



SMU

Office of the President

April 27, 2018

TO: Members of the SMU Community

FROM: R. Gerald Turner, President 
Steven C. Currall, Provost and Vice President for Academic Affairs 

Having now completed a campus-wide dialogue during 2017-2018 regarding how to advance Southern Methodist University's (SMU's) overall academic quality to the level of a premier research and teaching university with global impact, we are now pleased to share with you the attached document entitled: *Continuing the Ascent: Recommendations for Enhancing the Academic Quality and Stature of Southern Methodist University*. This document presents a series of broad-ranging recommendations that will propel the University in this quest.

As background, in 2015, the University issued a strategic plan entitled, *Launching SMU's Second Century, Shaping Leaders for a Changing World, 2016-2025 Strategic Plan*. The recommendations presented in *Continuing the Ascent* focus heavily on the strategic plan's Goal Number One: "To enhance the academic quality and stature of the University."

Informed by the strategic plan, and through a series of task force reports and an extensive campus-wide dialogue about academic quality, the University is coalescing around a shared understanding of the academic priorities that will enable us to fulfill the strategic plan. A key aspect of the feedback process has been to ensure that members of the SMU community recognize that this is "our" collective vision of the future of the University. We have emphasized this by ensuring that everyone in the SMU community has had ample opportunities to provide their input.

While consistently referencing the work and reflection that has brought us to this point, *Continuing the Ascent* focuses on 14 University-wide recommendations that SMU should implement over a reasonable timespan, such as 10 years, to enhance the University's overall academic quality and stature. During the February 2018 SMU Board of Trustee meeting, those 14 recommendations were reviewed in detail. Those recommendations will be addressed during the remaining seven years of *Launching SMU's Second Century, 2016-2025 Strategic Plan* and will then span the initial years of its successor.

As initial financial investments, numerous allocations for fiscal year 2019 (1 June 2018-31 May 2019) will reinforce the University's positive momentum and demonstrate our institutional commitment toward further strengthening academic quality through disbursement of \$5,100,000 for fiscal year 2019 that draw upon financial savings captured through SMU's Operational Excellence (OE) initiative (formerly "OE2C").

We will continue to seek and identify funding sources in the coming years to implement the recommendations. We look forward to partnering with you in our ongoing journey toward ever stronger academic quality at SMU.

Continuing the Ascent: Recommendations for Enhancing the Academic Quality and Stature of Southern Methodist University

27 April 2018



Summary

This document is the result of a campus-wide dialogue during 2017-2018 regarding how to advance Southern Methodist University's (SMU's) overall academic excellence to the level of a premier research and teaching university with global impact. The document presents a series of broad-ranging recommendations that will propel the University in this quest.

SMU's current momentum affords an extraordinary opportunity, indeed an obligation, to further leverage the University's energy to continue its upward progression. From its founding, SMU has been a "university on a hilltop." With steady climbing during its first century, SMU has reached considerable heights within the higher education landscape. From this elevated position, SMU enters its second century at basecamp and the University is ready to ascend toward the mountaintop of higher education as a premier research and teaching university with global impact.

In 2015, the University issued a strategic plan entitled, "*Launching SMU's Second Century, Shaping Leaders for a Changing World, 2016-2025 Strategic Plan.*" The recommendations presented within the present paper, and the campus conversations and deliberations that brought these recommendations to the forefront, focused heavily on the plan's Goal Number One: "To enhance the academic quality and stature of the University."

Informed by the Strategic Plan, and through a series of task force reports and an extensive campus-wide dialogue about academic quality, the University is coalescing around a shared understanding of the academic priorities that will enable us to fulfill the strategic plan over a long term. A key aspect of the feedback process has been to ensure that members of the SMU community will recognize that this is "our" collective vision of the future of the University. We have emphasized this by ensuring that everyone in the SMU community has had ample opportunities to provide their input.

While consistently referencing the work and reflection that has brought us to this point, the present document focuses on the University-wide recommendations that SMU should implement over a reasonable span, such as 10 years, to enhance the University's overall academic quality and stature. Those recommendations will be addressed during the remaining seven years of *Launching SMU's Second Century, 2016-2025 Strategic Plan* and will then span the initial years of its successor.

For each of the recommendations addressed, the document includes a common presentation format: (1) Recommended Action, (2) How Does SMU Compare?, (3) Impact on Outcomes Listed in SMU's Strategic Plan?, and (4) New Financial Requirements for the Recommendation.

"Academic quality" is defined in terms of the degree to which the University fulfills its academic mission to be an intellectual community in which talented individuals are entrusted to develop an appropriate balance of activities that include an obligation to undertake curiosity-driven research, application-inspired research, creative (i.e., artistic) activity, teaching, and service to society. Academic quality is further articulated in terms of a set of core commitments for SMU, which inform our priorities and embody the factors that continue to differentiate SMU

within the higher education landscape. Although not a formal initiative at this point, we make a case for SMU to be on a trajectory toward future AAU membership.

The University's academic "stature" is defined in terms of its performance as measured against other leading universities. SMU compares itself to other great private research universities such as those on SMU's list of cohort universities, aspirational universities, and members of the Colonial Group. SMU will benefit from using a variety of performance metrics to compare its standing, such as the Carnegie Classification and *U.S. News and World Report (USN&WR)* rankings. SMU's stature would be further elevated by an enhanced marketing initiative that builds on many initiatives discussed within this document.

In section 3, we provide 14 recommendations that will strengthen SMU's academic excellence.

The first series of recommendations relates to enhancing the quality of SMU's undergraduate students and their educational experience: Increasing SMU recruiting staff and recruiting programming in line with aspirational peers (Recommendation 1), using financial aid strategies to make a SMU education more accessible (Recommendation 2), and strengthening the experience of student life on campus through a refreshed academic success and retention strategy (Recommendation 3).

Building on the findings of the Provost's Scholarly Research and Creative Impact task force (SRCITF) and the campus-wide dialogue, we present a second group of recommendations geared toward further strengthening efforts in recruiting, developing, retaining, and rewarding excellent faculty members. Specific initiatives include: Launching and funding a new "target of excellence" program for recruiting truly extraordinary faculty members (Recommendation 4), hiring clusters of faculty members to advance key interdisciplinary themes (Recommendation 5), and identifying and funding SMU faculty members as "Knowledge Integration Fellows" (KIFs) (Recommendation 6).

Several additional recommendations within this group focus on bolstering SMU's research and creative agenda such as an innovation seed funding program for "bold ideas" that would be faculty-led and have the promise of sustainable external funding (Recommendation 7). This program will be used to jump-start bold ideas, each of which should be sufficiently compelling to attract significant gifts and/or grants. Another recommendation is to augment staffing in the Office of Research Administration to support faculty research (Recommendation 8). Further analysis and observation reveals that universities with a mature scholarly research and creative footprint have invested in research support staff (Recommendation 9) and increased the number of post-doctoral researchers (Recommendation 10). Also, additional investments are required to strengthen SMU libraries to support the University's research, teaching, and service enterprise (Recommendation 11).

Building on the findings of the SRCITF, and supported by ad hoc reports from the Faculty Senate, we present a pair of recommendations emphasizing the quality of SMU's graduate students and their educational experience by increasing doctoral student financial aid to be competitive with aspirational universities (Recommendation 11) and forming a SMU Graduate School to oversee University-wide guidelines such as admission standards for doctoral programs, support for doctoral students, and degree completion (Recommendation 12).

A fourth set of recommendations reflects the view that the more vibrant the intellectual ecosystem in North Texas, the more that SMU's academic programs are elevated through

collaborative research and artistic activities, cooperative grant proposals, joint degree programs, and employment opportunities for SMU graduates. To achieve this, Recommendation 13 urges the University to sustain and cultivate deeper institution-level partnerships that further cement symbiotic relationships with regional civic, corporate, and cultural organizations such as, but not limited to: (a) The University of Texas Southwestern Medical Center, (b) the George W. Bush Presidential Center, (c) the Federal Reserve Bank of Dallas, (d) the Dallas arts community, (e) K-12 education, and (f) the United Methodist Church.

In keeping with SMU's deep commitment to partnering with the North Texas region to serve the community and address urban challenges, Recommendation 14 pertains to developing an East Campus Innovation District. A central element of the link between SMU and Dallas is to promote upward economic mobility opportunities. An innovation and entrepreneurship district as a part of SMU's 15-acre East Campus will serve as a hub for academic discoveries, industry collaboration, and community engagement. Expectations for the success of a SMU-led district are derived from the extraordinary success of such districts orbiting other urban universities around the world and their vibrant ecosystems of start-ups, firms, and governmental institutions.

Regarding financial resources required to support this ten-year plan, and in light of the limitations of future tuition increases, the University will continue to expand the range of possible sources of funding to fuel the initiatives discussed in this document. Examples of such funding sources are: (1) Fundraising (both endowment and current-use gifts), (2) savings from recent University-wide efficiency initiatives, (3) indirect cost recovery via increased external research funding, and (4) expanding continuing education revenues. The availability of new funds will influence the timeline and scale of new initiatives during the 10-year period of the University's strategic plan.

During the February 2018 SMU Board of Trustees meeting, these 14 University-wide recommendations were reviewed in detail. As initial commitments, financial allocations for fiscal year 2019 (1 June 2018-31 May 2019) reinforce the University's positive momentum and demonstrate our institutional commitment toward further strengthening academic quality with nearly \$5,100,000 in investments that have largely come from financial savings that were previously captured through SMU's Operational Excellence (OE) initiative (formerly "OE2C"). We will continue to seek and identify funding sources in the coming years to implement the recommendations.

Contents

Introduction 6

 The Campus-Wide Dialogue Process 6

 Synergies Between SMU and Dallas 8

 SMU’s Core Commitments..... 9

SMU’s Academic Stature Relative to Other Universities 10

Academic Quality at SMU 12

Recommendations for Enhancing SMU’s Academic Quality and Stature 13

 Enhancing the Quality of SMU’s Undergraduates and their Educational Experience..... 14

 Recommendations for Strengthening Faculty, Research, and Creative Impact at SMU..... 17

 Recommendations for Enhancing the Quality of SMU’s Graduate Students and Their Educational Experience..... 22

 Recommendations for Deepening Innovative Community Partnerships and Engagement . 24

Conclusion..... 28

 Future Aspirations..... 29

Acknowledgements..... 30

References 31

Appendices..... 33

Introduction

Having commemorated the centennial of Southern Methodist University (SMU) in 2011, the University's leadership turned its attention to SMU's second century by reflecting on a series of foundational themes such as: The future trajectory of SMU, its role in the higher education landscape, and possibilities regarding the University's future impacts in research, creative activity, and on society. Those deliberations resulted in the University's strategic plan entitled, "*Launching SMU's Second Century, Shaping Leaders for a Changing World, 2016-2025 Strategic Plan*," which was unanimously approved by the Board of Trustees in December 2015.

Launching SMU's Second Century was announced during an era of extraordinary momentum for the University. Several recent milestones illustrate this momentum:

- During the autumn of 2017, SMU continued its upward trend in student academic quality by setting a new bar for an incoming class in terms of standardized test scores (average ACT score of 30; the 94th percentile).
- In 2018, SMU received a ranking of #61 among 300 "National Universities" in the *US News and World Report Best College Rankings* and the top 10% of U.S. universities in the *Wall Street Journal* ranking for 2017.
- In 2017, two SMU faculty members won Guggenheim fellowships; one SMU faculty member was elected to the American Academy of Arts and Science; and another SMU faculty member was recently elected to the National Academy of Engineering.
- In 2014, SMU's research expenditures set a record high for the University.
- SMU's new supercomputer, "ManeFrame II," came online in 2017 and has a peak performance surpassing all but 16 high-performance computer clusters currently housed at other U.S. universities that appear on the most recent list of the world's top 500 supercomputers.
- The SMU campus has grown to 107 buildings on 234 acres and has been recognized as one of the most beautiful campuses in the nation (Princeton Review, 2015).
- In 2016, SMU concluded its largest ever comprehensive fundraising campaign, with generous donors giving a total of \$1.15 billion.

The purpose of this document is to present the results of our recent campus-wide dialogue regarding how to advance SMU's overall academic excellence to the level of a premier research and teaching university with global impact. To this end, the document builds on *Launching SMU's Second Century*, by focusing on Goal Number One: "To enhance the academic quality and stature of the University," Goal Number Two, "To Improve Teaching and Learning," and Goal Number Three, "To Strengthen Scholarly Research, Creative Achievement, and Opportunities for Innovation."

The Campus-Wide Dialogue Process

During 2017-2018, task forces delivered reports related to our goal of enhanced academic quality and stature. With these reports as part of the input, the Provost's Office prepared an accompanying discussion document entitled, *Enhancing the Academic Quality and Stature of SMU – Analyses and Opportunities*, which was distributed to the campus community on 18 October 2017.¹

Prior to distribution to the campus community, the 2017 *Academic Quality* discussion document went through an extensive review process with the SMU President and SMU’s senior leadership team during the summer of 2017 with over 300 comments and suggestions reviewed and addressed. During the autumn of 2017 and early 2018, the campus community dialogue included a series of in-person and electronic avenues for promoting discussion. The Provost held two town hall events in November that were open to all faculty and staff. During the two town halls, nearly 200 participants shared dreams and ideas for the future of the University.

Additionally, SMU’s deans held eight smaller group gatherings of 30 or fewer faculty and staff. More than 150 people signed up to participate in those discussion groups. At the invitation of Faculty Senate President (Professor Paul Krueger), the Provost made a presentation before the Senate to address questions and to receive their ideas and suggestions. The Provost also held additional discussions with the Executive Committee of the Faculty Senate. The Senate’s Student Policies Committee (FS-SPC), the Committee on Research and Graduate Education (FS-CRGE), and ad hoc committees on data science (FS-DS) and the East Campus (FS-EC) have also provided written responses to the draft *Academic Quality* document.

In partnership with SMU Trustee Kelly Compton, Chair of the Academic Affairs Committee of the SMU Board of Trustees, numerous discussions were held with SMU’s Board members to receive their thoughts and perspectives.

Now, after an extensive period of community engagement, the present paper, *Continuing the Ascent*, proposes an initial suite of bold recommendations. As the campus dialogue concludes, it is worth emphasizing that the University is not at the end of the process. Rather, the University community has reached one of many milestones on its journey. Table 1 is a summary of the steps taken to date by key SMU stakeholder groups as well as a description of the remaining activities.

Table 1: Dialogue Process to Develop a Refined Vision of SMU’s Academic Quality and Stature

Stakeholder Group	Winter 2016	Spring 2017	Summer 2017	Fall 2017	Spring 2018
Task Forces	<ul style="list-style-type: none"> Task Force Charge Regular Task Force Meetings 	<ul style="list-style-type: none"> Task Force Deliberations Review and Discussions with Provost 		<ul style="list-style-type: none"> Campus-wide and dean-led forums to review/discuss <i>Enhancing the Academic Quality and Stature of SMU</i> Electronic feedback venues 	<ul style="list-style-type: none"> Performance Metrics Development
Deans	<ul style="list-style-type: none"> E-mail announcing Task Force launch, composition, and charge 	<ul style="list-style-type: none"> Review Task Force briefing report with Provost 	<ul style="list-style-type: none"> Review/refine draft <i>Enhancing</i> Deans retreat 	<ul style="list-style-type: none"> Campus-wide and dean-led forums to review/discuss <i>Enhancing</i> Electronic feedback venues 	<ul style="list-style-type: none"> Performance Metrics Development
Faculty and Faculty Senate	<ul style="list-style-type: none"> E-mail announcing Task Force launch, composition, and charge 	<ul style="list-style-type: none"> Spring Faculty Meeting remarks 		<ul style="list-style-type: none"> Campus-wide and dean-led forums to review/discuss <i>Enhancing</i> Electronic feedback venues 	<ul style="list-style-type: none"> Performance Metrics Development
President/ Senior Admin	<ul style="list-style-type: none"> E-mail announcing Task Force launch, composition, and charge 	<ul style="list-style-type: none"> Review Task Force reports with Provost 	<ul style="list-style-type: none"> Review/refine draft <i>Enhancing</i> 		<ul style="list-style-type: none"> Review/approve Vision for Academic Quality Resource Allocation Performance Metrics Development
Trustees		<ul style="list-style-type: none"> Spring Board Meeting Update 	<ul style="list-style-type: none"> Review/refine draft <i>Enhancing</i> 	<ul style="list-style-type: none"> Small group meetings to review/discuss <i>Enhancing</i> 	<ul style="list-style-type: none"> Review/approve Vision for Academic Quality

Synergies Between SMU and Dallas

Dallas has emerged as a world-class city. The DFW region’s attractive quality of life, strong economy, low cost of living, skilled labor force, strong arts and cultural tradition, and absence of corporate and personal income taxes all contribute to the thriving Dallas-Fort Worth location. This confluence of resources has resulted in a population boom. According to *Forbes’* 2018 ranking of America’s fastest-growing cities, Dallas ranks third. As of June 2017, 22 of the public companies listed on the *Fortune 500* list are headquartered here. With its central location and world-class transportation infrastructure, Dallas-Fort Worth is a major international gateway, with two major airports: Dallas Fort Worth International (the nation’s fourth busiest) and Dallas Love Field. Recent interviews conducted by the Richards Group, a marketing firm, illustrate SMU’s favored position and potential: “We are in a unique city that’s emerging globally. SMU has grown up with the city. It’s allowed for us to grow up from a regional university to a global university.”

North Texas would benefit from additional premier universities. The region currently has one existing world-class research institution, namely, the University of Texas Southwestern Medical Center. The Association of American Universities (AAU) is a group of the top-62 research universities in North America (both public and private) devoted to maintaining a strong system of academic research, innovation, and education². Among the United States’ ten largest metropolitan areas, Dallas-Fort Worth is one of only two regions without at least one AAU university. (The other is Miami.) See Table 2 for a list of the top-10 metropolitan regions in the United States and the AAU universities located within them.

Table 2: Top-10 United States Metropolitan Regions and Listing of AAU Universities

Rank	Metropolitan Region	Population (2010 Census)	AAU Universities
1	New York	19.6 Million	-Columbia University -New York University
2	Los Angeles	12.8 Million	-California Institute of Technology -University of California, Irvine -University of California, Los Angeles -University of Southern California
3	Chicago	9.5 Million	-Northwestern University -University of Chicago
4	Dallas/Ft. Worth	6.4 Million	
5	Philadelphia	6.0 Million	-University of Pennsylvania
6	Houston	5.9 Million	-Rice University
7	Washington/Baltimore	5.6 Million	-Johns Hopkins University -University of Maryland
8	Miami/Ft. Lauderdale	5.6 Million	
9	Atlanta	5.3 Million	-Emory University -Georgia Institute of Technology
10	Boston	4.5 Million	-Boston University -Brandeis University -Harvard University -Massachusetts Institute of Technology

From its founding, SMU has been a “university on a hilltop.” With steady climbing during its first century, SMU has reached considerable heights within the higher education landscape. SMU’s current momentum affords an extraordinary opportunity, indeed an obligation, to further leverage our potential to ensure that the University’s progression continues upward. Thus, SMU enters its second century at basecamp and the University is ready to ascend toward the mountaintop of higher education as a premier research and teaching university with global impact.

Although SMU is already the most prestigious (i.e., highly-ranked) university in North Texas, the University is uniquely positioned to capitalize on its accomplishments to further serve Dallas and North Texas while becoming even more visible nationally and globally (SRCITF, 2017). In committing to its long-term academic excellence, SMU must also consider adopting a trajectory to reach eventual membership in the AAU (SRCITF, 2017).

SMU’s Core Commitments

As we strengthen SMU academically, we further define academic quality at SMU in terms of core commitments, which embody the factors that continue to differentiate SMU within the higher education landscape. These core commitments have been developed in consultation with deans and have been, in principal, agreed upon by the Student Policies Committee of the Faculty Senate (FS-SPC, 2017). In our efforts to enhance the academic quality and stature of SMU, we will demonstrate our commitment to:

- Flourishing as a comprehensive research and teaching university that strives to reach premier excellence and innovation in arts, business, education, engineering, humanities, law, natural sciences, social sciences, and theology to the benefit of our faculty, students, alumni, our region, nation, and the world.
- Cultivating a faculty of world-class scholars and artists who are engaged with, and accessible to, students and committed to the integration of scholarship, practice, and teaching.
- Maintaining an adherence to academic freedom and open inquiry, as well as ethical values in the discovery of new knowledge.
- Preserving a strong commitment to liberal arts undergraduate instruction that prepares students for meaningful lives and careers; broadens their outlook; equips them to take on bold, grand challenges; helps form their character, spirituality, values, and communication skills; instills a commitment to service and civic engagement; and promotes a desire for lifelong learning.
- Promoting a robust undergraduate experience, in a residential setting, as a means through which curricular, co-curricular (e.g., social, intercollegiate athletics), and other meaningful engagement opportunities are provided.
- Upholding a profound sense of community that involves deep levels of engagement, diversity, inclusivity, and global awareness; a community that welcomes, supports, and embraces faculty, staff, and students from a broad range of backgrounds to promote cultural intelligence and learning from diverse perspectives.

- Offering world-class graduate education that develops students who are leaders in their fields, skilled in the creation and dissemination of new knowledge, and equipped with well-formed ethical and professional modes of practice.
- Engaging alumni in lifelong learning and support for the University.
- Demonstrating a dedication to resource development and stewardship that reinforces the University's financial viability and promotes affordability of a SMU education for both undergraduates and graduate students.
- Bolstering SMU's link to Dallas and North Texas through enterprising collaboration with institutions in the region.
- Respecting the rights of people from any, or no, faith background to explore their spirituality freely, in consonance with SMU's Methodist tradition of inclusivity and open inquiry.

SMU's Academic Stature Relative to Other Universities

At SMU, we define academic stature in terms of where the University stands relative to other universities. We must take stock of how SMU compares so that we can responsibly chart a future path to academic excellence that will ultimately enhance SMU's stature. SMU takes as its inspiration great private research universities, such as those perennially ranked in the top-30 (e.g., Carnegie Mellon, Duke, Emory, Georgetown, Northwestern, Rice, Tufts, Vanderbilt, Wake Forest, and Washington University), and institutions that have achieved extraordinary rises in academic quality and visibility during the past three decades (e.g., Southern California, Northeastern, and Notre Dame). The case of the University of Southern California is presented in the box on the right-hand side of this page as a germane example of a university's ability to increase its stature.



During the decade spanning 1991-2001, many observers of higher education would agree that no other academic institution (with a medical school) made greater gains academically than the University of Southern California. According to Steven B. Sample, USC's president during this time, credit for these achievements belongs to a mix of skilled administrators, talented and committed faculty, industrious staff, supportive alumni, generous donors, and a resolute Board of Trustees.

In 1991, USC's bold plan faced strong headwinds from the start. Budget shortfalls required immediate action and, as a result, the elimination of 800 staff positions. The following year, riots in Los Angeles and earthquakes across the region caused significant damage to property and infrastructure.

With what he referred to as a "Contrarian" form of leadership (freed from the limits of conventional thinking and allowing room for creativity and intellectual independence), Sample and USC:

- Crafted a bold, yet succinct mission statement and strategic plan that "dispensed with bromides and got to the nitty-gritty"
- Set a lofty goal to become one of the 10 leading private research universities in America and to do so through original thinking rather than "copying their way to excellence"
- Focused determinedly on improving every aspect of undergraduate education at USC (e.g. student quality, curriculum, student housing)
- Strengthened commitment to, and investment in, USC's research mission – particularly in postdoctoral education, interdisciplinary fields, and in consideration of their connection to the metropolitan Los Angeles area
- Identified select academic disciplines and interdisciplinary fields for strategic development
- Undertook an ambitious fundraising campaign focused heavily on increasing endowment

Northeastern University

In 2003, Northeastern University was ranked 128th on the US News and World Report's list of national universities. For most members of the campus community, the goal of achieving recognition – even within the top 100 – seemed as realistic as 'landing a man on the moon.' However, by 2007 Northeastern University had cracked USNWR's 'top 100' with a ranking of 98th. By 2015, the university continued its meteoric rise by jumping into the 'top 50' list, with its highest-ever ranking of 42.

In just over a decade, the university had intentionally executed one of the most dramatic advances ever observed within the history of *USN&WR* rankings. To do so required Northeastern to make a systematic effort (incorporating language into their strategic plan about achieving USNWR 'top 100' status) as well as making significant financial investments centered heavily on strategic educational and research improvements that would demonstrably influence the school's position in the rankings. Most notably among these financial investments, Northeastern:

- Hired additional faculty to reduce class size
- Reviewed the undergraduate application process and removed systematic barriers that had previously limited the number of applicants
- Constructed new dormitories on campus to promote retention and to improve graduation rates
- Increased expenditures and scholarships used to recruit students with high academic achievement
- Conducted a marketing campaign to boost the school's image – particularly within the schools ranked within *USN&WR*'s 'top 100'

Members of the Colonial Group³ and cohort institutions of similar size and stature to SMU are also used for comparison. These comparisons are most helpful at the university-level and for purposes of measures, such as national and international ranking systems that indicate SMU's overall standing. During the recent campus-wide dialogue, community members expressed an interest in developing more robust aspirant and peer comparisons at the college/department level. In our pursuit for greater academic quality, deans, department chairs, and faculty are encouraged to develop such lists – and to revisit them at regular intervals – as additional sources of data and assessment.

Peer assessments by other university presidents, provosts, admissions deans, and high school counselors comprise one way that SMU's stature is assessed relative to other universities. Indeed, peer assessment is a common metric for many national and global ranking methodologies. For *USN&WR* rankings in particular, academic reputation, expressed in terms of "peer assessment of academic excellence," accounts for 22.5% of a university's total *USN&WR* rank. Thus, positively influencing how our peers perceive SMU, as indicated by their peer assessment scores, can make a significant difference in SMU's overall *USN&WR* rank.⁴

As an example of raising academic prestige, Northeastern University (see box to the left) achieved a rise in its rankings through a combination of additional investments in faculty and students in combination with targeted marketing efforts oriented toward university presidents, provosts and admissions counselors.

SMU should develop an aggressive plan to expand awareness within the academic community to promote greater awareness of the University's academic achievement, faculty quality, and student achievements.

Academic Quality at SMU

SMU defines academic quality in terms of the degree to which the University fulfills its academic mission, the degree of excellence it exhibits in doing so, and how the University's performance is measured against other leading universities.

To succeed in fostering greater academic excellence, we must cultivate – throughout the SMU community – the common thread of a commitment to academic excellence at the highest levels of international achievement. It is the depth of that commitment, and the environment in which it is fostered, that propels SMU toward the future. Indeed, we hope that each faculty member, staff member, and student who enters the SMU community will be transformed intellectually, socially, and ethically.

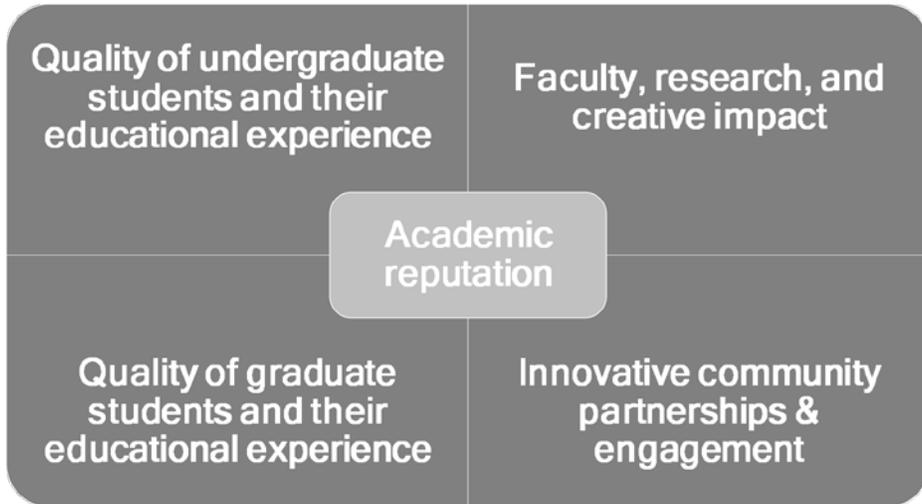
As SMU aspires to become a premier research and teaching university with global impact, the University has the right, indeed an obligation, to improve itself. In that regard, we are compelled to have the highest expectations of our academic colleagues to embody the University's aspirations. We expect this of our colleagues throughout their careers at SMU, while acknowledging that the balance between components of colleagues' contributions to research, teaching, and service will naturally vary and may change over time. We also acknowledge that the ability to meet these expectations depends upon reciprocating support from the University, both directly in terms of resources, and indirectly in terms of sustaining a thriving culture of knowledge creation and dissemination.⁵

When we refer to becoming a premier research and teaching university with global impact, we mean that SMU will be recognized regionally, nationally, and globally for:

- The quality of undergraduate students and their educational experience
- Faculty, research, and creative impact
- The quality of graduate students and their educational experience
- A commitment to societal engagement, service, and acting as an engine of regional economic development

Taken together, these identifying factors can be arranged into a framework we call the "Architecture for Academic Quality." Premier universities excel through a demonstrated commitment to academic quality across all these academic functions which, in turn, drives academic reputation. Figure 1 depicts the framework:

Figure 1: Architecture of Academic Quality



Recommendations for Enhancing SMU’s Academic Quality and Stature

This section proposes 14 recommendations to further strengthen SMU’s academic quality and stature during a 10-year period. The recommendations fall into four categories corresponding to the architecture of academic quality introduced in Figure 1 above. As summarized in Figure 2, we begin this section with recommendations for enhancing the quality of undergraduates and their undergraduate experience.

Figure 2: Recommendations for Enhancing the Quality of Undergraduates and their Educational Experience



Enhancing the Quality of SMU's Undergraduates and their Educational Experience

A common measure of a university's academic quality and stature is the academic profile of the university's student body.⁶ Regarding traditional measures of student academic quality, such as standardized test scores, significant investments in recruitment and merit-based aid since 2005 have helped SMU reach an average SAT score above 1300 and an average ACT score that has now reached 30. Those milestones have been reached while also strengthening our dedication to diversity of the student body, which is, and will continue to be, one of SMU's fundamental commitments.

Greater investments by SMU are likely to yield significant dividends for the University in a fashion similar to Vanderbilt's successes in strengthening the academic profile of its student body since 2007, which are summarized in the box on the right.

Below, several recommendations are provided for strengthening the quality of SMU's undergraduate students and their educational experience.

Recommendation #1: Undergraduate Student Admissions

For SMU, reaching an average ACT score of 31 or 32 will require an aggressive institution-level strategy. Moreover, past investments that have enabled SMU to reach an average ACT score of 30 will not enable SMU to reach an average of 31. Similarly, investments that will enable SMU to reach an average of 31, will not enable us to reach 32. Therefore, SMU's institution-level strategy must involve: (1) Growing our applicant pool, (2) using a range of strategies to make a SMU education more accessible, (3) bolstering academic programs and reputation, and (4) strengthening the student experience on campus.

VANDERBILT UNIVERSITY

Vanderbilt University has seen tremendous growth in academic profile, admission selectivity, and reputation since 2007. During that time, it has been recognized for extraordinary efforts in four areas:

1. **First year residential commons experience:** The Ingram Commons for all first-year students mixes intellectual and social life and is an integral part of the Vanderbilt experience of all students. It is sometimes referred to as "a campus within a campus."
2. **Meeting full need without loans:** Launched in 2009, Opportunity Vanderbilt replaced all need-based undergraduate student loans with scholarship and grant assistance.
3. **Engaging with the community:** Vanderbilt has made extensive investment in its relationships with and contributions to the city of Nashville through both organizational and student engagement.
4. **Strengthening relationships with high school counselors:** Vanderbilt's admission office has focused on building and maintaining strong relationships with high school counselors through campus visits, communications and support from experienced staff members.

[These observations are drawn from the "The Big Search" published in *Vanderbilt Magazine* (Summer 2015) and through conversations with those familiar with Vanderbilt's enrollment success.]

In comparing SMU’s current admission staff to the universities referred to above with average ACT scores of 31, 32, and 33, SMU’s 19 recruitment staff is below average in size. For instance, universities of a similar size with an average ACT of 31 have 22 central recruitment staff (three more than SMU). Those with an average ACT of 32 have 24 (five more than SMU). As a specific example, Vanderbilt has 6,871 undergraduates (compared to SMU’s 6,521) and an average ACT of 33; Vanderbilt has a staff of 31 (12 more than SMU). Therefore, efforts to increase SMU’s applicant pool are projected to increase operational costs and staffing needs by three additional staff to reach an average ACT of 31 and seven additional staff to reach an average ACT of 32.

Recommended Action: Increase SMU recruiting staff and recruiting programming in line with aspirational peers.

Table 3: Undergraduate Student Admissions (For detailed financial estimate see [Appendix A](#))

How Does SMU Compare?	Impact on Outcomes Listed in SMU’s Strategic Plan?	New Financial Requirements for Recommendation #1		
<ul style="list-style-type: none"> • Standardized Test scores: SMU = ACT 30 • ACT 31: Emory, Tulane, Rochester • ACT 32: Carnegie Mellon, Johns Hopkins • Ratio of Staff:Student <ul style="list-style-type: none"> • SMU 1:343 • For universities with an average ACT of 31: 1:259 	To reach parity with aspirational universities <ul style="list-style-type: none"> • Test scores • Admission standards • Student achievement 	To Reach ACT 31	First year	Ten-year total
		Staff (+3)	\$314,000	\$3,600,000
		Programming	\$100,000	\$1,000,000
		Total	\$414,000	\$4,600,000
		To Reach ACT 32	First year	Ten-year total
		Staff (+5)	\$512,000	\$5,870,000
		Programming	\$100,000	\$1,000,000
		Total	\$612,000	\$6,870,000

Recommendation #2: Student Financial Aid

The relationship between student merit aid and the quality of a university’s student body is complex. Although additional financial aid and scholarship funds would certainly be influential in achieving an average ACT of 31 at SMU, reaching an average ACT of 32 will likely require a significant change in financial aid strategy to include approaching “full financial need” (i.e., when a university’s financial aid package covers the entire difference between its cost of attendance and what a family can afford). Transitioning to a student recruitment strategy that meets full financial need will require careful consideration and significant financial resources. Implementation of such an ambitious objective should proceed carefully and methodically. SMU should adopt a phased approach, such as initially striving to meet 95% of need for those students who meet our target profile and increasing coverage each year until the University reaches the goal of meeting 100% of full financial need for impacted students.

Recommended Action: Raise and allocate funds to ensure SMU’s aid package meets an average of 95% of the difference between SMU’s cost of attendance and what a family can afford.

Table 4: Student Financial Aid (For detailed financial estimate see [Appendix B](#))

How Does SMU Compare?	Impact on Outcomes Listed in SMU’s Strategic Plan?	New Financial Requirements for Recommendation #2?
<ul style="list-style-type: none"> SMU currently meets 85% of demonstrated financial need ACT 31 schools (e.g., Brandeis, Emory, Tulane, Rochester, USC) meet on average ~95% of demonstrated need 	To reach parity with aspirational universities <ul style="list-style-type: none"> Test scores Admission standards Retention Graduation rates Student achievement Increased diversity 	<ul style="list-style-type: none"> Year-one costs: \$5,000,000 - \$6,500,000 Year-two costs: \$10,400,000 - \$13,500,000 Year-three costs: \$16,200,000 - \$21,000,000 Year-four costs: \$22,500,000 - \$29,200,000 Cumulative ten-year costs: ~\$210,000,000 - \$275,000,000

Recommendation #3: Student Success and Retention

Given SMU’s current performance and lofty goals in the area of student success, students’ academic success and retention should be among the University’s highest priority investment opportunities. At the intersection of Academic Affairs and Student Affairs, such an initiative should be planned carefully to provide the greatest return to the student experience. As a preliminary step in our planning efforts, the Provost has launched a Task Force on Student Success and Retention to review current offerings and to make recommendations with regard to scope and staffing of a possible new Office of Student Success and Retention within the Office of the Provost.

Recommended Action: Develop a unified support system for retention and graduation by creating an Office of Student Success and Retention.

Table 5: Student Success and Retention (For detailed financial estimate see [Appendix C](#))

How Does SMU Compare?	Impact on Outcomes Listed in SMU’s Strategic Plan?	New Financial Requirements for Recommendation #3?
<ul style="list-style-type: none"> SMU’s first- to second-year retention rate: 91% Average aspirational university first- to second-year retention rate = 95% SMU’s six-year graduation rate: 81% Average aspirational six-year graduation rate = 89% 	To reach parity with aspirational universities <ul style="list-style-type: none"> Retention Student achievement Graduation rates Increased diversity 	<ul style="list-style-type: none"> First-year expenditures: \$1,227,000 (5-7 staff, academic advising support, and additional programming) Cumulative ten-year costs: \$14,066,000 Projected cumulative ten-year revenue from increased first- to second-year retention: <ul style="list-style-type: none"> 92% by 2020: \$675,000 95% by 2028: \$12,400,000



In fiscal year 2017, the University of Notre Dame received \$138.1 million in research funding. Within the past decade, research awards at Notre Dame have nearly doubled.

To reach and sustain this heightened level of research funding required strategy, planning and financial investment. In 2007, Notre Dame created a stand-alone position of Vice President for Research and instituted a five-year, \$40 million investment plan with the objective of doubling research expenditures. For the first three years, the university committed \$25 million to one-time capital investments that supported faculty research and \$5 million/year to the university's internal grant program.

Notre Dame's initial investment provided the spark to generate an exponential increase in research funding over the past decade. Notre Dame has sustained growth by:

- Ensuring quality staff support in their Office of Research Administration in an effort to reduce faculty administrative burden
- Increasing the number of research proposals submitted (154% increase in dollars requested and 35% in submissions) annually over the last decade
- Increasing research expenditures from all sources 153% between 2006-2015 (for a total of \$190M in 2015)
- Supporting research through endowment rather than exclusively through research funding
- Identifying and fostering opportunities for interdisciplinary research projects
- Establishing a Research Data Warehouse to provide improved management reporting capabilities for sponsored program activity
- Partnering with the South Bend community to develop two technology parks (one in Downtown; one on campus) to promote research, entrepreneurship, innovation, and commercialization

Recommendations for Strengthening Faculty, Research, and Creative Impact at SMU

Another way for SMU to further strengthen its academic quality and stature is to improve policies and procedures for recruiting, developing, retaining, and rewarding excellent faculty members and to bolster SMU's research and creative agenda.

Throughout the campus dialogue, and underscored by many of the findings included within the various reports received from both ad hoc task forces and the Faculty Senate, we have heard from the community the importance of investments to SMU's faculty, research, and creative enterprise.

In the 2017 discussion draft of *Enhancing the Academic Quality and Stature of SMU*, we demonstrated more fully the impact investments in faculty and research can have on a university's overall academic excellence. To that end, we present a broad range of recommendations (see figure 3 below).

See the Notre Dame box on the left for an example of a university that dramatically increased its research footprint.

Figure 3: Recommendations for Strengthening Faculty, Research, and Creative Impact



Recommendation #4: Targets of Excellence Program

SMU should have a goal in the next philanthropic campaign to attract new faculty endowments, each at the \$5 million level, to enable SMU to be competitive in hiring outstanding faculty members (e.g., members of the National Academy, members of the American Academy of Arts and Sciences, and those who have the potential for similar recognition). The \$5 million endowments would be in addition to other endowments and financial resources for salaries, benefits, and start-up packages.

Recommended Action: Endow “Targets of Excellence” to strengthen SMU’s ability to hire world-class faculty (SRCITF, 2017).

Table 6: Targets of Excellence (For detailed financial estimate see [Appendix D](#))

How Does SMU Compare?	Impact on Outcomes Listed in SMU’s Strategic Plan?	New Financial Requirements for Recommendation #4?
<ul style="list-style-type: none"> • Northeastern’s Game Changers fund • UC Irvine’s High Impact Hiring program • UT Austin’s STARS program • UC Davis’ Target of Excellence program 	<p>To reach parity with aspirational universities</p> <ul style="list-style-type: none"> • Research awards and expenditures • Citations • National Academies memberships, awards, and fellowships • Teaching excellence • Performances and exhibitions • Knowledge transfer 	<ul style="list-style-type: none"> • First-year costs: \$900,000 (six chairs @ \$150,000 per chair) • Cumulative ten-year costs: \$10,320,000 • Projected philanthropic revenue: \$30,000,000 (six endowed chairs at \$5,000,000 each)

Recommendation #5: Faculty Cluster Hire Initiative

An effective mechanism to build faculty strength is to focus on faculty cluster initiatives that are organized around interdisciplinary themes of research or creative activity (SRCITF, 2017). In line with this pursuit, an example of a faculty cluster hiring initiative is currently under way in the Lyle School of Engineering around the theme of cybersecurity. Another example is the Division of Art History’s cluster hiring in Latin American art. This strategy for faculty hiring could be expanded to other units on campus. Faculty members working across disciplines can significantly strengthen SMU’s collaborative efforts and create greater synergy among academic fields.

Recommended Action: Initiate a faculty cluster-hire initiative to build faculty strength around interdisciplinary themes of research or creative activity.

Table 7: Faculty Cluster Hires (For detailed financial estimate see [Appendix E](#))

How Does SMU Compare?	Impact on Outcomes Listed in SMU’s Strategic Plan?	New Financial Requirements for Recommendation #5?
<ul style="list-style-type: none"> • Notre Dame’s Strategic Research Investments initiative • University of Virginia Cluster Hiring Initiative • Dartmouth’s Cluster Hire Initiative • Purdue’s Faculty Cluster Hire Program 	<p>To reach parity with aspirational universities</p> <ul style="list-style-type: none"> • Interdisciplinary teaching and research (e.g., Cybersecurity) • Research awards and expenditures • Citations • National Academies memberships, awards, and fellowships • Performances and exhibitions 	<ul style="list-style-type: none"> • Year-one costs: \$5,850,000 (six clusters @ \$975,000 per cluster) • Cumulative ten-year costs: \$67,072,000 (six clusters)

Recommendation #6: Knowledge Integration Fellows:

Interdisciplinarity is an emerging and important theme within higher education, and is among SMU’s primary opportunities for further differentiation. Although the Faculty Senate does not have a specific group tasked with consideration of interdisciplinary programs, the Senate does support such activities (e.g., FS-DS, 2018). SMU Community members repeatedly stressed the importance of identifying creative solutions to promote more interdisciplinary work (SRCITF, 2017; CITTF, 2017). SMU faculty members who are interdisciplinary leaders should be designated by the Provost’s Office as Knowledge Integration Fellows (KIFs), who will have academic appointments in two or more departments and be actively working to bridge disciplines.

Recommended Action: Strengthen Dedman Interdisciplinary Institute’s impact by designating faculty leaders as Knowledge Integration Fellows (KIFs) and provide them with financial resources to support their bridge-building activities.

Table 8: Knowledge Integration Fellows (For detailed financial estimate see [Appendix F](#))

How Does SMU Compare?	Impact on Outcomes Listed in SMU's Strategic Plan?	New Financial Requirements for Recommendation #6?
<ul style="list-style-type: none"> • William and Mary's Interdisciplinary Fellows Program • Emory's Interdisciplinary Faculty Fellowships 	<p>Differentiation from aspirational universities</p> <ul style="list-style-type: none"> • Integrating computing across the liberal arts and sciences, engineering, and professional schools • Interdisciplinary courses and research projects • Improved student learning experience 	<ul style="list-style-type: none"> • Year-one costs: \$200,000 (\$20,000 x ten KIFs) • Cumulative ten-year costs: \$2,292,000

In partnership with recommendations to build on our faculty excellence, a key opportunity to strengthen SMU's academic excellence is to expand dramatically our scholarly research and creative impact. This theme of enhanced research was a frequent emphasis in the task force reports (SRCITF, 2017; FS-SPC, 2017) and throughout our campus dialogue.

Recommendation #7: Research Support:

Universities that have increased their scholarly research and creative footprint have invested in additional research support staff in order to reduce administrative burden on faculty and to increase funding outcomes. This, too, was a common theme throughout the community dialogue (SRCITF, 2017; FS-CRGE, 2017). To that end, we propose a staff augmentation initiative within SMU's Office of Research Administration – many with the potential for considerable return on investment – to support our faculty in the pursuit of funding opportunities.

Recommended Action: Strengthen support for identifying funding sources and assist with increased grant proposal development.

Table 9: Research Support (For detailed financial estimate see [Appendix G](#))

How Does SMU Compare?	Impact on Outcomes Listed in SMU's Strategic Plan?	New Financial Requirements for Recommendation #7?
<p>Ratio of Research Support Staff: Faculty:</p> <ul style="list-style-type: none"> • SMU: 1:75 • University of Notre Dame: 1:24 • Carnegie Mellon University: 1:37 	<p>To reach parity with aspirational universities</p> <ul style="list-style-type: none"> • Research awards and expenditures • Citations • National Academies memberships, awards, and fellowships 	<ul style="list-style-type: none"> • Year-one costs: \$974,000 • Cumulative ten-year costs: \$11,165,000 • Anticipated increase in external research funding revenue

Recommendation #8: Innovation Seed Funding for New Interdisciplinary Ideas:

To fuel SMU’s research and creative impact, the University will need bold ideas that have the promise to be world-changing and that will garner sustainable future funding. We propose a seed funding initiative to support bold, innovative ideas (SRCITF, 2017).

Recommended Action: Create a seed fund for bold ideas in research and creative activity to elevate SMU’s intellectual footprint and attract sustainable philanthropic or grant revenue.

Table 10: Seed Funding for New Interdisciplinary Ideas

How Does SMU Compare?	Impact on Outcomes Listed in SMU’s Strategic Plan?	New Financial Requirements for Recommendation #5?
<ul style="list-style-type: none"> UC Davis’ Grand Challenges (\$18,000,000): 1100% return on seed fund Washington University in St. Louis’ Internal Seed Funding Programs 	To reach parity with aspirational universities <ul style="list-style-type: none"> Interdisciplinary research and programs that position SMU as a world leader in addressing global challenges Research awards and expenditures National Academies memberships, awards, and fellowships Knowledge transfer 	<ul style="list-style-type: none"> One-time costs: \$4,000,000 - \$5,000,000 Anticipated major philanthropic and/or grant revenue for initiatives developed through seed fund

Recommendation #9: Increasing the Number of Post-doctoral Researchers:

Analysis from SMU’s Office of Research show, and our campus dialogue reaffirmed, that another important investment with a significant payoff with respect to strengthening SMU’s scholarly research and creative impact would be to increase the number of post-doctoral researchers (SRCITF, 2017; FS-CRGE, 2017).

Recommended Action: Create additional post-doc positions in targeted academic areas.

Table 11: Post-doctoral researchers (For detailed financial estimate see [Appendix H](#))

How Does SMU Compare?	Impact on Outcomes Listed in SMU’s Strategic Plan?	New Financial Requirements for Recommendation #9?
Number of post-docs: <ul style="list-style-type: none"> SMU: 26 Rice: 263 Carnegie Mellon: 193 Notre Dame: 124 Brandeis: 95 	To reach parity with aspirational universities <ul style="list-style-type: none"> Research awards and expenditures Number of researchers/post-docs Knowledge transfer 	<ul style="list-style-type: none"> Year-one costs: \$360,000 (six new, three-year post-docs @ \$60,000 each) Cumulative ten-year new costs: \$19,800,000 (six new post-docs annually for a ten-year total of 86)

Recommendation #10: SMU Libraries:

In the October 2017 draft of “Academic Quality,” we acknowledged that SMU’s libraries will play a vital role in further strengthening SMU’s academic quality and indicated that detailed planning on that topic would await the appointment of the new Dean of SMU Libraries during summer of 2018. Throughout the campus dialogue, and within the report of the task force on the Future of SMU Libraries, community members also emphasized the need for support and consideration prior to that time (FLTF, 2017).

Recommended Action: Strengthen SMU libraries to support the University’s research, teaching, and service enterprise (SRCITF, 2017; FLTF, 2017).

Table 12: SMU Libraries (For detailed estimate see [Appendix I](#))

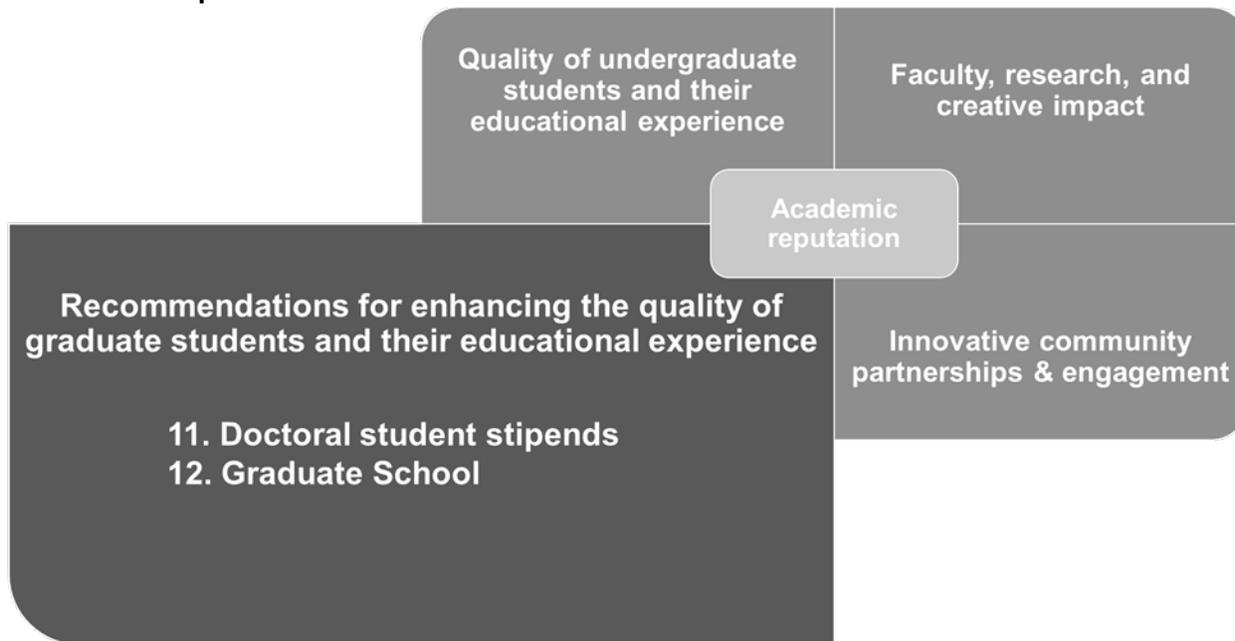
How Does SMU Compare?	Impact on Outcomes Listed in SMU’s Strategic Plan?	New Financial Requirements for Recommendation #10?
<ul style="list-style-type: none"> • SMU’s library budget:student ratio=\$594:1 • Average aspirational university library budget:student ratio=\$1,185:1 • SMU staff:student ratio=1:221 • Average aspirational university library staff:student ratio=1:207 	To reach parity with aspirational universities <ul style="list-style-type: none"> • Research awards and expenditures • Teaching excellence 	<ul style="list-style-type: none"> • Year-one costs: \$812,000 • Cumulative ten-year costs: \$9,305,000 • Financial strategy for SMU Libraries to be developed by new dean

In addition to the specific recommendations above, SMU should in the future consider additional ways to strengthen the faculty such as enhancing the quality of the pool of faculty candidates, bolstering the rigor of the promotion and tenure process, maintaining salary competitiveness for SMU faculty, continually refining empirical and quantitative analyses of faculty salary equity, refining methods of evaluating teaching effectiveness by SMU faculty, and supporting career-life balance for SMU faculty members.

Recommendations for Enhancing the Quality of SMU’s Graduate Students and Their Educational Experience

The quality of SMU’s graduate students in research degree programs and professional degree programs (i.e., their selectivity and standardized test scores, grades, publications, and other creative outputs) is also vital for enhancing the overall academic excellence of SMU. Graduate students’ quality has both internal benefits – high quality graduate students provide greater experiences for our undergraduates (e.g., in laboratories, classrooms, mentorship) – and external benefits – high quality graduate students increase our ability to place SMU Ph.D.’s into faculty positions at world-class universities around the nation and the world.

Figure 4: Recommendations for Enhancing the Quality of Graduate Students and their Educational Experience



Recommendation #11: Doctoral Student Stipends:

One way that doctoral programs at SMU can be more successful is by allocating financial aid resources more efficiently, such as ensuring that doctoral students are proceeding expeditiously toward completion of their degree programs. For example, the longer doctoral students take to complete their degrees, the more financial aid they tend to consume. When doctoral students proceed through their degree programs efficiently, students finish earlier and financial aid can then be distributed to a greater number of students over time.

Recommended Action: Increase doctoral student financial aid to be competitive with aspirational universities (SRCITF, 2017; FS-CRGE, 2017).

Table 13: Doctoral Student Stipends (For detailed financial estimate see [Appendix J](#))

How Does SMU Compare?	Impact on Outcomes Listed in SMU’s Strategic Plan?	New Financial Requirements for Recommendation #11?
<ul style="list-style-type: none"> •Chemistry: SMU: \$17,000; Emory: \$28,000 •Economics: SMU: \$18,000; Rice: \$23,000 - \$26,000 •History: SMU: \$20,000; Vanderbilt: \$30,500 •SMU’s Ten Operational Excellence Graduate Fellowships: \$25,000 	To reach parity with aspirational universities <ul style="list-style-type: none"> • Test scores • Number of doctoral degrees conferred • Student retention and success • Placement of graduate alumni 	<ul style="list-style-type: none"> • Increased year-one costs: \$3,700,000 (to increase current average stipend to \$27,500 for 478 current doctoral students) • Total cumulative increase in ten-year costs: \$42,418,000

Recommendation #12: Graduate School:

Successful doctoral programs require support and coordination. Graduate schools at Vanderbilt and Notre Dame have 15 and 18 FTEs, respectively, within their central administrative offices to support their larger research expenditures. By comparison, SMU’s Office of Graduate Studies (OGS) currently has 2.5 staff FTE (50% FTE dean, one associate dean, and one administrative assistant). While further growth in OGS must be analyzed in light of existing staff positions in SMU’s academic units, a top priority in OGS is to add a Director of Graduate Recruitment to build a larger pool of applicants, which will enable departments to be more selective in their admissions. The second priority is hiring a Director of Career and Professional Development to increase student success by developing and harnessing campus resources to assist graduate students in making progress in their degree programs and with career opportunities. A third priority is a Graduate Student Life Coordinator to focus on improving the quality of the graduate student experience on campus.

Recommended Action: Form a SMU Graduate School to oversee University-wide guidelines such as admission standards for doctoral programs, support for doctoral students, and degree completion (SCRITF, 2017; FS-CRGE, 2017).

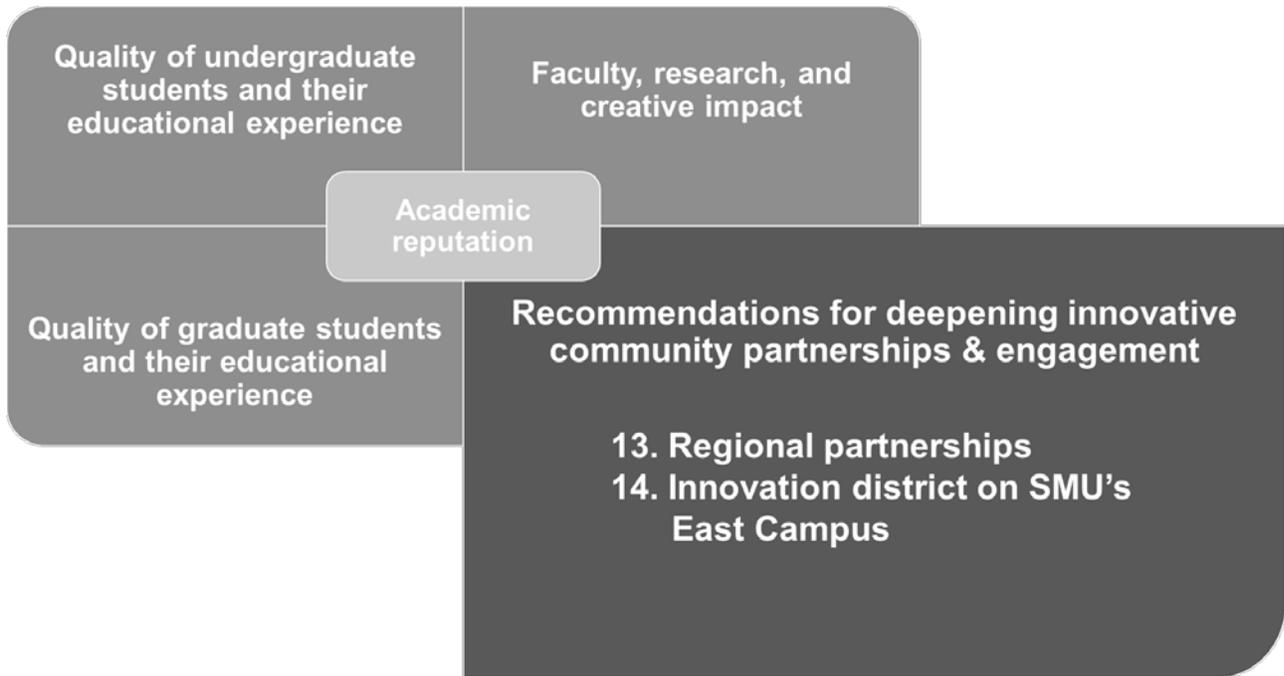
Table 14: Graduate School (For detailed financial estimate see [Appendix K](#))

How Does SMU Compare?	Impact on Outcomes Listed in SMU’s Strategic Plan?	New Financial Requirements for Recommendation #12?
<ul style="list-style-type: none"> • Two-thirds (8/12) of Aspirational Peer universities have a Graduate School • Nearly 70% (9/13) of Colonial Group members have a Graduate School 	To reach parity with aspirational universities <ul style="list-style-type: none"> • Test scores • Number of doctoral degrees conferred • Student retention and success • Placement of graduates 	<ul style="list-style-type: none"> • Year-one costs: \$104,000 (1 FTE) • Year-two costs: \$425,500 (3 FTE) • Cumulative ten-year costs: \$4,426,000

Recommendations for Deepening Innovative Community Partnerships and Engagement

The more vibrant the intellectual and academic ecosystem in North Texas, the more SMU’s academic programs are elevated through shared research and artistic collaborations, cooperative grant proposals to federal and state agencies, joint degree programs, and employment opportunities for SMU graduates.

Figure 5: Recommendations for Deepening Innovative Community Partnerships and Engagement



Recommendation #13: Regional Partnerships:

Although person-to-person level interactions between SMU faculty members and individuals in regional institutions are valuable, the University must cultivate deeper institution-level partnerships. These partnerships stand to further cement the University’s symbiotic relationship with regional organizations (Boone, 2002), which include both non-profit institutions (e.g., social service organizations, foundations, and arts and cultural organizations), large for-profit companies (e.g., AT&T, Texas Instruments), and start-up companies.

Recommendation: Continue to expand existing partnerships with key regional institutions (SRCITF, 2017).

Table 15: Regional Partnerships

Key Opportunities?	Impact on Outcomes Listed in SMU’s Strategic Plan?	New Financial Requirements for Recommendation #13?
<p>Examples:</p> <ul style="list-style-type: none"> • UTSW Medical Center • George W. Bush Presidential Center • Federal Reserve Bank of Dallas • Corporate Partners • Arts Community • K-12 Education 	<p>Differentiation from aspirational peers</p> <ul style="list-style-type: none"> • Interdisciplinary research awards and expenditures • Teaching innovations • Corporate partnerships • Knowledge transfer • Regional economic development 	<ul style="list-style-type: none"> • Position regional partnerships for major philanthropic support

Recommendation #14: Innovation District on SMU’s East Campus:

Since its founding, SMU has been deeply committed to serving Dallas and the North Texas region. Of the numerous ways that SMU serves the area, perhaps the greatest service that SMU delivers is to shine as a beacon of academic excellence, and to serve as a magnet for talented faculty, staff, and students from around the world. Many of these recruits remain in the region to provide scientific, artistic, and cultural service, as well as fueling the region’s workforce needs.

Historically, SMU’s spirit of service to the North Texas region was a reciprocation in response to generous offers from members of the Dallas community to grant land to the University, which enabled the very existence of SMU’s physical campus. For instance, much of SMU’s land was offered by John S. Armstrong (and his wife Alice T. Armstrong) and W.W. Caruth. In return, SMU committed to serving the Dallas region (Payne, 2016). This symbiotic “land-and-community-service” covenant between SMU and urban Dallas has been key to the success of both the University and the region (See Kerr [1968] for a further discussion of the mission of urban universities).

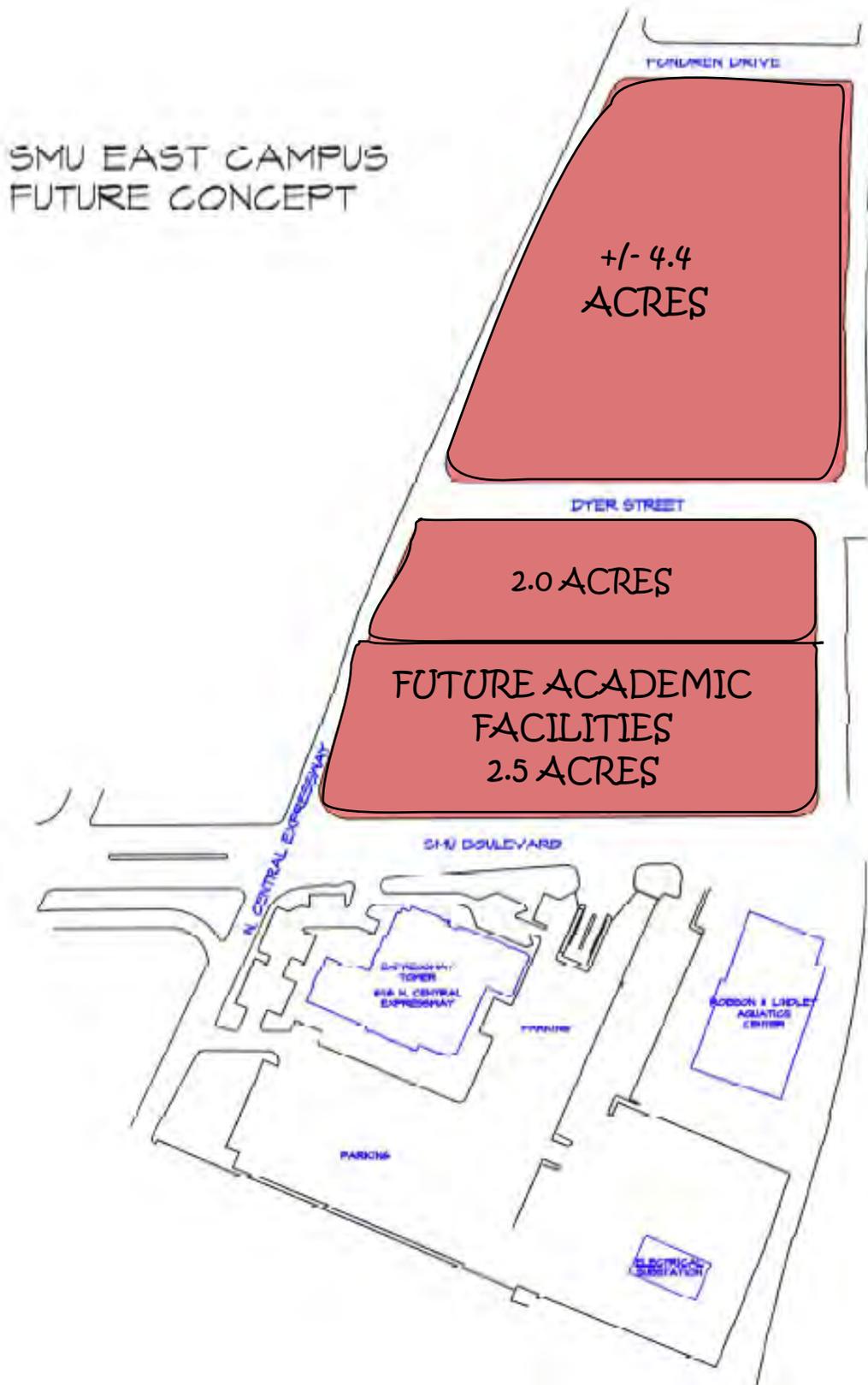
One tangible way that SMU can foster career opportunities in North Texas is by creating, as a part of SMU’s 15-acre East Campus, an “innovation and entrepreneurship district”⁷ which could serve as a hub for academic discoveries, industry collaboration, and community engagement. Indeed, the importance of the East Campus was mentioned in SMU’s *Second Century* strategic plan. Moreover, the history of SMU’s visioning for the East Campus has been oriented toward increasing facilities for unique academic opportunities, science and engineering research, and increasing innovation. As SMU develops more areas of academic innovation, the University could populate an innovation and entrepreneurship district on the East Campus. Figure 6 on the following page depicts SMU’s footprint for the East Campus.

Recommended Action: Develop an innovation district on SMU’s East Campus to position SMU as an engine of innovation and economic development throughout North Texas (SRCITF, 2017; FS-EC, 2018).

Table 16: Innovation District on SMU’s East Campus

How Does SMU Compare?	Impact on Outcomes Listed in SMU’s Strategic Plan?	New Financial Requirements for Recommendation #10?
<ul style="list-style-type: none"> • Cornell University: Cornell Tech • Notre Dame: Innovation Park and Ignition Park • Purdue Research Park 	<p>Differentiation from aspirational peers</p> <ul style="list-style-type: none"> • Research awards and expenditures • Teaching innovations • Corporate partnerships • Knowledge transfer • Regional economic development 	<ul style="list-style-type: none"> • Public/private partnership • Position SMU for major philanthropic support

Figure 6: SMU's East Campus Footprint.



Conclusion

This is a propitious time in SMU's history. The University is uniquely positioned to capitalize on its momentum to become even more impactful nationally and globally, as well as to further serve North Texas. It bears repeating that SMU's current momentum affords an extraordinary opportunity, indeed an obligation, to further leverage our energy to ensure that the University's progression continues upward. In some ways, SMU has yet to fulfill its promise to the fullest. But, greater heights are within the University's grasp. Now is the time for the SMU community to summon the will and make the required investments for a fresh vision of academic excellence that will propel us toward the greatest heights of higher education institutions as a premier research and teaching university with global impact. Realizing this new vision will require strong alignment between the University's strategic plan and the strategic plans of each academic unit (College/School).

The University is already making progress in allocating resources to address the recommendations discussed in this paper thereby expanding upon previous financial commitments to enhance the academic quality and stature of SMU. For instance, as discussed in the 26 March 2018 [memo](#) from the President and Provost, SMU allocated for fiscal year 2019 nearly \$5,100,000 from financial savings that were previously captured through SMU's Operational Excellence (OE) initiative (formerly "OE2C"), with an additional \$200,000 for fiscal year 2019 funded from other resources. Examples of new fiscal year 2019 financial allocations from OE funds that advance the University's academic mission are:

- Central University Libraries: 15% increase to collections budget
- Central University Libraries: New Head of Library Systems staff member
- Undergraduate Teaching Equalization Fund: Support for Dedman College's University Curriculum required courses
- University Research Council Grant Funds: Nearly 30% funding increase
- Innovation Seed Fund: Phase I investment of \$2,000,000 to elevate SMU's intellectual footprint and attract sustainable philanthropic and/or grant revenue
- Academic Information Technology: Provide greater technology support to faculty with three new positions for high performance computing, data science, and internet of things (e.g., research equipment) software developer
- Campus Classroom Technology: Nearly 30% increase for classroom technology upgrades
- Office of Research: New Research Grant Management Specialist staff member
- Office of Research: New Research Grant Compliance Coordinator staff member
- Office of Graduate Studies: New Director of Doctoral Student Enrollment staff member
- Office of Graduate Studies: Nearly 100% increase in funding for graduate student academic fellowships

We are excited to reinforce the University's positive momentum and to demonstrate our institutional commitment toward further strengthening academic quality with these recurring and one-time investments in fiscal year 2019. Going forward, OE funds are to be reinvested in academic programs and activities. The University is planning for a multi-year strategy for optimal allocation of those funds. Further investments in academic quality will be made in subsequent years. We will inform the faculty and staff throughout the process.

Future Aspirations: The 14 recommendations presented in the present document will be addressed during a ten-year span. The ten-year period will include the seven remaining years of *Launching SMU's Second Century, 2016-2025 Strategic Plan* and will then span the initial years of its successor.

In terms of future aspirations, at the end of a 10-year investment period, we expect SMU to exhibit new characteristics such as:

- Be on a trajectory toward possible future AAU membership by tracking progress against phase 1 and phase 2 metrics for AAU membership.
- Be ranked consistently in the top-50 on *USN&WR's* ranking of national universities.
- Have an incoming class average ACT score equal to or higher than the average of the Colonial Group universities.
- Increase the number of doctoral programs ranked among the top-50 in the nation.
- Have third-semester retention and six-year graduation rates equal to or higher than the average of the Colonial Group universities.
- Have annual research expenditures of at least \$50 million and on a trajectory toward \$100 million.
- Double the number of faculty members holding national and international awards (e.g., members of the National Academies).

Acknowledgements

This document benefitted from comments from Gerald Turner, members of SMU's Board of Trustees (e.g., Mike Boone, Kelly Compton, Jeanne Tower Cox, Bob Dedman, Fred Hegi, Ray Hunt, David Huntley, Bobby Lyle, David Miller, Connie O'Neill, Jeanne Phillips, Caren Prothro, and Carl Sewell), SMU's President's Executive Council (Brad Cheves, Rakesh Dahiya, Rick Hart, Kenekukwu (K.C.) Mmeje, Chris Regis, Harold Stanley, and Paul Ward), the Council of Deans (Marc Christensen, Jennifer Collins, Tom DiPiero, Craig Hill, Sam Holland, Elizabeth Killingsworth, Stephanie Knight, Matt Myers, and Jim Quick), and the Faculty Senate (e.g., Senate President Paul Krueger and members of the Executive Committee). Other valuable ideas were received from Fred Chang, Jeff Clanon, Cheyenne Currall, Marc Epstein, and Michael Hites.

Several members of the SMU community were asked to draft passages in the document: Daniel Eady, Craig Hill, Sam Holland, Stephanie Knight, Ebonii Nelson, Reva Pollack, Jim Quick, Doug Reinelt, Santanu Roy, Michael Tumeo, and Wes Waggoner.

Steven C. Currall

27 April 2018

References

Boone, M. (2002). *Maintaining SMU's "Brand Loyalty" in Dallas (and the region)*. Memo to members of SMU's leadership team. 12 April 2002.

Currall, S.C., Frauenheim, E., Perry, S.J., & Hunter, E.M. (2014). *Organized Innovation: A Blueprint for Renewing America's Prosperity*. Oxford, UK: Oxford University Press.

Creative and Interactive Technology Task Force (CITTF). Chair: Tom DePiero. Final report submitted to the Office of the Provost on 29 March 2017.

Duckworth, A. (2016). *GRIT: The Power of Passion and Perseverance*. New York: Simon and Schuster.

Etzkowitz, H. (2008). *The Triple Helix: University-Industry-Government Innovation in Action*. Abingdon, United Kingdom: Routledge.

Faculty Senate ad hoc Committee on Data Science and Computing and Interdisciplinary Initiatives (FS-DS). Chair: Paul Krueger. Findings compiled during committee meeting. 16 January 2018. Document available [here](#).

Faculty Senate Committee on Research and Graduate Education: Response to "Enhancing the Academic Quality and Stature of Southern Methodist University: Analyses and Opportunities" (FS-CRGE). Chair: Jill DeTemple. Presented to the Faculty Senate of Southern Methodist University. 6 December 2017. Document available [here](#).

Faculty Senate ad hoc Committee on Vision and Strategies for SMU's East Campus (FS-EC). Chair: Paul Krueger. Findings compiled during committee meeting. 19 January 2018. Document available [here](#).

Faculty Senate Student Policies Committee: Final Report on "Enhancing the Academic Quality and Stature of Southern Methodist University: Analyses and Opportunities" (FS-SPC). Chair: Christopher Dolder. Presented to the Faculty Senate of Southern Methodist University. 16 January 2018. Document available [here](#).

Future of SMU Libraries Task Force (FLTTF). Chair: Elizabeth Killingsworth. Final report submitted to the Office of the Provost on 1 September 2017.

Grant, M. *Excellence and the UCL Community: A Shared Endeavour*. University College London, 2006.

Katz, B. & Wagner, J. (2014). *The Rise of Innovation Districts: A New Geography of Innovation in America*. Brookings Institution. <http://www.brookings.edu/events/2014/06/09-innovation-districts>

Kerr, C. (1968). *The Urban Grant University: A Model for the Future*. Presented to the Phi Beta Kappa chapter of the City College of New York.

Payne, D. (2016). *One Hundred Years on the Hilltop: The Centennial History of Southern Methodist University*. DeGolyer Library, Southern Methodist University.

Perry, S.K., Hunter, E.M., & Currall, S.C. (2016). Managing the Innovators: Organizational and Professional Commitment of Scientists and Engineers. *Research Policy*, 45, 1247-1262.

Princeton Review (2015). *The Best 380 Colleges*. New York, NY: Random House.

Roberts, E.B. and Eesley, C.E. (2011), Entrepreneurial Impact: The Role of MIT. *Foundations and Trends in Entrepreneurship*, 7, 1-149. <http://dx.doi.org/10.1561/03000000030>.

Scholarly Research and Creative Impact Task Force (SRCITF). Chair: Fred R. Chang. Final report submitted to the Office of the Provost on 15 March 2017.

Sharp, P.A. (2014). Meeting Global Challenges: Discovery and Innovation Through Convergence; Integrate Biology, Physics, Engineering, and Social Science to Innovate. *Science*, 346, 1468-1471.

Appendices

Appendix A: Recommendation #1, Undergraduate Student Recruiting (assumes 3% annual increase for staffing expenses)

Year One Expenses	To Reach ACT 31	To Reach ACT 32
Staffing (+3 FTEs for ACT 31; +5 FTEs for ACT 32)	\$314,000	\$512,000
Programming	\$100,000	\$100,000
<i>Subtotal: Year One</i>	<i>\$414,000</i>	<i>\$612,000</i>
Year Two Expenses		
<i>Subtotal: Year Two</i>	<i>\$423,000</i>	<i>\$627,000</i>
Year Three Expenses		
<i>Subtotal: Year Three</i>	<i>\$433,000</i>	<i>\$643,000</i>
Year Four Expenses		
<i>Subtotal: Year Four</i>	<i>\$443,000</i>	<i>\$659,000</i>
Year Five Expenses		
<i>Subtotal: Year Five</i>	<i>\$453,000</i>	<i>\$676,000</i>
Year Six Expenses		
<i>Subtotal: Year Six</i>	<i>\$464,000</i>	<i>\$694,000</i>
Year Seven Expenses		
<i>Subtotal: Year Seven</i>	<i>\$475,000</i>	<i>\$711,000</i>
Year Eight Expenses		
<i>Subtotal: Year Eight</i>	<i>\$486,000</i>	<i>\$730,000</i>
Year Nine Expenses		
<i>Subtotal: Year Nine</i>	<i>\$498,000</i>	<i>\$749,000</i>
Year Ten Expenses		
<i>Subtotal: Year Ten</i>	<i>\$510,000</i>	<i>\$768,000</i>
Ten-year Total	\$4,600,000	\$6,870,000

**Appendix B: Recommendation #2, Student Financial Aid
(assumes 4% annual tuition increase)**

Year One Costs	SMU Target Average ACT score of 31	SMU Target Average ACT score of 32
Cohort 1: Cohort cost aid package meets 95% of difference between cost of attendance and what a family can afford	\$5,000,000	\$6,500,000
<i>Subtotal: Year One</i>	<i>\$5,000,000</i>	<i>\$6,500,000</i>
Year Two Expenses		
Cohorts 1 & 2 Costs	\$10,400,000	\$13,500,000
<i>Subtotal: Year Two</i>	<i>\$10,400,000</i>	<i>\$13,500,000</i>
Year Three Expenses		
Cohorts 1, 2, & 3 Costs	\$16,200,000	\$21,000,000
<i>Subtotal: Year Three</i>	<i>\$16,200,000</i>	<i>\$21,000,000</i>
Year Four Expenses		
Cohorts 1, 2, 3, & 4 Costs	\$22,500,000	\$29,200,000
<i>Subtotal: Year Four</i>	<i>\$22,500,000</i>	<i>\$29,200,000</i>
Year Five Expenses		
<i>Subtotal: Year Five</i>	<i>\$23,400,000</i>	<i>\$30,368,000</i>
Year Six Expenses		
<i>Subtotal: Year Six</i>	<i>\$24,336,000</i>	<i>\$31,583,000</i>
Year Seven Expenses		
<i>Subtotal: Year Seven</i>	<i>\$25,309,000</i>	<i>\$32,846,000</i>
Year Eight Expenses		
<i>Subtotal: Year Eight</i>	<i>\$26,321,000</i>	<i>\$34,160,000</i>
Year Nine Expenses		
<i>Subtotal: Year Nine</i>	<i>\$27,374,000</i>	<i>\$35,526,000</i>
Year Ten Expenses		
<i>Subtotal: Year Ten</i>	<i>\$28,469,000</i>	<i>\$36,947,000</i>
Ten-year Total	\$209,300,000	\$271,630,000

**Appendix C: Recommendation #3, Office of Student Success and Retention
(assumes 3% annual increase for staffing expenses)**

Year One Expenses	Amount
Retention Office: Annual budget funding to support staff hiring, professional development and enhancement activities	\$365,000
University Advising Center: Annual budget funding to support staff hiring, professional development and enhancement activities	\$614,000
Conditional Admission/Special Interest Programs: Annual budget funding (at \$70,000 per initiative) for: Rotunda Scholars Academic Scholars Program, Prelude, and First Year Switzerland Programs	\$210,000
Faculty-in-Residence/Faculty Affiliate Programs: Annual operating budget allowing faculty to provide support for professional development and student programming	\$38,000
<i>Subtotal: Year One</i>	<i>\$1,227,000</i>
Year Two Expenses	
<i>Subtotal: Year Two</i>	<i>\$1,264,000</i>
Year Three Expenses	
<i>Subtotal: Year Three</i>	<i>\$1,302,000</i>
Year Four Expenses	
<i>Subtotal: Year Four</i>	<i>\$1,341,000</i>
Year Five Expenses	
<i>Subtotal: Year Five</i>	<i>\$1,381,000</i>
Year Six Expenses	
<i>Subtotal: Year Six</i>	<i>\$1,422,000</i>
Year Seven Expenses	
<i>Subtotal: Year Seven</i>	<i>\$1,465,000</i>
Year Eight Expenses	
<i>Subtotal: Year Eight</i>	<i>\$1,509,000</i>
Year Nine Expenses	
<i>Subtotal: Year Nine</i>	<i>\$1,554,000</i>
Year Ten Expenses	
<i>Subtotal: Year Ten</i>	<i>\$1,601,000</i>
Ten-year Total	\$14,066,000

**Appendix D: Recommendation #4, Faculty Targets of Excellence Program
(assumes 3% annual increase for staffing expenses)**

Year One Expenses	Amount
Year One – Recurring	
Six chairs @ \$150,000 per chair	\$900,000
Year One – Non-recurring	
Six chairs @ \$5,000,000 per chair	\$30,000,000
<i>Subtotal: Year One (Recurring costs)</i>	\$900,000
Year Two Expenses	
<i>Subtotal: Year Two (Year one recurring costs)</i>	\$927,000
Year Three Expenses	
<i>Subtotal: Year Three (Year one recurring costs)</i>	\$955,000
Year Four Expenses	
<i>Subtotal: Year Four (Year one recurring costs)</i>	\$984,000
Year Five Expenses	
<i>Subtotal: Year Five (Year one recurring costs)</i>	\$1,014,000
Year Six Expenses	
<i>Subtotal: Year Six (Year one recurring costs)</i>	\$1,044,000
Year Seven Expenses	
<i>Subtotal: Year Seven (Year one recurring costs)</i>	\$1,075,000
Year Eight Expenses	
<i>Subtotal: Year Eight (Year one recurring costs)</i>	\$1,107,000
Year Nine Expenses	
<i>Subtotal: Year Nine (Year one recurring costs)</i>	\$1,140,000
Year Ten Expenses	
<i>Subtotal: Year Ten (Year one recurring costs)</i>	\$1,174,000
Ten-year Total	\$40,320,000

**Appendix E: Recommendation #5, Faculty Cluster Hire Initiative
(assumes 3% annual increase for staffing expenses)**

Year One Expenses	Amount
Year One – Recurring	
Faculty Cluster Initiative to fund five new faculty salaries (~\$150,00) across six academic clusters (30 faculty lines)	\$5,850,000
<i>Subtotal: Year One</i>	\$5,850,000
Year Two Expenses	
<i>Subtotal: Year Two</i>	\$6,026,000
Year Three Expenses	
<i>Subtotal: Year Three</i>	\$6,207,000
Year Four Expenses	
<i>Subtotal: Year Four (Year one recurring costs)</i>	\$6,393,000
Year Five Expenses	
<i>Subtotal: Year Five (Year one recurring costs)</i>	\$6,585,000
Year Six Expenses	
<i>Subtotal: Year Six (Year one recurring costs)</i>	\$6,783,000
Year Seven Expenses	
<i>Subtotal: Year Seven (Year one recurring costs)</i>	\$6,986,000
Year Eight Expenses	
<i>Subtotal: Year Eight (Year one recurring costs)</i>	\$7,196,000
Year Nine Expenses	
<i>Subtotal: Year Nine (Year one recurring costs)</i>	\$7,412,000
Year Ten Expenses	
<i>Subtotal: Year Ten (Year one recurring costs)</i>	\$7,634,000
Ten-year Total	\$67,072,000

**Appendix F: Recommendation #6, Faculty Knowledge Integration Fellows
(assumes 3% annual increase for staffing expenses)**

Year One Expenses	Amount
Course load reduction (10 @ \$15,000)	\$150,000
Programming (10 @ \$5,000)	\$50,000
<i>Subtotal: Year One</i>	<i>\$200,000</i>
Year Two Expenses	
<i>Subtotal: Year Two</i>	<i>\$206,000</i>
Year Three Expenses	
<i>Subtotal: Year Three</i>	<i>\$212,000</i>
Year Four Expenses	
<i>Subtotal: Year Four</i>	<i>\$218,000</i>
Year Five Expenses	
<i>Subtotal: Year Five</i>	<i>\$225,000</i>
Year Six Expenses	
<i>Subtotal: Year Six</i>	<i>\$232,000</i>
Year Seven Expenses	
<i>Subtotal: Year Seven</i>	<i>\$239,000</i>
Year Eight Expenses	
<i>Subtotal: Year Eight</i>	<i>\$246,000</i>
Year Nine Expenses	
<i>Subtotal: Year Nine</i>	<i>\$253,000</i>
Year Ten Expenses	
<i>Subtotal: Year Ten</i>	<i>\$261,000</i>
Ten-year Total	\$2,292,000

**Appendix G: Recommendation #7, Research Support
(assumes 3% annual increase for staffing expenses)**

Year One Expenses	Amount
Grant Resource Coordinator	\$195,000
Director of Sponsored Projects	\$143,000
Export Control Manager	\$104,000
Electronic Resource Manager	\$71,500
Director of Contracts & Technology Management	\$234,000
Grant Management Specialist	\$67,600
Compliance Manager	\$92,300
Compliance Coordinator	\$66,820
<i>Subtotal: Year One</i>	<i>\$974,000</i>
Year Two Expenses	
<i>Subtotal: Year Two (Year one recurring costs)</i>	<i>\$1,003,000</i>
Year Three Expenses	
<i>Subtotal: Year Three (Year one recurring costs)</i>	<i>\$1,033,000</i>
Year Four Expenses	
<i>Subtotal: Year Four (Year one recurring costs)</i>	<i>\$1,064,000</i>
Year Five Expenses	
<i>Subtotal: Year Five (Year one recurring costs)</i>	<i>\$1,096,000</i>
Year Six Expenses	
<i>Subtotal: Year Six (Year one recurring costs)</i>	<i>\$1,129,000</i>
Year Seven Expenses	
<i>Subtotal: Year Seven (Year one recurring costs)</i>	<i>\$1,163,000</i>
Year Eight Expenses	
<i>Subtotal: Year Eight (Year one recurring costs)</i>	<i>\$1,198,000</i>
Year Nine Expenses	
<i>Subtotal: Year Nine (Year one recurring costs)</i>	<i>\$1,234,000</i>
Year Ten Expenses	
<i>Subtotal: Year Ten (Year one recurring costs)</i>	<i>\$1,271,000</i>
Ten-year Total	\$11,165,000

Appendix H: Recommendation #9, Post-Doctoral Positions at SMU

Year One Expenses	Amount
Post-doctoral appointments (6 @ \$60,000)	\$360,000
<i>Subtotal: Year One</i>	<i>\$360,000</i>
Year Two Expenses	
Year One Post-doctoral appointments recurring	\$360,000
Year Two Post-doctoral appointments (6 @ \$60,000)	\$360,000
<i>Subtotal: Year Two (Year one recurring costs)</i>	<i>\$720,000</i>
Year Three Expenses	
Years One and Two Post-doctoral appointments recurring	\$720,000
Year Three Post-doctoral appointments (6 @ \$60,000)	\$360,000
<i>Subtotal: Year Three</i>	<i>\$1,080,000</i>
Year Four Expenses	
Years One – Three Post-doctoral appointments recurring	\$1,080,000
Year Four Post-doctoral appointments (6 @ \$60,000)	\$360,000
<i>Subtotal: Year Four</i>	<i>\$1,440,000</i>
Year Five Expenses	
Years One – Four Post-doctoral appointments recurring	\$1,440,000
Year Five Post-doctoral appointments (6 @ \$60,000)	\$360,000
<i>Subtotal: Year Five</i>	<i>\$1,800,000</i>
Year Six Expenses	
Years One – Five Post-doctoral appointments recurring	\$1,800,000
Year Six Post-doctoral appointments (6 @ \$60,000)	\$360,000
<i>Subtotal: Year Six (Years One – Five recurring costs)</i>	<i>\$2,160,000</i>
Year Seven Expenses	
Years One – Six Post-doctoral appointments recurring	\$2,160,000
Year Seven Post-doctoral appointments (6 @ \$60,000)	\$360,000
<i>Subtotal: Year Seven (Years One – Five recurring costs)</i>	<i>\$2,520,000</i>
Year Eight Expenses	
Years One – Seven Post-doctoral appointments recurring	\$2,520,000
Year Eight Post-doctoral appointments (6 @ \$60,000)	\$360,000
<i>Subtotal: Year Eight (Years One – Five recurring costs)</i>	<i>\$2,880,000</i>
Year Nine Expenses	
Years One – Eight Post-doctoral appointments recurring	\$2,880,000
Year Nine Post-doctoral appointments (6 @ \$60,000)	\$360,000
<i>Subtotal: Year Nine (Years One – Five recurring costs)</i>	<i>\$3,240,000</i>
Year Ten Expenses	
Years One – Nine Post-doctoral appointments recurring	\$3,240,000
Year Ten Post-doctoral appointments (6 @ \$60,000)	\$360,000
<i>Subtotal: Year Ten (Years One – Five recurring costs)</i>	<i>\$3,600,000</i>
Ten-year Total	\$19,800,000

**Appendix I: Recommendation #10, SMU Libraries
(assumes 3% annual increase)**

Year One Expenses	Amount
Year One – Recurring	
Budget Increase	\$812,000
<i>Subtotal: Year One (Recurring costs)</i>	<i>\$812,000</i>
Year Two Expenses	
<i>Subtotal: Year Two</i>	<i>\$836,000</i>
Year Three Expenses	
<i>Subtotal: Year Three</i>	<i>\$861,000</i>
Year Four Expenses	
<i>Subtotal: Year Four</i>	<i>\$887,000</i>
Year Five Expenses	
<i>Subtotal: Year Five</i>	<i>\$914,000</i>
Year Six Expenses	
<i>Subtotal: Year Six</i>	<i>\$941,000</i>
Year Seven Expenses	
<i>Subtotal: Year Seven</i>	<i>\$969,000</i>
Year Eight Expenses	
<i>Subtotal: Year Eight</i>	<i>\$998,000</i>
Year Nine Expenses	
<i>Subtotal: Year Nine</i>	<i>\$1,028,000</i>
Year Ten Expenses	
<i>Subtotal: Year Ten</i>	<i>\$1,059,000</i>
Ten-year Total	\$9,305,000

**Appendix J: Recommendation #11, Doctoral Student Stipends
(assumes 3% annual increase)**

Year One Expenses	Amount
Investment to increase current average stipend to \$27,500 for doctoral students (currently 478 doctoral students)	\$3,700,000
<i>Subtotal: Year One</i>	\$3,700,000
Year Two Expenses	
<i>Subtotal: Year Two</i>	\$3,811,000
Year Three Expenses	
<i>Subtotal: Year Three</i>	\$3,925,000
Year Four Expenses	
<i>Subtotal: Year Four</i>	\$4,043,000
Year Five Expenses	
<i>Subtotal: Year Five</i>	\$4,164,000
Year Six Expenses	
<i>Subtotal: Year Six</i>	\$4,289,000
Year Seven Expenses	
<i>Subtotal: Year Seven</i>	\$4,418,000
Year Eight Expenses	
<i>Subtotal: Year Eight</i>	\$4,551,000
Year Nine Expenses	
<i>Subtotal: Year Nine</i>	\$4,688,000
Year Ten Expenses	
<i>Subtotal: Year Ten</i>	\$4,829,000
Ten-year Total	\$42,418,000

**Appendix K: Recommendation #12, Graduate School
(assumes 3% annual increase for staffing expenses)**

Year One Expenses	Amount
Director of Graduate Recruitment	\$104,000
<i>Subtotal: Year One</i>	<i>\$104,000</i>
Year Two Expenses	
Strategic Program Development	\$156,000
Director of Career and Professional Development	\$104,000
Graduate Student Life Coordinator	\$58,500
<i>Subtotal: Year Two</i>	<i>\$425,500</i>
Year Three Expenses	
<i>Subtotal: Year Three</i>	<i>\$438,000</i>
Year Four Expenses	
<i>Subtotal: Year Four</i>	<i>\$451,000</i>
Year Five Expenses	
<i>Subtotal: Year Five</i>	<i>\$465,000</i>
Year Six Expenses	
<i>Subtotal: Year Six</i>	<i>\$479,000</i>
Year Seven Expenses	
<i>Subtotal: Year Seven</i>	<i>\$493,000</i>
Year Eight Expenses	
<i>Subtotal: Year Eight</i>	<i>\$508,000</i>
Year Nine Expenses	
<i>Subtotal: Year Nine</i>	<i>\$523,000</i>
Year Ten Expenses	
<i>Subtotal: Year Ten</i>	<i>\$539,000</i>
Ten-year Total	\$4,426,000

¹ The present document is intended to stand-alone; the October 2017 document is not prerequisite reading.

² See this webpage for further information on AAU and its membership policies and qualifications: <https://www.aau.edu/who-we-are/membership-policy>

³ The Colonial Group is comprised of 14 universities, many of which are located in eastern states that were in the original list of American colonies (e.g., Pennsylvania, New York, Massachusetts, and North Carolina), hence the name the “Colonial” Group. Leaders of universities that are members of the Colonial Group hold conferences and engage in mutually beneficial dialogues about the future of higher education and their universities. The Colonial Group is not an athletic conference nor do the universities engage in financial transactions. Colonial Group members are: Boston College, Boston University, Brandeis, George Washington, Lehigh, Notre Dame, New York University, Northeastern, SMU, Syracuse, Tufts, Tulane, University of Miami, and Wake Forest.

⁴ For more detailed analysis, see the 18 October 2017 draft of [*Enhancing the Academic Quality and Stature of Southern Methodist University: Analyses and Opportunities*](#), (pp. 24-30).

⁵ This section was informed by Grant (2006).

⁶ In addition to standardized test scores, student quality may be measured in many ways, including student leadership potential, service orientation, resiliency (i.e., the ability to overcome adversity), cultural intelligence, “GRIT” (i.e., perseverance and passion for long-term goals) (Duckworth, 2016), and performance talent and promise (i.e., for visual and performing arts students). Some of those non-academic measures of student quality are the focus of SMU’s Hunt Scholars program, for example.

⁷ See the Brookings Institution research on innovation districts (<https://www.brookings.edu/essay/rise-of-innovation-districts/>) and other publications on innovation districts such as Currall, Frauenheim, Perry, and Hunter (2014), Etzkowitz (2008), Katz and Wagner (2014), Perry, Hunter, and Currall (2016), Roberts and Eesley (2011), and Sharp (2014).