3	1	6	15	9	60
	AGNR	16	20	12	8	6	3	62	14	23
	ARCH	3	1	2	1	0	0	7	1	14
	ARHU	14	17	17	16	17	8	81	33	41
	BMGT	3	3	1	4	0	1	11	4	36
	BSOS	12	27	10	11	5	12	65	16	25
	CMNS	34	62	39	15	17	19	167	32	19
	EDUC	0	1	2	0	2	0	5	2	40
	ENGR	6	11	15	4	7	11	43	11	26
	INFO	2	3	1	2	0	1	8	2	25
	JOUR	0	4	5	2	2	4	13	4	31
I am routinely included in communications about departmental events and initiatives.	PUAF	1	1	2	1	2	1	7	3	43
	SPHL	9	4	1	4	1	2	19	5	26
	AGNR	20	30	5	5	2	3	62	7	11
	ARCH	3	2	1	1	0	0	7	1	14
	ARHU	27	43	7	5	4	3	86	9	10
	BMGT	4	5	2	0	0	1	11	0	0
	BSOS	26	34	7	3	0	7	70	3	4
	CMNS	49	87	24	11	6	9	177	17	10
	EDUC	0	4	1	0	0	0	5	0	0
	ENGR	12	20	11	2	2	7	47	4	9
	INFO	4	2	0	3	0	0	9	3	33
I have equal access to faculty grants that will benefit my research and/or teaching.	JOUR	5	7	0	4	0	1	16	4	25
	PUAF	2	3	1	1	1	0	8	2	25
	SPHL	14	4	0	1	0	2	19	1	5
	AGNR	10	15	11	8	8	13	52	16	31
	ARCH	0	1	2	1	0	3	4	1	25
	ARHU	3	6	20	23	18	19	70	41	59
	BMGT	1	2	3	1	3	2	10	4	40
	BSOS	8	12	14	4	9	30	47	13	28
	CMNS	10	30	43	30	21	52	134	51	38
	EDUC	0	2	1	1	1	0	5	2	40
	ENGR	2	4	10	8	6	24	30	14	47
	INFO	1	2	2	1	1	2	7	2	29
	JOUR	0	1	3	4	0	9	8	4	50
	PUAF	0	2	1	2	0	3	5	2	40
	SPHL	3	4	4	2	3	5	16	5	31

## Likert Responses Split by College

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	N/A	Sum - All	Sum - Disagrees	% Dis- satisfied
When developing improvements to the course(s) I teach, I have access to the same levels of funding and administrative support as tenure track faculty.	AGNR	4	7	17	7	5	25	40	12	30
	ARCH	1	1	1	2	0	2	5	2	40
	ARHU	4	4	17	18	28	18	71	46	65
	BMGT	2	3	2	1	3	1	11	4	36
	BSOS	8	9	11	7	6	36	41	13	32
	CMNS	9	18	13	16	8	122	64	24	38
	EDUC	0	1	1	1	1	1	4	2	50
	ENGR	1	2	8	4	2	37	17	6	35
	INFO	2	2	0	2	0	3	6	2	33
	JOUR	0	3	3	4	1	6	11	5	45
	PUAF	0	1	3	1	0	3	5	1	20
I have access to the technology that is the norm for doing work in my field.	SPHL	4	5	0	2	2	8	13	4	31
	AGNR	17	41	5	0	0	2	63	0	0
	ARCH	2	3	2	0	0	0	7	0	0
	ARHU	23	39	12	6	3	6	83	9	11
	BMGT	3	7	1	0	0	1	11	0	0
	BSOS	24	36	8	3	0	6	71	3	4
	CMNS	59	83	19	7	4	14	172	11	6
	EDUC	1	4	0	0	0	0	5	0	0
	ENGR	13	23	9	1	0	8	46	1	2
	INFO	3	4	1	0	0	1	8	0	0
	JOUR	4	7	0	5	0	1	16	5	31
I have access to training for the technology that is the norm for doing work in my field.	PUAF	2	5	1	0	0	0	8	0	0
	SPHL	8	10	1	0	1	1	20	1	5
	AGNR	12	37	10	3	0	3	62	3	5
	ARCH	1	2	3	0	0	1	6	0	0
	ARHU	20	34	15	10	4	6	83	14	17
	BMGT	4	4	2	1	0	1	11	1	9
	BSOS	13	30	15	6	2	11	66	8	12
	CMNS	36	64	44	8	4	30	156	12	8
	EDUC	2	3	0	0	0	0	5	0	0
	ENGR	9	14	16	2	0	13	41	2	5
	INFO	3	2	3	0	0	1	8	0	0
I am satisfied with my physical office space.	JOUR	1	10	1	3	0	2	15	3	20
	PUAF	2	5	0	1	0	0	8	1	13
	SPHL	8	10	1	0	1	1	20	1	5
	AGNR	19	31	3	6	5	1	64	11	17
	ARCH	2	1	1	1	1	1	6	2	33
	ARHU	24	34	13	8	3	7	82	11	13
	BMGT	4	5	3	0	0	0	12	0	0
	BSOS	18	27	13	7	8	4	73	15	21
	CMNS	49	67	30	14	12	14	172	26	15
	EDUC	1	0	2	1	1	0	5	2	40
	ENGR	6	16	12	6	4	10	44	10	23
	INFO	2	4	0	1	0	2	7	1	14
	JOUR	3	6	3	3	0	2	15	3	20
	PUAF	1	4	0	1	1	1	7	2	29
	SPHL	9	8	1	0	1	2	19	1	5

## Likert Responses Split by College

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	N/A	Sum - All	Sum - Disagrees	% Dis- satisfied
For the courses I teach, I am listed as instructor of record and have an appropriate level of autonomy in terms of course design and implementation.	AGNR	12	8	6	2	0	37	28	2	7
	ARCH	4	1	0	0	0	2	5	0	0
	ARHU	33	39	8	1	1	7	82	2	2
	BMGT	8	4	0	0	0	0	12	0	0
	BSOS	23	17	4	1	0	32	45	1	2
	CMNS	28	24	5	2	2	125	61	4	7
	EDUC	3	1	0	0	0	1	4	0	0
	ENGR	11	6	2	0	1	34	20	1	5
	INFO	6	2	0	0	0	1	8	0	0
	JOUR	4	9	1	2	0	1	16	2	13
	PUAF	4	1	2	0	0	1	7	0	0
	SPHL	11	3	0	0	0	7	14	0	0
I am confident that my program or department will support my decisions regarding students.	AGNR	11	11	7	2	0	34	31	2	6
	ARCH	4	2	1	0	0	0	7	0	0
	ARHU	29	42	8	5	1	4	85	6	7
	BMGT	8	3	1	0	0	0	12	0	0
	BSOS	19	25	7	1	0	25	52	1	2
	CMNS	24	44	14	3	0	101	85	3	4
	EDUC	2	2	0	0	1	0	5	1	20
	ENGR	7	9	5	2	1	30	24	3	13
	INFO	6	3	0	0	0	0	9	0	0
	JOUR	5	9	1	2	0	0	17	2	12
	PUAF	4	2	1	0	0	1	7	0	0
	SPHL	10	5	0	0	0	6	15	0	0
Adequate advance notice is given when enrollment for my classes increases.	AGNR	7	7	5	0	0	46	19	0	0
	ARCH	1	1	1	1	0	3	4	1	25
	ARHU	9	32	11	11	4	22	67	15	22
	BMGT	3	6	3	0	0	0	12	0	0
	BSOS	12	7	6	5	1	46	31	6	19
	CMNS	12	22	10	8	2	132	54	10	19
	EDUC	1	3	0	0	0	1	4	0	0
	ENGR	1	7	8	2	0	36	18	2	11
	INFO	3	0	2	0	0	4	5	0	0
	JOUR	3	7	2	1	2	2	15	3	20
	PUAF	2	1	2	0	1	2	6	1	17
	SPHL	6	6	1	0	1	7	14	1	7
If I were to encounter a problematic student or co-worker, I know who in my department would help me resolve the issue.	AGNR	13	25	9	7	7	4	61	14	23
	ARCH	6	1	0	0	0	0	7	0	0
	ARHU	29	46	8	3	1	2	87	4	5
	BMGT	6	5	0	0	1	0	12	1	8
	BSOS	23	24	10	9	1	10	67	10	15
	CMNS	36	69	21	23	4	33	153	27	18
	EDUC	3	1	0	1	0	0	5	1	20
	ENGR	7	18	9	3	1	16	38	4	11
	INFO	4	3	1	1	0	0	9	1	11
	JOUR	2	10	1	4	0	0	17	4	24
	PUAF	3	2	3	0	0	0	8	0	0
	SPHL	10	5	3	0	1	2	19	1	5

## Likert Responses Split by College

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	N/A	Sum - All	Sum - Disagrees	% Dis- satisfied
If I were to encounter a problem with the space in which I work or the equipment I use, I know who in my department would help me resolve the issue.	AGNR	15	31	7	5	3	4	61	8	13
	ARCH	4	2	0	1	0	0	7	1	14
	ARHU	24	47	3	8	4	3	86	12	14
	BMGT	4	5	0	3	0	0	12	3	25
	BSOS	17	39	8	3	2	8	69	5	7
	CMNS	41	90	24	9	1	21	165	10	6
	EDUC	1	1	2	0	0	1	4	0	0
	ENGR	7	22	3	6	1	15	39	7	18
	INFO	4	3	1	1	0	0	9	1	11
	JOUR	4	10	0	2	1	0	17	3	18
	PUAF	3	4	1	0	0	0	8	0	0
	SPHL	10	7	0	1	1	2	19	2	11
My work adds greatly to the mission of the University.	AGNR	20	33	10	1	0	1	64	1	2
	ARCH	3	3	0	0	0	1	6	0	0
	ARHU	35	33	13	1	2	5	84	3	4
	BMGT	9	2	0	1	0	0	12	1	8
	BSOS	22	35	13	2	0	5	72	2	3
	CMNS	55	84	32	2	2	11	175	4	2
	EDUC	2	3	0	0	0	0	5	0	0
	ENGR	15	24	6	2	0	7	47	2	4
	INFO	2	5	1	1	0	0	9	1	11
	JOUR	7	10	0	0	0	0	17	0	0
	PUAF	3	5	0	0	0	0	8	0	0
	SPHL	9	9	2	0	0	1	20	0	0
I am well compensated for my contributions to the institution.	AGNR	2	11	21	14	16	1	64	30	47
	ARCH	2	1	2	1	1	0	7	2	29
	ARHU	4	7	16	18	39	5	84	57	68
	BMGT	3	5	1	1	2	0	12	3	25
	BSOS	2	21	14	13	20	7	70	33	47
	CMNS	17	60	50	29	19	11	175	48	27
	EDUC	0	0	1	1	3	0	5	4	80
	ENGR	3	14	14	13	4	6	48	17	35
	INFO	2	1	4	2	0	0	9	2	22
	JOUR	0	2	4	7	4	0	17	11	65
	PUAF	1	3	2	1	1	0	8	2	25
	SPHL	4	5	3	7	1	1	20	8	40
I am treated as a full faculty colleague by all members of my department.	AGNR	9	17	21	5	10	3	62	15	24
	ARCH	1	0	4	0	2	0	7	2	29
	ARHU	9	16	17	16	25	6	83	41	49
	BMGT	3	4	1	3	1	0	12	4	33
	BSOS	6	18	17	21	10	5	72	31	43
	CMNS	12	43	49	36	30	16	170	66	39
	EDUC	0	0	0	2	3	0	5	5	100
	ENGR	3	8	15	10	10	8	46	20	43
	INFO	3	2	2	1	0	1	8	1	13
	JOUR	2	4	4	3	3	1	16	6	38
	PUAF	1	1	1	2	3	0	8	5	63
	SPHL	5	7	2	2	2	3	18	4	22

**Likert Responses Split by College**

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	N/A	Sum - All	Sum - Disagrees	% Dis- satisfied
I have confidence in being reappointed in my department.	AGNR	15	31	12	3	2	2	63	5	8
	ARCH	3	1	3	0	0	0	7	0	0
	ARHU	17	33	22	8	4	5	84	12	14
	BMGT	5	5	0	2	0	0	12	2	17
	BSOS	13	34	16	7	1	6	71	8	11
	CMNS	34	74	31	10	10	27	159	20	13
	EDUC	0	1	1	3	0	0	5	3	60
	ENGR	16	16	7	4	1	10	44	5	11
	INFO	3	5	1	0	0	0	9	0	0
	JOUR	4	8	3	1	1	0	17	2	12
	PUAF	1	5	0	1	1	0	8	2	25
	SPHL	7	6	4	2	0	2	19	2	11

## **Appendix 11 – Administrator Survey Methods and Findings**

### **Administrator Survey - Methods**

The need for a survey of administrators became clear when the Task Force discovered that certain types of information about NTT faculty appointments are not consistently or accurately recorded in campus databases. For example, the PHR system does not directly record the term of an NTT faculty contract, nor is there a certain match between what a given faculty member does and what the appointment record indicates.

In addition, through personal experience, Task Force members were aware of challenges that program coordinators and business managers face when trying to manage NTT faculty appointments; thus, a survey of administrators was designed to provide a formal record of the range of problems related to the processes for engaging NTT faculty on campus.

The first version of the administrator survey was drafted in parallel with the faculty survey, i.e. topics in the faculty survey, when applicable, were recast to be appropriate for administrators (see Appendix 11.1). The first draft was presented to the Budget Coordinators group in the College of Behavioral and Social Sciences, as well as program directors and assistant deans in various departments and colleges. Based on the feedback, the draft was revised significantly and adapted to a web-based format; see [http://faculty.umd.edu/ntt/nttprofile\\_rpt.html](http://faculty.umd.edu/ntt/nttprofile_rpt.html).

Prior to the release of the survey, a representative from the Task Force contacted the Assistant Dean for Administrative Affairs in each college, as well as Undergraduate Studies, in order to introduce the project, explain the survey design, and obtain the names of administrators who would be given access to the survey. The survey was made available on July 5, 2012, with a target completion date of Wednesday, August 29, 2012.

### Length of Contracts

For instructional faculty, 18 units wrote semester contracts for 100% of their instructional appointments, and another 17 units wrote semester contracts for at least half of their instructional appointments. In contrast, for research appointments, only 5 units wrote semester contracts for more than half of their research appointments.

For year-long appointments, only 17 units wrote year-long appointments for at least half of their instructional appointments, while 33 units wrote year-long contracts for at least half of their research appointments.

For multi-year contracts, 4 units wrote multi-year contracts for at least half of their instructional appointments, while 10 units wrote multi-year contracts for at least half of their research appointments.

Given that there are roughly 1,000 Instructional NTT faculty at UMCP, writing contracts every semester for high percentages of instructional faculty creates a heavy load on administrators and creates additional opportunities for mistakes to generate frustration for instructional faculty in particular.

#### Inconsistent use of titles

The survey shows that administrators use various titles for faculty that do the same job, and that the same title is used for faculty that do different types of work.

**Table 20 - # of Appointments Using Each Title for Different Types of Appointments**

Title	# of Appointments Using Each Title for Different Types of Appointments			
	Instructional	Research	Administrative	Combination
Lecturer, Senior Lecturer, Instructor	617		12	10
Faculty Research Assistant	12	407	13	7
Research Associate	16	492	3	9
Research Professor, Scientist, Scholar, Engineer	22	279	4	10
Visiting Professor (Assist. Assoc. full)	30			
Professor of Practice	8		3	2
Adjunct Professor (Assist., Assoc., full)	52	79		
Other	75	32	8	5

Additionally, given that survey respondents were asked to use the Combination classification for appointments that were not strictly one of the other three categories, it is striking that so many strictly instructional appointments use titles other than Lecturer, Senior Lecturer or Instructor.

To investigate this issue further, ARS records for all faculty appointments containing the word "Research" in the title were analyzed for percent of effort given to different types of work. Of the 129 faculty with "Research" in their title and with Research duties below 100%, only 32 had Research duties above 50%. Of the 97 with Research duties at or below 50%, 60 had Research duties at 0%:

- 11 were 100% Advising
- 1 was 90% Advising and 10% Admin
- 23 were 100% Admin
- 15 were 100% Other
- 10 had variously distributed responsibilities

In sum, the system of titles used for NTT faculty appointments seems not to capture what NTT faculty are hired to do. The result is that it is difficult to establish how many instructional faculty versus research faculty versus administrative faculty the campus actually has. Additionally, such mismatches create problems when evaluating performance, especially in consideration of possible promotions: by what criteria would an Assistant Research Professor be promoted if his/her duties are 100% Other?

#### Difficulties Making NTT faculty Appointments

In addition to gathering quantitative data, the administrator survey asked respondents for descriptions of any problems they encounter when trying to make and manage NTT faculty appointments, the logic being that the institution can better engage NTT faculty if the systems for employing them do not present confounds during the appointment and re-appointment process.

With respect to the difficulties related to our system of NTT faculty titles, some noteworthy comments from administrators were:

- All of our faculty have the title of Lecturer regardless of credentials, appointment, or length of time with the university.
- We always have to give them instructional duties, but the majority of their work may be administrative.
- The title "Lecturer & Director" is listed as a title on the pooled position numbers. However, the University does not allow us to use that title.
- The assistant director has an M.S., but not a PhD, hence is classified as an FRA, while not actually performing research.

- University requirements for titles do not necessarily reflect the instructor's qualifications and knowledge. Limited options available.
- The post doc title is not available which is confusing for faculty who wish to hire them and for the prospective candidates looking for that position and used to seeing it in other institutions. It has hampered our ability to attract quality candidates.
- Need a title for employees who have a Master's degree, but not a Ph.D. Current titles require either a Bachelor's as a minimum or Ph.D. as a minimum.

With respect to making and managing academic appointments in a manner that allows the institution to engage fully our NTT faculty, some noteworthy administrator comments were:

- Difficulty in providing additional funding for duties outside of teaching... e.g. first time course prep, etc.
- In an effort to avoid lecturers from losing access to email, we enter affiliate appointments in the system that are overridden by paid appointments. PHR and ARS are incompatible.
- It is very difficult to pay people what they are worth. We want to pay \$5,000/course, which we can do for new appointees. But if someone is in the system whose salary is lower, we cannot increase it.
- One area of confusion is whether NTT faculty who are engaged in both research and teaching should have separate appointments or a combined appointment. I haven't seen a consistent answer to this question.
- We allow a database to dictate policy.
- An initial appointment set in another unit for a small percent time/salary part time appointment limited the full time salary we could offer to appoint the same person to a grant funded research position. This latter salary was inappropriately low.

**Appendix 11.1 – Draft of Administrator Survey****DEPARTMENT/UNIT CHAIR OR ADMINISTRATIVE COORDINATOR SURVEY****NON TENURE-TRACK FACULTY**

1. How many non tenure-track (NTT) faculty does your department/unit currently employ?
  - a. Instructional NTT faculty \_\_\_\_\_
  - b. Research NTT faculty \_\_\_\_\_
  - c. Combined instructional/research faculty \_\_\_\_\_
  - d. Other (please specify) \_\_\_\_\_
  
2. Does your department/unit issue contracts to NTT faculty? yes/no  
 If you answered yes, please respond to questions # 3-5 below. If you answered no, please skip to question #6.
  
3. What is the average length of your department/unit's NTT faculty appointments ? (e.g., one semester, one year, multi-year)
  - a. Instructional NTT appointments \_\_\_\_\_
  - b. Research appointments \_\_\_\_\_
  - c. Combined NTT appointments \_\_\_\_\_
  
4. What is the timeline by which NTT faculty in your department/unit must receive appointment/re-appointment notification? (e.g., 30 days in advance, one semester in advance, etc)
  
5. What is the lowest per course salary your department pays instructional NTT faculty?  
 \_\_\_\_\_
  
6. Setting aside special cases (e.g. a spousal hire to recruit or retain a tenured professor), what is the maximum per course salary your department pays instructional NTT faculty? \_\_\_\_\_
  
7. What are the factors that determine a given NTT faculty's salary for a specific course (check all that apply):

- \_\_\_\_\_ the course being taught (e.g. upper vs. lower level)
- \_\_\_\_\_ credentials of faculty member (e.g. Master's vs. PhD)
- \_\_\_\_\_ merit (e.g. strong performance evaluations)
- \_\_\_\_\_ length of service to University
- \_\_\_\_\_ other (please explain):

8. Does your department/unit equate a 3-credit course with 25% FTE? yes/no
  - a. If not, what % FTE is associated with a 3-credit course? \_\_\_\_\_
  - b. If your department/unit offers courses for more or less than the usual 3-credits, how are they equated to % FTE?
  
9. Are NTT faculty appointments in your department/unit well-served by the university's existing classifications? yes/no
  - a. If not, please describe any additional/alternative set of titles your department/unit has developed or plans to propose in the near future.
  
10. Do your department/unit's appointments for NTT faculty specify workload and/or scope of responsibilities? (e.g., # of courses, # of students to be advised, amount of research dollars brought in, amount of expected service, etc)
 

yes/no
  
11. Do the University's ARS/PHR systems accurately reflect your department/unit's use of NTT titles and workloads? yes/no
  
12. When making, modifying, or updating NTT appointments in ARS/PHR, have you encountered problems that arose because of the "salary freeze", even though those employees were not being given a raise? yes/no
  - a. If you answered "yes" to the question above, how did you resolve the problem?
  
13. If your department/unit encounters questions/problems with NTT faculty appointments, who do you contact for guidance or assistance?

14. Do your department/unit's NTT faculty appointments include a performance review/evaluation component?   yes/no
  - a. If yes, who performs these evaluations?
15. Is merit pay included as a part of the larger review/evaluation process?
16. Are NTT faculty members in your department/unit eligible for promotion?   yes/no
  - a. If yes, what is the typical time in rank before an NTT faculty member is eligible for promotion?
17. Has your department/unit developed written policies/procedures regarding NTT faculty appointments/promotions?                   yes/no
  - a. If so, where are these located?
18. Does your department/unit have a mechanism for recognizing outstanding contributions from NTT faculty?   yes/no
  - a. If yes, please describe this mechanism.
19. Does your department/unit have expectations for NTT faculty regarding research or professional development?   yes/no
  - a. If so, what type of support does your department/unit provide to facilitate the NTT faculty's ability to engage in these pursuits?
20. Describe how your NTT faculty members participate in the operation and governance of your department/unit. (e.g., department/unit committees, attendance at faculty meetings, voting privileges, etc). Is this information spelled out in your department/unit's plan of organization?

## Appendix 12 – Faculty Affairs White Paper on Faculty Titles

### Rationalizing Faculty Roles, Titles and Processes at the University of Maryland

UM has approximately 2,800 Non-Tenure Track (NTT) faculty, as compared to some 1,500 Tenure Track (T/TT) faculty. Policies, procedures, and oversight for how the institution employs NTT faculty are in need of revamping. Known problems include:

- Some "Research Associates" and "Research Professors" are strictly instructional appointments – i.e. some faculty with those titles do no research;
- There are "Lecturers" who spend no time in the classroom because they direct academic programs or manage large-scale courses (e.g. 500 seat lab classes).
- Some units have overused the "Professor of the Practice" title because the appointees were uncomfortable with the title "Lecturer";
- Associate Deans for Faculty Affairs report that, within some colleges, there is little to no consistency in the evaluation and promotion of research faculty.

These problems are manifestations of a deeper issue: the lack of a coherent framework for incorporating the contributions of NTT faculty into formal institutional structures. To address these matters, NTT faculty should be situated within the conceptual framework of the tenure system. The three core dimensions of that system — *teaching, research, and service* — are widely assumed, understood and tested. Combinations of those parameters give rise to a coherent system of faculty roles, as detailed in the following page.

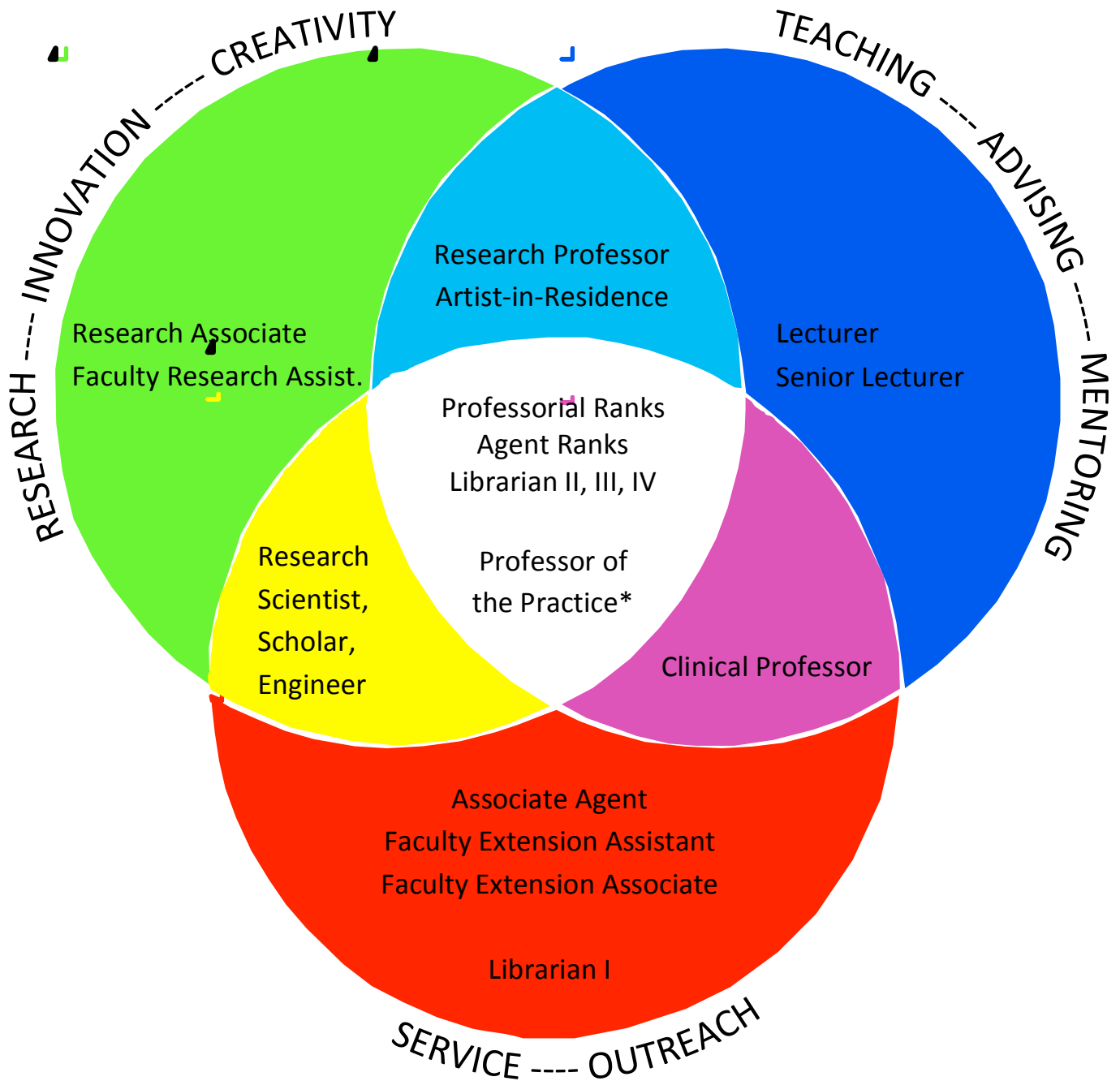
The model, which we would like to suggest for the campus, is built on five premises:

1. Only the APT dimensions define faculty roles and titles.
2. Permanent Status or Tenure involves all three dimensions.<sup>6</sup>
3. Professorships (or their equivalent) involve at least two dimensions.
4. Faculty titles correspond to a majority of activity (FTE) in a given dimension.
5. Titles that do not fit this classification require special permission by the Provost.

The following diagram represents the resulting system of faculty roles and titles. The model arguably provides a "space" for every faculty title at UM. (The title "Instructor" does not appear in the diagram as it is no longer available for new appointments.)

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<sup>6</sup> The relative weight of the three APT dimensions varies, but all three dimensions are necessary.



\*The exceptional case of "Professor of the Practice" is addressed in Appendix 1.

In the primary layer domains, faculty so titled are expected to excel *in one academic area*. In contrast, in the dual layer domains, faculty are expected to excel *in two areas*:

	Dimensions	Titles
	Research	- Research Associate, Faculty Research Assistant
<b>Primary Layer Domains</b>	Teaching	- Lecturer, Senior Lecturer
	Service	- Associate Agent, Faculty Extension Assistant, Faculty Extension Associate; Librarian I, II
	Research + Teaching	- Research Professor, Artist-in-Residence
<b>Dual Layer Domains</b>	Teaching + Service	- Clinical Professor
	Service + Research	- Research Scientist, Scholar, Engineer

Finally, the intersection of all three dimensions of academic activity is the core of the APT system: when faculty excel *in all three dimensions* they are granted tenure or permanent status.

**Comments:** The model should not be taken as providing categorical definitions of faculty responsibilities. A Clinical Professor may engage in research, or a Research Professor in outreach. Rather, the model provides *a basis for developing a systematic way for evaluating appointments, expectations, and performance of all faculty, tenure- and non-tenure track alike*. It must be understood, also, that responsibilities change in time, so flexibility is to be expected. In general categorization along these lines should be for periods of at least one academic year. Based on the range of faculty activities, *we need one additional title in the Service/Outreach domain: **Faculty Administrator***. Performing as department chair or program director is taken as Service for the purposes of the APT review process. As such, the titling system needs to capture NTT faculty appointments with the primary responsibility of administering academic programs or facets of an academic program. This title will need to be proposed to the USM by our Senate. More generally, the model provides a systematic way to define responsibilities and expectations for all faculty positions using a single set of notions. In those terms, unit procedures for the appointment, evaluation, and promotion of Non-Tenure Track faculty can be specified using the same tenets used to evaluate Tenure Track appointments. Finally, the model allows for a systematization of the appointment and promotion of faculty. Just as promotion in APT ranks goes through three levels of review (unit, college, and provost), ***appointments and promotions in the dual layer domains can be understood to require two levels of review***. Primary layer appointments would be handled solely at the department level.

[WHITE PAPER] APPENDIX 1: Titles that require special attention

The following four closely related non-tenure titles need to be kept separate from those that are subject to the full APT review process (see Appendix 2 for policy definitions).

**1. Clinical Professor Series**

**2. Professor of the Practice**

**3. College Park Professor**

**4. University of Maryland Professor**

- A. The Clinical Professor titles are decided at the college level. In contrast the other three titles are decided at the university level: the Professor of the Practice title is decided by the Associate Provosts, while the title of College Park Professor and University of Maryland Professor are decided by all the levels of the APT process.
- B. The expectation for the clinical titles is a professional service to the university in the relevant area (clinical in the broad sense). The second domain of excellence will typically be teaching/mentoring, but research, creativity is not categorically ruled out.
- C. The title of Professor of the Practice has a general expectation of (i) remarkable stature within a field and, in the general instance, (ii) the three dimensions relevant to the APT process, broadly construed (that is, creativity/research could be in an area that is not specified within a tenure home; teaching/mentoring could be implemented in many different ways: master classes, seminars, outreach, etc.).
- D. The title of College Park Professor is reserved for professors/scholars/artists at other institutions who would be our professors if they were regularly hired (hence the APT process). The intention is to have individuals of this caliber participate in the academic life of this institution, which entails that in their case the three dimensions of the APT process need to not just be present, but also be stellar. Annual appointment renewal is based on recommendations by the Chair and Dean to the Provost in the form of evaluative communications, forwarded through the Office of Faculty Affairs.
- E. The Title of University of Maryland Professor is reserved for faculty participating in the MPowering initiative (between the two USM campuses that bear the name University of Maryland: Baltimore and College Park). This complex and specific form of appointment needs to go through the APT process in College Park and is reciprocal: faculty at the appropriate rank in Baltimore can be appointed University of Maryland professor at College Park, and vice-versa. The appointment is normally for three years, annually renewable based on recommendations by the Chair and Dean to the Provost in the form of brief evaluative communications, forwarded through the Office of Faculty Affairs.

[WHITE PAPER] APPENDIX 2: Policy Definitions of Current Faculty Titles Arranged by Dimension  
of Academic Activity

**Primary Layer Domains – Expectation of Excellence in One Domain of the APT System:**

**1. Research**

Faculty Research Assistant

The appointee shall be capable of assisting in research under the direction of the head of a research project and shall have ability and training adequate to the carrying out of the particular techniques required, the assembling of data, and the use and care of any specialized apparatus. A baccalaureate degree shall be the minimum requirement.

Research Associate

The appointee shall be trained in research procedures, shall be capable of carrying out individual research or collaborating in group research at the advanced level, and shall have had the experience and specialized training necessary for success in such research projects as may be undertaken. An earned doctorate shall normally be a minimum requirement.

**2. Teaching**

Lecturer

The title Lecturer will ordinarily be used to designate appointments, at any salary and experience level, of persons who are serving in a teaching capacity for a limited time or part-time. This rank does not carry tenure.

Senior Lecturer

In addition to having the qualifications of a lecturer, the appointee normally shall have established over the course of six years a record of teaching excellence and service. Appointment to this rank requires the approval of the departmental faculty. The appointment is made for a term not to exceed five years and is renewable. This rank does not carry tenure.

**3. Service**

Associate Agent

The appointee shall hold at least a bachelor's degree and shall show evidence of ability to work with people. The appointee shall have an educational background related to the specific position and should demonstrate evidence of creative ability to plan and implement Cooperative Extension Service programs. This is a term appointment and may be renewed annually.

Faculty Extension Assistant

The appointee shall be capable of assisting in Extension under the direction of the head of an Extension project and have the specialized expertise, training and

ability to perform the duties required. An earned bachelor's degree and experience in the specialized field is required.

#### Faculty Extension Associate

The appointee shall be capable of carrying out individual instruction or collaborating in group discussions at the advanced level, should be trained in Extension procedures, and should have had the experience and specialized training necessary to develop and interpret data required for success in such Extension projects as may be undertaken. An earned doctorate shall be the minimum requirement.

#### Librarian I

This is an entry-level rank, assigned to librarians with little or no professional library experience. This rank does not carry permanent status.

### **Secondary Layer Domains – Expectation of Excellence in Two Domains of the APT System – Promotions in these Ranks are reviewed by both the unit and the college**

#### Research Assistant Professor; Assistant Research Scientist; Assistant Research Scholar; Assistant Research Engineer

These ranks are generally parallel to Assistant Professor. In addition to the qualifications of a Research Associate, appointees to these ranks shall have demonstrated superior research ability. Appointees should be qualified and competent to direct the work of others (such as technicians, graduate students, other senior research personnel). The doctoral degree will be a normal requirement for appointment at these ranks. Appointment to these ranks may be made for a period of up to three years.

#### Research Associate Professor; Associate Research Scientist; Associate Research Scholar; Associate Research Engineer

These ranks are generally parallel to Associate Professor. In addition to the qualifications required of the assistant ranks, appointees to these ranks should have extensive successful experience in scholarly or creative endeavors, and the ability to propose, develop, and manage major research projects. Appointment to these ranks may be made for a period of up to three years.

#### Research Professor; Senior Research Scientist; Senior Research Scholar; Senior Research Engineer

These ranks are generally parallel to Professor. In addition to the qualifications required of the associate ranks, appointees to these ranks should have demonstrated a degree of proficiency sufficient to establish an excellent reputation among regional and national colleagues. Appointees should provide tangible evidence of sound scholarly production in research, publications,

professional achievements or other distinguished and creative activity.  
Appointment to these ranks may be made for a period of up to five years.

#### Clinical Assistant Professor

The appointee shall hold, as a minimum, the terminal professional degree in the field, with training and experience in an area of specialization. There must be clear evidence of a high level of ability in clinical practice and teaching in the departmental field, and the potential for clinical and teaching excellence in a subdivision of this field. The appointee should also have demonstrated scholarly and/or administrative ability.

#### Clinical Associate Professor

In addition to the qualifications required of a Clinical Assistant Professor, the appointee should ordinarily have had extensive successful experience in clinical or professional practice in a field of specialization, or in a subdivision of the departmental field, and in working with and/or directing others (such as professionals, faculty members, graduate students, fellows, and residents or interns) in clinical activities in the field. The appointee must also have demonstrated superior teaching ability and scholarly or administrative accomplishments.

#### Clinical Professor

In addition to the qualifications required of a Clinical Associate Professor, the appointee shall have demonstrated a degree of excellence in clinical practice and teaching sufficient to establish an outstanding regional and national reputation among colleagues. The appointee shall also have demonstrated extraordinary scholarly competence and leadership in the profession.

#### Assistant Artist-in-Residence; Associate Artist-in-Residence; Senior Artist-in-Residence

These titles, parallel to Assistant Professor, Associate Professor, and Professor, respectively, are intended for those persons whose professional activities are of a creative or performance nature, including but not limited to theatre, dance, music, and art. In each case, the qualifications shall reflect demonstrated superior proficiency and excellence and progressively higher national and international reputation, as appropriate to the ranks involved. Appointment to the rank of Senior Artist-in-Residence may be made for a period of up to five years; appointment to the ranks of Assistant Artist-in-Residence and Associate Artist-in-Residence may be made for a period of up to three years.

### **Full Overlay of Academic Activity – Expectation of Excellence in all three dimensions of the APT System**

Agent (parallel to the rank of Assistant Professor)

The appointee must hold a master's degree in an appropriate discipline and show evidence of academic ability and leadership skills. The appointee shall have an educational background related to the specific position.

Senior Agent (parallel to the rank of Associate Professor)

In addition to the qualifications of an Agent, the appointee must have demonstrated achievement in program development and must have shown originality and creative ability in designing new programs, teaching effectiveness, and evidence of service to the community, institution, and profession. Appointment to this rank may carry tenure.

Principal Agent (parallel to the rank of Professor)

In addition to the qualifications of a Senior Agent, the appointee must have demonstrated leadership ability and evidence of service to the community, institution, and profession. The appointee must also have received recognition for contributions to the Cooperative Extension Service sufficient to establish a reputation among State, regional and/or national colleagues, and should have demonstrated evidence of distinguished achievement in creative program development. Appointment to this rank carries tenure.

Librarian II

Librarians at this rank have demonstrated professional development evidenced by achievement of a specialization in a subject, service, technical, administrative, or other area of value to the library. This rank does not carry permanent status.

Librarian III

Librarians at this rank have a high level of competence in performing professional duties requiring specialized knowledge or experience. They shall have served the Libraries, the campus, or the community in some significant way; have shown evidence of creative or scholarly contribution; and have been involved in mentoring and providing developmental opportunities for their colleagues. They shall have shown promise of continued productivity in librarianship, service, and scholarship or creativity. Promotion to this rank from within the Libraries confers permanent status; appointment to this rank from outside the Libraries may confer permanent status.

Librarian IV

Librarians at this rank show evidence of superior performance at the highest levels of specialized work and professional responsibility. They have shown evidence of and demonstrate promise for continued contribution in valuable

service and significant creative or scholarly contribution. Such achievement must include leadership roles and have resulted in the attainment of Libraries, campus, state, regional, national, or international recognition. This rank carries permanent status.

### Additional Faculty Ranks

#### Assistant Instructor

The appointee shall be competent to fill a specific position in an acceptable manner, but he or she is not required to meet all the requirements for an Instructor. He or she shall hold the appropriate baccalaureate degree or possess equivalent experience.

#### Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor

The appointee shall be associated with the faculty of a department or non-departmentalized school or college, but shall not be essential to the development of that unit's program. The titles do not carry tenure. The appointee may be paid or unpaid. The appointee may be employed outside the University, but shall not hold another paid appointment at the University of Maryland at College Park. The appointee shall have such expertise in his or her discipline and be so well regarded that his or her appointment will have the endorsement of the majority of the members of the professorial faculty of the academic unit. Any academic unit may recommend to the administration persons of these ranks; normally, the number of adjunct appointments shall comprise no more than a small percentage of the faculty in an academic unit. Appointments to these ranks shall not extend beyond the end of the fiscal year during which the appointment becomes effective and may be renewed.

#### Affiliate Assistant Professor, Affiliate Associate Professor, Affiliate Professor, Affiliate Visiting Appointments

The prefix Visiting before an academic title, e.g., Visiting Professor, shall be used to designate a short-term professorial appointment without tenure.

#### Emerita, Emeritus

The word emerita or emeritus after an academic title shall designate a faculty member who has retired from full-time employment in the University of Maryland at College Park after meritorious service to the University in the areas of teaching, research, or service. Emerita or emeritus status may be conferred on

Associate Professors, Professors, Distinguished University Professors, Research Associate Professors, Research Professors, Senior Agents, Principal Agents, Librarians III, and Librarians IV.

#### Distinguished University Professor

The title Distinguished University Professor will be conferred by the President upon a limited number of members of the faculty of the University of Maryland at College Park in recognition of distinguished achievement in teaching; research or creative activities; and service to the University, the profession, and the community. College Park faculty who, at the time of approval of this title, carry the title of Distinguished Professor, will be permitted to retain their present title or to change to the title of Distinguished University Professor. Designation as Distinguished University Professor shall include an annual allocation of funds to support his or her professional activities, to be expended in accordance with applicable University policies.

#### Professor of the Practice

This title may be used to appoint individuals who have demonstrated excellence in the practice as well as leadership in specific fields. The appointee shall have attained regional and national prominence and, when appropriate, international recognition of outstanding achievement. Additionally, the appointee shall have demonstrated superior teaching ability appropriate to assigned responsibilities. As a minimum, the appointee shall hold the terminal professional degree in the field or equivalent stature by virtue of experience. Appointees will hold the rank of Professor but, while having the stature, will not have rights that are limited to tenured faculty. Initial appointment is for periods up to five years, and reappointment is possible. This title does not carry tenure, nor does time served as a Professor of the Practice count toward achieving tenure in another title.

#### College Park Professor

This title may be used for nationally distinguished scholars, creative or performing artists, or researchers who would qualify for appointment at the University of Maryland at College Park at the level of professor but who normally hold full-time positions outside the University. Holders of this title may provide graduate student supervision, serve as principal investigators, and participate in departmental and college shared governance. Initial appointment is for three years and is renewable annually upon recommendation to the Provost by the unit head and dean. Appointment as a College Park Professor does not carry

tenure or expectation of salary.

University of Maryland Professor [PENDING SENATE APPROVAL]

This title may be used for nationally distinguished scholars, creative or performing artists, or researchers who have qualified for full-time appointments at the University of Maryland, Baltimore at the level of professor, who are active in MPowering the State programs, and who also qualify for full-time appointment at the University of Maryland, College Park at the level of professor. Holders of this title may provide graduate student supervision, serve as principal investigators, and participate in departmental and shared governance. Initial appointments are for three years and are renewable annually upon recommendation to the Provost by the unit head and dean. This is a non-paid, non-tenure track title but initial appointments must follow the procedures for appointment as a new tenured professor.

## **Appendix 13 – Summary and Discussion of White Paper on Faculty Titles**

### **Summary**

The various problems related to the inconsistent use of NTT faculty titles across campus has obviously come to the attention of Faculty Affairs, as have the problems related to the lack of consistent evaluation and promotion metrics for NTT faculty. The framework put forth in the paper assumes that the three dimensions of the APT process define the range of faculty activity, with the intersections of the three domains defining different types of faculty appointments.

The discussion assumes that each of the dimensions of the APT system should be construed broadly, i.e. the notion of Research includes creativity and scholarship generally; Teaching includes mentoring and advising in the sense of advising theses and dissertations; Service means service to both the broader community as well as administrative service to campus, just as serving on committees or serving as a program director counts as service in the APT process; the newly activated Clinical Professor titles are taken to be in the Service dimension.

The white paper argues that the framework provides a way to regularize the use of faculty titles as well as a way to motivate a systematic approach to evaluations of NTT faculty, as follows.

First, the discussion assumes that the intersection of all three domains is the locus of the APT system, a system that requires Assistant, Associate and full Professors to excel in all three dimensions and go through three levels of review for promotion, i.e. the department, the college, and the Provost. For the Research Professor and Clinical Professor series, what the white paper refers to as "dual layer" domains (i.e. the areas in the diagram where two dimensions intersect), faculty members would be expected to excel in two of the three dimensions, and as such, evaluations and promotions would go through two levels of review, namely the unit and the college. Finally, evaluations at the "single layer" domains, e.g. for FRAs, would be conducted at the unit level.

Additionally, for all NTT faculty appointments, i.e. all appointments that are either in the single or dual level domains, the white paper proposes that faculty titles must reflect the duties and responsibilities of those so appointed, i.e. faculty with "research" should have at least half of their effort given over to research, or faculty with "lecturer" in their title should devote at least 50% of their effort to teaching.

## Discussion

While certain details in the paper beg further development, the overarching idea provides a framework for characterizing in a systematic way various problems and concerns the Task Force has identified.

1. Lack of adequate titles and opportunities for promotions within the instructional ranks

The Research domain has numerous titles for faculty who contribute to the institution with more than just their research skills. The Service domain has the newly activated Clinical Professor series, which, by the devices of the framework, assume that such faculty will be engaged in both the Service dimension and either the Teaching or Research dimension.

However, the Teaching dimension has no professorial title series. There are no titles to give to those Instructional Faculty who assume administrative duties or who engage in research. Also, faculty with a Ph.D. who have been teaching for 15 years are given the same title as a graduate student who is hired to teach for the first time.

2. Lack of titles for NTT faculty who administer academic programs

The Research domain has FRAs and Research Associates, the Teaching domain has Lecturer and Senior Lecturer, but the Service domain has no Faculty Administrator or an equivalent. When T/TT faculty move into administrative positions, they keep their faculty titles, but when NTT faculty become administrators, they either lose their faculty titles and become Staff, or they keep their Research Associate or Lecturer titles even though they do little to no research or teaching, respectively.

3. Lack of clarity regarding evaluations and promotions, especially for the Research faculty

Broadly, given that NTT faculty titles have been used freely and without any necessary relation to what the faculty members do, the lack of a clearly defined system for evaluating NTT faculty performance is not surprising. More specifically for Research Faculty, the lack of clearly defined criteria for promotions through the research faculty ranks has led to frustration and

bitterness when members of the research faculty see colleagues being promoted but see no rhyme or reason to it. While the Clinical Professor series is too recently activated for such problems to emerge, the current lack of oversight of those ranks would presumably lead to the same result.

By viewing Research and Clinical Professorial titles as "dual layer" appointments, the framework in the Faculty Affairs white paper provides a rationale for requiring such appointments to be subject to review at the college, thus providing the means for regularizing those evaluations.

## Appendix 14 – Explanation of Recommendations

Recall that the recommendations center on three main themes:

- Appointment, Rank, and Promotion
- Compensation, Evaluation and Recognition
- Governance
- Policies

### Appointment, Rank, and Promotion

1. Revise both the system of NTT faculty titles and the administration of those titles such that titles accurately represent the primary contribution of faculty so appointed;
  - Without necessarily adopting the specific details within the Faculty Affairs White Paper on Faculty Titles, the Senate should endorse the principles of the model and use those principles when shaping policies related to managing faculty appointments, evaluations, and promotions.
  - Once endorsed, the Provost should oversee the appointment of NTT faculty in light of Premise 5 in the Faculty Affairs White Paper, namely that titles must reflect the majority of a faculty member's effort.
2. Create a Teaching Professor series on par with the Research Professor series and the Clinical Professor series;
  - The Senate should propose and move through the Board of Regents a Teaching Professor series, on par with the Research Professor series and the Clinical Professor series, to provide both a title for those instructional faculty who contribute beyond the classroom as well as a series of promotional opportunities in parallel with the Research Professor and the Clinical Professor series.
  - The model of faculty activity in the Faculty Affairs White Paper highlights our deficiency in this area, as does a review of other institutions.
3. Create a Faculty Administrator position and provide the opportunity for promotion by defining Faculty Administrator I, II, and III levels;
  - The lack of such titles means that NTT faculty who assume administrative functions either lose their faculty titles or keep titles such as Research Associate or Lecturer even though they do little to no research or teaching.
  - The model of faculty activity in the Faculty Affairs White Paper highlights our deficiency in this area, as does a review of other institutions.

4. Provide promotion opportunities for FRAs by creating FRA I, II, and III levels;
  - Currently, FRAs have no opportunity for promotion, thereby creating a situation in which FRAs have worked for the institution for 10 years or longer and have never had the opportunity for a promotion. Such a situation serves neither the faculty nor the institution well.
5. Create a system for tracking appointments, reappointments, contract length, and adherence to the contract templates provided by Legal Affairs, including designation of eligibility for different benefits given the specifics of the appointment;
  - The Provost should direct the Office of Faculty Affairs to create a system for tracking reappointments, contract length, and adherence to the contract templates provided by Legal Affairs, including designation of eligibility for different benefits given the specifics of the appointment.
  - Results from survey of NTT faculty show that many units do not adhere to guidelines regarding contracts, and that contracts are often either not provided or not provided until after a semester starts. Such practices undermine the trust between the institution and the NTT faculty and must stop.
6. Improve the administration of instructional contracts such that year-long or multi-year appointments become the norm.
  - In general, semester contracts should only to be used for either the first semester for part-time appointments (as current policy dictates) or when an unexpected personnel change forces a department/unit to fill a vacancy on short notice. Instructional Faculty who have been with the University for more than a specific number of years should be given one-year contracts. Instructional faculty who have been with the University for longer periods, to be determined by the Provost in collaboration with the Senate, should be offered 3 year contracts. Exceptions to these provisions would have to be granted by the college administrator tasked with overseeing compliance with NTT faculty policies (see #1 in section 4 of Appendix 14 — Policies).

#### Evaluation, Compensation, and Recognition

The need for the recommendations in this section are summarized by three comments from the NTT faculty survey that aptly capture the thrust of a significant number of comments related to these topics:

- I publish more than many of my colleagues, but receive no promotion or compensation of any kind for this (and no recognition).
  - Work hard or hardly work, the compensation and recognition is the same; no value in increasing skills or duties, as it doesn't "pay off" except for moving on from UMD.
  - Without a living wage, opportunity for promotion, or even recognition for good work, adjuncts cannot invest emotionally in their work at the university. The energy for doing superlative work and giving richly in service is compromised; the thread that binds us in building a world-class university remains tenuous rather than strong.
1. Create, where they don't already exist, college-level evaluation and promotion guidelines for appointments in the Research Professor/Scientist/Engineer/Scholar series, the Clinical Professor series, and the (proposed) Teaching Professor series;
    - In keeping with the model proposed in the Faculty Affairs White Paper, the Provost should collaborate with the Council of Deans to create, in colleges where they don't already exist, college-level evaluation and promotion guidelines for appointments within "dual layer" series, e.g. Research Professor/Scientist/Engineer/Scholar series, the Clinical Professor series, and — once adopted — the Teaching Professor series.
    - CMNS and the Department of Geographical Sciences have developed such a system for their Research appointments and can serve as a model for the rest of campus.
    - The College of Education, The Smith School of Business, and the Department of Hearing and Speech Sciences have created such metrics for their implementation of the new Clinical Professor series which can serve as models for the rest of campus.
  2. Ensure that evaluations of Instructional Faculty are not tied solely to the CourseEvalUM tool;
    - Many departments rely solely on the results of CourseEvalUM, but such tools promote grade inflation and lack of rigor for the simple reason that students will give low scores to faculty who challenge them or who grade them

rigorously.<sup>7</sup> T/TT faculty, especially those who already have tenure, have no reason to care about such issues, but in the absence of other evaluation metrics, NTT faculty have to worry about keeping students from giving bad feedback via CourseEvalUM.

3. Whereas responses to the faculty survey indicate significant financial hardship for many NTT faculty, especially Instructional Faculty, the institution should ensure that base-line salaries for NTT faculty are commensurate with their experience, skills, and contributions;
  - If the University does not increase salaries for the lowest paid faculty, many departments will continue to face challenges when recruiting and trying to retain the best NTT faculty, especially within the Instructional Faculty ranks.
  - To put this concern in perspective, consider that
    - i. nearly half of the 650+ part-time Instructional Faculty appointed for Spring 2013 would earn less than \$40,000/year were they full-time, and of them, over 100 would earn less than \$33,000/year, and
    - ii. the Bureau of Labor Statistics indicates that the mean annual wage for construction laborers in 2012 was \$34,170.
  - In light of the professional expertise that our NTT faculty bring to their appointments, the University should find the means to offer salaries that are commensurate with that experience.
  - Moreover, given the number of credits delivered by NTT faculty, and given the amount of direct student contact that comes with the courses NTT faculty tend to teach, improving salaries for NTT faculty is a critical step in improving undergraduate education at the University of Maryland.
4. Ensure that NTT faculty are included in merit pay increases in departments where they aren't already, and establish a system for providing merit pay for Instructional Faculty whose salaries are determined by the courses they teach;
  - The Provost should collaborate with the Council of Deans to ensure that NTT faculty are included in merit pay increases in departments where they aren't already.

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<sup>7</sup> See Clayton, D. "Student Evaluations of Teaching: Are They Related to What Students Learn? A Meta-Analysis and Review of the Literature." *Journal of Marketing Education* 2009; 31 for a sample of the literature on the validity of using student evaluations of teaching to evaluate teacher effectiveness.

- Including NTT faculty in calculations of merit pay increases provides certain evidence that the institution values and rewards excellence.
  - Instructional Faculty whose salaries are determined by the courses they teach within a given unit are paid the same rate as each other regardless of their success or talents in the classroom. The institution must create a system for providing merit pay increases for faculty whose salaries are otherwise determined solely by the courses they teach.
5. Provide funding and other resources for participating in professional development activities. Successful participation in such activities should be included in evaluations for merit pay increases;
    - The Provost should collaborate with the Council of Deans to ensure that NTT faculty are included in opportunities for funding and other resources for participating in professional development activities.
    - Successful participation in such activities should be included in evaluations for merit pay increases.
  6. Ensure that faculty with dual 25% FTE appointments are provided those benefits afforded part-time faculty who have a single appointment at 50% FTE;
    - The Provost should collaborate with the Vice President for Administration and Finance to ensure that faculty with dual 25% FTE appointments, i.e. faculty with Total FTE appointments of 50%, are provided those benefits afforded part-time faculty who have a single appointment at 50% FTE. This is especially true for faculty teaching two sections of the same course even though one of the sections is offered through Freshman Connection.
  7. Provide compensation when asking Instructional Faculty whose salaries are determined by the courses they teach to engage in tasks beyond those specified in their contracts;
    - Faculty whose salaries are determined by the courses they teach and whose salaries have no allowance for "Administrative" or "Other" duties in their ARS appointment should be offered compensation when asked to engage in tasks beyond those directly related to teaching their courses.
    - While most NTT faculty consider themselves professionals and understand that professionals perform "extra duties as assigned", salaries for many Instructional Faculty are very low (the majority of such salaries are below \$40,000 for FTE). Asking them to serve engage in work that is

not a part of their appointment agreement without additional compensation is inappropriate; as such, the standard procedure — for faculty whose salaries are determined solely by the courses they teach — should be to provide compensation when asking such faculty to perform duties beyond those in their appointment agreements.

8. Include NTT faculty in all campus awards and honors; or create college-level awards and honors, where none currently exist, and a campus-wide award in each of the three domains of academic activity, i.e. an award for excellence within Research, Teaching, and Service;
  - Where policies for awards and honors at the Department, College, and University level exclude NTT faculty from participation, there should be some compelling positive argument for limiting the award or honor to T/TT faculty. The default position should be the incorporation of NTT faculty in awards and honors.
  - If there are compelling arguments for generally excluding NTT faculty from awards and honors, the Provost should collaborate with the Council of Deans to create college-level awards and honors (where non currently exist), and also a Provost's award in each of the three domains of academic activity, i.e. an award for excellence within each of the domains of Research, Teaching, and Service.

### Governance

1. Increase the representation of NTT faculty in the University Senate;
  - The “Single Member Constituency” structure for representation in the Senate has created a system in which three Senators represent nearly 3000 NTT faculty.
  - In 2010, the Senate approved recommendations by the Elections, Representation, and Governance Committee (Senate Document #09-10-28) to rectify this issue by reviewing of the Senate Plan of Organization in 2013-2014 and apportioning these senators under the new Plan. This Task Force fully endorses those recommendations.
2. Ensure that departments and colleges have written policies and procedures for including NTT faculty in unit-level self-governance for matters that involve them;

- The Provost should collaborate with the Council of Deans to ensure that, where departmental plans of organization don't already allow it, NTT faculty can vote on all departmental and college matters that involve them.
- Given that many NTT faculty reported that they had no knowledge of the opportunities for participation in governance at the department and college level, the Provost should collaborate with the Council of Deans to improve communication about such opportunities and to increase participation by NTT faculty.

### Policies

1. Improve the administration and oversight of NTT faculty policies by tasking an administrator or committee within each college/school with coordinating such efforts both internally and with Faculty Affairs;
  - The Provost should collaborate with the Council of Deans to identify an administrator or standing committee within each college to coordinate communication about, and oversee compliance with, NTT faculty policies, and to facilitate the implementation of any changes to policies.
  - The College of Behavioral and Social Sciences has formed a Task Force on Non-Tenure Track Faculty in order to coordinate implementation of NTT initiatives across the college; other colleges/schools should do the same.
  - The Provost should direct the Office of Faculty Affairs to convene regular meetings with those college administrators or committee members to facilitate the development of institutional norms regarding NTT faculty.
  - The Faculty Ombudsperson should be well-versed in NTT faculty policies.
2. Improve access to faculty policies by establishing a campus protocol for how such information is presented through department and college web sites;
  - Recall that four Task Force members collectively spent approximately 30 hours unsuccessfully searching department and college web sites for information about policies and procedures that administrators had indicated was available online. Policies should not be so difficult to find.
  - The Provost should collaborate with the Council of Deans to establish a protocol for department and unit web sites such that links to department, college, and university policies (including departmental plans of organization) are no more than two clicks from the department/unit homepage.

- The Faculty Handbook on the Faculty Affairs web site should adopt a "Table of Contents" structure as used at [http://www.provost.vt.edu/faculty\\_handbook/faculty\\_handbook.html](http://www.provost.vt.edu/faculty_handbook/faculty_handbook.html)
3. Amend the Policy on the Employment of Adjunct Faculty, II-1.07(A), so that all courses taught count toward eligibility for Adjunct II status;
    - courses taught in "self-support" or "entrepreneurial" programs during the fall and spring semesters should count toward the 36 credit threshold required for eligibility for Adjunct II status;
    - given that Winter Term courses can count toward satisfying T/TT faculty Workload, Winter Term courses should count toward the 36 credit threshold for eligibility for Adjunct II status;
    - given that appointments for summer session courses are written as 0% FTE appointments, faculty so appointed, being non-salaried, meet the Adjunct Policy applicability clause; as such, courses taught during summer should count toward the 36 credit threshold for eligibility for Adjunct II status.
  4. Adopt either the term **Professional Faculty** or **Professional Track Faculty** in all institutional policies, procedures, guidelines, and communications when referring to faculty who are not tenured nor on the tenure track;
    - The following statement by a participant at one of our focus groups highlights the motivation for this recommendation:

*Even the term "non-tenure track faculty"  
defines us by what we are **not**,  
rather than by what we are.*

- Other institutions use labels such as *Adjunct Faculty*, *Affiliate Faculty*, *Contract Faculty* and *Contingent Faculty* for such appointments; however, these labels provide no indication that the contributions made by such faculty can be seen, as the Task Force charge puts it, as "a valuable resource."
- In light of a review of classifications at other institutions, we recommend the institution use the term *Professional Faculty* or *Professional Track Faculty* because of the positive statement it makes about the group.

5. Revise applicability clauses in existing faculty policies to refer explicitly to "All Faculty", "Tenured/Tenure-Track Faculty", or "Professional Faculty", as appropriate;
  - Faculty should not have to consult with Legal Affairs to determine the applicability of faculty policies. The Senate should revise all policies that do not already have an explicit statement about whether the policy applies to T/TT faculty or NTT faculty — policies should refer explicitly to "all Faculty", "T/TT Faculty", or "Professional Track Faculty".
  - For those policies that explicitly exclude one category of faculty, the Senate should ensure that a comparable policy provide analogous provisions, to the extent feasible, for the other category. For example, while policies related to tenure are not applicable to NTT faculty, the specificity of the requirements for evaluation and promotion in the APT process should have a similar level of specificity for evaluation and promotion of NTT faculty.



## University Senate TRANSMITTAL FORM

<b>Senate Document #:</b>	11-12-12
<b>Title:</b>	Proposal to Change the Committee on the Review of Student Fees (CRSF) Operating Procedure
<b>Presenter:</b>	Josh Hiscock, Chair, Senate Student Affairs Committee
<b>Date of SEC Review:</b>	February 22, 2013
<b>Date of Senate Review:</b>	March 6, 2013
<b>Voting (highlight one):</b>	1. On resolutions or recommendations one by one, or 2. In a single vote 3. To endorse entire report
<b>Statement of Issue:</b>	<p>In 2008, the President of the University of Maryland (UM) created the Committee for the Review of Student Fees (CRSF) as an advisory body on proposed fees and the use of student fees. The purpose of the body was to allow students to have an appropriate role in the fee process and to facilitate information-sharing with the broader University Community.</p> <p>In October 2011, the University Senate Executive Committee (SEC) charged the Student Affairs Committee (SAC) with reviewing a proposal regarding the transparency and accountability of the fee process and advising on whether the operating procedure of the CRSF is appropriate. The 2011-2012 Student Affairs Committee reviewed the proposal, met with key administrators and the proposers, researched peer institutions, and reviewed the UM and University System of Maryland (USM) policies related to student fees. The committee presented three recommendations to the SEC for consideration in March 2012. The University Senate voted on April 19, 2012 to return the report to the committee for further consideration.</p>
<b>Relevant Policy # &amp; URL:</b>	UMCP Policy on the Review & Approval of Student Fees (no policy number or URL listed).
<b>Recommendation:</b>	<p>The Student Affairs Committee voted in favor of the following four recommendations related to the procedures of the CRSF and the student fee process:</p> <ul style="list-style-type: none"> <li>- All fee proposals must be vetted by a representative group of constituents and should include a description of that advisory</li> </ul>

	<p>group. Student employees of fee proposing units should be clearly designated in the description, if applicable. Student employees of the unit should not be the sole student advisors to the unit.</p> <ul style="list-style-type: none"> <li>- All fee proposals should include the enhancement request from the previous year, what enhancement the unit was granted in the previous year, and a description of how that fee was put to use.</li> <li>- The CRSF should maintain the most recent five years of enhancement narrative reports from each unit as an archive. The compilation of this archive should begin with fiscal year 2015 requests. These reports should be made available to the CRSF as needed.</li> <li>- Unit advisory boards should be consulted regarding fees and enhancements at least one meeting prior to the vote by the unit advisory board on proposed fees and enhancements. The calendar for fee requests as established by the CRSF should allow ample time for all units to deliberate.</li> </ul>
<b>Committee Work:</b>	<p>The SAC reviewed the charge and the previous work done by the committee at its meeting on September 17, 2012. The committee also discussed new developments including a November 2011 memo from the UM Vice President and Budget Director containing guidance to fee-proposing units, and the newly-revised USM policy related to student fees.</p> <p>In October 2012, the SAC met with the Vice President and Budget Director to discuss the CRSF and changes in the fee process since the original proposal was submitted. The committee learned how changes are being implemented in the current fee review cycle. It also discussed what aspects of the policy and procedures remain uncertain because they are not fully implemented.</p> <p>The SAC analyzed the information and considered recommendations in December 2012 and February 2013. Key concerns related to unbiased representations of student interests, how enhancements are used, records of past proposals, and the calendar constraints of the student fee process.</p>
<b>Alternatives:</b>	The Senate could reject the proposed recommendations and the current procedures of the CRSF and the student fee review process would remain in place.
<b>Risks:</b>	There are no risks.
<b>Financial Implications:</b>	There are no financial implications.
<b>Further Approvals Required:</b>	Senate approval, Presidential approval.

# **Senate Student Affairs Committee**

## **Senate Document # 11-12-12**

### **Proposal to Change the Committee on the Review of Student Fees (CRSF) Operating Procedure**

**February 2013**

#### **BACKGROUND**

The Committee for the Review of Student Fees (CRSF) was established in 2008 to advise the President of the University of Maryland (UM) on proposed student fees and the use of student fees. As stated in the Policy on the Review and Approval of Student Fees (Appendix #2), then-President Mote created the CRSF to allow students to have an appropriate role in the fee process and to facilitate information-sharing related to student fees with the broader University community.

In October 2011, the University Senate received a proposal to review the operating procedures of the CRSF. The proposal raised concerns about the transparency and accountability of the fee process, and about the structure and operation of the CRSF. The Senate Executive Committee (SEC) voted to charge the Student Affairs Committee (SAC) with reviewing the proposal and advising on whether the current operating procedure of the CRSF is appropriate.

In the 2011-2012 academic year, the Student Affairs Committee reviewed the proposal and made recommendations to the University Senate regarding the operating procedures of the CRSF. During its review, the SAC met with the Vice President for Administration and Finance, the Assistant Vice President and Budget Director, and the Provost to gain an understanding of the committee's structure, the origins of the committee, and its role in the student fees process as an advisory body to the President. It met with the proposers, researched peer institutions, reviewed the UM and University System of Maryland (USM) policies related to student fees, and learned about how various units gain student involvement in their fee processes.

The SAC presented three recommendations to the SEC for consideration in March 2012, and the report, recommendations, and a minority report from a few committee members were placed on the agenda for the April 19, 2012 Senate meeting (Appendix #1). In considering the SAC's report and the minority report, the Senate voted to return the report to the committee for further consideration.

#### **CURRENT PRACTICE**

The Committee on the Review of Student Fees is responsible for advising the President and the Cabinet on recommendations for proposed fees, according to the UM policy (Appendix #2). The committee is composed of thirteen individuals: four undergraduate students, two graduate students, two faculty or staff members, one Senator (who is a faculty member), the Dean of Undergraduate Studies, the Dean of the Graduate School, the Vice President for Student Affairs, and the chair of the committee, who is the Vice President for Administration and Finance. The policy stipulates that the review of fees will include five steps. First, units proposing fees provides an opportunity for a discussion of the proposal with the students affected by it. The unit then proposes the fee to the CRSF; the committee reviews it and makes a

recommendation to the Cabinet. The Cabinet then reviews the CRSF's recommendation and the proposal and makes its recommendation to the President. The President is responsible for recommending a fee schedule to the Board of Regents, which must approve of the fees before they may go into effect.

In current practice, the CRSF meets twice a year to address student fees. The CRSF reviews proposals for mandatory fees, fees that students are required to pay, in October and reviews proposals for non-mandatory fees, fees that students choose to pay based on whether they wish to use the services (room, board, and parking are examples), in the spring semester. The calendar is determined by deadlines at the University System level – the USM staff must have enough time to review and process all fee schedules for each USM institution before presenting the tuition and fees schedule to the Board of Regents for a vote, so it has deadlines for fee schedules that UM must meet.

Recent administrative and policy changes have altered the current practice of the CRSF and the fee process at UM. In November 2011, the Vice President and Budget Director issued a memo to all fee-proposing units with additional guidance on changes to the procedures of the CRSF (Appendix #4). Three new procedures were outlined. First, units need to provide a complete and accurate fee proposal to the committee regardless of the amount of the fee proposal, including those units whose fee requests are not changing. Second, units proposing fees must provide opportunities for students to be consulted on the impacts of the fees to ensure that student stakeholders are being engaged. Third, regardless of the amount of the fee proposal, all proposers must attend committee meetings to present proposals and answer questions about the use of fees, necessity of fee changes, and portion of the program supported by fees.

In July 2012, the Board of Regents voted to amend the USM Policy on Student Tuition, Fees, and Charges (VIII-2.50) (Appendix #3) to address the question of student engagement in the fee review process. It revised the policy to require that each institution ensure that advisory committees representative of students and stakeholders be established and that they be consulted during the fee review process on new student fees or changes for both mandatory and non-mandatory fees. The policy requires that the fee schedule submitted to the Board of Regents include a description of the advisory committee process and the names of those students and stakeholders involved in the advisory committees. The UM CRSF and the Division of Administration and Finance are working to implement this policy change during the current fee review cycle.

### **COMMITTEE WORK**

The Student Affairs Committee began reviewing the charge and the work done by the previous committee at its meeting on September 17, 2012. The committee reviewed the charge, went over the work done by the committee in the previous academic year, and considered the report of the 2011-2012 SAC to gain an understanding of the issue and its history. The committee also discussed the new developments in the student fee review process – it reviewed the memo from the Vice President and Budget Director from November 2011 (Appendix #4) and the newly-revised USM policy related to student fees (Appendix #3).

At its meeting on October 8, 2012, the SAC discussed remaining concerns with the CRSF operating procedures and met with the Vice President and Budget Director to discuss the CRSF and changes in the process since the administrative and policy changes in November and July. The committee learned a great deal from this conversation. Key points from the discussion that influenced the committee's decision process included:

- In fall of 2012, students were not on campus long before fee submissions needed to be turned in, and many units were just beginning to set up student advisory boards in response to CRSF's instructions after the change in the Board of Regents policy. Some units had processes established already and were far along in gaining student input in the fee process, and other units had varying

levels of completion in terms of setting up advisory boards. The CRSF has made it clear that it expects the intent, spirit, and letter of the policy to be implemented.

- The administrative guidance in November 2011 and the change in the USM policy are not fundamentally different, and both intended to achieve student input in the fee process.
- The calendar of the student fee review process at UM is dictated by the calendar at the Board of Regents level. The many mandatory fees are considered in the fall and turned in then, so that System staff can process the mandatory fees for each of the thirteen system campuses in the fall and after the holidays. The few non-mandatory fees are considered early in February and sent to the USM in the spring so the System staff can pull all the components together for the Board of Regents to vote on the full tuition and fees schedule. The calendar may need adjustment in order to allow for significant involvement at the unit-level.
- The Vice President and Budget Director indicated that the appropriate place for the specific substantive concerns regarding the fees themselves and how they are spent can be addressed more effectively at the unit-level. The CRSF has limited time and a broad agenda, and the USM policy advocates student involvement in the determination of the fee, which indicates at the unit-level.

After its meeting on October 8, 2012, the committee worked to analyze the information gained in the meeting and compare what it learned to the concerns the committee had wanted to consider. In between meetings via email and at its meetings on December 10, 2012 and February 11, 2013, the SAC considered recommendations related to the CRSF and the student fee review process.

The committee discussed the nature and intent of student involvement in the unit-level review process. A few committee members discussed the balance between encouraging student involvement and ensuring an unbiased representation of student voices in that involvement. The committee discussed whether student workers of the unit would be considered biased and the unique aspects student workers bring to the conversation. The committee determined that student employees were critical to the student fee review process, but that they should not be the sole student advisors during the process.

The committee discussed different ways in which the CRSF procedures could ensure that fee proposals could include information about how enhancements were used. Committee members agreed that students should be able to know what was proposed and ultimately allocated, and whether the allocated fee did what it was intended to do. After much discussion, the committee came to the consensus that the information related to the enhancement request and allocation from the previous year was the most critical when considering a fee proposal. In the interest of preserving an institutional memory for the members of the CRSF to refer to when needed, the committee also discussed the creation of a rolling archive of enhancement narrative reports (i.e., the fee proposals) from each unit for five years. In the scenario discussed by the committee, the CRSF would keep the fee proposals from each unit on file for five years after they were proposed, beginning with proposals for fiscal year 2015.

In considering the work of the student advisory boards, committee members remained concerned that the boards would not have an appropriate amount of time to consider fee proposals before they needed to vote to send them forward to the CRSF. Committee members stressed that the student advisory boards should be given ample time to consider the proposals carefully, especially since the unit-level is where students can have a great deal of influence in the review process. In considering related recommendations, the committee attempted to balance the need for deliberative time with the recognition of the strains on the calendar of the student fee review process.

## **RECOMMENDATIONS**

At its meetings on December 10, 2012 and February 11, 2013, the Student Affairs Committee voted in favor of the following four recommendations related to the procedures of the CRSF and the student fee process.

1. All fee proposals must be vetted by a representative group of constituents and should include a description of that advisory group. Student employees of fee proposing units should be clearly designated in the description, if applicable. Student employees of the unit should not be the sole student advisors to the unit.
2. All fee proposals should include the enhancement request from the previous year, what enhancement the unit was granted in the previous year, and a description of how that fee was put to use.
3. The CRSF should maintain the most recent five years of enhancement narrative reports from each unit as an archive. The compilation of this archive should begin with fiscal year 2015 requests. These reports should be made available to the CRSF as needed.
4. Unit advisory boards should be consulted regarding fees and enhancements at least one meeting prior to the vote by the unit advisory board on proposed fees and enhancements. The calendar for fee requests as established by the CRSF should allow ample time for all units to deliberate.

## **APPENDICES**

Appendix 1 – 2011-2012 Student Affairs Committee Report on the Proposal to Change the Committee on the Review of Student Fees (CRSF) Operating Procedure.

Appendix 2 – UMCP Policy on the Review & Approval of Student Fees

Appendix 3 – University System of Maryland Policy on Student Tuition, Fees, and Charges (revised June 22, 2012)

Appendix 4 – November 2011 Memo to Fee-Proposing Units

Appendix 5 – Senate Executive Committee Charge on Proposal to Change the Committee on the Review of Student Fees (CRSF) Operating Procedure

**APPENDIX 1 - 2011-2012 STUDENT AFFAIRS COMMITTEE REPORT ON  
PROPOSAL TO CHANGE THE CRSF OPERATING PROCEDURE**



**University Senate  
TRANSMITTAL FORM**

<b>Senate Document #:</b>	11-12-12
<b>Title:</b>	Proposal to Change the Committee on the Review of Student Fees (CRSF) Operating Procedure
<b>Presenter:</b>	Rachel Cooper, Chair, Senate Student Affairs Committee
<b>Date of SEC Review:</b>	April 5, 2012
<b>Date of Senate Review:</b>	April 19, 2012
<b>Voting (highlight one):</b>	<ol style="list-style-type: none"> <li>1. On resolutions or recommendations one by one, or</li> <li>2. In a single vote</li> <li>3. To endorse entire report</li> </ol>
<b>Statement of Issue:</b>	<p>The Committee on the Review of Student Fees (CRSF) was created by President Mote to give students an opportunity to be involved with the proposal and evaluation of student fees at the University of Maryland. At the time, UMCP was the only University System of Maryland (USM) school to have such a committee. Since 2008, this committee has evaluated fees on a bi-annual basis, evaluating mandatory fees in the fall and non-mandatory fees in the winter/spring.</p> <p>In fall 2011, Student Government Association (SGA) President Kaiyi Xie and Graduate Student Government (GSG) President Anna Bedford submitted a proposal to the University Senate requesting a review of the Committee on the Review of Student Fees, highlighting various concerns with lack of student involvement and accountability within the student-fee review process.</p> <p>The Senate Executive Committee (SEC) charged the Student Affairs Committee on October 27, 2011, with reviewing the proposal and advising on whether the current operating procedure is appropriate.</p>
<b>Relevant Policy # &amp; URL:</b>	UMCP Policy on the Review & Approval of Student Fees (no policy number or URL listed)
<b>Recommendation:</b>	<p>The Senate Student Affairs Committee approved the following recommendations to the operating procedures of the CRSF.</p> <ol style="list-style-type: none"> <li>1. All units must appear annually before the CRSF and provide justification for their unit's student fees.</li> <li>2. All fee proposals must be vetted by a representative group of constituents and should include a description of that advisory</li> </ol>

	<p>group.</p> <p>3. All fee proposals should include a discussion of fee changes and a report of how enhancements were used in the prior year.</p>
<b>Committee Work:</b>	<p>The Student Affairs Committee (SAC) initially consulted with co-proposer Kaiyi Xie, an ex-officio member of SAC, to gain perspective his concerns with the current operating procedures of the CRSF. After reviewing both the University System of Maryland and University of Maryland College Park policies regarding student fees, the committee met with Robert Specter, Vice President for Administrative Affairs, Robert Platky, Assistant Vice President and Director of the Office of Budget &amp; Fiscal Analysis, and Ann Wylie, Senior Vice President and Provost, to gain a better perspective of the fee review process, the history behind why the committee was created by President Mote, and its role as an advisory body to the President of the University. In addition, Specter and Platky informed the SAC of recent changes to the operating procedures of the CRSF.</p> <p>The committee also met with the proposers, Kaiyi Xie and Anna Bedford to discuss their specific concerns and the recent administrative changes to the student-fee review process and evaluate the elements of the proposal that they felt still needed to be addressed.</p> <p>The SAC reviewed the peer institution student-fee review policies and analyzed the various data collected. The SAC was in agreement that administrative changes should be made to make the student-fee review process more inclusive of students during the unit-level review process and require units to be accountable for their fee proposals and how enhancements were used. The committee also agreed to share the best practices of some exemplary fee-requesting units as an appendix to its report. The SAC met on March 5, 2012 and approved three recommendations to the operating procedures of the CRSF.</p>
<b>Alternatives:</b>	The Senate could reject the proposed changes and the current procedures would remain.
<b>Risks:</b>	If the Senate does not approve the proposed changes, the University could miss an opportunity to increase student involvement in the fee review process.
<b>Financial Implications:</b>	There are no financial implications associated with the proposed changes.
<b>Further Approvals Required:</b>	Senate Approval, Presidential Approval

# **Senate Student Affairs Committee**

## **Senate Document 11-12-12**

### **Proposal to Change Committee on the Review of Student Fees (CRSF)**

**March 2011**

#### **BACKGROUND:**

The Committee on the Review of Student Fees (CRSF) was created by President Mote to give students an opportunity to be involved with the proposal and evaluation of student fees at the University of Maryland. At the time, UMCP was the only University System of Maryland (USM) school to have such a committee. Since 2008, this committee has evaluated fees on a bi-annual basis, evaluating mandatory fees in the fall and non-mandatory fees in the winter/spring.

Currently, the CRSF consists of six student members (4 undergraduate, 2 graduate), two faculty or staff members, one senator, three voting ex-officios (Vice President for Student Affairs, Dean for Undergraduate Studies, and Dean of the Graduate School), and an appointed Chair. The Vice President for Administrative Affairs, as appointed by the President of the University, traditionally serves as the Chair of the Committee, as this individual has no student fees generated by his or her office. Student members serve a one-year term that coincides with the term of the appointing authority. Faculty and staff members serve two-year staggered terms based on an academic year.

In fall 2011, Student Government Association (SGA) President Kaiyi Xie and Graduate Student Government (GSG) President Anna Bedford submitted a proposal to the University Senate requesting a review of the Committee on the Review of Student Fees, highlighting various concerns with lack of student involvement and accountability within the student-fee review process. Following a review by the Senate Executive Committee (SEC) in October 2011, the proposal was charged to the Student Affairs Committee of the University Senate for further review and evaluation.

#### **CURRENT PRACTICE:**

Prior to the proposal from Presidents Xie and Bedford, the Committee on the Review of Student Fees (CRSF) did not actively enforce the policy that representatives from a unit appear before the committee during the fee review process regardless of whether the unit was requesting a fee increase. The CRSF also did not have guidelines requiring that proposals provide detailed information regarding a budget breakdown, past spending, or student involvement. Lastly, the proposal states that the CRSF takes sparse minutes, making it difficult for new members to review past decisions.

Vice President for Administrative Affairs, Robert Specter and Assistant Vice President & Director of the Office of Budget & Fiscal Analysis, Robert Platky explained that the CRSF had already made several administrative changes that would address some of the issues raised by Presidents Xie and Bedford (Appendix 4). Specifically, all fee requesting units would be required

to meet with the CRSF on an annual basis, regardless of whether they were requesting an increase in their fee or not. In addition, units would have to submit a description of student involvement in the fee proposal review process. These new requirements would be enforced during the 2012 winter/spring non-mandatory fee cycle. They also noted that the CRSF has adopted Robert's Rules for small committees and its guidelines for minutes. In addition, they have set a new policy that members of the CRSF would receive materials two weeks prior to each meeting.

### **COMMITTEE WORK:**

The Senate Student Affairs Committee (SAC) was charged (Appendix 1) by the Senate Executive Committee (SEC) with reviewing the proposal, "Proposal to Change Committee on the Review of Student Fees" on October 27, 2011 (Appendix 2). The SEC asked the SAC to review the proposal and advise on whether the current operating procedure is appropriate.

The SEC charged the SAC with consulting with the bill's proposers, Vice President for Administrative Affairs, Rob Specter, Michele Eastman, Assistant President and Chief of Staff, and the University's Office of Legal Affairs. In addition, the committee was charged with reviewing the UMCP Policy on the Review and Approval of Student Fees (Appendix 3), the USM Board of Regents Policy on Student Tuition, Fees, and Charges (VIII-2.50), and similar policies at peer institutions.

The SAC consulted with Kaiyi Xie, one of the bill's proposers and an ex-officio member of the committee, to better understand his concerns with the current operating procedures of the CRSF. The SAC also reviewed the UMCP Policy on the Review and Approval of Student Fees and discussed whether amendments to the policy were necessary.

The SAC met with Robert Specter, Vice President for Administrative Affairs, Robert Platky, Assistant Vice President and Director of the Office of Budget & Fiscal Analysis, and Ann Wylie, Senior Vice President and Provost, to gain a better perspective of both the structure of the CRSF, the history behind why the committee was created by President Mote, and its role as an advisory body to the President of the University. Michele Eastman requested that Provost Wylie speak on her behalf since she was Assistant President and Chief of Staff at the time the CRSF was created. At this meeting, Vice President Specter and Assistant Vice President Platky gave the SAC an overview of the fee review process and informed them of the recent changes to the operating procedures of the CRSF.

The SAC reviewed the USM Board of Regents Policy on Student Tuition, Fees, and Charges (VIII-2.50), which outlines the University's authority over setting student fees. The committee also met with the proposers, Anna Bedford and Kaiyi Xie, to discuss their specific concerns and the recent administrative changes to the student-fee review process, and to evaluate the elements of the proposal that they felt still needed to be addressed.

The SAC discussed the various issues raised in the proposal including whether the Chair of the CRSF should be elected or appointed, member terms, the review timeline, the contents of fee proposals, and the composition of the unit-level advisory groups. The committee also discussed whether fee proposals should include an update of previously approved enhancement requests.

Transparency of the review process including the content of the CRSF minutes and the openness of CRSF meetings were also discussed.

The SAC reviewed the peer institution student-fee review data. This analysis reviewed four of the University's peer institutions to better understand the composition of their student fee review committees. While many of the policies differed, the University of California, Los Angeles used a 2-year staggered term policy for student members of the committee.

After reviewing the peer policies and analyzing the various data collected, the committee considered possible recommendations. The SAC was in agreement that administrative changes should be made to make the student-fee review process more inclusive of students during the unit-level review process and require units to be accountable for their fee proposals and how enhancements were used. The committee also agreed to share the best practices of some exemplary fee-requesting units as an appendix to its report. (Appendix 5) Ultimately, the SAC approved three recommendations to the operating procedures of the CRSF.

### **RECOMMENDATIONS**

At its meeting on March 5, 2012, the Student Affairs Committee voted in favor of forwarding the following recommendations to the operating procedures of the CRSF.

1. All units must appear annually before the CRSF and provide justification for their unit's student fees.
2. All fee proposals must be vetted by a representative group of constituents and should include a description of that advisory group.
3. All fee proposals should include a discussion of fee changes and a report of how enhancements were used in the prior year.

### **APPENDICES**

Appendix 1 – Charge from the Senate Executive Committee, October 27, 2011

Appendix 2 – Proposal to Change the Committee on the Review of Student Fees

Appendix 3 – UMCP Policy on the Review and Approval of Student Fees

Appendix 4 – Updated Procedures of the Committee on the Review of Student Fees

Appendix 5 – Best Practices of Fee-Requesting Units

## **UMCP Policies**

### **Policy on the Review and Approval of Student Fees**

The purpose of this policy is to establish a procedure whereby students have an appropriate advisory role in the recommendation of student fees. Student participation is accommodated to ensure full disclosure on the appropriateness of the student fee schedule, the need for specific fees, and the cost-benefit of the fees to the student community. This participation carries with it the expectation that the process will be collaborative with broad involvement and representation and result in appropriate information sharing with the community at large.

#### **Authority for Setting Fees**

Mandatory fees and room, board and parking charges are set by the Board of Regents of the University System of Maryland (USM) as stipulated in the Policy on Student Tuition, Fees and Charges (262.0, VIII-2.50) approved by the Board of Regents, June 21, 1990.

The management of student fees, including the review and recommendation of proposed fees and the authorization of expenditures from the resulting fee revenues, is the responsibility of the President, who is advised by the President's Cabinet. The Cabinet is advised by the Committee for the Review of Student Fees (CRSF) on recommendations for proposed fees.

#### **Process for Student Participation**

Mandatory fees and room, board and parking charges will undergo a five-step process:

- (1) The unit proposing the fee provides an opportunity to the affected student constituency for discussion on the merits and impact of the fee.
- (2) The Committee for the Review of Student Fees reviews the proposed fee and makes a recommendation to the Cabinet.
- (3) The Cabinet reviews the fee proposal and the recommendation made by the Committee to Review Student Fees and make a recommendation to the President.
- (4) The President recommends the fee schedule to the USM Board of Regents.
- (5) Board of Regents approves the fees.

In the event that actions by the State or Board of Regents with fiscal implications to the operations funded by the fees occur late in the process, it may be necessary that the fee submission be modified by the President.

### **Committee for the Review of Student Fees**

The Committee for the Review of Student Fees shall be comprised of thirteen individuals.

#### **Members**

#### **Appointing Authority**

Chair	President of the University
Vice President Student Affairs	Ex officio, voting
Dean, Undergraduate Studies	Ex officio, voting
Dean, Graduate School	Ex officio, voting
4 undergraduate students	President of the Student Government Association
2 graduate students	President of the Graduate Student Government
2 faculty or staff	President of the University
1 Senator	Chair of the University Senate

Normally the Chair is the Vice President for Administrative Affairs. Student members serve a one-year term that coincides with the term of the appointing authority. Faculty and staff members serve two-year staggered terms based on an academic year.

Approved by the President on 10/24/08

## APPENDIX 3 - USM POLICY ON STUDENT TUITION, FEES, AND CHARGES (REVISED JUNE 22, 2012)

### 260.0 VIII-2.50 - POLICY ON STUDENT TUITION, FEES, AND CHARGES

(Approved by the Board of Regents, June 21, 1990; revised June 22, 2012)

#### I. Tuition and Mandatory Fees

1. The Chancellor, following consultation with the Presidents, shall propose guidelines for tuition and mandatory fees to the Finance Committee for recommendation to the Board of Regents.
2. As part of the formulation of the annual operating budget request, each President shall recommend tuition and fees within the guidelines established by the Board.
3. Tuition and mandatory fees shall be specifically identified in the proposed consolidated operating budget presented by the Chancellor to the Finance Committee. After the Board approves the consolidated operating budget request, tuition and mandatory fees may be altered only by agreement of the Board.
4. Tuition and mandatory fees approved by the Board shall be included in the detailed annual operating budget request for the University of Maryland System submitted by the Chancellor to the Governor and the Commission on Higher Education.
5. Mandatory fees include fees and charges applicable to a specific category of student according to enrollment status during the standard academic year. They include fees and charges for Health Services, Graduate Programs, and Auxiliary Services such as Athletics, Shuttle Bus, Student Union and Recreational, Student Activities, Supporting Facilities, and Auxiliary Facilities.
  - i. In the interest of giving the Board as much information as possible to make the best and most transparent decision regarding student fee schedules, each campus will ensure that an advisory committee--or other appropriate committee(s) involved in the processes of setting student fees is established--and is comprised of appropriate numbers of students and stakeholders representing each area supported by a student fee.
    - The advisory or similar committee(s) will be consulted in the establishment or change of student fees during the determination process.
    - The process by which these advisory committees are involved in the determination of student fees as well as the names of the students and stakeholders who make up the advisory committee will be submitted to the Board of Regents along with the proposed fee schedule.

## II. Room and Board Charges.

1. Each President shall submit proposed annual room and board charges to the Chancellor according to a timetable and instructions recommended by the Chancellor and established by the Board.
2. The Chancellor, following consultation with the Presidents, shall present the proposed charges to the Finance Committee for recommendation to the Board.
3. Room charges include room, dormitory, and apartment charges for all university residence hall facilities based on a standard academic year rate.
4. Board charges include charges based on a standard academic year rate.

## III. Other fees and charges.

1. Each President may establish fees and charges not included in sections I and II, subject to the provisions in the following paragraphs.
2. The Chancellor may submit to the Finance Committee for recommendation to the Board fees and charges that may significantly affect student costs, that may be considered for consistency among the institutions, or that may substantially differ among the institutions.
3. Student advisory committee(s) participation as described in I.5.i. for mandatory fees will be required for non-mandatory fee establishment also.

Replacement for: BOR V - 9.00; BOR V - 14.00; BOT XII - C.



# UNIVERSITY OF MARYLAND

DEPARTMENT OF BUDGET AND FISCAL ANALYSIS

2132 Main Administration Building  
College Park, Maryland 20742-5035  
301.405.5627 TEL 301.314.9519 FAX

MEMO TO: Fee-Proposing Unit Representatives

FROM: Robert A. Platky  
Director of Budget & Fiscal Analysis

SUBJECT: Follow-Up to Fall 2011 Mandatory Student Fee Review Process

DATE: November 30, 2011

Attached for your information is a copy of the final draft of the minutes of the September 23, 2011, meeting of the Committee for the Review of Student Fees. The Cabinet and President subsequently endorsed the Committee's recommendations and the fee proposals have been forwarded to USM for approval by the Board of Regents.

As further follow-up to this fall's Mandatory Student Fees recommendation process, the Committee provides the following additional guidance to fee-proposing units ("proposers"):

1) Regardless of the amount of the fee proposal, including those that are unchanged, proposers *must* provide a complete and accurate fee proposal to the Committee. Proposers should submit all required data schedules and ensure that the information is complete and ties to FRS data; this is especially important because the Budget & Fiscal Analysis staff has only a few days following the due date to compile the various fee proposals and prepare the materials for distribution to the Committee.

2) Current policy requires that "the unit proposing the fee provide an opportunity to the affected student constituency for discussion on the merits and impact of the fee" (Policy, Process for Student Participation, (1)). To ensure that student stakeholders are robustly engaged, proposers will from now on be required to include in their fee proposal a clear description of the student consultation process. It should include how students are selected for involvement, how many students are engaged and the character of the discussions.

3) Regardless of the amount of the fee proposal, including those that are unchanged, proposers *must* attend or have representation at Committee meeting(s) to present the proposal and to respond to questions and concerns of the Committee. Proposers should be prepared to respond to questions about the use of fee proceeds, necessity for a change in the amount of the fee (if any), and the portion of the program/activity expense that is partially or fully fee supported.

Your assistance in ensuring a thorough and meaningful review and approval process for student fees is very much appreciated. Please let either committee chairman Rob Specter or me know if you have any questions or concerns regarding this guidance.

cc: Committee Members

**APPENDIX 5 - SENATE EXECUTIVE COMMITTEE CHARGE ON  
THE PROPOSAL TO CHANGE CRSF OPERATING PROCEDURE**



**University Senate  
CHARGE**

<b>Date:</b>	October 27, 2011
<b>To:</b>	Rachel Cooper Chair, Student Affairs Committee
<b>From:</b>	Eric Kasischke Chair, University Senate 
<b>Subject:</b>	Proposal to Change Committee on the Review of Student Fees (CRSF) Operating Procedure
<b>Senate Document #:</b>	11-12-12
<b>Deadline:</b>	March 30, 2012

The Senate Executive Committee (SEC) requests that the Student Affairs Committee review the attached proposal entitled, “Proposal to Change Committee on the Review of Student Fees (CRSF) Operating Procedure” and make recommendations on whether the CRSF operating procedures should be revised.

President C.D. Mote Jr. created the CRSF as a means to obtain student input during the process of assessing student fees. The University’s official policy on the Review and Approval of Student Fees outlines the authority for setting fees, the process for student participation, and the membership of the committee. The SEC requests that the Student Affairs Committee review the proposal and advise on whether the current operating procedure is appropriate.

Specifically, we ask that you:

1. Review the UMCP Policy on the Review and Approval of Student Fees.
2. Review the USM Board of Regents Policy on Student Tuition, Fees, and Charges (VIII-2.50).
3. Meet with the Vice President for Administrative Affairs, Robert Spector, or his representative to obtain an overview of the procedures utilized by the CRSF including overall timeline for its work, accountability, and transparency of the review process.
4. Meet with Michele Eastman, Assistant President & Chief of Staff, to obtain an overview of the CRSF’s advisory responsibilities to the President of the University.

5. Consult with the proposers to discuss their specific concerns about the current operating procedure of the CRSF.
6. Consult with the University's Office of Legal Affairs.
7. If appropriate, recommend how the current procedures could be revised.

We ask that you submit your report and recommendations to the Senate Office no later than March 30, 2012. If you have questions or need assistance, please contact Reka Montfort in the Senate Office, extension 5-5804.



## University Senate PROPOSAL FORM

<b>Name:</b>	Anna Bedford, GSG President, Ex-officio senator Kaiyi Xie, SGA President, Ex-officio senator
<b>Date:</b>	
<b>Title of Proposal:</b>	Proposal to change CRSF (Committee on the Review of Student Fees) operating procedure
<b>Phone Number:</b>	
<b>Email Address:</b>	
<b>Campus Address:</b>	
<b>Unit/Department/College:</b>	ARHU, ENGR/CMNS
<b>Constituency (faculty, staff, undergraduate, graduate):</b>	Graduate & Undergraduate
<b>Description of issue/concern/policy in question:</b>	<p>CRSF is currently an advisory body with purview over changes to student fees made up of 4 undergraduate students, 2 graduate students, and 7 faculty/staff (including chair). However, there are serious flaws within the operating structure. There is a severe lack of transparency and accountability that contravenes the values of shared governance the University of Maryland and the Senate holds dear. Deliberations are all held in private, the committee is not given any way to track how student fees are being used once they have been approved, the committee cannot reduce or amend any fee proposal, even if the unit has failed to do as the committee required, and there are no clear guidelines on the amount of authority given to the committee. In addition, the chair is not an elected position within the committee but maintains a right to vote when it will make a difference. It is difficult to have a sense of the full history of the committee, because records are not well kept, however, we believe the chair has had reason to vote on several occasions, but has never voted with the majority of students. For this reason the committee is effectively constituted with a minority of student votes.</p>
<b>Description of action/changes you would like to see implemented and why:</b>	<p><i>Transparency</i></p> <ul style="list-style-type: none"> <li>- Members of the committee ought be given adequate time to prepare and research the proposals. Last year they were given only 2-3 days with the binders before the meeting, which was not enough time to study the proposals or to share with their constituencies.</li> <li>- Detailed meeting minutes ought be made available to all members of the University community. Currently, only vote tallies are kept</li> </ul>

	<p>without any describing substance or context of the discussion during which the votes took place. This is particularly important for the student members who often rotate off after a year and will not have access to the history of fee discussions, such as the stated purpose for which a new fee was created.</p> <p><i>Accountability</i></p> <ul style="list-style-type: none"> <li>- Each division requesting any student fees ought set up an open and transparent student advisory board that is inclusive of many different constituencies and campus governing bodies that oversees the fee proposal before it reaches CRSF. This is a policy of the CRSF but it is not enforced and several units, including Athletics, the Health Center, and Nyumburu are allowed to levy fees without giving affected constituencies a chance for input.</li> <li>- The committee ought be able to see how the previous year's student fee in a particular unit/department was spent and if it was consistent with the manner in which the fee was proposed to be spent.</li> <li>- The committee should have clearly stated guidelines in which its authority and purview is clarified, and then made available to the campus community.</li> <li>- The committee should have the power to elect its own chair in order to make the process more fair and equitable</li> </ul>
<b>Suggestions for how your proposal could be put into practice:</b>	All the proposed changes are fairly simple to make and do not require heavy investments of time but simply a procedural change to how the committee is being conducted now. In addition, there are no foreseeable financial impacts of these changes being proposed.
<b>Additional Information:</b>	

***Please send your completed form and any supporting documents to [senate-admin@umd.edu](mailto:senate-admin@umd.edu) or University of Maryland Senate Office, 1100 Marie Mount Hall, College Park, MD 20742-7541. Thank you!***

## **UMCP Policies**

### **Policy on the Review and Approval of Student Fees**

The purpose of this policy is to establish a procedure whereby students have an appropriate advisory role in the recommendation of student fees. Student participation is accommodated to ensure full disclosure on the appropriateness of the student fee schedule, the need for specific fees, and the cost-benefit of the fees to the student community. This participation carries with it the expectation that the process will be collaborative with broad involvement and representation and result in appropriate information sharing with the community at large.

#### **Authority for Setting Fees**

Mandatory fees and room, board and parking charges are set by the Board of Regents of the University System of Maryland (USM) as stipulated in the Policy on Student Tuition, Fees and Charges (262.0, VIII-2.50) approved by the Board of Regents, June 21, 1990.

The management of student fees, including the review and recommendation of proposed fees and the authorization of expenditures from the resulting fee revenues, is the responsibility of the President, who is advised by the President's Cabinet. The Cabinet is advised by the Committee for the Review of Student Fees (CRSF) on recommendations for proposed fees.

#### **Process for Student Participation**

Mandatory fees and room, board and parking charges will undergo a five-step process:

- (1) The unit proposing the fee provides an opportunity to the affected student constituency for discussion on the merits and impact of the fee.
- (2) The Committee for the Review of Student Fees reviews the proposed fee and makes a recommendation to the Cabinet.
- (3) The Cabinet reviews the fee proposal and the recommendation made by the Committee to Review Student Fees and make a recommendation to the President.
- (4) The President recommends the fee schedule to the USM Board of Regents.
- (5) Board of Regents approves the fees.

In the event that actions by the State or Board of Regents with fiscal implications to the operations funded by the fees occur late in the process, it may be necessary that the fee submission be modified by the President.

### **Committee for the Review of Student Fees**

The Committee for the Review of Student Fees shall be comprised of thirteen individuals.

#### **Members**

#### **Appointing Authority**

Chair	President of the University
Vice President Student Affairs	Ex officio, voting
Dean, Undergraduate Studies	Ex officio, voting
Dean, Graduate School	Ex officio, voting
4 undergraduate students	President of the Student Government Association
2 graduate students	President of the Graduate Student Government
2 faculty or staff	President of the University
1 Senator	Chair of the University Senate

Normally the Chair is the Vice President for Administrative Affairs. Student members serve a one-year term that coincides with the term of the appointing authority. Faculty and staff members serve two-year staggered terms based on an academic year.

Approved by the President on 10/24/08



## University Senate TRANSMITTAL FORM

<b>Senate Document #:</b>	12-13-03
<b>PCC ID #:</b>	N/A
<b>Title:</b>	Calculation of Commencement Honors
<b>Presenter:</b>	Christopher Davis, Chair, Senate Academic Procedures and Standards (APAS) Committee
<b>Date of SEC Review:</b>	March 13, 2013
<b>Date of Senate Review:</b>	April 4, 2013
<b>Voting (highlight one):</b>	1. On resolutions or recommendations one by one, or 2. In a single vote 3. To endorse entire report
<b>Statement of Issue:</b>	<p>At the end of the Spring 2012 semester, a student submitted a proposal to the Senate Executive Committee (SEC) regarding concern about the manner in which Commencement honors are currently calculated and awarded at the University. The proposer asked that the Senate consider recommending a change in the current process to take into account a student's final semester grades in the computation of Commencement honors.</p>
<b>Relevant Policy # &amp; URL:</b>	<p>Undergraduate Catalog, Section 4. Registration, Academic Requirements, and Regulations: Graduation Applications and Commencement Honors <a href="http://www.umd.edu/catalog/index.cfm">http://www.umd.edu/catalog/index.cfm</a></p>
<b>Recommendation:</b>	<p>The Senate APAS Committee recommends that the current Graduation Applications and Commencement Honors section of the Undergraduate Catalog (in Part 4. Registration, Academic Requirements, and Regulations) be revised to reflect a new process for calculating Latin honors. The committee recommends that the new process be implemented in Fall 2014. The principles of this new process are outlined in the attached report. The guiding principle is that Latin honors accord recognition for academic excellence achieved over the duration of a student's entire official undergraduate coursework at the University of Maryland, and a list of minimum GPA cut-offs for each honor designation should be published by College or School for each upcoming academic year. The final GPA of each graduating student should be compared with</p>

	<p>the published GPA cut-offs in effect for the student's graduation year to decide if a Latin honor is earned: top 2% summa cum laude, next 3% magna cum laude, next 5% cum laude. While the minimum GPA cut-offs for Latin honors will change from year to year, they will at all times remain static, once calculated, for the entire upcoming academic year and will not be recalculated during that academic year. Thus, students will be able to know what the firm minimum GPA cut-off is for their College or School for each Latin honor level in advance of graduation.</p>
<b>Committee Work:</b>	<p>The APAS Committee received the charge in September 2012. APAS consulted with representatives of the Office of the Dean for Undergraduate Studies, the Office of Undergraduate Admissions, and the Office of the Registrar about the current procedures related to the calculation of Commencement honors. APAS reviewed data on the impact of potential changes to existing procedures, as compiled by the Office of the Registrar. APAS also reviewed procedures for the calculation of Commencement honors at a number of peer and other institutions. The committee particularly focused on the way that these honors are calculated at the University of California, Los Angeles (UCLA).</p> <p>The committee met with an Assistant Registrar and the University Registrar to review the current process, as well as to discuss how the process could be feasibly reworked. After thorough review of this topic, APAS decided that the process should be changed; it used the UCLA procedures for Latin honors as a guide for crafting new procedures to recommend for use at the University.</p> <p>APAS determined that the Graduation Applications and Commencement Honors section of the University's Undergraduate Catalog should be updated to reflect the new recommended process for calculating Latin honors. The Registrar reviewed the committee's final recommendations, which are outlined in the attached report, and agreed that the recommended process is achievable and appropriate for the University.</p> <p>At its meeting on February 22, 2013, APAS voted unanimously in favor of recommending that the current Graduation Applications and Commencement Honors section of the Undergraduate Catalog be revised to reflect the new process for calculating Latin honors.</p>

<b>Alternatives:</b>	The Senate could choose not to approve the recommended changes to the Undergraduate Catalog, Section 4. Registration, Academic Requirements, and Regulations: Graduation Applications and Commencement Honors. The section on Graduation Applications and Commencement Honors would remain as is currently written, and the process would not be changed.
<b>Risks:</b>	There are no associated risks.
<b>Financial Implications:</b>	There are no related financial implications.
<b>Further Approvals Required:</b>	Senate Approval, Presidential Approval.

## **Senate Academic Procedures and Standards (APAS) Committee**

### **Report – Senate Document 12-13-03**

#### **Calculation of Commencement Honors**

**March 2013**

#### **BACKGROUND**

At the end of the spring 2012 semester, a student submitted a proposal to the Senate Executive Committee (SEC) regarding concern about the manner in which Commencement honors are currently calculated and awarded at the University (Appendix 5). The proposer asked that the Senate consider recommending a change in the current process to take into account a student's final semester grades in the computation of Commencement honors.

The proposer asserted that prospective graduates have a vested interest in their diploma, and thus the diploma should accurately reflect their earned honors level at the end of their undergraduate career. The student proposed that it is "inherently unfair that a student could potentially graduate with a higher GPA [grade point average] than a fellow student, and yet the aforementioned may not have cum laude printed on his/her diploma while the other would."

Proposals from students and alumni regarding the calculation of Commencement honors at the University have been submitted to the Senate many times over the years, resulting in at least two major reviews of the process in 1981 and 1990. The SEC charged the Senate Academic Procedures and Standards (APAS) Committee with reviewing this proposal in September 2012 (Appendix 4). The SEC asked APAS to review whether Commencement honors should be calculated so that they include a student's final semester, and whether such calculations should be included on the student's diploma following the final GPA recalculation. The SEC asked APAS to make recommendations on whether changes to the process are appropriate.

#### **CURRENT PRACTICE**

Commencement honors are awarded to the top 10% of all students graduating in each College or School over the course of a year. Summa cum laude, magna cum laude, and cum laude are the highest Commencement honors that the University bestows for sustained excellence in scholarship. Summa cum laude is awarded to students with a GPA equal to the highest two percent of all college graduates over the past three terms, magna cum laude to the next highest three percent, and cum laude to the following five percent.

To be eligible for this recognition, students must earn at least 60 credits at the University of Maryland, College Park. No more than 6 credits taken pass/fail or

satisfactory/fail can count toward the 60-hour minimum. In addition, no student with a GPA of less than 3.3 will be considered for a Commencement honors.

Because final grades are not officially recorded until after graduation, computation of the student's GPA for Commencement honors does not include grades from the student's final semester at the University.

### **COMMITTEE WORK**

The APAS Committee began its review by consulting with representatives of the Office of Undergraduate Admissions, the Office of the Dean for Undergraduate Studies, and the Office of the Registrar about the current procedures related to the calculation of Commencement honors.

The committee contacted the University Registrar with specific questions about the process, including:

- 1) For each of the last three Commencement ceremonies, how many students were listed in the Commencement Program as having graduated summa cum laude, magna cum laude, and cum laude?
- 2) For each of these last three graduation cycles, how many students in each category would not have received the honor after their final GPA was calculated?
- 3) For each of the last three graduation cycles, how many students not listed in the Commencement Program would have earned an honor after all grades (including the last semester) were incorporated into their final GPA?
- 4) For each of the last three graduation cycles, how many students listed in the Commencement program as having received a summa, magna, or cum laude honor would have lost this honor or been changed to a higher or lower honor?

The Office of the Registrar provided statistics in response to each question from APAS (Appendix 3). In November 2012, the committee reviewed data on the impact of potential changes to existing procedures, as compiled by the Office of the Registrar. The Office of the Registrar also provided a reference sheet of Commencement Honor GPA Range by College/School and Term for the committee's evaluation. The committee found that 64 total graduates (from the Spring 2011, Fall 2011, and Spring 2012 graduation cycles) who did not have an honor designation at the time of their commencement would have earned cum laude after calculation of their final GPA.

The committee also reviewed procedures for the calculation of Commencement honors at a number of peer and other institutions across the country, including the University of California, Berkeley; the University of Illinois, Urbana-Champaign; the University of California, Los Angeles; the University of Michigan; and the University of North Carolina, Chapel Hill.

The committee particularly focused on the way that the honors are calculated at the University of California, Los Angeles (UCLA). At UCLA, Latin honors are awarded according to a student's overall GPA at graduation. To be eligible, a student must have completed at least 90 (98 for the School of Nursing) University of California units for a letter grade. For specific minimum GPA requirements, which are subject to yearly change, the Latin honors breakdown is available under "Degree Policies" of the Academic Policies section in the UCLA Schedule of Classes (available online at <http://www.registrar.ucla.edu/soc/policy.htm>). For other eligibility restrictions, students are advised to contact their specific College or School, or see "Academic Excellence" in the Undergraduate Study section of the current UCLA General Catalog.

The APAS Committee reviewed the Office of the Registrar's process for calculating Commencement honors with an Assistant Registrar at its meeting on December 12, 2012. The committee confirmed that prospective graduates are listed as 'Candidates for Commencement' in their graduation ceremony programs. The committee agreed that students should be similarly listed in the program as candidates for their honor designations, as calculated at that point, pending final grades. The committee, through an ex-officio member, consulted with undergraduate representatives of the Student Government Association (SGA) about the committee's potential recommendations. The SGA representatives were supportive of the recommended process change of including all semesters in the calculation for the awarding of these honors.

The committee met with the Registrar on February 22, 2013, to discuss how the University's current process could be feasibly reworked. The Registrar advised that if the calculation of Commencement honors process is going to be changed to include the final semester of grades, the honors should be re-named as Latin honors, as opposed to Commencement honors. After thorough review of this topic, the APAS Committee decided that the process should be changed; it used the UCLA procedures for Latin honors as a guide for crafting new procedures to recommend for use at the University. The committee determined that changing the process will not result in a financial burden for the Office of the Registrar. The committee believes that the new process will provide transparency and clarity in the way that Latin honors are calculated and awarded.

The committee determined that the section of the University's Undergraduate Catalog on Graduation Applications and Commencement Honors should be updated to reflect the new process for calculating Latin honors. The committee also consulted with the Registrar about how the Office of the Registrar's website should be edited to reflect the recommended process changes. The Registrar reviewed the committee's final recommendations and agreed that the recommended process is achievable and appropriate for the University.

At its meeting on February 22, 2013, the committee voted unanimously in favor of recommending that the current Graduation Applications and Commencement Honors section of the Undergraduate Catalog (Appendix 2; in Part 4. Registration, Academic Requirements, and Regulations) be revised to reflect the new process for calculating Latin honors.

## **RECOMMENDATIONS**

The Senate APAS Committee recommends that the following principles be implemented by the University and the Office of the Registrar beginning in Fall 2014:

- 1) Latin honors accord recognition for academic excellence achieved over the duration of a student's entire official undergraduate coursework at the University of Maryland.
- 2) All Colleges and Schools at the University should award Latin honors based on a student's cumulative grade point average (GPA) at time of graduation. As such, **this GPA should be calculated using grades from all courses taken at the University, including the student's final semester of studies upon graduation.** The levels, or categories, of Latin honors are summa cum laude, magna cum laude, and cum laude.
- 3) **Final Latin honors should be officially annotated on the transcripts and diplomas of the students who have graduated, and should include the GPA of the students' final semester upon graduation, which are calculated sometime after the commencement activities.**
- 4) For the purpose of identifying in the University's commencement ceremony the graduating students who have potentially earned Latin honors, the cumulative GPAs of all graduating undergraduates should be calculated based on all grades earned at the University prior to the semester of commencement. A disclaimer should be placed in the commencement program highlighting that *the Latin honors published in this booklet are tentative and unofficial, pending the submission and calculation of all final grades for the semester of commencement.*
- 5) To determine the Latin honors cut-off in each honor category for a particular year, the Office of the Registrar should calculate at the end of a given academic year, after final grades have been submitted, the minimum GPA for each Latin honor designation, by College or School, based on cumulative GPA averages of the previous academic year's three graduating terms (Fall, Spring, and Summer).
- 6) These minimum GPAs should be considered as firm cut-offs for earning Latin honors during the academic year following the calculations, and should be published within the first couple of months of the upcoming academic year. **While the minimum GPA cut-offs for Latin honors will change from year to year, they will at all times remain static, once calculated, for the entire upcoming academic year and will not be recalculated during that academic year.** Thus, students will be able to know what the firm minimum GPA cut-off is for their individual College or School for each Latin honor level in advance of graduation.
- 7) The minimum GPA cut-offs for each Latin honor by College or School (e.g. College of Arts & Humanities: 3.924 for summa cum laude; 3.858 for magna cum laude; and, 3.766 for cum laude) should be published on the Office of the Registrar's website ([www.rr.umd.edu](http://www.rr.umd.edu)) and other online and printed publications. A link to the Office of the

Registrar's website should be included in the Undergraduate Catalog section on Latin honors. The published cut-offs should include a statement underscoring that they change from one year to the next, and any other eligibility restrictions.

**8) The final GPA of each graduating student should be compared with the published GPA cut-offs in effect for the student's graduation year to decide if a Latin honor is earned: top 2% summa cum laude, next 3% magna cum laude, next 5% cum laude. No student with a GPA of less than 3.3 should be considered for a Latin honor.**

9) Implementation of the new calculations of Latin honors should begin in Fall 2014.

10) Beginning with the publication for the 2014-2015 academic year, the Undergraduate Catalog entry on "Graduation Applications and Commencement Honors" (in Section 4. Registration, Academic Requirements, and Regulations) should be renamed as, "Graduation Applications and Latin Honors." The entry should be revised as follows; edits are indicated in blue/bold font (Appendix 1):

### **Commencement Honors Latin Honors**

Summa cum laude, magna cum laude, and cum laude are the highest **commencement Latin** honors that the University bestows for sustained excellence in scholarship. They are awarded to the top 10% of all students graduating in each ~~eCollege~~ **or School over the course of a year**. Summa cum laude is awarded to students with a GPA equal to **or greater than** the highest two percent of **GPA's from the specific College or School averaged over the previous academic year** ~~all college graduates over the past three terms~~, magna cum laude to the next highest three percent, and cum laude to the following five percent. To be eligible for this recognition, at least 60 semester hours must be earned at the ~~u~~**U**niversity or at a program in which credit earned is counted as University of Maryland, College Park, resident credit (contact the Office of the Registrar to determine program eligibility). No more than 6 credits taken pass/fail or satisfactory/fail **grade modes** shall count toward the 60-hour minimum. No student with a grade point average of less than 3.3 will be considered for a **commencement Latin** honor. **See the Office of the Registrar's website ([www.rr.umd.edu](http://www.rr.umd.edu)) for a list of the minimum GPA cut-offs for each honor designation, published by College or School.** ~~Because grades for a term generally are officially recorded after the term's graduation day, computation of the student's GPA will not include grades for courses taken during the student's final semester at the university. However, the hours taken during that semester will apply toward the 60-hour requirement.~~

## **APPENDICES**

Appendix 1 – Recommended Changes to the “Graduation Applications and Commencement Honors” section of the University’s Undergraduate Catalog

Appendix 2 – Current Version of the “Graduation Applications and Commencement Honors” section of the University’s Undergraduate Catalog

Appendix 3 – Data Analysis from the Office of the Registrar, October 2012

Appendix 4 – Charge from the Senate Executive Committee (SEC), September 2012

Appendix 5 – Proposal from Benjamin Kurtz, May 2012

## RECOMMENDED CHANGES Noted in **Blue/Bold** Font

### Undergraduate Catalog

<http://www.umd.edu/catalog/index.cfm/show/content.section/c/27/ss/1584/s/1544>

## Graduation Applications and Commencement Honors

### Graduation Applications

Each candidate for a degree or certificate must file a formal application with the Office of the Registrar. The deadline for application is the end of the schedule adjustment period for the semester in which the student plans to graduate, or at the end of the first week of the second summer session for August degrees.

In all cases, graduation applications must be filed at the beginning of the student's final semester before receiving a degree. The graduation applications are available on the internet at [www.my.umd.edu](http://www.my.umd.edu) or at the Registrar's Office, 1st floor Mitchell Building.

### **Commencement Honors Latin Honors**

Summa cum laude, magna cum laude, and cum laude are the highest **commencement Latin** honors that the University bestows for sustained excellence in scholarship. They are awarded to the top 10% of all students graduating in each **eCollege or School over the course of a year**. Summa cum laude is awarded to students with a GPA equal to **or greater than** the highest two percent of **GPA's from the specific College or School averaged over the previous academic year all college graduates over the past three terms**, magna cum laude to the next highest three percent, and cum laude to the following five percent. To be eligible for this recognition, at least 60 semester hours must be earned at the **University** or at a program in which credit earned is counted as University of Maryland, College Park, resident credit (contact the Office of the Registrar to determine program eligibility). No more than 6 credits taken pass/fail or satisfactory/fail **grade modes** shall count toward the 60-hour minimum. No student with a grade point average of less than 3.3 will be considered for a **commencement Latin** honor. **See the Office of the Registrar's website ([www.rr.umd.edu](http://www.rr.umd.edu)) for a list of the minimum GPA cut-offs for each honor designation, published by College or School.** ~~Because grades for a term generally are officially recorded after the term's graduation day, computation of the student's GPA will not include grades for courses taken during the student's final semester at the university. However, the hours taken during that semester will apply toward the 60-hour requirement.~~

...

## CURRENT VERSION

### Undergraduate Catalog 2012-2013

<http://www.umd.edu/catalog/index.cfm/show/content.section/c/27/ss/1584/s/1544>

## Graduation Applications and Commencement Honors

### Graduation Applications

Each candidate for a degree or certificate must file a formal application with the Office of the Registrar. The deadline for application is the end of the schedule adjustment period for the semester in which the student plans to graduate, or at the end of the first week of the second summer session for August degrees.

In all cases, graduation applications must be filed at the beginning of the student's final semester before receiving a degree. The graduation applications are available on the internet at [www.my.umd.edu](http://www.my.umd.edu) or at the Registrar's Office, 1st floor Mitchell Building.

### Commencement Honors

Summa cum laude, magna cum laude and cum laude are the highest commencement honors that the University bestows for sustained excellence in scholarship. They are awarded to the top 10% of all students graduating in each college over the course of a year. Summa cum laude is awarded to students with a GPA equal to the highest two percent of all college graduates over the past three terms, magna cum laude to the next highest three percent, and cum laude to the following five percent. To be eligible for this recognition, at least 60 semester hours must be earned at the university or at a program in which credit earned is counted as University of Maryland, College Park, resident credit (contact the Office of the Registrar to determine program eligibility). No more than 6 credits taken pass/fail or satisfactory/fail shall count toward the 60-hour minimum. No student with a grade-point average of less than 3.3 will be considered for a commencement honor. Because grades for a term generally are officially recorded after the term's graduation day, computation of the student's GPA will not include grades for courses taken during the student's final semester at the university. However, the hours taken during that semester will apply toward the 60-hour requirement.

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Graduates by Term & College

Graduates with Honors (10/1/12)

Answers Question 1

Term	College	Graduates	Summa Cum Laude	Magna Cum Laude	Cum Laude	Grand Total
<b>SPRING 2011</b>		<b>4,922</b>	<b>102</b>	<b>157</b>	<b>259</b>	<b>518</b>
	AGNR	182	3	6	12	21
	ARCH	36	1		1	2
	ARHU	907	21	20	46	87
	BMGT	732	16	13	31	60
	BSOS	1,284	21	62	76	159
	CLFS	412	5	20	24	49
	CMPS	197	5	9	11	25
	EDUC	180	8	2	6	16
	ENGR	522	14	18	28	60
	JOUR	96	2	2	7	11
	SPHL	362	6	3	17	26
	UGST	12		2		2
<b>FALL 2011</b>		<b>1,456</b>	<b>26</b>	<b>31</b>	<b>37</b>	<b>94</b>
	AGNR	58	1	1	3	5
	ARCH	4				
	ARHU	266	6	6	5	17
	BMGT	162	5	2	7	14
	BSOS	401	6	11	9	26
	CMNS	185	3	4	3	10
	EDUC	15			1	1
	ENGR	147	3	3	4	10
	JOUR	15		1		1
	SPHL	202	2	3	5	10
	UGST	1				
<b>SPRING 2012</b>		<b>4,813</b>	<b>173</b>	<b>168</b>	<b>271</b>	<b>612</b>
	AGNR	197	6	9	16	31
	ARCH	57	2	1	5	8
	ARHU	812	29	34	38	101
	BMGT	722	31	22	44	97
	BSOS	1,241	36	45	76	157
	CMNS	670	26	15	33	74
	EDUC	150	5	2	4	11
	ENGR	511	16	22	33	71
	JOUR	98	3	2	7	12
	SPHL	346	19	16	13	48
	UGST	9			2	2
<b>Grand Total</b>		<b>11,191</b>	<b>301</b>	<b>356</b>	<b>567</b>	<b>1,224</b>

Change in Commencement Honor After Calculation of Final GPA (10/1/12)  
Answers Questions 2 and 4

Term	Honor Received	Honor After Final GPA	Count
<b>Spring 2011</b>			<b>518</b>
	<b>Summa Cum Laude</b>		<b>102</b>
		Cum	2
		Magna	7
		Remain	93
	<b>Magna Cum Laude</b>		<b>157</b>
		Cum	22
		Summa	8
		No Honor	2
		Remain	125
	<b>Cum Laude</b>		<b>259</b>
		Magna	21
		No Honor	38
		Remain	200
<b>Fall 2011</b>			<b>94</b>
	<b>Summa Cum Laude</b>		<b>26</b>
		Cum	1
		Magna	2
		Remain	23
	<b>Magna Cum Laude</b>		<b>31</b>
		Cum	7
		Remain	24
	<b>Cum Laude</b>		<b>37</b>
		Magna	3
		No Honor	6
		Remain	28
<b>Spring 2012</b>			<b>612</b>
	<b>Summa Cum Laude</b>		<b>173</b>
		Cum	1
		Magna	16
		Remain	156
	<b>Magna Cum Laude</b>		<b>168</b>
		Cum	33
		Summa	12
		No Honor	1
		Remain	122
	<b>Cum Laude</b>		<b>271</b>
		Magna	10
		No Honor	35
		Remain	226
<b>Grand Total</b>			<b>1224</b>

Graduates With No Honor Who Would Have Earned Cum Laude Honor After Calculation of Final GPA (10/1/12)  
Answers Question 3

Term	College	Total
Spring 2011		29
	AGNR	2
	ARHU	4
	BMGT	4
	BSOS	5
	CLFS	4
	ENGR	5
	SPHL	5
Fall 2011		4
	BMGT	1
	BSOS	1
	CMNS	1
	SPHL	1
Spring 2012		31
	ARCH	1
	ARHU	5
	BMGT	5
	BSOS	9
	CMNS	3
	ENGR	4
	SPHL	4
<b>Grand Total</b>		<b>64</b>

Reference Sheet of Commencement Honor GPA Range by College and Term (10/1/12)

College	Term	Summa High	Summa Low	Magna High	Magna Low	Cum Laude High	Cum Laude Low
AGNR	Spring 2011	4.000	3.950	3.949	3.848	3.847	3.690
	Fall 2011	4.000	4.000	3.999	3.876	3.875	3.724
	Spring 2012	4.000	4.000	3.999	3.876	3.875	3.729
ARCH	Spring 2011	4.000	3.976	3.975	3.972	3.971	3.851
	Fall 2011	4.000	4.000	3.999	3.868	3.867	3.752
	Spring 2012	4.000	4.000	3.999	3.868	3.867	3.752
ARHU	Spring 2011	4.000	3.968	3.967	3.917	3.916	3.839
	Fall 2011	4.000	3.969	3.968	3.906	3.905	3.826
	Spring 2012	4.000	3.969	3.968	3.910	3.909	3.818
BMGT	Spring 2011	4.000	4.000	3.999	3.949	3.948	3.895
	Fall 2011	4.000	3.975	3.974	3.935	3.934	3.872
	Spring 2012	4.000	3.975	3.974	3.936	3.935	3.872
BSOS	Spring 2011	4.000	3.975	3.974	3.901	3.900	3.811
	Fall 2011	4.000	3.974	3.973	3.916	3.915	3.827
	Spring 2012	4.000	3.971	3.97	3.914	3.913	3.82
CLFS	Spring 2011	4.000	4.000	3.999	3.949	3.948	3.875
	Fall 2011						
	Spring 2012						
CMNS	Spring 2011						
	Fall 2011	4.000	3.981	3.980	3.948	3.947	3.878
	Spring 2012	4.000	3.982	3.981	3.954	3.953	3.896
CMPS	Spring 2011	4.000	4.000	3.999	3.950	3.949	3.872
	Fall 2011						
	Spring 2012						
EDUC	Spring 2011	4.000	4.000	3.999	3.972	3.971	3.929
	Fall 2011	4.000	4.000	3.999	3.976	3.975	3.911
	Spring 2012	4.000	4.000	3.999	3.960	3.959	3.925
ENGR	Spring 2011	4.000	3.975	3.974	3.912	3.911	3.825
	Fall 2011	4.000	3.975	3.974	3.906	3.905	3.822
	Spring 2012	4.000	3.978	3.977	3.905	3.904	3.818
JOUR	Spring 2011	4.000	3.931	3.930	3.873	3.872	3.797
	Fall 2011						
	Spring 2012	4.000	3.943	3.942	3.861	3.860	3.791
SPHL	Spring 2011	4.000	3.926	3.925	3.860	3.859	3.730
	Fall 2011	4.000	3.892	3.891	3.773	3.772	3.666
	Spring 2012	4.000	3.886	3.885	3.761	3.76	3.663
UGST	Spring 2011	4.000	4.000	3.999	3.957	3.956	3.843
	Fall 2011	4.000	3.968	3.967	3.909	3.908	3.764
	Spring 2012	4.000	3.968	3.967	3.909	3.908	3.764



## University Senate CHARGE

<b>Date:</b>	September 14, 2012
<b>To:</b>	Christopher Davis Chair, Academic Procedures & Standards
<b>From:</b>	Martha Nell Smith Chair, University Senate 
<b>Subject:</b>	Calculation of Commencement Honors
<b>Senate Document #:</b>	12-13-03
<b>Deadline:</b>	February 15, 2013

The Senate Executive Committee (SEC) requests that the Academic Procedures & Standards (APAS) Committee review the attached proposal regarding Calculation of Commencement Honors and make recommendations on whether changes are appropriate.

Commencement honors are awarded to the top 10% of all students graduating in each college over the course of a year. To be eligible for this recognition, students must earn at least 60 credits at the University. Because final grades are not officially recorded until after graduation, computation of the student's GPA for commencement honors does not include grades from the student's final semester at the University. However, the credits taken during that last semester will apply toward the 60-credit requirement. We would like the committee to review whether commencement honors should be calculated so that they include the student's final semester and whether such calculations should be included on the student's diploma following the final GPA recalculation.

Specifically, we ask that you:

1. Review the *Graduation Applications and Commencement Honors* section of the University's Undergraduate Catalog (<http://www.umd.edu/catalog/index.cfm/show/content.section/c/27/ss/1584/s/1544>).
2. Consult with the proposer about his specific concerns.
3. Consult with a representative from the Office of the Dean for Undergraduate Studies.
4. Consult with a representative of the Office of the Registrar.
5. Review the process for commencement honor calculation at our peer universities.

6. Research the potential cost and feasibility of implementation of changes to existing procedures.
7. Review data on the impact of potential changes to existing procedures.
8. Consult with the University's Office of Legal Affairs.
9. If appropriate, recommend whether the current procedure for calculating commencement honors should be revised and published in the Undergraduate Catalog.

We ask that you submit your report and recommendations to the Senate Office no later than February 15, 2013. If you have questions or need assistance, please contact Reka Montfort in the Senate Office, extension 5-5804.



## University Senate PROPOSAL FORM

<b>Name:</b>	Benjamin Kurtz
<b>Date:</b>	9/29/2011
<b>Title of Proposal:</b>	Honors Graduation
<b>Phone Number:</b>	240-498-7657
<b>Email Address:</b>	bkurtz1@terpmail.umd.edu
<b>Campus Address:</b>	Off campus/ 8209 Stone Trail Dr. Bethesda Maryland 20817
<b>Unit/Department/College:</b>	Criminal Justice/BSOS
<b>Constituency (faculty, staff, undergraduate, graduate):</b>	
<b>Description of issue/concern/policy in question:</b>	My concern is the manor for which final class rankings are computed.
<b>Description of action/changes you would like to see implemented and why:</b>	Please see below

<b>Suggestions for how your proposal could be put into practice:</b>	Please see below
<b>Additional Information:</b>	

***Please send your completed form and any supporting documents to [senate-admin@umd.edu](mailto:senate-admin@umd.edu) or University of Maryland Senate Office, 1100 Marie Mount Hall,***

***College Park, MD 20742-7541. Thank you!***

***My area of concern is the manor for which final class ranking are computed . First I must state, I understand as to why final semester grades are not used to compute honors as per graduation ceremonies; but I don't believe this reasoning should justify why true class rankings can't be computed for printed diploma. Specifically, I believe there to be an intrinsic value as to having cum laude printed on a diploma. I believe that once printed on the diploma, issued by the University, that finality has occurred and it is implied by any and all looking at the diploma, that the individual has indeed graduated in the top ten percent of***

*his or her college. It is not assumed by future employers or graduate programs that this implies that said individual was in the top ten percent of his or her class up and until his or her last semester. In furtherance, I believe a potential graduate has a "Property" interest in their diploma and thus should have adequate due process in challenging their ultimate final position within their class. My proposed remedy is neither overly burdensome or costly; I would suggest that after all grades are posted for the final semester( for which the college must wait in order to issue diploma) that a re-calculation of final class standings is done, and diploma's are printed and awarded accordingly. It is inherently unfair that a student could potentially graduate with a higher GPA than a fellow student, and yet the aforementioned may not have cum laude printed on his/her diploma while the other would.*

*Points of reason*

- 1) Property interest in diploma*
- 2) Intrinsic value In having cum laude printed on diploma*
- 3) lack of due process and transparency in calculation of true final class standing*
- 4) Inherently unfair to have potential higher GPA than those with honors, yet not receive honors yourself*
- 5) Remedy would be easy to implement, and make final class standing accurate and fair*

*Thank you for your consideration,*

*Benjamin Kurtz 111545278*



## University Senate TRANSMITTAL FORM

<b>Senate Document #:</b>	12-13-08
<b>Title:</b>	Revisions to the College of Behavioral and Social Sciences (BSOS) Plan of Organization
<b>Presenter:</b>	Devin Ellis Chair, Elections, Representation, & Governance (ERG) Committee
<b>Date of SEC Review:</b>	March 13, 2013
<b>Date of Senate Review:</b>	April 4, 2013
<b>Voting (highlight one):</b>	1. On resolutions or recommendations one by one, or 2. In a single vote 3. To endorse entire report
<b>Statement of Issue:</b>	<p>The University of Maryland Plan of Organization mandates that all Colleges and Schools be governed by a Plan of Organization that conforms to the stipulations set forth in the University of Maryland Plan of Organization, Article 11. College and School Plans of Organization must be reviewed and approved by the University Senate for compliance. The Senate Elections, Representation, and Governance (ERG) Committee is the standing committee responsible for conducting these reviews. The Senate Faculty Affairs Committee is responsible for reviewing the Appointment, Promotion, and Tenure (APT) Committee section of the Plan as part of the Senate review process. Any Plan of Organization under review that is determined not to be in compliance with the University of Maryland Plan of Organization, Article 11 is returned to the College or School for revision.</p> <p>The College of Behavioral and Social Sciences (BSOS) submitted its revised Plan of Organization to the University Senate for review on April 8, 2011.</p>
<b>Relevant Policy # &amp; URL:</b>	Plan of Organization for the University of Maryland, <a href="http://www.senate.umd.edu/governingdocs/Plan_of_Organization.pdf">http://www.senate.umd.edu/governingdocs/Plan_of_Organization.pdf</a>
<b>Recommendation:</b>	The ERG Committee recommends the Senate approve the revised College of Behavioral and Social Sciences Plan of Organization.

<b>Committee Work:</b>	<p>The ERG Committee reviewed the revisions to the BSOS Plan of Organization in April 2011. It compiled its comments and returned the Plan to BSOS with a draft of the Best Practices in Shared Governance Checklist to assist in revising the Plan. BSOS returned its revised Plan to the committee in September 2011. The committee studied the Plan in November and December 2011, and compared it to the checklist. It returned the Plan with comments and the checklist in January 2012.</p> <p>The ERG Committee reviewed a revised version of the Plan at its meeting in March 2012. It determined that additional issues existed related to the structure of decision-making bodies and their relation to the Dean's Office and the College Assembly. The committee determined the Plan needed further review.</p> <p>At its meeting on September 7, 2012, the ERG Committee voted to form a Working Group to work directly with an Associate Dean in BSOS to expedite consideration of the Plan review. The Working Group conveyed the concerns of the committee, and BSOS returned a newly revised Plan of Organization in October 2012. The Working Group recommended its approval, and the ERG Committee voted to approve the Plan, pending final approval of the APT section from the Faculty Affairs Committee.</p> <p>The Faculty Affairs Committee reviewed the APT section of the Plan in October and November 2012. The committee discussed the role of the associate dean and the dean in the meetings of the APT committee, and voted to recommend that BSOS change the language of the section to clarify that they have a voice but no vote on the APT committee. BSOS agreed to change the language of the APT section, and the Faculty Affairs Committee approved the section.</p> <p>Following the approval by the ERG and Faculty Affairs Committees, the BSOS College Academic Council voted to approve the revised Plan of Organization in February 2013.</p>
<b>Alternatives:</b>	The Senate could choose not to approve the revised BSOS Plan of Organization. BSOS would then be bound by their existing Plan of Organization, and would remain out of compliance with the requirement that each College Plan of Organization be revised and approved by the University Senate every ten years.
<b>Risks:</b>	There are no associated risks.
<b>Financial Implications:</b>	There are no financial implications.
<b>Further Approvals Required:</b>	Senate approval, Presidential approval.

# **Senate Elections, Representation, & Governance (ERG) Committee**

## **Senate Document # 12-13-08**

### **Revisions to the College of Behavioral and Social Sciences (BSOS) Plan of Organization**

**March 2013**

#### **BACKGROUND**

The University of Maryland Plan of Organization mandates that all Colleges and Schools be governed by a Plan of Organization that conforms to the stipulations set forth in the University of Maryland Plan of Organization, Article 11. College and School Plans of Organization must be reviewed and approved by the University Senate for compliance. The Senate Elections, Representation, and Governance (ERG) Committee is the standing committee responsible for conducting these reviews. The Senate Faculty Affairs Committee is responsible for reviewing the Appointment, Promotion, and Tenure (APT) Committee section of the Plan as part of the Senate review process. Any Plan of Organization under review that is determined not to be in compliance with the University of Maryland Plan of Organization, Article 11 is returned to the College or School for revision.

The current Plan of Organization for the College of Behavioral and Social Sciences (BSOS) was approved by the Senate in 1995. The College submitted its revised Plan of Organization to the University Senate for review on April 8, 2011.

#### **COMMITTEE WORK**

The ERG Committee began its review of the BSOS Plan of Organization at its meeting on April 13, 2011. It reviewed the Plan and compiled a number of comments to send back to the College. The committee returned the Plan to BSOS for revisions, and also sent a draft of the “Best Practices in Shared Governance Checklist,” which was in development at the time to assist the ERG Committee in reviewing Plans of Organization.

In September 2011, BSOS submitted a revised version of the Plan of Organization to the ERG Committee. The committee discussed the Plan at its meetings on November 7 and December 6, 2011. It compiled its comments and incorporated them into the newly-developed checklist. On January 31, 2012, the committee sent the Plan back to BSOS with comments and the checklist.

The ERG Committee received a revised version of the Plan from BSOS. At its meeting on March 28, 2012, the committee reviewed the Plan and determined that additional issues with the Plan merited further review. In particular, the committee raised concerns regarding the structure of decision-making bodies in the College and their relation to the Dean’s Office and the College Assembly. The committee determined it would review the Plan further before sending any comments back to BSOS. The committee was unable to review the Plan at subsequent meetings in the academic year.

At the first meeting of the 2012-2013 academic year, the ERG Committee reviewed the progress with the BSOS Plan and determined on a strategy to expedite its review. After reviewing the Plan and discussing the outstanding issue related to the lines of authority for the College administration and shared

governance bodies, the Chair updated the committee on conversations with the College over the summer. BSOS had indicated their desire to work with ERG to finalize the Plan quickly so it can move forward with administrative changes. The ERG Committee voted to create the BSOS Plan of Organization Working Group, composed of a few members of the committee familiar with the Plan and its review history, to work closely with BSOS to complete the Plan review.

The chair of the committee and the Working Group worked with an Associate Dean regarding the revisions and presented a revised version of the Plan at the ERG Committee meeting on October 22, 2012, along with the recommendation of the Working Group that the committee approve the Plan. The committee noted that the Plan was now in compliance with the requirements and guidelines set for Plans of Organization. The ERG Committee voted to approve the Plan of Organization, pending final approval of the APT section by the Faculty Affairs Committee.

The Senate Faculty Affairs Committee received the APT Section of the BSOS Plan of Organization in September 2012. It examined the section at its meeting on October 4, 2012. The committee discussed concerns regarding the role of the associate dean and dean in APT committee meetings, and voted to recommend that the section be amended to allow the associate dean and the dean to have a voice but no vote in the meetings. In discussing the promotion of non-tenure track ranks, the committee also decided to suggest that BSOS consider including procedures for non-tenure track rank promotion. The chair of the committee relayed these concerns to BSOS for review.

At its meeting on November 19, 2012, the Faculty Affairs Committee reviewed the section again. BSOS had responded that the associate dean and dean do, in practice, have a voice but no vote on the APT committee and that their policy does not include non-tenure track faculty promotion because no University policy requires it. The committee voted to recommend changing the language of the section to formalize the role of the associate dean and dean. BSOS agreed to changing the language of the section as requested, and the Faculty Affairs Committee approved the APT section.

Following the approval of the ERG and Faculty Affairs Committees, BSOS sent the revised Plan of Organization to its College Academic Council for final approval. The College Academic Council voted to approve the Plan of Organization in February 2013.

## **RECOMMENDATION**

The ERG Committee recommends the Senate approve the revised College of Behavioral and Social Sciences Plan of Organization.

## **APPENDICES**

Appendix 1 – Revised 2013 BSOS Plan of Organization

Appendix 2 – 1995 BSOS Plan of Organization

# Plan of Organization

College of Behavioral and Social Sciences

March 2013

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## **College of Behavioral and Social Sciences**

### **University of Maryland College Park**

#### **Plan of Organization**

##### **Preamble**

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The purpose of this Plan of Organization is to provide a framework within which the College of Behavioral and Social Sciences can fulfill its mission with due regard to the shared rights, responsibilities, and participation of the entire College community. The Plan emphasizes the importance of the principles of shared governance. It seeks, within the constraints imposed by the administrative structure of the University and University policies, to provide faculty members, staff, graduate students, and undergraduate students with an active and important role in all decisions that affect their responsibilities and rights.<sup>1</sup>

##### **Mission Statement**

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The College of Behavioral and Social Sciences is committed to conducting theoretical, experimental, field, and applied scholarship of the highest quality, as recognized by our peers, policy and decision makers, and other stakeholders. The college is committed to lead in developing new areas of research that will significantly impact both scholarship and society.

The college's undergraduate educational programs give our students the knowledge and skills necessary to address the pressing needs of individuals and society in a rapidly evolving world. We will strengthen our commitment to provide a first-class educational experience for our undergraduates, imparting an education that demands critical thinking and intellectual growth.

The quality of graduate training in the College of Behavioral and Social Sciences will be a primary factor in the continuing rise of the University of Maryland in national and international rankings.

The College faculty and administration sees as part of its mission an obligation to serve the needs of the campus community and the community at large in the spirit of collegial cooperation.

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<sup>1</sup> The University of Maryland System Policy on Shared Governance is found at <http://www.usmh.usmd.edu/regents/bylaws/SectionI/I600.html>

## **Article I. Constituent units**

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- a. The College of Behavioral and Social Sciences has ten academic units: the Departments of African American Studies, Anthropology, Criminology and Criminal Justice, Economics, Geographical Sciences, Government and Politics, Hearing and Speech Sciences, Psychology, Sociology, and the Joint Program in Survey Methodology.
- b. Six centers report directly to the Dean: Center for Substance Abuse Research, Maryland Population Research Center, Interindustry Forecasting Project at the University of Maryland, the National Consortium for the Study of Terrorism and Responses to Terrorism, Neuroscience and Cognitive Sciences, and Center for Safe Solutions. All references to centers in this Plan of Organization shall refer to centers that report directly to the Dean.

## **Article II. Administration**

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- a. The College Assembly
  1. Membership: The College Assembly shall include
    - i. All faculty (including research faculty, instructors, and lecturers) in the College.
    - ii. All staff in the College.
    - iii. The officers of the Dean's Student Advisory Committee and the Dean's Graduate Student Advisory Committee.
  2. Functions and Responsibilities:
    - i. To adopt the Plan of Organization of the College of Behavioral and Social Sciences and amendments thereto
    - ii. To initiate action that will be included in the agenda of the next regular meeting of the College Council
    - iii. To provide for the orderly dialog and debate of issues of concern to the College
    - iv. To initiate and recommend action on any matter of concern to the College and to advise the Dean on any matter of concern to the College
  3. Officers: A Chair and a Vice Chair will be elected by the membership Assembly. The chair shall preside over all meetings. If the chair is absent then the vice-chair shall preside over a meeting.

4. Meetings:

- i. The College Assembly shall be held at least once each academic year.
- ii. At least one meeting of the College Assembly, the Dean shall summarize activities in the College during the past academic year and present his or her views on the current state of the College.

b. The Dean

- i. The Dean is the chief administrative officer of the College.
- ii. The Dean exercises those functions delegated to him or her by the President and the Provost, including responsibility for the College budget and for submitting recommendations concerning appointments, tenure, and promotion.

c. Department Chairs and Center Directors

- i. Selection of Department Chairs: After consultation with the affected unit, the Dean shall appoint a committee to conduct the search. Where possible, a majority of the members of the committee shall be from the department. The search committee shall solicit names of nominees from the members of the unit and shall apprise the unit of the progress of the search. All members of the department shall have the right to submit evaluations of recommended candidates to the search committee, the Dean, and the Provost. The Dean shall either forward to the Provost his or her nominee or ask the search committee to offer additional candidates.
- ii. Selection of Center Directors: The Dean shall select Center Directors after consulting with the center's faculty and staff and other faculty and staff in the College.
- iii. Duties of Chairs and Directors: The Chairs and Directors are the administrative officers of their units. They exercise those functions delegated to them by the Dean, including responsibility for their unit budget, and for the submission of recommendations concerning appointments, tenure, and promotion.
- iv. Academic departments,<sup>2</sup> centers, Chairs,<sup>3</sup> and Center Directors shall be reviewed periodically in accordance with University policy. There is no University policy regarding center reviews.

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<sup>2</sup> The University of Maryland Policy on the Review of Academic Units is found at <http://www.president.umd.edu/policies/i600a.html>

<sup>3</sup> The University of Maryland Policy on the Review of Department Chairs and Directors of Academic Units is found at <http://www.president.umd.edu/policies/I-600C.html>

The College will develop a plan to ensure periodic review of these important units.

d. The Chairs and Directors Council

- i. Membership consists of the Dean, Chairs and Directors of all academic and administrative units, associate and assistant deans, and appropriate Dean's staff. The voting members of this body are the Dean, the Department Chairs, and Center Directors. The Dean presides at all Council meetings.
- ii. Functions, responsibilities, and meetings: The Council shall meet regularly during the academic year, at the request of the Dean or of a majority of its members, to discuss collegiate issues and concerns and to disseminate administrative information. The Dean may invite College faculty and students, and others to attend and to participate in the Council meetings as appropriate. Summary notes are submitted by the Dean and are considered approved unless expressly amended at the subsequent Council meeting.

### **Article III. Committees**

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- a. The College has one standing body of the College Assembly: (i) Programs, Curricula, and Courses Committee, and three stand-alone committees: (ii) Dean's Student Advisory Committee, (iii) Dean's Graduate Student Advisory Committee, and (iv) Appointment, Promotions, and Tenure Committee.
- b. Dean's Student Advisory Committee
  - i. Membership: The Dean's Student Advisory Council (DSAC) shall be composed of undergraduate students, with one voting representative from each of the College's academic departments and at least three but no more than five at-large voting members. The departmental representatives will be elected by each department. The at-large members will be selected by an application process with the Associate Dean for Undergraduate Studies.
  - ii. Functions and Responsibilities:
    1. DSAC is advisory to the Dean and provides a forum for the exchange of information and discussion of matters pertinent to the undergraduate experience in the College.
    2. DSAC shall coordinate programs among the students, faculty, and alumni.

3. To evaluate university, college and department information and policies.
4. To hear student's concerns and serve as the voice of the college's undergraduate population to the Dean's office and departmental undergraduate student service offices.
5. To facilitate relationships between departments, faculty, staff, students, alumni, and the office of the Dean, and to foster a sense of community in the College.
6. When appropriate, to rally students to action.
7. To educate students on academic policies and procedures.
8. To review and recommend to the Dean the annual technology fee budget.
9. To organize and implement the Student-Faculty Dinner.
10. To assess DSAC initiatives and find ways to promote its mission and purpose.

iii. Officers:

1. The officers of DSAC shall be the Chairperson, Vice Chairperson of Committees, Vice Chairperson of Internal Communication and Finance and Vice Chairperson of External Communication.
2. The officers shall be elected annually by the members of DSAC.

iv. Meetings and Notices:

1. Meetings shall be held weekly during the academic year at a time and place designated by the officers of DSAC. Minutes shall be distributed after each meeting.
2. Notices of regular meetings shall be sent to all DSAC members on a weekly basis. Notices of activities and general meetings shall be sent to all BSOS majors several times each semester. A summary of DSAC activities shall be distributed periodically and posted on the DSAC website.

- v. Committees: The officers of DSAC may constitute standing and ad-hoc committees as deemed necessary.

c. Dean's Graduate Student Advisory Committee

- i. Membership: The Dean's Graduate Student Advisory Council (DGSAC) shall be composed of at least one voting representative from each of the College's Academic Departments that offers graduate degrees and at least three but no more than five at-large voting members. The representatives will be elected by each department.

ii. Functions and Responsibilities:

1. DGSAC is advisory to the Dean and provides a forum for the exchange of information and discussion of matters pertinent to the graduate experience in the College.
2. DGSAC shall coordinate programs among the students, faculty, and alumni.
3. To evaluate university, college and department information and policies.
4. To hear student's concerns and being the voice of the college's graduate student population to the Dean's Office and Departmental Undergraduate Student Service Offices.
5. To facilitate relationships between departments, faculty, staff, students, and alumni and the Office of the Dean, and to foster a sense of community in the College.
6. To educate students on academic policies and procedures.
7. To review and recommend to the Dean the annual technology fee budget.
8. To assess DGSAC initiatives and find ways to promote its mission and purpose.

iii. Officers:

1. The officers of DGSAC shall be the Chairperson and other officers as specified in the DGSAC constitution.
2. The officers shall be elected annually by the members of DGSAC.

iv. Meetings and Notices:

1. Meetings shall be held at least monthly during the academic year at a time and place designated by the officers of DGSAC. Minutes shall be distributed after each meeting.
2. Notices of regular meetings shall be sent to all DGSAC members on a regular basis. A summary of DGSAC activities email shall be distributed periodically to all BSOS graduate students and posted on the DGSAC website.

v. Committees: The officers of DGSAC may constitute standing and ad-hoc committees as deemed necessary.

d. Committee on Programs, Curriculum, and Courses (PCC)

- i. Membership: The Dean, with the advice and consent of the College Council (see Article V below), shall appoint members. The committee, a standing body of the College Assembly, shall consist of five faculty, one graduate student, and one undergraduate student. The Dean should manage appointments so

as to assure representation across a broad spectrum of units in the College, along with diversity in gender and ethnic background.<sup>4</sup>

ii. Functions and Responsibilities:

1. The committee reviews and makes recommendations to the Dean on all proposals for new programs and curricula, all courses (new or existing) related to such proposals, all proposals for new courses or for substantial changes in existing courses or curricula. The Committee, in making its recommendations, shall consider the soundness of the proposal, evidence of need and availability of resources, appropriateness of sponsoring groups, assurance of non-duplication, and conformity with established priorities, goals, and existing regulations.
2. The committee shall formulate and recommend to the Dean the academic priorities of the College regarding undergraduate and graduate programs and interdisciplinary and interdivisional studies. The committee shall review and recommend policies concerning matriculation and retention within the College, Collegiate degrees, honors programs of the academic units within the College, and other matters pertaining to the instructional program of the College.

e. Committee on Appointments, Promotions, and Tenure (APT)

i. Membership:

1. The Dean, with the advice and consent of the College Council, shall appoint the committee members. The Committee shall consist of six members; all members shall hold the rank of full professor.
2. Members shall serve one year, and may be reappointed by the Dean, with the advice and consent of the College Council (see Article V below), for one successive year. Insofar as possible, the committee should contain members in both their first and second year of service. The Dean should manage appointments so as to assure representation across a broad spectrum of units in the College, along with diversity in gender and ethnic background.
3. The Dean will appoint an associate dean who will serve as ex officio member of the APT committee, who will observe all proceedings and will serve as liaison between the committee and the departments as well as the campus. As

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<sup>4</sup> The University of Maryland Policy on Affirmative Action is found at <http://www.president.umd.edu/policies/vi100a.html>. The University of Maryland Policy on Equal Opportunity is found at <http://www.president.umd.edu/policies/vi100b.html>

an ex officio member, the associate dean shall have a voice but no vote on the committee.

- ii. Functions and responsibilities: The committee shall deliberate in confidence and shall then make written recommendations on all cases of tenure, promotion, or appointments to the ranks of Associate and Full Professor. The APT committee shall conduct its business in accordance with University policy on appointments, promotion, and tenure. The APT committee shall not consider the appointment or promotion of research faculty, unless University policy specifies review.<sup>5</sup>
  - iii. Rules and Procedures: The APT committee shall choose a chair from among its members and shall establish the Committee's rules and procedures. These rules must be consistent with University policy on appointments, promotion, and tenure.
  - iv. Meetings: The Dean may, at the Dean's discretion, attend the APT committee's meetings as an ex officio, non-voting member of the committee.
- f. Other committees
- i. The Dean may, from time to time, form other committees to give the faculty, administrators, and students additional opportunities to participate in the governance of the College.
  - ii. The Dean shall have the responsibility for determining the membership and function of these committees.

#### **Article IV. College Council**

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- a. Membership:
- i. The Dean shall have ex officio but non-voting membership on the College Council.
  - ii. Faculty:
    - 1. Each academic department in the College shall elect one member from among its faculty. Department Chairs and the Director of the Joint Program of Survey Methodology are not eligible to serve as voting members on the College Council.
    - 2. The lecturers, instructors, and research faculty in the College shall collectively elect one representative.
    - 3. Elected representatives shall serve a term of two years. Representatives may not serve for more than two

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<sup>5</sup> The University of Maryland APT policy is found at <http://www.president.umd.edu/policies/ii100a.html>

successive terms. Elections should be held prior to April 30th each year. A representative's term shall begin on July 1 after the election.

iii. Centers:

1. The college-level centers shall collectively choose one representative. All Center Directors are welcome to attend all meetings of the College Council as ex officio, non-voting members.
2. The elected representative shall serve a term of two years. Representatives may not serve for more than two successive terms. Elections should be held prior to April 30th each year. A representative's term shall begin on July 1 after the election.

iv. Graduate and undergraduate students: The chair of the Dean's Students Advisory Committee and the chair of the Dean's Graduate Student Advisory Committee shall serve as members of the College Council.

v. Staff: The Council shall elect one exempt staff member and one non-exempt staff member from the College to serve as members of the Council. They shall each serve a term of two years.

vi. Representatives may not serve for more than two successive terms.

b. Functions and responsibilities:

- i. To consult with the Dean, Department and Center Directors, and other Collegiate administrators regarding programs within the College. To communicate matters of academic and administrative policy to College faculty and to respond to their concerns.
- ii. To actively solicit information and opinion from College community on pending College matters and to communicate such information to the Dean.
- iii. To receive and consider recommendations from the Dean or the Provost and to advise the Dean, University administrators and community on matters of College concern.
- iv. To promote excellence in instruction, research, and service, and to advise the Dean on long-range plans for the College.
- v. To supervise College referenda and set guidelines for election of College Council members.
- vi. To propose changes in the College Plan of Organization.
- vii. To consult with the Provost, the search committee, and the President on selection of the Dean of the College. This duty includes, but is not confined to: advising the Provost on procedures for the search, forwarding concerns of the faculty of the College on matters regarding the selection of Dean, forwarding the names of

candidates to be considered by the search committee, and responding to requests from the search committee and/or the appointing officer for evaluation of the candidates.

- c. Relationship to the Dean: Decisions of the College Council are subject to approval by the Dean and, when necessary, by the Campus Senate, the Provost, the President, and the Board of Regents. When approved, the Dean, the Committee, and/or the appropriate administrator or committee shall put them into effect.
- d. Officers: The College Council shall elect a chair and vice-chair from among its members. The chair shall preside over all meetings. If the chair is absent then the vice-chair shall preside over a meeting.
- e. Meetings: The College Council shall meet at least twice each semester. A quorum shall be a majority of the members. Meetings shall be open to all faculty of the College and to others the Council invites.

## **Article V. Ratification and Amendment of the Plan of Organization**

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- a. Process of Ratification:
  - i. The College Council shall organize a referendum on this Plan of Organization. All members of the College Assembly shall be eligible to vote in this referendum. This referendum is consistent with section 11.1.b of the University's Plan of Organization.
  - ii. The College Council shall present this Plan of Organization to the College Assembly at least 15 days before the referendum.
  - iii. The Plan of Organization will be ratified if it receives at least 50% plus one of the votes of all members of the College Assembly. The College Council shall ensure that referenda are conducted in a timely, just, and appropriate manner.
  - iv. Following a positive vote of the College Assembly, the Plan of Organization is subject to the approval by the Campus Senate and, if necessary, by the Provost, the President, and the Board of Regents.
- b. Process of Amendment:
  - i. Amendments or revisions may be proposed by members of the College Council, members of the Chairs and Directors Council, or by a petition signed by at least 50 members of the College Assembly.
  - ii. The College Council shall discuss a proposed amendment at two successive meetings and then vote upon the proposal. Amendments that are approved by a majority of the Council members who are present and voting shall be submitted to referendum of members of the College Assembly.

- iii. An amendment to the Plan of Organization will be ratified if it receives at least 60% of the votes of all members of the College Assembly. The College Council shall ensure that referenda are conducted in a timely, just, and appropriate manner.
  - iv. Following a positive vote of the College Assembly, amendments to the Plan of Organization are subject to the approval of the Dean, by the Campus Senate and, when necessary, by the Provost, the President, and the Board of Regents.
- c. Review: The Plan of Organization shall be reviewed every tenth year by a committee elected by the College Council as required by the University Plan of Organization. By a 60% vote of the College Council, a committee may be created at any time to draft a new Plan of Organization. Recommended revisions or amendments or a new Plan of Organization shall be submitted to a College referendum as described above.

*Approved by ERG*  
*Chair*

December 1995

PLAN OF ORGANIZATION  
COLLEGE OF BEHAVIORAL AND SOCIAL SCIENCES

I. Preamble

The College of Behavioral and Social Sciences will consist of faculty, students, and staff within the College who are committed to learning, research and teaching in the disciplines and programs represented in the College.

The College's primary objective is excellence in every aspect of education and research. The College is committed to providing leadership in the continuing development of theories, methodologies, and applications that address key social and behavioral issues facing our state, our nation, and our world. As part of its response to society's need for resolution of the ever more complex problems of modern civilization, the University must promote the advancement and utilization of knowledge generated by the traditional disciplines and by a cross-fertilization of disciplines. The College is designed to extend and support excellence in the traditional disciplines and it also recognizes the need for the development of interdisciplinary approaches to recurring behavioral, social and scientific problems.

The College is dedicated to the principles of shared governance through the active participation of faculty, staff and students in establishing the goals, policies and programs which comprise the College. Shared governance is an essential component in the development and maintenance of an educational environment which promotes the highest standards of excellence in teaching, learning and research, and which values and respects the individual, and promotes professional and organizational growth for its members.

II. Academic Units Within the College.

The College of Behavioral and Social Sciences shall consist of the following academic, degree-granting departments:

Afro-American Studies Program  
 Anthropology Department  
 Criminal Justice and Criminology Department  
 Economics Department  
 Geography Department  
 Government and Politics Department  
 Hearing and Speech Sciences Department  
 Psychology Department  
 Sociology Department  
 Joint Program in Survey Methods

In addition, the following research and service units are established with College wide responsibilities and purview:

Office of Academic Computing Services  
 Center for Global Change  
 Center for Political Leadership and Participation  
 Center for Substance Abuse Research

### III. Officers of the College.

#### A. Dean

The Dean shall be the chief administrative and academic officer of the College. The Dean shall have ultimate responsibility for the resources of the College, for stimulating and improving teaching and research, for oversight of promotion, hiring and retention practices consistent with the goals of the College and the campus, providing an administrative structure to facilitate interdisciplinary programs, maintaining advising and counseling for students and promoting all aspects of the College's interests vigorously and responsibly. The Dean shall also work to establish an educational environment which promotes the values of academic freedom and intellectual exchange, diversity and individual and professional growth. He/she shall utilize the advice and counsel of the College Academic Council and its various committees in all areas of their responsibility. He/she shall be the College's representative in the Council of Deans and in relations with other Colleges on campus, with the offices of the President, Provost, and Vice Presidents, and with the community-at-large.

#### B. Department Chairpersons and Directors.

Department Chairpersons and Directors shall be appointed by the Dean with the approval of the Provost upon the recommendation of the Dean and a Search Committee established by the Dean upon the advice of the constituencies within the unit involved. The Chair/Director shall be responsible for stimulating and

improving research and teaching, advising and counseling students (where appropriate), promoting hiring and retention practices consistent with College and campus goals, administering and managing the resources of the Department in a fiscally sound manner, maintaining and promoting the highest of academic standards and codes of conduct, communicating and informing faculty and staff of College and campus policies and decisions regarding their tenure and status in the Department, and facilitating interdisciplinary programs in which the Department might be included. The Department Chair/Director is also responsible for soliciting faculty and student advice on matters of Departmental and College policy and for utilizing the advice and counsel of the advisory and decision making structures as established by unit by-laws and plans of organization.

#### IV. College Assembly and Academic Council.

The College system of governance shall include a College Assembly and an Academic Council.

The College Assembly shall consist of faculty, staff and students in the College. All tenured and tenure track faculty within the College shall be members of the Assembly. Research and instructional faculty, students and staff members shall be those elected to the Academic Council and selected through other appropriate means by the Dean, in consultation with the Executive Committee of the Council.

The College Academic Council shall have the powers and responsibilities described in Section V and which shall contain representation from all segments of the collegiate community. The Council, a democratically elected body, will initiate, act on, and consider all matters of College wide concern. The constituency of the collegiate community shall be divided into faculty, staff, undergraduate students, and graduate students.

#### V. The College Academic Council.

##### Article 1. Membership.

There shall be an Academic Council whose membership shall be as follows:

1) Faculty Members:

A Faculty Member is defined as a full-time appointee who holds the academic rank of lecturer, instructor, assistant professor, associate professor, professor, assistant research scientist/scholar, associate research scientist/scholar and research scientist/scholar or scientist and others who are full-time members of the faculty, and who are administratively responsible, directly or indirectly, to the Office of the President of the College Park Campus of the University of Maryland. Where a faculty member has a joint appointment in two or more units, he/she shall be counted with that unit in which his/her tenure resides.

2) Non-exempt Staff Members

A Non-exempt Staff Member is defined as one who holds a permanent, classified staff appointment within the College for 50% or more time.

3) Exempt Staff Members

An Exempt Staff Member is defined as one who holds a full-time, non-teaching or research support appointment within the College, including associate staff members, academic administrators, advisor/consultants and faculty research assistants and research associates.

4) Undergraduate Student Members

An Undergraduate Student is defined as one who is enrolled in an undergraduate program within the college for at least twelve (12) academic hours during the period in which he/she is counted for representation purposes and who does not hold academic rank or an administrative staff position.

5) Graduate Student Members

A Graduate Student is defined as one who is actively enrolled

in a graduate program within the College during the time he/she is counted for purposes of representation and who does not hold academic rank, an administrative or staff position, but who may be a graduate assistant or fellow.

Article 2. Composition of the Academic Council.

The Academic Council of the College of Behavioral and Social Sciences shall be composed of the Dean, and elected representatives.

1) Representation

- a) Each academic degree-granting unit of the College shall elect faculty representatives to the Academic Council, one for each ten of its faculty or major fraction thereof.
- b. College wide Centers and Programs comprised of research faculty will be eligible to elect representatives to the Council. Units with at least ten full-time research faculty, or major fraction thereof, shall elect one representative. Units with less than the required number of full-time research faculty shall be combined with another College unit for purposes of the election of a representative to the Council.
- c) The undergraduates shall have one representative for each 1,000 students or major fraction thereof. Elections for student representatives will be conducted through the office of the Dean or by such individuals or groups that the Dean may designate.
- d) The same procedure shall apply equally to graduate student representatives except that there shall be one graduate student representative for each 500 graduate students or major fraction thereof.
- e) There shall be one representative each from the Exempt and Non-exempt Staff, respectively, with

elections conducted according to procedures specified by the Executive Committee.

- 2) The term of office of the elected faculty and staff members shall be three years. The term of office for student members shall be one year. Current Council members will continue until their terms expire. Council members may be reelected.
- 3) Representatives shall be elected during the Spring semester and take office the following academic year, beginning August 17. The exact method of election shall be left to the discretion of the Dean and the by-laws of units within the College and shall conform with the provisions of these rules.
- 4) Chairs of Academic Departments and Directors of College wide Centers and Institutes shall be ex-officio, non-voting members of the Council.

Article 3. Officers of the Academic Council.

The officers of the Academic Council shall be the Chair and Chair-elect.

1. The Chair of the Council shall be elected by and from the membership of the Council.
  - a. The term of office of the Chair shall be one year, preceded by a one year term as Chair-Elect. No one may serve as Chair for two consecutive terms.
  - b. The Chair shall preside over the meetings of the Executive Committee and sit as an ex-officio member of the Council of Chairs and Directors.
2. The Chair-Elect shall be elected by and from the membership of the Council.
  - a. The term of office of the Chair-Elect shall be one year. No one may serve as Chair-Elect for two consecutive terms.
3. The Dean of the College shall be an ex-officio nonvoting

member of the Council and shall serve as executive secretary of the Council.

4. During the first year in which this plan takes effect, the Council shall elect its first Chair and Chair-Elect. The Chair will not have served as Chair-elect.

Article 4. Meetings of the Council

- 1) The Academic Council shall meet at least once a year. The Council shall elect its officers and members of the Executive Committee.
- 2) The Chairperson of the Academic Council shall normally give a ten-day notice for meetings of the Council. One half of the membership of the Council shall constitute a quorum.
- 3) Robert's Rule of Order, Revised, will be used if requested by any member of the council. These rules shall govern the Academic Council in all cases to which they are applicable, except as they may be inconsistent with these and subsequent rules adopted by the organization of the College.

Article 5. Functions of the Academic Council.

The Academic Council shall consider, make recommendations, and develop proposals on any matter of collegiate, campus and university concern. The functions of the Council shall include, but not be limited to:

- 1) Initiating action on any matter of concern to the College.
- 2) Developing, reviewing and approving academic policies of the College as a whole, leaving the academic policies specific to any Department, Program, Institute, Center to the discretion of these units.
- 3) Consulting with the Dean on all general policy matters pertaining to the employment of the instructional and research staff of the College.
- 4) Appointing standing and special committees to deal with matters of academic policy of the College and such other

matters as are properly within the Council's purview.

- 5) Promoting policies and personnel procedures to avoid discrimination based on race, sex, religion, or other non-academic factors in the employment, retention, and promotion policies of the College.
- 6) Amending this Plan of Organization by affirmative vote of two-thirds of the membership of the Council.
- 7) Responding to collegewide academic issues presented to the Council by key constituencies of the College.

Article 6. Relations of the Collegiate Academic Council to the Dean.

The Dean shall provide reports on matters related to Academic Council functions for distribution either to Council Committees or the Council as a whole as required. Once each year, the Dean shall make a report on the state of the College to the Council. Decisions of the Academic Council shall be implemented when approved by the Council or higher administrative bodies when required. The Dean shall communicate in writing action taken on any decisions of the Council at its next scheduled meeting.

Article 7. Committees

1) Executive Committee

This committee will consist of nine members of the Academic Council, with the Dean serving as an ex-officio member. All other members will be elected by the Council. In addition to the Dean, there will be the Chair and Chair-Elect of the Council, four faculty, not more than one from any one unit, one undergraduate student, one graduate student, and one staff member. Executive Committee members shall serve for a two-year term. During the first year in which this plan takes effect the Chair shall serve for one year. The Chair of the Council shall also serve as Chair of the Executive Committee.

The function of this committee will be to advise the Dean in all matters not covered by other committees and to operate in lieu of the Academic Council in minor matters between Council meetings, and to prepare matters of business for the Council. With the exception of its own membership, the Executive Committee shall advise the Dean on the appointment of members to standing and ad hoc committees of the Council, as well as other committees to which College representation is required. The Executive Committee shall also advise the Dean on all election policies and procedures at the College level, including the election of student and faculty Senators. The Executive Committee shall meet at least two times each semester.

2) Programs, Curricula, and Courses Committee

This committee will consist of five faculty, one graduate student and one undergraduate student, selected by the Executive Committee. The faculty will serve for two-year terms. This committee will deal with substantive matters of programs, courses, and curricular changes. All PCC changes will be initiated by units within the College and submitted to the Dean's office. At this level a decision will be made as to whether the changes are of such a nature that they should be referred to the PCC Committee. All minor changes will be approved and sent forward without action of the PCC Committee. The PCC Chair shall be appointed by the Dean with the advice of the Executive Committee.

3) Appointments, Promotions, and Tenure Committee

This committee will consist of at least six full professors, no more than one from any unit in the College, chosen by the Dean with the advice of the Executive Committee. As described in the College APT Policies and Procedures, the committee must

assure that an effort is made to facilitate students and nontenured faculty input into the decision making process. This committee shall advise the Dean on all aspects of appointments, promotions, and tenure decisions and policies in the College and shall report to the Dean and not to the Academic Council. The College APT Committee shall elects its own chair and alternate chair.

4) Ad Hoc Committees

These committees shall be appointed by the Executive Committee to consider matters that need the attention of the Council from time to time but do not merit continual development and control. This does not preclude the Dean appointing other committees, task forces, as appropriate.

Article 7. Replacement of Representatives

The Executive Committee shall be empowered to fill mid-term vacancies for student and staff Council representatives until the next regularly scheduled election can be held.

Article 8. Recall of Collegiate Academic Council Representatives.

Representatives to the Academic Council are expected to represent the interests of their respective constituencies. The constituencies in the College are expected to participate in elections and to communicate their interest and concerns to their representatives in the Academic Council. When any constituency believes that its representation in the Council is not properly representing its interests, recall may be undertaken. Council members shall be subject to recall by their respective constituencies within the College.

1. Faculty

Upon receipt of a petition signed by 25 percent of any unit in the College, the chief administrative officer of the unit shall hold an election to determine whether the representative

who is the object of the petition shall be recalled. Recall shall require a majority vote of all eligible voters in the unit.

2. Students

Upon receipt of a petition signed by 10 percent of the students enrolled in the College, the Dean shall hold an election to determine whether the representative who is the object of the petition shall be recalled. Recall shall require a majority vote in an election, held by whatever method the Dean devises in which at least 25 percent of the students enrolled in the college cast votes.

3. Exempt and Non-exempt Staff

Upon receipt of a petition signed by 15 percent of the exempt or non-exempt College staff (as appropriate), the Dean shall hold an election to determine whether the representative who is the object of the petition shall be recalled. Recall shall require a majority vote in an election by mail ballot in which at least 50 percent of the appropriate College staff cast votes.

VI. Chairs and Directors Council

An advisory council consisting of all administrative heads of units reporting to the Dean in the College of Behavioral and Social Sciences shall be established. The Dean shall serve as its Chairperson. The Council shall be advisory to the Dean on policy issues and administrative affairs. This Council will ensure information exchange across units within the College. In addition, it is expected that the Dean in his dealings with other colleges and the College Park central administration would have a means by which such policy issues and administrative matters could be discussed and communicated.

VII. Organization of the Faculty, Students, and Staff in Units of the College.

- A. Each major unit of the College shall organize itself in such a way as to maximize shared governance among faculty, staff, and students.
- B. Plans of Organization, required by the College Park Campus Senate for each Department, Program, Bureau, Institute, or Research Center, and any revisions thereto, shall be reviewed by the Executive Committee of the Academic Council before being filed with the Senate.
- C. Decisions made by any individual unit of the College in accordance with their respective plans or organization, which are not required to be submitted to the Council or one of its committees, shall be implemented when approved by the Dean and, when necessary, the Campus or higher administrative authorities.

Special Codicil: For purposes of the April 1995 revision of the College Plan of Organization, the Executive Committee of the Council is empowered to make minor changes in the plan as might be suggested in the review of the plan by the Campus Senate.



## University Senate TRANSMITTAL FORM

<b>Senate Document #:</b>	12-13-09
<b>Title:</b>	Revisions to the Philip Merrill College of Journalism Plan of Organization
<b>Presenter:</b>	Devin Ellis Chair, Elections, Representation, & Governance (ERG) Committee
<b>Date of SEC Review:</b>	March 13, 2013
<b>Date of Senate Review:</b>	April 4, 2013
<b>Voting (highlight one):</b>	1. On resolutions or recommendations one by one, or 2. In a single vote 3. To endorse entire report
<b>Statement of Issue:</b>	<p>The University of Maryland Plan of Organization mandates that all Colleges and Schools be governed by a Plan of Organization that conforms to the stipulations set forth in the University of Maryland Plan of Organization, Article 11. College and School Plans of Organization must be reviewed and approved by the University Senate for compliance. The Senate Elections, Representation, and Governance (ERG) Committee is the standing committee responsible for conducting these reviews. The Senate Faculty Affairs Committee is responsible for reviewing the Appointment, Promotion, and Tenure (APT) Committee section of the Plan as part of the Senate review process. Any Plan of Organization under review that is determined not to be in compliance with the University of Maryland Plan of Organization, Article 11 is returned to the College or School for revision.</p> <p>The Philip Merrill College of Journalism (JOUR) submitted its revised Plan of Organization to the University Senate for review in September 2011.</p>
<b>Relevant Policy # &amp; URL:</b>	Plan of Organization for the University of Maryland, <a href="http://www.senate.umd.edu/governingdocs/Plan_of_Organization.pdf">http://www.senate.umd.edu/governingdocs/Plan_of_Organization.pdf</a>
<b>Recommendation:</b>	The ERG Committee recommends the Senate approve the revised Philip Merrill College of Journalism Plan of Organization.
<b>Committee Work:</b>	The ERG Committee began its review of the JOUR Plan of Organization on October 3, 2011. It met with an Associate Dean from JOUR to discuss concerns regarding the Plan. It found a few broad concerns

	<p>related to shared governance, the authority of the Dean, and the election of representatives from each constituent group, and decided to relay its comments and concerns back to JOUR.</p> <p>The ERG Committee reviewed a revised version of the Plan in February and March 2012. The committee found additional concerns related to grievance procedures, the authority of the Dean, merit pay procedures, representation of master's students, quorum requirements, and other issues. On March 28, 2012, the ERG Committee voted to return the Plan to JOUR with comments and the newly-developed "Best Practices in Shared Governance Checklist."</p> <p>JOUR submitted a revised Plan of Organization on November 20, 2012. The ERG Committee reviewed the Plan in November and December 2012 and met with representatives from JOUR at its meeting on February 21, 2013. The committee resolved many concerns with the Plan at this meeting, and JOUR returned a newly-revised Plan in response to ERG's concerns on February 22, 2013. The ERG Committee reviewed the revised Plan and agreed that its concerns had been addressed. The committee voted to approve the Plan, pending final approval of the APT section from the Faculty Affairs Committee.</p> <p>The Faculty Affairs Committee reviewed the APT section of the Plan in October 2011 and March 2012 to discuss various revisions of the section. Each time, the committee identified areas to be addressed further and voted to return the Plan to JOUR for revisions.</p> <p>After working directly with the chair of the Faculty Affairs Committee in October 2012, JOUR submitted a revised APT section in November 2012. In February 2013, a Faculty Affairs Committee subcommittee presented its findings that the previous concerns had all been adequately addressed. The subcommittee noted additional areas where clarifications could be made. The Faculty Affairs Committee discussed two remaining substantive concerns, related to reconsideration of a case and informal conversations between the dean and candidate. The Faculty Affairs Committee voted to send its technical edits and additional comments to JOUR.</p> <p>The Faculty Affairs Committee received a revised version of the JOUR APT section on March 4, 2013. The committee reviewed the section electronically and agreed that its concerns had been resolved. The committee voted to approve the newly-revised APT section.</p> <p>Following the approval by the ERG and Faculty Affairs Committees, the</p>
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	JOUR College Assembly voted to approve the revised Plan of Organization on March 7, 2013.
<b>Alternatives:</b>	The Senate could choose not to approve the revised JOUR Plan of Organization. JOUR would then be bound by its existing Plan of Organization, and would remain out of compliance with the requirement that each College Plan of Organization be revised and approved by the University Senate every ten years.
<b>Risks:</b>	There are no associated risks.
<b>Financial Implications:</b>	There are no financial implications.
<b>Further Approvals Required:</b>	Senate approval, Presidential approval.

# **Senate Elections, Representation, & Governance (ERG) Committee**

## **Senate Document # 12-13-09**

### **Revisions to the Philip Merrill College of Journalism Plan of Organization**

**March 2013**

#### **BACKGROUND**

The University of Maryland Plan of Organization mandates that all Colleges and Schools be governed by a Plan of Organization that conforms to the stipulations set forth in the University of Maryland Plan of Organization, Article 11. College and School Plans of Organization must be reviewed and approved by the University Senate for compliance. The Senate Elections, Representation, and Governance (ERG) Committee is the standing committee responsible for conducting these reviews. The Senate Faculty Affairs Committee is responsible for reviewing the Appointment, Promotion, and Tenure (APT) Committee section of the Plan as part of the Senate review process. Any Plan of Organization under review that is determined not to be in compliance with the University of Maryland Plan of Organization, Article 11 is returned to the College or School for revision.

The current Plan of Organization for the Philip Merrill College of Journalism (JOUR) was approved by the Senate in 2001. The College submitted its revised Plan of Organization to the University Senate for review in September 2011.

#### **COMMITTEE WORK**

The ERG Committee began its review of the JOUR Plan of Organization at its meeting on October 3, 2011. It met with an Associate Dean from JOUR to discuss concerns related to shared governance and the level of control the Dean has in the Plan. The committee decided to relay comments and concerns back to JOUR related to these issues and to how each representative is elected by their constituent group. The ERG Committee asked JOUR to revise and resubmit its Plan.

In November 2011, the ERG Committee received a revised Plan of Organization from JOUR. The committee discussed the Plan at its meetings in February and March 2012. The ERG Committee found additional concerns with the Plan, in regards to confusion in grievance procedures between unit-level and University-level processes, the authority of the Dean in responding to decisions made by shared governance bodies, concerns about the merit pay procedures, representation of Masters students in shared governance, and quorum requirements. On March 28, 2012, the committee voted to return the Plan to JOUR with comments and with the newly-developed "Best Practices in Shared Governance Checklist," which had been developed to assist the ERG Committee in reviewing Plans of Organization.

In November 2012, the ERG Committee received a revised version of the Plan of Organization from the College of Journalism. The committee also received a detailed memo from the Review Committee regarding a few of the changes made. The committee briefly reviewed the memo at its meeting on December 14, 2012 and noted that in many cases where JOUR had not made changes, the reasons were well explained and logical. The committee noted that JOUR is a non-departmentalized college, so differences can exist from other Plans of Organization it may have reviewed previously. The committee reviewed the Plan and made comments on it electronically in January and February 2013.

The ERG Committee met with two representatives from the JOUR Review Committee on February 21, 2013 to discuss remaining concerns with the Plan. The representatives introduced a newly-revised Plan and noted that many areas of the Plan may seem different because the college is non-departmentalized and because it is largely a professional school. The ERG Committee discussed a few key concerns with the JOUR representatives. Issues included clarifying the representation of doctoral students in governance, situations where members of the college hold more than one status, and the membership and chair of the Faculty Salary Advisory Committee. The committee raised a few technical edits as well. The representatives from JOUR noted that all of these concerns could be addressed in a timely fashion.

In response to the comments from the ERG Committee, JOUR returned a revised Plan of Organization on February 22, 2012. The committee reviewed the revised Plan at its meeting on March 5, 2013 and agreed that its concerns had been addressed. The ERG Committee voted to approve the Plan of Organization of the Philip Merrill College of Journalism, contingent upon final approval of the APT section by the Faculty Affairs Committee.

The Senate Faculty Affairs Committee received the APT section of the JOUR Plan of Organization in October 2011. The committee reviewed the section and raised concerns regarding the selection of the chair, discussion on joint appointments, the role of the Initial Review Committee, and evaluations for annual appointees. The committee returned its comments to JOUR for revisions. The Faculty Affairs Committee received a revised version of the APT section in March 2011, and noted additional concerns with the section. The committee focused on the definitions of the promotion and tenure committee, procedural detail, clarification on three-year reviews, the weighing of publications, and other details. The Faculty Affairs Committee voted to return the Plan to JOUR to ask the College to address these issues.

In September of 2012, a representative of the JOUR Plan of Organization Review Committee contacted the Senate Office for clarification on the comments of the ERG and Faculty Affairs Committees from the previous year. The chair of the Faculty Affairs Committee met directly with JOUR to discuss the concerns of the committee in depth. The Faculty Affairs Committee then received a revised version of the JOUR APT Section in November 2011. The APT section was sent to a subcommittee for in-depth review.

The Faculty Affairs Committee reviewed the APT section at its meeting on February 28, 2013. The subcommittee presented its findings that the previous concerns had been adequately addressed. The subcommittee also noted additional areas in which clarifications could be made. Many of the suggestions were technical edits, and the committee outlined many areas in which small changes could be made. It decided to present a tracked-changes version of the document to JOUR to show these edits. The committee also discussed a few substantive concerns. In particular, the committee discussed a provision describing the right of a candidate to ask for a reconsideration of his or her case. The committee decided to ask for clarification on whether this referred to the formal appeal process. Additionally, a provision of the section detailed an informal conversation between the dean and candidate to discuss the recommendation of the committee. The committee felt this was not advisable under University policy, and voted to recommend striking that section from the policy. The committee voted to send its comments back to JOUR and consider a revision electronically.

The Faculty Affairs Committee relayed its comments, and JOUR responded with a revised APT section on March 4, 2013. The Faculty Affairs Committee reviewed the section electronically and agreed that its concerns had been resolved. The committee voted to approve the newly-revised APT section.

Following the approval of the ERG and Faculty Affairs Committees, JOUR sent the revised Plan of Organization to its College Assembly for final approval. The College Assembly voted to approve the Plan of Organization on March 7, 2013.

## **RECOMMENDATION**

The ERG Committee recommends the Senate approve the revised Philip Merrill College of Journalism Plan of Organization.

## **APPENDICES**

Appendix 1 – Revised 2013 JOUR Plan of Organization

Appendix 2 – 2001 JOUR Plan of Organization

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**Plan of Organization of  
The Philip Merrill College of Journalism**

**University of Maryland**

Approved by the College Assembly May 17, 2011

(Amended by the College Assembly Dec. 08, 2011)

(Amended by the College Assembly Nov. 1, 2012)

(Amended by the College Assembly March 7, 2013)

**PREAMBLE**

The Plan of Organization of the Philip Merrill College of Journalism establishes the basic framework for the conduct of the College's affairs. The Plan addresses specific details of the College's organization. The Plan is meant to be consistent with the policies, procedures and regulations for the governance of the University of Maryland. The powers of the College Assembly and its committees, described in this Plan, shall be limited so that they do not contravene the authority of the Dean as provided in the statutes of the University of Maryland System.

The Plan establishes a structure that is intended to enhance the collegiality of the organization and to ensure faculty governance. It creates a framework designed to facilitate cooperation and involvement of the entire College community in all aspects of the College's mission. It is meant to ensure that academic and professional growth may be pursued in an atmosphere of stability, freedom, and trust.

**ARTICLE I. MISSION**

The College seeks to be the nation's preeminent professional school in its field, a model for others in its integration of scholarly work and professional practice. It aspires to lead in the uses and study of new technologies, including as these are related to the role of news and media in a democratic society, and to improve understanding of and performance in journalism. Its mission is to educate university students at the undergraduate, master's, and doctoral levels within a liberal arts context, preparing them for careers in journalism, for scholarly work and teaching in these fields, and to elevate the standards of professional practice. The education of students being the prime objective of the College, the Dean, faculty, and professional staff of the College shall seek to be responsive to students' needs and sensitive to their concerns.

## **ARTICLE II. SHARED GOVERNANCE**

Shared governance in the College means governance shared among administration, faculty, students, staff, and affiliate organizations.

### **II. A. Roles**

The faculty has a fundamental role in the governance of the College. The administration is responsible for seeking advice, initiating action, making decisions, and implementing policy, and for maintaining accountability for its actions. Administrative accountability means active accounting to the other constituencies with whom governance is shared regarding policies recommended by those constituents. The faculty has a responsibility for informed and regular participation in governance activities related to all aspects of the academic mission of the College. Staff and affiliate organizations have a vital role in support of the College mission and have the responsibility for informed and regular participation in governance activities. Undergraduate, master's, and PhD students have a responsibility for informed and regular

participation in governance activities. Any individual who is simultaneously student and staff member, or student and administrator, must choose one role for purposes of voting and participation in governance.

#### **I. B. Quorum**

Every committee and deliberative body shall use a simple majority of all voting members as a quorum.

### **ARTICLE III. THE COLLEGE ASSEMBLY**

#### **III. A. Membership**

College Assembly meetings shall be open. The Assembly is composed of the following constituencies:

III. A.1. **All faculty members**, as defined by the University, who have at least a fifty percent appointment in teaching or research. Any faculty member with a joint appointment in two or more units shall be counted with that unit in which his or her tenure resides. The Faculty Advisory Committee (Article V.A.4), in consultation with the Dean, will settle questions of eligibility. All faculty shall have voting privileges.

III. A.2. **Exempt staff**, as defined by the University, shall be represented by one member elected by peers in the spring to serve a one-year term, from the exempt staff of the College who are on appointment of at least half-time and who are paid from State funds. This individual shall have voting privileges. No member who has served a full term shall be eligible to succeed immediately to office. The election shall be in May by written ballot and is held by the Dean's office. All other exempt staff shall be ex-officio, non-voting members of the College Assembly.

Exempt staff shall also elect an alternate to serve if the elected member is unavailable to attend any meeting. The term of office shall begin July 1.

III. A.3. **Non-exempt staff**, as defined by the University, shall be represented by one member to be elected by peers in the spring to serve a one-year term, from the non-exempt staff of the College who are on appointment of at least half-time and who are paid from State funds. This individual shall have voting privileges. No member who has served a full term shall be eligible to succeed immediately to office. The election shall be in May by written ballot and is held by the Dean's office. All other non-exempt staff shall be ex-officio, non-voting members of the College Assembly. Non-exempt staff shall also elect an alternate to serve if the elected member is unavailable to attend any meeting. The term of office shall begin July 1.

III. A.4. **Adjunct faculty** members, as defined by the University, shall be represented by one adjunct faculty member, to be elected by peers to serve a one-year term. This individual shall have voting privileges. The term of office shall begin October 1. The election is by written ballot and is held in September by the Dean's office. All other adjunct faculty shall be ex-officio, non-voting members of the College Assembly. The group shall also elect an alternate to serve if the elected member is unavailable to attend any meeting.

III. A.5. **Centers and affiliate organizations** shall be represented by one director elected in the spring by the center and affiliate directors to serve a one-year term. In consultation with the Faculty Advisory Committee, the Dean will determine who is eligible to be considered, based on a list of affiliate organizations. The term of office shall begin July 1. In the event a representative cannot serve, a special election will be held to fill the vacancy. The group shall also elect an alternate to serve if the elected member is unavailable to attend any meeting.

No member who has served a full term shall be eligible to succeed immediately to office. The election is by written ballot in May and is held by the Dean's office.

III. A.6. **Graduate students enrolled in the PhD program** shall be represented by one full-time student to be elected by peers in the fall from the PhD program student body of the College. The election is by written ballot and is held in September by the Merrill Graduate Student Association (MGSA). The term of office shall begin October 1 for a one-year term. In the event a representative cannot serve, a special election will be held to fill the vacancy. The group shall also elect an alternate to serve if the elected member is unavailable to attend any meeting.

III. A.7. **Graduate students enrolled in the master's program** shall be represented by one full-time student to be elected by peers in the fall from the master's program student body of the College. The election is by written ballot and is held in September by the Merrill Graduate Student Association (MGSA). The term of office shall begin October 1 for a one-year term. In the event a representative cannot serve, a special election will be held to fill the vacancy. The group shall also elect an alternate to serve if the elected member is unavailable to attend any meeting.

III. A.8. **Undergraduate students** shall be represented by one full-time student to be elected by peers in the fall from the undergraduate student body of the College. The term of office shall begin October 1 after election for a one-year term. In the event a representative cannot serve, a special election will be held to fill the vacancy. The group shall also elect an alternate to serve if the elected member is unavailable to attend any meeting.

### III. B. **Operations**

III. B.1. **Organization.** The Chair of the Faculty Advisory Committee (FAC) (Article V.D) shall act as chair of the College Assembly and appoint a nonvoting secretary of the College Assembly for a term of one year. To help ensure the ability of each voting member to participate fully, the secretary shall be a person who is neither a regular voting member nor an elected/voting representative in the College Assembly. The secretary shall take minutes of the meetings and tally votes. Minutes will be distributed within two weeks of each meeting and approved by the members at each subsequent meeting, and shall be archived in the Dean's office.

III. B.2. **Functions.** The College Assembly shall be responsible for receiving and acting upon proposals made by the committees described in Article V and formulating and recommending to the Dean educational policies of the College. Recommendations of the College Assembly are by majority vote. Recommendations of the College Assembly shall be implemented when approved by the Dean.

III. B.3. **Meetings.** Meetings of the College Assembly shall be conducted in accordance with *Robert's Rules of Order, The Modern Edition*. No vote may be taken in the absence of a quorum. A secret ballot shall be taken upon the request of any voting member of the Assembly, or upon the request of the chair. Written proxies (a written note given to a voting member authorizing a voting member to vote on one's behalf) are allowed, unless the Faculty Advisory Committee (FAC) excludes proxies in advance, by communicating this decision through email to voting members at least three days in advance.

The Assembly should meet once each month during the course of the academic year when practical. However, it shall meet no fewer than three times per semester.

All members of the College Assembly shall be notified of regular meetings and provided an agenda no fewer than five days before the meeting. All College agendas shall be publicly posted. The Dean, the chair of the Faculty Advisory Committee, or one-third of the voting members shall have the authority to call special meetings. All members of the College Assembly shall be notified of any special meeting and provided an agenda and the purpose for which the meeting is being held no fewer than three working days before the meeting.

### **III. C. Faculty Senator**

The College Assembly shall elect a faculty senator to serve a two year term in the University Senate. Election is by written ballot and is held in May by the Dean's office. The College Assembly shall assist in the election of undergraduate and graduate student senators in accordance with the University Senate procedures.

## **ARTICLE IV. COLLEGE ADMINISTRATION**

### **IV. A. The Office of the Dean.**

**IV. A.1. Duties of the Dean.** The Dean of the College shall be the chief academic and administrative officer of the College. The Dean shall be responsible for business operations of the College, professional and academic leadership, and shall serve as liaison with the campus community and the professions served by the College. The Dean shall provide leadership in maintaining the accreditation of the College. The Dean shall be chief advocate of the College and shall be responsible for the unit's budget, for fund raising, and for reviewing and recommending for campus-level review proposals made by the College Assembly and the Promotion and Tenure Committee (Article V.A.6). The Dean shall direct the advising of students and certify them for degrees awarded by the College, encourage interdisciplinary programs in which the College

might be included, and prepare materials needed for planning purposes. If the Dean does not implement proposals of the College Assembly or College committees, he or she shall discuss the reasons with the College Assembly or the committee involved.

**IV. A.2. Appointment of the Dean.** Members of the College Assembly shall participate in the appointment of the Dean as specified in campus procedures for appointing deans. College Assembly members shall take an advisory vote by secret ballot on the final list of candidates. The result of this vote shall be communicated to the search committee and the provost.

#### **IV.B. Administrative Functions**

**IV. B. 1. Academic Administrators.** The College may have Associate and Assistant Deans and other administrative officers as necessary. Academic administrators shall perform those duties assigned to them by the Dean. Individuals may have multiple roles. Searches for appointments to these administrative positions will be guided by University procedures. The Dean will inform the Assembly of the progress of such searches in a timely fashion.

**IV. B.2. Review of the Administrators.** All administrators shall receive periodic performance reviews as specified by University policy. Review shall include input from the faculty, staff, and students in the College.

#### **IV. C. Administration of Graduate Studies**

**IV. C.1. Doctoral Program.** The College shall have a Director of Doctoral Studies and a Director for Research. Recommendations for appointment of these directorships shall be made by the Faculty Advisory Committee to the College Assembly. The College Assembly, in turn, shall consider these recommendations and make its own recommendations to the Dean. The Dean will consider those recommendations in making the appointment. Directors shall serve an initial term of three years, and shall be eligible for annual reappointment.

The Director of Doctoral Studies shall promote doctoral student recruitment, oversee student orientations, and doctoral student advisement. The Director shall be the chair of the Committee for Doctoral Studies (Article V.A.1).

The Director for Research shall promote research among both faculty and students. The Director shall assist in locating and securing resources for research production, and work to facilitate professional development and the publication of research.

**IV. C.2. Master's Programs.** The College shall have a director of the MJ and MA programs. Recommendations for appointment of this director shall be made by the Faculty Advisory Committee to the College Assembly. The College Assembly, in turn, shall consider this recommendation and make its own recommendation to the Dean. The Dean will consider those recommendations in making the appointment. The director for the master's programs shall serve an initial term of three years, and shall be eligible for annual reappointment. The director of master's programs shall oversee the recruitment and selection of master's students, and the orientation, and advisement of master's students.

## **ARTICLE V. COMMITTEES**

The College shall maintain the standing committees outlined below. The Faculty Advisory Committee shall nominate slates of candidates for standing committees, to be approved by the Assembly. Appointments include members for all standing College committees or representatives to participate in the search, nomination, and review of administrators and units at any campus and University level. Faculty, exempt and non exempt staff, center directors and staff, and students shall all be eligible to serve on standing committees unless otherwise prohibited by this Plan.

Student members shall be elected to standing committees as prescribed in Article VI. Unless otherwise stated (eg. Committee on Doctoral Studies), each standing committee shall elect its own chair. Committees may originate and present proposals to the College Assembly relating to specific areas of their concern. Except as specified by this Plan, all committee terms are annual and terms shall begin on October 1.

The Dean or the College Assembly may create other ad hoc committees. The Dean shall inform the College Assembly if needs should arise requiring such special committees to serve more than one year. The Dean shall consult with the College Assembly in appointing the members of these ad hoc committees.

#### **V. A. Committee for Doctoral Studies**

The Committee for Doctoral Studies shall monitor the College's doctoral program and policies, and select candidates applying to the College's Ph.D. program. Curriculum or course modification proposals to the graduate curricula made by the Program Courses and Curricula Committee (Article V.A.5) shall be considered by the Committee for Doctoral Studies for review prior to any action from the College Assembly. This committee (or a sub-committee) shall distribute information to students about contests, prizes, fellowships, and scholarships, and collects application and makes awards. Decisions about contests, prizes, fellowships, and scholarships shall be based on criteria in the memoranda of understanding (MOUs), if these are established. The Committee shall be minimally composed of four faculty members who teach graduate-level courses, a doctoral student, and the director of doctoral studies, who chairs the committee. This Committee is intended to be inclusive, and include as many interested faculty members as possible. The student member shall be excused when individual students are being discussed.

#### **V. B. Committee for Master's degree programs**

The Master's Committee shall monitor the College's master's programs and policies, and select candidates applying to the College's programs. Curriculum or course modification proposals to the master's curricula made by the Program Courses and Curricula Committee shall be considered by this Committee for review prior to any action from the College Assembly. This committee (or a sub-committee) distributes information to students about contests, prizes, and scholarships, collects applications, and makes awards based on criteria in the MOUs, if these are established and if appropriate. The Committee shall be minimally composed of four faculty members who teach graduate-level courses and the director of the master's programs.

#### **V. C. Appointments Committee**

The Appointments Committee shall have, at a minimum, broad representation of faculty, one graduate student, one undergraduate student, and the Dean (in an ex-officio, non-voting capacity). The Appointments Committee shall recommend search committees to the Dean to initiate all full-time faculty and center director appointments in the College. The Appointments Committee shall recommend position descriptions and appointments to the College Assembly for all full-time faculty appointments to the College and center directors, and also shall recommend all proposed part-time faculty and affiliate appointments to the College. The Committee shall review and recommend whether these part-time appointments should be renewed. The Committee shall act in accordance with the most recent version of the College's policies on procedures for appointments, tenure and promotion. Should a search extend beyond one academic year, the Committee shall inform the College Assembly of its progress and intent. All members have voting privileges.

#### **V. D. Faculty Advisory Committee (FAC)**

V. D.1. **Membership.** The FAC shall consist of six faculty members with full voting privileges in the College Assembly. All members shall serve for two years and shall not be eligible for reelection for one year after completing their terms. All members have voting privileges.

V. D.2. **Election.** Members of the Committee shall be elected by faculty by secret ballot. Two members shall be elected from the ranks of full professors, two from the ranks of associate and assistant professors, and two from all other ranks. All adjuncts, lecturers, professors of the practice are allowed to vote for two from these ranks. For each of these three categories, the names of all eligible persons are listed on a ballot; the ballot is distributed to all people in those categories, so that they can vote for two; and the ballot is returned to the Dean's office. The election shall take place before the final College Assembly meeting of each year.

V. D.3. **The Chair.** The FAC shall elect its own chair annually from among its members. The chair of the FAC shall chair the College Assembly.

V. D.4. **Duties.** To serve as a conduit for information between the faculty and the Dean, the FAC shall meet monthly with the dean during the regular academic year and during the summer, as needed, on matters of interest and concern to the College. The Committee shall serve as the College's committee on committees, as well as advise the Dean on budget, facilities, strategic planning, and faculty matters. The Committee shall draft and present to the College Assembly for its approval the slates for membership of the standing committees, except for student representatives, who are directly elected by students. If requested, the Committee may review any complaints or grievances. This does not preclude College Assembly members from taking grievances or complaints to relevant bodies outside the College, or going directly to the

Dean. The Dean shall report to the FAC as to the action on and disposition of recommendations from other College committees. The chair of the FAC shall report regularly on its activities to the College. The FAC shall advise the Dean regarding requests from or for unpaid visiting fellows.

#### **V. E. Programs, Courses and Curricula (PCC) Committee**

The PCC Committee shall originate or review curriculum proposals, coordinate programs, recommend academic standards and related policies, review course syllabi, coordinate teaching enhancement, and be responsible for the ongoing evaluation of academic programs in the College. The Committee shall be composed of seven faculty members, one undergraduate student, one doctoral student, and one master's student. All members have voting privileges. The College Assembly may add members to provide expertise on particular curricular or programmatic issues, and, the PCC can seek input from non-PCC members.

#### **V. F. Promotion and Tenure Committee**

The Promotion and Tenure (P&T) Committee shall be composed of all tenured faculty, excluding the Dean. The chair is chosen by the committee and must be a full professor; the chair is responsible for writing the committee's final reports with input from the committee. All members have voting privileges.

**V. F.1. Tenure Track Decisions.** Full professors shall consider, by secret vote, each question of promotion to full professorship. Full professors and associate professors shall consider by secret vote each question of promotion to associate professorship and tenure. Such decisions shall be reported to the Dean. The Dean shall meet with the Committee with voice but not voting privileges. The Dean shall report his or her decisions regarding tenure and promotion to the Committee, as detailed further in section IX.E.4. The Committee shall act in accordance

with the College's criteria and procedures for appointment to tenure-track and tenure positions, reappointment, and promotion. These are available in Article IX.

**V. F.2. Assessment of non-tenure track faculty.** Performance of adjuncts shall be evaluated by the Dean or the Dean's designate(s) annually. Other non-tenure or non-tenure track faculty including Professors of the Practice, Lecturers and Senior Lecturers, shall have their FAR reports, course evaluations, or other relevant forms of evaluation reviewed by the Dean or Dean's designate(s) annually. Professors of the Practice, Lecturers and Senior Lecturers shall undergo a formal review every three years by a three-member subcommittee appointed from the P&T Committee. The person being reviewed may choose one person from the College faculty (may be lecturer, senior lecturer, or any tenured or tenure track faculty member) to serve on that subcommittee. The other two will be appointed by the P&T Committee; at least one of those must be a member of the P&T committee. The subcommittee will serve for that review only; each person being reviewed will have a separate subcommittee. Review candidates shall submit materials appropriate to their performance to the subcommittee. The subcommittee shall submit a written report to the P&T Committee, who will forward it to the Dean along with its comments.

#### **V. G. Undergraduate Committee**

The Undergraduate Committee shall monitor the College's undergraduate programs and policies, and review admissions appeals to the undergraduate limited enrollment program. Curriculum or course modification proposals shall be forwarded to the PCC for review prior to any action from the College Assembly. This committee (or a sub-committee) shall distribute information to students about contests, prizes, and scholarships, collect applications, and make awards based on criteria in the MOUs, if these are established. The Committee shall be minimally composed of four faculty members who teach undergraduate-level courses, an

undergraduate student, the internship director, the associate dean for undergraduate education, and a representative from the Undergraduate Student Services Office. The student member shall be excused when individual students (including for scholarships or awards) are being discussed. All members shall have a vote, including those serving ex-officio.

#### **V. H. Committee on Centers and Affiliate Organizations**

The Committee on Centers and Affiliate Organizations (CCA) shall serve as a conduit for information between the Dean, faculty, and centers and affiliate organizations. The CCA shall meet at least once a semester with the Dean during the regular academic year and the summer, as needed, on matters of interest and concern to the College.

The CCA shall consist of all center directors and one tenured faculty member. All members have voting privileges. The CCA shall elect its own chair annually from among its members. The CCA shall be charged with advising the Dean and the faculty about matters involving the centers and affiliate organizations, and with soliciting faculty input about the operation of the centers and affiliate organizations and the substance of their program curricula. The CCA is intended to be a vehicle for integrating the centers and affiliate organizations into the life of the College and for ensuring that the centers and affiliate organizations and the core faculty take maximum advantage of one another's talents and resources. The CCA chair shall report regularly on its activities to the College Assembly.

Creation of new centers requires approval of the College Assembly.

#### **V. I. Awards Committee**

The Awards Committee distributes information about contests, fellowships, prizes, and awards for which staff and faculty may be eligible, collects applications, and makes nominations when appropriate. Members include at least one tenured faculty member and at least one exempt

or non-exempt employee. The Committee shall elect its own chair annually from among its members. All members have voting privileges.

#### **V. J. Committee on Diversity**

The Committee on Diversity promotes and monitors diversity in the College, which is taken to be essential to a university environment. Consistent with University policy, efforts toward diversity take into consideration race, color, creed, sex, sexual orientation, marital status, personal appearance, age, national origin, political affiliation, physical or mental disability and any other element of diversity that emerges that is consistent with university policy. The Standing Committee on Diversity develops and monitors plans regarding the hiring, promotion and advancement, retention, and recruitment of employees and students. It reviews diversity issues in terms of curricula, and may make suggestions regarding diversity to the PCC.

Committee members include four faculty members, one non-exempt staff member, one exempt staff member, the college's equity officer, and one student. The Committee shall elect its own chair annually from among its members. All members have voting privileges, including those serving *ex officio*.

#### **V. K. Faculty Salary Advisory Committee**

The Faculty Salary Advisory Committee shall be elected by the faculty to address salary and merit pay. It should include: one Assistant Professor, one Associate Professor, one Full Professor, and two members from all other ranks. All members have voting privileges. The Committee shall elect either the Associate Professor or Full Professor as its chair.

The Committee considers salary issues referred to it by the Dean or members of the College Assembly. Regarding merit pay, the Committee will act in accordance with the College's policy on faculty merit pay distribution. The Committee is advisory and will forward

its evaluations to the Dean, who meets with the committee to discuss final plans for merit pay distribution. The Dean then reports final decisions to the Committee, discusses any disagreements, and sends appropriate salary letters to all faculty members.

## **ARTICLE VI. STUDENT GOVERNANCE**

Students are encouraged to participate in the deliberative and decision-making bodies of the College.

During the early part of the fall semester of each academic year, a College student-service administrator shall coordinate the "Call for Nominations" and subsequent election process. Students shall be invited to nominate candidates for the College Assembly and College committees or express interest in serving on other committees for the upcoming academic year. Undergraduate students vote for undergraduate representatives. Master's students vote for master's student representatives. Ph.D. students vote for Ph.D. student representatives. Upon establishment of the list of candidates, along with statements of interest from students wishing to serve on College committees, registered students shall be issued ballots to vote for their respective College Assembly and committee representatives. Ballot results shall be made public.

One undergraduate student, one master's student and one doctoral student shall be elected to the College Assembly. Each constituency of students shall elect their representative and also elect an alternate. In addition, students shall elect their representatives, each constituency using a separate ballot, to the Appointments Committee and the PCC Committee. Students may organize their own academic, professional, and extracurricular associations. College faculty shall be encouraged to help with those associations, when asked.

## **ARTICLE VII. GRIEVANCE OF VARIANCE FROM THE PLAN OF ORGANIZATION**

Any voting member of the College Assembly who feels there has been variance from the policies stated in the Plan of Organization may issue a written grievance to the FAC expressing those concerns. Any non-voting member of the College may submit a grievance to either their elected representative or to the chair of the Faculty Advisory Committee. The Faculty Advisory Committee will consider the grievance at its next regularly scheduled meeting and forward it, along with its written comments, to the Dean. The Dean will respond to the Faculty Advisory Committee and the griever in writing. The Faculty Advisory Committee will then respond to the griever, in writing, in a timely fashion.

## **ARTICLE VIII. ADOPTION, AMENDMENT, REVIEW, AND LIMITS OF THE PLAN OF ORGANIZATION**

This Plan of Organization may be amended by a majority of all voting members of the College Assembly. Voting will be by secret ballot at a special meeting called for the explicit, announced purpose of this vote. The quorum for that meeting remains at fifty percent of the voting members plus one. At least five days in advance, the draft of the Plan shall be distributed to all members of the College Assembly and the special meeting announced. No absentee ballots will be allowed. Final approval of the Plan rests with the University Senate.

This Plan of Organization shall be reviewed every ten years or fewer by a committee elected by the faculty, students, and staff as prescribed by the Plan of Organization for the University of Maryland. In no case shall anything in this plan be construed as contradicting established University procedures.

## **ARTICLE IX. FACULTY APPOINTMENTS**

### **IX. A. Criteria and procedures for appointment to tenure-track and tenure positions, reappointment, and promotion**

The College of Journalism bases its review processes for appointment, reappointment, promotion, and tenure on procedures, policies, forms, and formats specified in the UMCP policies on appointments, promotions, and tenure. Promotion and tenure reviews must take into account the relevant academic requirements, responsibilities, and mission of the College.

Consistent with the University's mission and status, faculty in the College are evaluated on performance in the following areas: professional and/or scholarly research and journalistic activity, teaching and advisement, and service, as well as other relevant contributions.

Every member of the faculty is expected to perform assigned/expected duties conscientiously. Promotion and tenure are not awarded for normal performance of expected duties, but earned through outstanding and rigorous achievement in quality and quantity in teaching, service, and scholarship (or combination of scholarly and professional work). In advising and mentoring our junior faculty, we need to be conscious of the University's and College's standards for promotion and tenure and to communicate these standards openly and honestly.

#### **IX. A.1. Differences in rank**

Successful candidates must exhibit promise of future sustained excellence. While faculty members at all levels are expected to be active in scholarship/professional activity, teaching, and service, the relative weights of these dimensions may vary slightly. For example, untenured

faculty members need to put more time into research and/or professional activity. Therefore, assistant professors seeking promotion to associate professor and tenure are not expected to be as heavily involved in service as associate and full professors, although assistant professors are still evaluated in terms of some service. In addition to having the qualifications of an Associate Professor, the candidate for Full Professor shall have established a national and, where appropriate, international reputation for outstanding research, scholarship and/or professional creativity, and a distinguished record of teaching. There also must be a record of continuing evidence of relevant and effective professional service.

Candidates for promotion should hold their rank (e.g. Assistant Professor, Associate Professor) at the University of Maryland long enough to have accumulated a record that provides for a fair review. For candidates who served as an assistant professor at another comparable institution, the prior accomplishments at the earlier institution shall also be considered. Assistant Professors must apply for tenure no later than their sixth year at the University of Maryland. Similarly, the prior accomplishments at a comparable institution/earlier institution of an associate professor shall also be considered when applying for promotion to full professor.

#### **IX. B. Responsibilities of Members of the P&T Committee**

All P&T members are responsible for ensuring that all candidates receive fair and impartial treatment, and for maintaining the integrity and confidentiality of the process. This also means that each member is responsible for protecting the confidentiality of other committee members, or any others who have been assured confidentiality, and of all deliberations of the committee. Breaches in this confidentiality are considered breaches of professional ethics.

Members of the Promotion and Tenure Committee are expected to come to Promotion and Tenure meetings:

- having read the relevant materials (cv, outside letters, committee reports, publications)
- prepared to engage in a lengthy, honest, open discussion of all aspects of the case, including its strengths and weaknesses,
- willing to participate in the writing and rewriting of reports and various pieces of the dossier,
- having become familiar with the relevant rules and regulations of the University and Campus, and the College,
- thoroughly prepared for the deliberations of the committee and to participate fully.

#### **IX.C. Criteria for tenure decisions**

**IX. C.1. Research, scholarship, and professional activity.** Productive faculty members are continuously involved in important research, writing, and/or creative/professional efforts. Review committees look for establishment of an active research and/or journalistic program based on a clear programmatic focus with demonstrably strong potential for significant impact on the field. On behalf of this overall goal, review committees look for impact, significance, scope, originality, quantity, continuity, coherence, and progression. Both disciplinarity and interdisciplinarity are valued.

For scholarly work, evidence of excellence is found in:

- Publication of significant research in prestigious, peer-reviewed journals and authored books, edited books, monographs, book chapters, encyclopedia articles, conference proceedings, and book reviews (weighted in roughly that order)

- Editing a peer-reviewed journal, and serving as co-editor or associate editor of a peer-reviewed journal (ISI-ranked journals are weighted the highest)
- Presentation of research results at national and international conferences
- Development of an externally funded research program, including those that provide support for graduate research assistants or other support for the college.

In general single authored publications are weighted more than co-authored materials, although collaboration and co-authorship with colleagues, graduate students, and others is also valued. In each case of co-authored or co-edited work, documentation of the role and contribution of the individual should be provided so that the quality of the result and relative contributions of the participants must be weighed. Documentation of the quality of journals and other outlets is expected; this is particularly important in the case of emerging areas of work and with new journals.

For professional work, evidence of excellence is found in:

- Significant books for specialized and general audiences
- Significant analyses, critical reviews and creative work in professional publications
- Significant articles, reviews, commentaries and creative work for news media, including photojournalism; broadcast journalism; multi-platform works; innovative new media applications
- Significant instructional material breaking new ground and advancing concepts, ideas and approaches.

For those who combine scholarly and professional work, examples of excellence may be found in some mix of the scholarly and professional achievements listed above.

The weight of such works will be accorded by their contribution to and impact on the scholarly and/or professional community, their adherence to scholarly and/or professional standards, the quality of execution and the distinction they bring to the college and university. Quantity of published material is not sufficient. Evidence of quality that merits tenure and promotion includes such achievements as:

- Winning of awards and obtaining research grants
- Publication in ranked peer-reviewed journals, in significant professional journals, and in non-academic publications known for excellence
- Citations of publications in significant books, including text books, scholarly monographs, and works intended for wider audiences; in scholarly journals, journalism reviews and other professional publications, and in non-academic periodicals
- Reprinting or abstraction of written work in other publications
- Refereed presentations; invited presentations, discussions of research, speeches and interviews as an expert. Among the venues for these scholarly or professional contributions are lectures, panel discussions, television or radio programs and online forums.
- Utilization of scholarly or professional findings by policy makers, practicing journalists, educators, judicial bodies, or other significant institutions.
- Prizes and other forms of recognition by professional or scholarly colleagues and organizations.

**IX. C.2. Teaching, advisement, and mentoring.** Criteria for teaching include clear and engaging communication, reasonable access to students, ethical and fair treatment of students, appropriate and rigorous assessment of student work, and that content is contemporary and

rationally organized. Successful, effective teaching and advisement can be demonstrated with evidence for:

- Quality of classroom instruction as evaluated by students and peers
- Quality and quantity of advisement and supervision of students, and effective participation on thesis and dissertation committees, as seen in numbers of students who go on to jobs/careers of distinction, who win awards for dissertations and theses, and/or who present/publish work in refereed conferences/publications
- Development of new programs, courses and seminars; enhancement/revision of existing courses and syllabi
- Creative utilization of new materials and new technology
- Instructional writing such as textbooks, lecture notes, publications in or editorial board membership on journals dealing with pedagogy
- Supervision to completion of M.A. theses and Ph.D. dissertations; of major importance is the faculty member's availability to and mentoring of students
- **Placement of mentees in high-level or prestigious jobs within and outside of academia**
- Outreach educational activities such as conference pre-sessions, workshops and tutorials
- Diversity and variety of style and format in course organization/activities and of approaches, including collaborative and/or interdisciplinary approaches, and in development of new and more appropriate methods of evaluation.
- Serving as mentor to a faculty member through the College's formal mentoring program

IX. C.2a. **Documentation of Teaching Effectiveness.** Materials for documenting teaching effectiveness include: student evaluations and peer ratings of teaching performance; copies of course syllabi, major assignments and examinations; published materials on teaching

techniques; unsolicited letters to the candidate; letters from students solicited by the P&T committee; awards and other evidence of recognition.

**IX. C.3. Service.** Every faculty member is expected to participate in the conduct of the College and University; in appropriate professional organizations; and in professional service to schools, colleges, universities, and other agencies of the community. Both productivity (amount—in terms of the level, consistency over time, frequency, and stature of participation) and quality (as evidenced in significance, effectiveness, and impact of service) will be considered.

Evidence of outstanding service may be established in terms of:

- Leadership in College task forces, standing committees, ad hoc committees
- Membership, and leadership in University of Maryland-College Park task forces, standing committees, ad hoc committees; interdisciplinary activities
- Leadership in national, international, state, regional and/or local organizations
- Leadership within news media, for example, through judging and other consultations
- Memberships on editorial boards (typically, work as the editor or associate editor of a journal is deemed research), and reviewing manuscripts for publishers
- Appointed or elected leadership in professional organizations (such as SPJ) at the national or international level; or in learned societies
- Work in organizing seminars and workshops, for professionals and/or scholars/students;
- Serving on funding and government agency panels or advisory committees.

IX. C.3a. **Documentation of Effective Service.** Descriptions of activities, copies of materials, letters from groups served, and other forms of recognition are relevant in documenting effective service.

The candidate and Dean may also formulate a statement regarding the unique contributions of the faculty member to the College's present and future work. The value of the faculty member's contributions or strengths that do not fit categories above but indicating unusual capacity for growth and outstanding future achievement may be mentioned.

#### IX. D. **Procedures**

IX. D.1. **Initial Appointment.** All appointments to tenure-track positions must be referred to the College Assembly for approval. All initial appointments with tenure must also be approved by the P&T committee (again, members at rank or above).

IX. D.2. **Annual Informal Assessments.** Following appropriate consultation with P&T committee, the Dean (or Dean's delegate, such as the Associate Dean) shall provide each untenured professor with an annual informal assessment. The Dean may request a P&T subcommittee to provide this review, with members chosen by the Dean and the candidate; the candidate's formal mentor may be part of this group. The informal review may be based on classroom visits, a current *curriculum vitae*, copies of all published research, copies of recent syllabi, and summary reports of teaching evaluations for each undergraduate and graduate course taught during the period assessed. The person being reviewed may provide a narrative.

Those meeting with the faculty member should restate prevailing standards of quality and describe the most effective ways to demonstrate fulfillment of the standards. Informal assessments are purely advisory to the faculty member and do not assure a favorable tenure

and/or promotion decision. One or more faculty members may be asked to provide a written report of the teaching of the faculty member based in part on one or more classroom visits, scheduled at times deemed convenient by the faculty member being assessed. The faculty member being assessed may choose to provide material he or she deems useful to the reviewers' ability to understand the class visited. Each annual informal assessment shall be included in the faculty member's personnel file with any material attached as requested by the faculty member or the P&T Committee. The candidate may request a formal written review at any point.

### **IX. D.3. Formal Intermediate Reviews**

IX. D.3a. *Assistant Professors*. The P&T Committee shall perform a formal intermediate review of the progress toward meeting the criteria for tenure and promotion after the third year of an assistant professor's appointment, to assess the candidate's progress toward promotion, to inform the reviewed faculty member of that assessment, and to advise the candidate and Dean of steps that should be taken to improve prospects for promotion. These intermediate reviews look at research/professional activity, teaching and service, but do not involve external evaluations.

IX.D.3b. *Tenured Professors*. The P&T Committee shall perform a formal post-tenure review in the fifth year of a tenured professor's appointment and every five years thereafter. The criteria, and procedures for these, and solutions regarding unsatisfactory performance are described elsewhere ("Post-tenure review process"). For associate professors, this review involves assessing progress towards meeting the criteria for promotion to the rank of professor. An associate professor may request review earlier than five years.

### **IX. E. Tenure and Promotion Reviews**

Tenure reviews are governed by the APT documents of the System, the Campus, and the College. The review file shall be constructed in compliance with the University Appointment, Promotion, and Tenure Procedures Manual effective at the beginning of the academic year in which a formal review for tenure and/or promotion will occur. Several relevant points, however, follow here:

**IX. E.1. Initiation of Review.** Responsibility for initiation of a tenure review and/or promotion to Associate Professor rests with the Dean. Responsibility for initiation of a promotion to Full Professor, or early tenure decision rests with the faculty member seeking promotion, often through the advice of the candidate's mentor or other senior faculty. The faculty member shall indicate this in a letter to the Dean. The Dean is responsible for initiating annual reviews of untenured faculty, or post-tenure review.

**IX. E.2. External Evaluators.** Candidates for promotion and tenure may submit six names of potential external reviewers. Members of the P&T committee will suggest another six names, with the appropriate intellectual and personal distance from the candidate. The chair of the P&T committee, in consultation with the rest of the committee will choose three names from the candidate's list, another three names from the committee's list. At least six letters are solicited. In general, the external reviewers should be full professors at Research I universities or others of comparable stature. The faculty member's wishes on names not to appear on the list shall be respected. The P&T chair is responsible for soliciting letters of recommendation from the selected reviewers.

**IX. E.3. Deliberations and voting.** Because deliberations are crucial, an absentee vote will be accepted only in highly unusual circumstances and with the approval of a majority of the members of the P&T Committee present. A member voting absentee, when allowed and if this is

necessary, is responsible for the same preparation. At any single meeting, only one member may vote absentee; if more than one member of the P&T committee cannot attend the meeting in person, the meeting must be rescheduled.

Votes regarding a candidate will only be made at meetings called for this purpose. At least one week's notice shall be given for such meetings. Each member has the right to confidentiality in deliberations and voting.

IX. E.4. **Decisions.** The Committee shall deliver its recommendation (including the vote tally) in writing to the Dean in a report explaining the basis for the Committee's recommendation. Dissenting positions may be prepared by any member of the committee and such dissents shall accompany the report through the rest of the University's APT process. In the case of a negative recommendation by the committee, the Dean shall inform the candidate of the right to a formal Appeal and of the appropriate process for doing so. The Dean writes an independent recommendation. If the Dean disagrees with the recommendation of the P&T Committee, the Dean should meet with the Committee to explain that recommendation.

IX. E.5. **Report to the Candidate.** In promotion and tenure reviews, the Dean shall provide the faculty member under review a letter announcing the recommendation and vote tally, and summarizing the basis for it. Any Committee member requesting to review this letter may do so.

## **APPENDIX 2 - 2001 JOUR PLAN OF ORGANIZATION**

### **Plan of Organization of The Philip Merrill College of Journalism University of Maryland Approved by the College Assembly Oct. 18, 2001**

#### **PREAMBLE**

The Plan of Organization of the Philip Merrill College of Journalism establishes the basic framework for the conduct of the College's affairs. The Plan addresses specific details of the College's organization. The Plan is meant to be consistent with the policies, procedures and regulations for the governance of the University of Maryland. The powers of the College Assembly and its committees, described in this Plan, shall be limited so that they do not contravene the authority of the dean as provided in the statutes of the University of Maryland System.

The Plan establishes a structure that is intended to enhance the collegiality of the organization. It creates a framework designed to facilitate cooperation and involvement of the entire College community in all aspects of the College's mission. It is meant to ensure that academic and professional growth may be pursued in an atmosphere of stability, freedom and trust.

#### **ARTICLE I. Mission**

The College seeks to be the nation's preeminent professional school in its field, a model for others in its integration of scholarly work and professional practice. As we enter a new century, it aspires to lead in the uses and study of new technologies to improve understanding and performance in our fields. Its mission is to educate university students at the undergraduate, master's and doctoral level within a liberal arts context, preparing them for careers in journalism,

and for scholarly work and teaching in these fields; to elevate the standards of professional practice; and to advance the quality of public life through knowledge of public issues, including those related to the role of media in a democratic society.

## **ARTICLE II. Shared Governance**

Shared governance in the College means governance shared among administration, faculty, students, staff, and professional centers. Among these, the faculty has a fundamental role in the governance of the College. The administration is responsible for seeking advice, initiating action, making decisions and implementing policy, and for maintaining accountability for its actions. Administrative accountability means active accounting to the other constituents with whom governance is shared on policies recommended by those constituents. The faculty has the responsibility for informed and regular participation in governance activities related to all aspects of the academic mission of the College. Staff and the professional centers have a vital role in support of the College mission and have the responsibility for informed and regular participation in governance activities. Undergraduate, master's, and PhD students have the responsibility for informed and regular participation in governance activities that have specific impact on their areas of interest.

## **ARTICLE III. The College Assembly**

### **A. Membership**

College Assembly meetings shall be open. The following shall have voting privileges:

A.1 All ~~full-time faculty members~~. Faculty are defined as lecturers, assistant, associate, and full professors. Where a faculty member has a joint appointment in two or more units, she or he

shall be counted with that unit in which his or her tenure resides. All other people teaching in the College who are not covered by the above definition shall be ex-officio, non-voting members of the College Assembly.

A.2 Exempt personnel, as defined by the University, represented by one member elected by peers in the spring to serve a one-year term, from the exempt personnel of the College who are on appointment of at least half-time and who are paid from State funds. No member who has served a full term shall be eligible to succeed immediately to office. The term of office shall begin July 1 after election. The election is by written ballot and is held by the dean's office. All other exempt personnel shall be ex-officio, non-voting members of the College Assembly.

A.3 Non-exempt personnel, as defined by the University, represented by one member to be elected by peers in the spring to serve a one-year term, from the non-exempt staff of the College who are on appointment of at least half-time and who are paid from State funds. No member who has served a full term shall be eligible to succeed immediately to office. The term of office shall begin July 1 after election. The election is by written ballot and is held by the dean's office. All other non-exempt personnel shall be ex-officio non-voting members of the College Assembly.

A. 4 The editor of the American Journalism Review.

A. 5 Centers, represented by one center director elected in the spring by the center directors to serve a one-year term. At the time of the adoption of this document centers include the Journalism Fellowships in Child and Family Policy, the Hubert Humphrey Journalism Fellows Program, the Casey Journalism Center on Children and Families, and the Knight Center for Specialized Journalism. The term of office shall begin July 1 after the election. In the event a representative cannot serve, a special election will be held to fill the vacancy.

No member who has served a full term shall be eligible to succeed immediately to office. The election is by written ballot and is held by the dean's office.

A.6 Graduate students enrolled in the PhD program shall be represented by one full-time student to be elected by peers in the spring from the PhD program student body of the College. The term of office shall begin July 1 after election for a one-year term. In the event a representative cannot serve, a special election will be held to fill the vacancy.

A.7 Graduate students enrolled in the master's program shall be represented by one full-time student to be elected by peers in the spring from the master's program student body of the College. The term of office shall begin July 1 after election for a one-year term. In the event a representative cannot serve, a special election will be held to fill the vacancy.

A.8 Undergraduate students shall be represented by one full-time student to be elected by peers in the spring from the undergraduate student body of the College. The term of office shall begin July 1 after election for a one-year term. In the event a representative cannot serve, a special election will be held to fill the vacancy.

A.9 The College Assembly shall elect faculty senators to serve in the University Senate and arrange for the election of undergraduate and graduate senators in accordance with the University Senate procedures.

## **B. Operations**

### **B.1 Organization**

The dean shall act as chair of the College Assembly and appoint a nonvoting ex-officio member to act as secretary of the College Assembly for a term of one year. To help ensure the ability of each voting member to participate fully, the secretary shall be a person other than either of the staff members elected to represent staff in the College Assembly.

## **B.2 Functions**

The College Assembly shall be responsible for receiving and acting upon proposals made by committees named in this report and formulating and recommending to the dean educational policies of the College. Recommendations of the College Assembly shall be implemented when approved by the dean. Recommendations of the College Assembly are by majority vote of those present.

## **B.3 Meetings**

Meetings of the College Assembly shall be conducted in accordance with Robert's Rules of Order, The Modern Edition. No vote may be taken in the absence of a quorum, defined as a majority of the members. A secret ballot shall be taken upon the request of any voting member of the Assembly, or upon the request of the chair. The Assembly should meet once each month during the course of the academic year when practical. However, it shall meet no fewer than three times per semester.

The dean, the chair of the Faculty Advisory Committee or one-third of the voting members shall have the authority to call special meetings. All members of the College Assembly shall be notified of regular meetings and provided an agenda no fewer than five days before the meeting. All College agendas shall be publicly posted.

# **ARTICLE IV. College Administration**

## **A.1 The Office and Duties of the Dean**

The dean of the College shall be the chief academic and administrative officer of the College. The dean shall be responsible for business operations of the College, professional and academic leadership, and liaison with the campus community and the professions served by the

College. The dean shall provide leadership in maintaining the accreditation of the College. The dean shall be chief advocate of the College and shall be responsible for the unit's budget, for fund raising, and for reviewing and recommending for campus-level review proposals made by the College Assembly and the Promotion and Tenure Committee. The dean shall direct the advising of students and certify them for degrees awarded by the College, encourage interdisciplinary programs in which the College might be included and prepare materials needed for planning purposes. If the dean does not implement proposals of the College Assembly or College committees, he or she shall discuss the reasons with the College Assembly or the committee involved.

#### **A.2 Appointment of the Dean**

Members of the College Assembly shall participate in the appointment of the dean as specified in the campus procedure for appointing deans. Members of the College Assembly shall take an advisory vote by secret ballot on the final list of candidates, and the result of this vote shall be communicated to the search committee and the provost.

#### **A.3 Administrative Functions**

##### **A.3.a Academic Administrators**

The College may have associate and assistant deans and other administrative officers as necessary. Academic administrators shall perform those duties assigned to them by the dean. Searches for appointments to these administrative positions will be guided by University procedures. The dean will inform the assembly of the progress of such searches in a timely fashion.

### **A.3.b Faculty with Administrative Roles**

The College shall have a director of graduate studies and a director of the Center for Research in Public Communication. Recommendations for appointment of these directorships shall be made by the Faculty Advisory Committee to the College Assembly. The College Assembly, in turn, shall consider these recommendations and make its own recommendations to the dean. Directors shall serve for a term of two years, and shall not be eligible for reappointment for one term.

The director of graduate studies shall promote student recruitment, oversee doctoral student orientation, and advisement. The director shall be the chair of the graduate committee.

The director of the Center for Research in Public Communication shall promote the production of research among both faculty and students. The director shall assist in locating and securing resources for research production. The director will work to facilitate professional development and publication of research reports.

### **A.4 Review of the Administrators**

All administrators shall receive periodic performance reviews as specified by University policy. Review shall include input from the faculty, staff, and students in the College when appropriate.

## **ARTICLE V. Committees**

The College shall maintain the standing committees outlined below. The Faculty Advisory Committee shall nominate slates of candidates and a reasonable number of alternates from which the dean or administrators above the College may choose. Appointments include members for all standing College committees or representatives to participate in the search, nomination and

review of administrators and units at any campus and university level. Faculty, exempt and non exempt staff, center directors and staff, and students shall all be eligible to serve on standing committees unless otherwise specified by this Plan.

Student members shall be elected or appointed as prescribed in Article VI. The Faculty Advisory Committee shall elect its own chair, subject to approval of the dean. Chairs of other standing committees shall be appointed from among the membership of the committees by the dean, in consultation with the Faculty Advisory Committee. Standing committee appointments shall be subject to ratification by the College Assembly. If the College Assembly fails to ratify, the dean shall suggest an alternative committee. Committees may originate and present proposals to the College Assembly relating to specific areas of their concern. All committee appointments are annual, except as specified by this Plan, and appointees shall assume responsibility July 1. The dean or the College Assembly may suggest other committees to serve for short periods to deal with special problems and projects. The dean shall inform the College Assembly if needs should arise requiring such special committees to serve more than one year. The dean shall consult with the College Assembly in appointing the members of these committees.

#### **A.1 Graduate Committee**

The Graduate Committee shall monitor the College's graduate program and policies, and work in concert with the administration to select candidates applying to the College's master's and Ph.D. programs. Curriculum or course modification proposals to the graduate curricula made by the Program Courses and Curricula Committee shall be considered by the Graduate Committee for review prior to any action from the College Assembly. The Committee shall be minimally composed of four faculty members who teach graduate-level courses and the director of graduate studies.

## **A.2 Appointments Committee**

The Appointments Committee shall have broad representation of faculty, one graduate student, one undergraduate student, the dean in an ex-officio, non-voting capacity and – if necessary – others as suggested by the University. The Appointments Committee shall recommend search committees to the dean to initiate all full-time faculty and center director appointments in the College. Those committees will report to the Appointments Committee. The Appointments Committee shall recommend position descriptions and appointments to the College Assembly for all full-time faculty appointments to the College and center directors, and also shall recommend all proposed part-time faculty and affiliate appointments to the College. The Committee shall review and recommend whether these part-time appointments should be renewed. The Committee shall act in accordance with the most recent version of the College's "Procedures on Appointments, Tenure and Promotion" document. Should a search extend beyond one academic year, the Committee shall inform the College Assembly of its progress and intent.

## **A.3 Faculty Advisory Committee**

### **A.3.a Membership**

The Faculty Advisory Committee shall consist of five full-time faculty with duties in teaching and research as defined by the University. All members shall serve for two years and shall not be eligible for reelection for one year after completing their term.

### **A.3.b Election**

Members of the Committee shall be elected by faculty by secret ballots. Two members shall be elected from the ranks of full professors, two from the ranks of associate and assistant professors, and one from the ranks of lecturers. The election shall take place before the final

College Assembly meeting of each year.

To provide continuity within the Committee and allow for staggered replacement of Committee members, three members from among the first five faculty elected to the Committee shall be selected at random to serve for only one year. Replacements for the three one-year members shall be elected in a fashion that maintains representation according to rank on the Committee.

#### **A.3.c The Chair**

The Faculty Advisory Committee shall elect its own chair annually from among its members. In the absence of the dean, the chair of the Faculty Advisory Committee shall chair the College Assembly.

#### **A.3.d Duties**

To serve as a conduit for information between the faculty and the dean, the Faculty Advisory Committee shall meet monthly with the dean during the regular academic year and during the summer, as needed, on matters of interest and concern to the College. The Committee shall serve as the College's committee on committees, as well as advise the dean on budget, facilities, strategic planning, and faculty matters. The Committee shall have the responsibility to review any complaints or grievances lodged by a faculty member before any action is taken, if requested by the faculty member. The dean shall report to the Faculty Advisory Committee as to the action on and disposition of recommendations from other College committees. The chair of the Faculty Advisory Committee shall report regularly on its activities to the College Assembly.

#### **A.4 Programs, Courses and Curricula (PCC) Committee**

The PCC Committee shall review curriculum proposals, coordinate programs, recommend academic standards and related policies, review course syllabi, coordinate teaching enhancement

and be responsible for the ongoing evaluation of academic programs in the College. The Committee shall be composed of four full-time faculty members, one undergraduate and one graduate student.

#### **A.5 Promotion and Tenure Committee**

The Promotion and Tenure Committee shall be composed of all tenured faculty. Full professors shall consider by secret vote each question of promotion to full professorship. Full professors and associate professors shall consider by secret vote each question of promotion to associate professorship and tenure. Such decisions shall be reported to the dean. The dean shall meet with the Committee but shall not be present when a vote is taken. The dean shall report his or her decisions to the Committee. The Promotion and Tenure Committee shall be required to invite assistant professors annually to discuss their progress toward promotion. Associate professors may request meetings with full professors to discuss their progress toward promotion. These sessions shall not constitute formal interim checkpoints, since tenure and promotion cases may be decided only at the time of formal review, when all materials are submitted, outside judgments have been sought and the full body of the candidate's work may be considered. The full Committee shall review candidates for emeritus status. The Committee shall act in accordance with the most recent version of the College's "Procedures on Appointment, Tenure and Promotion."

Lecturers' performance shall be monitored by the dean annually. Lecturers serving three years shall undergo a review by a three-member subcommittee appointed from the Tenure and Promotions Committee. Review candidates shall submit materials appropriate to their performance to the subcommittee. The subcommittee shall submit a written report to the Tenure and Promotions Committee, who will forward it to the dean along with its comments. The

subcommittee shall act in accordance with the most recent version of the College's "Procedures on Appointment, Tenure and Promotion."

#### **A.6 Undergraduate Committee**

The Undergraduate Committee shall monitor the College's undergraduate program and policies, and review admissions appeals to the undergraduate limited enrollment program. Curriculum or course modification proposals shall be forwarded to the Programs, Courses and Curricula (PCC) Committee for review prior to any action from the College Assembly. The Committee shall be minimally composed of four faculty members who teach undergraduate-level courses, and a representative from the Undergraduate Student Services Office..

#### **A.7 Committee on Centers**

The Committee on Centers shall serve as a conduit for information among the dean, faculty, and centers. The Committee on Centers shall meet at least once a semester with the dean during the regular academic year and the summer, as needed, on matters of interest and concern to the College. At the time of the adoption of this document, those centers include the American Journalism Review, the Journalism Fellowships in Child and Family Policy, the Hubert Humphrey Journalism Fellows Program, the Casey Journalism Center on Children and Families, and the Knight Center for Specialized Journalism.

##### **A.7.a Membership**

The Committee on Centers shall consist of all center directors and three faculty members, one full professor, one associate professor, and one faculty member of other rank.

##### **A.8.b The Chair**

The Committee shall elect its own chair annually from among its members.

#### **A.8.c Duties**

The Committee shall be charged with advising the dean and the faculty about matters involving the centers, and with soliciting faculty input about the operation of the centers and the substance of their program curricula. The Committee is intended to be a vehicle for integrating the centers into the life of the College and for ensuring that the centers and the core faculty take maximum advantage of one another's talents and resources. The chair of the Committee on Centers shall report regularly on its activities to the College Assembly.

### **ARTICLE VI. Student Governance**

The education of students being a prime objective of the College, the dean, faculty and professional staff of the College shall seek to be responsive to students' needs and sensitive to their concerns. Students are encouraged to participate in the deliberative and decision-making bodies of the College.

During the spring semester of each academic year and coordinated with University Senate elections, a College student-service administrator shall coordinate the "Call for Nominations" and subsequent election process. Students shall be invited to nominate candidates for the College Assembly and elected College committees or express interest in serving on other committees for the upcoming academic year. Upon establishment of the list of candidates, registered students shall be issued ballots to vote for their respective College Assembly and elected committee representatives. Ballot results shall be made public and, along with statements of interest from students wishing to serve on College committees, shall be distributed to the chair of the Faculty Advisory Committee.

One undergraduate student, one Master's student and one PhD student shall be elected to

the College Assembly. In addition, one undergraduate student and one graduate student shall be elected to the Appointments Committee and the Programs, Courses and Curricula (PCC) Committee.

Students may organize their own academic, professional and extracurricular associations. College faculty shall be encouraged to participate in those associations.

#### **ARTICLE VII. Grievance of Variance from the Plan of Organization**

Any voting member of the College Assembly who feels there has been variance from the policies stated in the Plan of Organization may issue a written grievance to the Faculty Advisory Committee expressing those concerns. Any non-voting member of the College may submit a grievance to either their elected representative or to the chair of the Faculty Advisory Committee. The Faculty Advisory Committee will consider the grievance at its next regularly scheduled meeting and forward it, along with its written comments, to the dean. The dean will respond to the Faculty Advisory Committee and the griever in writing. The Faculty Advisory Committee will then respond to the griever, in writing, in a timely fashion.

#### **ARTICLE VIII. Adoption, Amendment, Review and Limits of the Plan of Organization**

This Plan of Organization may be amended by a majority of all voting members of the College Assembly. Voting will be by secret ballot at a special meeting called for this vote and subject to the approval of the University Senate. No absentee ballots will be allowed.

This Plan of Organization shall be reviewed every five years or less by a committee elected by the faculty, students and staff as prescribed by the Revised Plan of Organization for the University of Maryland.

In no case shall anything in this plan be construed as contradicting established University procedures for shared governance.