

General Faculty Meeting

Spring 2021

Elizabeth G. Lobo, Ph.D.

Provost and Vice President for Academic Affairs

January 27, 2021

World Changers
Shaped Here



SMU®



SMU Teaching Awards



The Office of the President supports the President's Associates Award to recognize a tenured faculty member who has sustained high achievement as a teacher and whose scholarship makes a meaningful contribution to student learning.



Jill DeTemple, Ph.D. –Dedman College

- Chair, Department of Religious Studies
- Professor



The SMU Golden Mustangs, an alumni organization consisting of members who graduated 50 or more years ago, established this award to honor those devoted to the advancement of teaching and learning. Specifically, this award recognizes a pre-tenure faculty who not only embodies excellence in teaching but whose scholarship consistently advances the discipline and growth of students.



Natalie Nanasi, J.D. –Dedman Law School

- Director of the Judge Elmo B. Hunter Legal Center for Victims of Crimes Against Women
- Assistant Professor of Law



The Provost's Teaching Recognition Award honors a full-time non-tenure track faculty member who demonstrates a commitment to excellence and a dedication to teaching and learning. Nominees must have taught credited courses full-time for a minimum of 5 continuous years prior to his or her year of nomination.



Mark Allen, Ph.D. – Meadows School of the Arts
• Senior Lecturer, Advertising

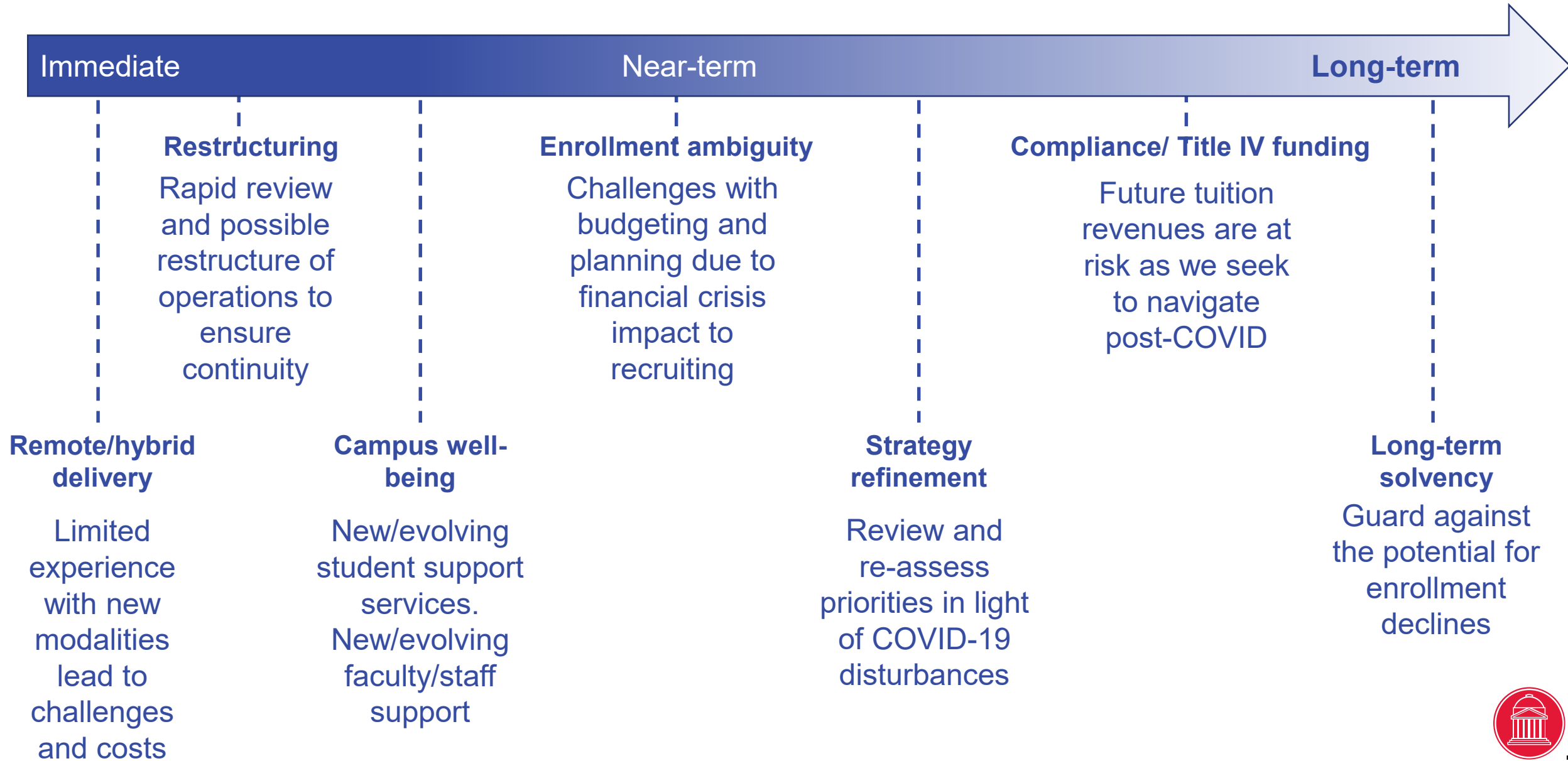


Brian "Squirrel" Eiserloh – SMU's Guildhall
• Professor of Practice, Programming



Higher Education Landscape





SMU's Recent Successes





ANNOUNCING

Moody School

of

Graduate and Advanced Studies

Moody School of Graduate and Advanced Studies:

Acceleration of SMU's advance among research universities:

Increase PhD graduations & create nationally ranked PhD programs

Increase externally funded research

- **Moody Hall**, a new facility will spur faculty and student interaction for significant, interdisciplinary research.
- **Moody Endowed Deanship**, will provide the Dean with discretionary resources for staff positions, programming and highest priority needs.
- **Moody Endowed Graduate Fellowship Fund** will position SMU with other elite universities to attract and support the best and brightest students, who will supercharge faculty research, enrich the University's intellectual environment, and serve as SMU ambassadors when they earn positions at other institutions.
- **Moody Endowed PhD Dissertation Fellowship Fund** will enable timely completion of Ph.D. dissertations.
- **Moody Endowed Faculty Fellowships** will support outstanding faculty, including visiting faculty, and reward and encourage mentoring of graduate students and the conduct of research.
- **Moody Research Incubator** funding will attract nationally and internationally renowned scholars to SMU to conduct high-impact cutting-edge research.
- **Moody Academic Initiatives** will stimulate interdisciplinary work across the University and support high-impact projects including capital projects and research initiative.

Support for SMU's Strategic Plan:

Encourage Inter-disciplinary Research

Increased support for PhDs to recruit & retain gifted students

Recruit & retain gifted faculty

Encourage Inter-disciplinary Research



Gerald J. Ford Hall for Research and Innovation



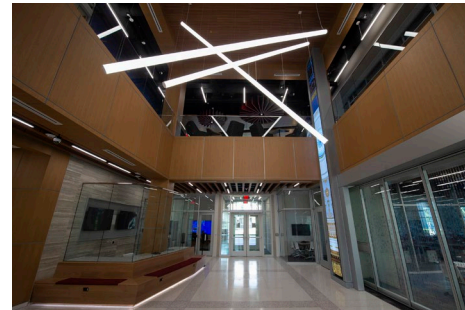
Visualization lab



Collaboration studios



Guildhall



The Atrium



The mission of the Southern Association of Colleges and Schools Commission on Colleges is to assure the educational quality and improve the effectiveness of its member institutions.

Core Values:

- Integrity
- Peer Review/Self-regulation
- Student Learning
- Continuous Quality Improvement
- Accountability
- Transparency



So What Do We Have To Do To Remain Accredited?

Every ten years, SMU must demonstrate compliance with SACSCOC's accreditation standards and policies across a broad range of content areas

SACS Standards

14 Sections

- 73 Standards
- 17 Core Requirements (*non-compliance has severe penalties*)
- SMU is required to create & implement 17 policies specific to SMU

SACS Policies

- 19 Policies in addition to the standards.

- SECTION 1: The Principle of Integrity
- SECTION 2: Mission
- SECTION 3: Basic Eligibility Standards
- SECTION 4: Governing Board
- SECTION 5: Administration and Organization
- SECTION 6: Faculty
- SECTION 7: Institutional Planning and Effectiveness
- SECTION 8: Student Achievement
- SECTION 9: Educational Program Structure and Content
- SECTION 10: Educational Policies, Procedures, and Practices
- SECTION 11: Library and Learning/Information Resources
- SECTION 12: Academic and Student Support Services
- SECTION 13: Financial and Physical Resources
- SECTION 14: Transparency and Institutional Representation



The Two-year Reaffirmation Window — SMU & SACSCOC Partnership & An Extra Visit

	Decennial Reaffirmation of Accreditation	Substantive Change Visit
December 2018	SACSCOC Prepares SMU Leadership Team	
February 2020	SACSCOC Staff Advisory Visit	
September 2020	SMU Submits Compliance Certification	SMU Submits Substantive Change Prospectus (Bylaws)
November 2020	Off-Site Committee Evaluates Certification	
January 2021	SMU Submits Response to Evaluation via “Focused Report”	SMU Submits Substantive Change Response (if necessary)
	SMU Submits Quality Enhancement Plan	
March 2021	SACSCOC Peer Reviewers On-Site at SMU and 2 OCIS	SACSCOC Peer Reviewers On-Site Visit for Substantive Change
September 2021	SMU Submits (if necessary) Response via “Response Report”	SMU Submits Response for Substantive Change (Bylaws)
December 2021	SACSCOC Board of Trustees Action	SACSCOC Board of Trustees Action



Faculty Engagement





Dr. Johnitha Johnson
Clinical Assistant Professor
Simmons School of Education
and Human Development
Department of Teaching and
Learning
Focus Area: Diversity and
Inclusion



Dr. Scott Norris
Associate Professor
Dedman College
Department of Mathematics
Focus Area: Undergraduate
and graduate student success



Gordon Law
Visiting Professor of Practice
Meadows School of the Arts
Focus Area: Strategic
communication



Dr. Mark Fontenot
Clinical Professor and Assistant
Department Chair
Lyle School of Engineering
Department of Computer
Science
Focus Area: Undergraduate
and graduate student success



Dr. Renee McDonald
Associate Dean for Research
and Professor
Dedman College
Department of Psychology
Focus Area: Research
enhancement and scholarly
impact



Dr. Carolyn Smith-Morris
Professor
Dedman College
Department of Anthropology
Focus Area: Institutional
Planning and Data Analytics



1 What are the biggest challenges SMU is facing (or will face in the near future) and why are we facing these challenges?

2 We have very good salaries and environment at SMU; how do we better utilize this great resource to improve morale and motivate faculty?

3 What are the most promising unexploited opportunities for growth (in particular related to achieving our R1 goals)?

4 What would need to happen for SMU to exploit the potential of these opportunities?

5 If you were me, what would you focus attention on?



Faculty responses to the standard framing questions fall into five broad categories

Research
Capacity

Structural
Change

SMU
Identity

Faculty
morale

Equity/
Fairness



High expectations for research productivity need to be matched by an R1 research context:

More staff dedicated to research infrastructure (pre/post-award support)

More time for writing proposals, forming collaborations, conducting & writing up research

Less teaching for research intensive faculty

Stronger doctoral candidates: stronger recruitment; more funding; better career trajectories

More post-doctoral researchers

More lab space (particularly for STEM fields)



The strategic reallocation of budgetary resources to prioritize research will require difficult decisions.

Making commitments to strategic areas (tough decisions)

Emphasizing research at the same level as undergraduate teaching & athletics

Allocating budgetary resources to propel success



SMU needs to be more precise about what it is/is not and be more intentional about promoting a research image regionally, nationally and globally

Need strong promotion of research image, including external (higher visibility at peer and aspirant universities) and internal (highlighting faculty & student achievements)

Current marketing is local & undergraduate/alumni oriented

Need to be seen as a strong partner in the DFW business community



After some difficult years, there is a need to regain faculty trust

Trust lost during OE2C & staff positions lost

Too much centralization has taken place; too much top-down leadership & decision-making

Less autonomy/entrepreneurship in the departments (and Schools/College)

More workload for faculty on non-research and non-teaching related areas

Frustration with how COVID response was handled in the summer

Reward structures seem flat/not recognizing excellence

Fewer opportunities for idea generation (e.g., top researchers/endowed chairs would regularly convene)



There is a need to address equity concerns across a broad range of policies (e.g., promotion and tenure, workload) and processes (merit)

Gender & racial parity issues were a recurrent theme

Promotion & tenure policies need to be more transparent

Workload distribution cited as uneven *within* departments

Workload distribution cited as very different *across* departments

Lack of transparency & faculty input in workload policies

Need for clearer merit pay process

Need for pay equity analysis





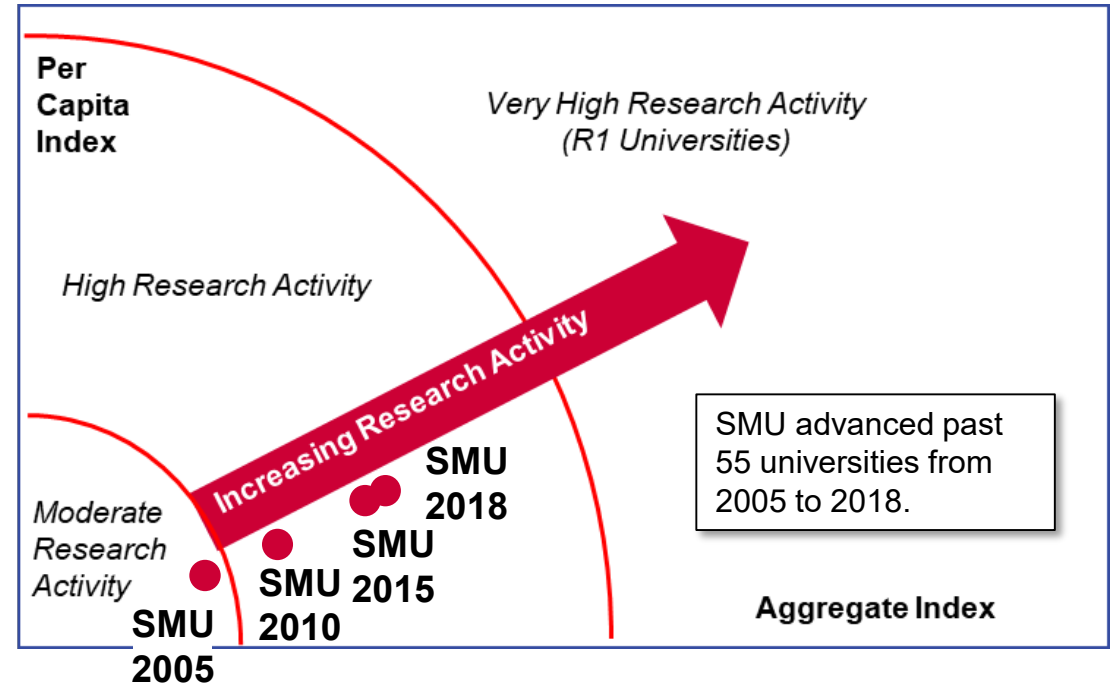
SMU's advance toward becoming an R1 university



The Carnegie Classification System influences the perception of research universities by their peers.

Seven Factors of the Carnegie Classification System:

- 1) Science & Engineering Research Expenditures
- 2) Science & Engineering Research Staff
- 3) PhDs Awarded in Science & Engineering
- 4) PhDs Awarded in Social Sciences
- 5) PhDs Awarded in Humanities
- 6) Other Doctorates
- 7) Non-Science and Engineering Research Expenditures



“A university is judged in no small part on its ability to contribute to the production of the next generation of academic scholars. Graduate students propelled into academic positions at other institutions enhance a university’s reputation, ranking, and ability to recruit top graduate students and faculty. So important is the perceived role of Ph.D. programs to the success and productivity of a research university that their quality has significant impact on its overall stature.”

Graduate School Task Force Report



Proposed SMU metrics in support of a Path to R1

Carnegie Measures	STEM Expenditures	Non-STEM Expenditures	Researchers/Staff with PhDs	Stem Ph.D.'s	Soc. Sci. Ph.D.'s	Humanities Ph.D.'s	Other Ph.D.'s
School/ dept metrics	<ul style="list-style-type: none"> -Research Expenditures -External Funding/Faculty FTE -Proposals/year/Faculty FTE -Publications/year/Faculty FTE -External \$/sq ft labs 		<ul style="list-style-type: none"> -Postdocs -Postdocs included in proposals* -Postdocs/Grant or Contract -External \$ to fund postdocs 	<ul style="list-style-type: none"> -Doctorates Conferred/year -Doctoral Students Enrolled -Time to Doctoral Completion -External \$ Supporting Doctoral Students -University Cost / Doctorate Conferred 			
Faculty metrics	<ul style="list-style-type: none"> -Research Expenditures -External Funding -Proposals/year -Publications & Citations -External \$/sq ft lab -Return on Start-ups 		<ul style="list-style-type: none"> -Postdocs supported by external \$ -Postdocs included in proposals 	<ul style="list-style-type: none"> -Doctorates Conferred/year -Doctoral Students Mentored -Time to Doctoral Degree Completion -External \$ Supporting Doctoral Students 			



Black Unity Forum action plan response



Promotion and Tenure (P&T)

Impacts: BUF, R-1, Strategic Plan

Goal for 2020-2021: Develop or revise written faculty tenure standards and publicize internally

Key dates:

- October 2020 – College/schools submit P&T guidelines to AP for Faculty Success
- October 2020 – May 2021 – Associate deans and Provost Office confirm review of P&T standards to prepare for revisions to Policy 2.10 (Guidelines for Periodic Evaluation of Faculty) and Policy 2.12 (Tenured faculty development)

Faculty Workload

Impacts: BUF, R-1, Strategic Plan

Goal for 2020-2021: Department-level workload policies, approved by the Provost

Key dates:

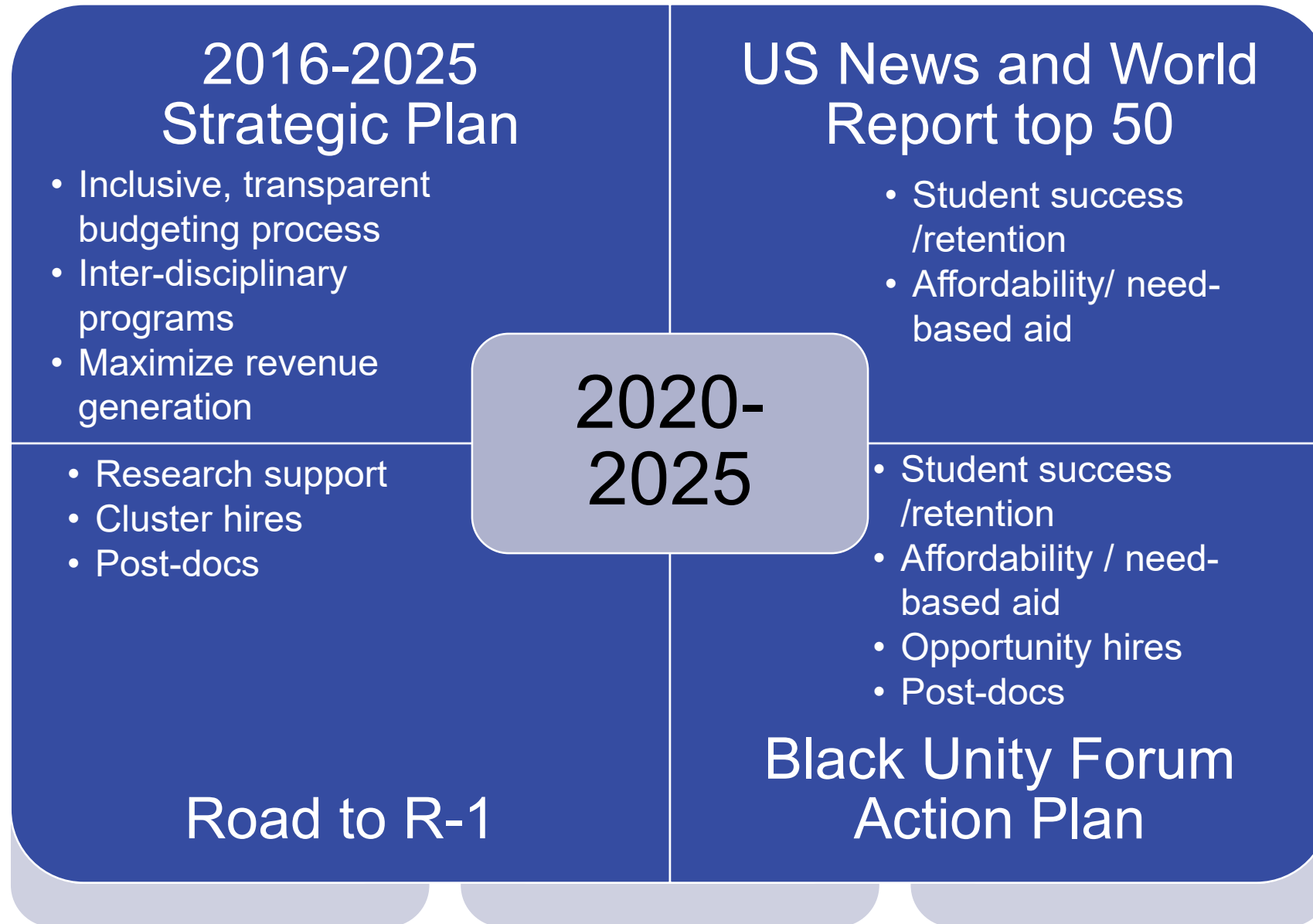
- March 2021 – Deans submit department-approved policies to Provost for review
- May 2021 – Approved workload policies

Post-docs

Impacts: BUF, R-1

Goal for 2021-2022: Identify funding to support 2-4 post-docs





Incentivizing achievement of priorities: Performance-based funding



Performance Based Funding will support a coordinated and transparent funding method that supports SMU's Strategic Plan Goals of enhancing the academic quality and stature of the university of improving teaching and learning and strengthening scholarly research, creative achievement, and opportunities for innovation.

- Reward academic units for actual performance based on clear measurements / metrics
- Measurements align with SMU's 2016-2025 Strategic Plan goals, US News and World Report metrics, Road to R-1 and BUF Action Plan response

**Aligns SMU Strategic Plan Priorities
and Academic Unit Performance with
Provost's discretionary funding**



Funding will begin in Fiscal Year 2022 with a total of \$4 million in discretionary dollars to be allocated to the academic units. The funding model is aligned with SMU's Strategic Plan to incentivize measurable achievement of the University's goals.

- Use of funding is up to the discretion of the academic unit.
- Beginning in FY22, the Moody Graduate School will provide additional funding for research, PhD student support and other efforts.

<u>Focus of Metrics</u>		<u>Funding Amount</u>
Undergraduate Programs	➔	\$1,250,000
Masters/Professional Programs	➔	\$250,000
PhD Programs	➔	\$250,000
Research	➔	\$1,500,000
Management	➔	\$750,000
		TOTAL: \$4,000,000



Undergraduate Programs

Example of Metrics:

- Academic Program Health (SP, U)
- Size of UG Courses (U)
- UG Student Retention (SP, U)
- UG Student Graduation Rates (SP, U)
- UG Student Diversity (SP, U, BUF)
- Student Outcomes/Post Graduation Placement (SP)

Masters/Professional Programs

PhD Programs

Example of Metrics:

- Student Academic Quality (SP, R1)
- Student Diversity (SP, BUF)
- Post Graduation Placement (SP)
- PhD Student Throughput (R1)
- PhD Student Discontinuance (R1)
- USN&WR Program-level Ranking (U)
- PhD Student Funding and Enrollments (SP, R1, U)

SP = 2016-2025 Strategic Plan
U = US News & World Report

BUF = Black Unity Forum action plan
R1 = Road to R1



Research

Example of Metrics:

- Research Expenditures (SP, R1)
- Research Expenditures / Faculty Member (R1)
- External Funding of Postdocs (R1)
- Faculty Scholarly & Creative Output, Awards & Recognition (SP, R1)
- Research Space Utilization (R1)
- Research Awards and Overhead Recovery (R1)

Management

Example of Metrics:

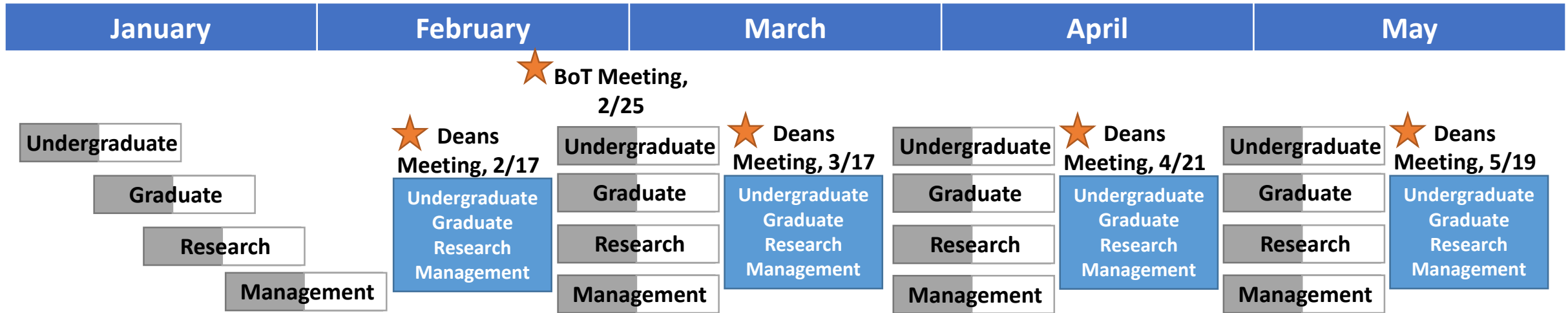
- National Ranking of Schools (SP, U)
- Workload Policy (SP, BUF, R1)
- Support of Black Unity Forum Goals and Efforts (BUF)
- Utilization of Annual Merit (SP, BUF, R1)
- Inclusive and transparent school/college budget process (SP, BUF, R1)
- Financial Resourcefulness & Utilization of Financial Aid (SP, U, BUF, R1)

SP = 2016-2025 Strategic Plan
U = US News & World Report

BUF = Black Unity Forum action plan
R1 = Road to R1



Performance Based Funding timeline: spring 2021



Report Build/Test

- Who: IR/OIT/Finance
- Process: Develop report prototype
- Output:
 - Sample reports (excel)
 - Revised data definitions
 - Process/tech change inventory

Report Refinement

- Who: IR, OIT, Finance and Provost
- Process: Report review/modeling
- Output:
 - Draft reports (excel)
 - Draft data definitions
 - Draft perf-based funding model
 - Revised process/tech change inventory

Report Validation

- Who: IR, Finance and Deans
- Process: Report review and modeling
- Output:
 - Final reports (excel)
 - Final data definitions
 - Operational perf-based funding model



Incentivizing achievement of goals: Annual budget process



Budget planning for Fiscal Year 2022 – Office of the Provost

Budget Process	Start-End Date	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr/May
Planning Phase	Sept-Dec								
Discuss Budget Meeting #1			Oct 19						
Discuss Requests of Assoc Provosts				Nov 16					
Discuss Requests of Deans				Nov 18					
Budget Request Due Date					Dec 15				
Budget Request Deliberation Phase									
Meetings w/ President Turner						3-5 meetings to discuss all SMU budget requests			
Final Steps	March-May								
Budget Request Decision Letters	Early March								
Merit Process	March								
Budget Approved by Board of Trustees	May Board meeting								



