2005-2006 :: Provost's Office Operations

1. Mission Statement:

The Office of the Executive Vice President and Provost is committed to promoting excellence in undergraduate and graduate education as well as in research that will positively impact the personal, economic, social, and cultural lives of the citizens of Texas and the world. The Office works directly with the President to promote continuous improvement in the University and to provide oversight of and support for improvement.

2. Objectives:

2.1 Faculty Excellence:

Ensure excellence and timeliness in faculty recruitment, hiring, promotion, tenure, and post-tenure review.

2.1.1 Related Strategic Plan Item(s):

I-1 Research Enterprise Initiative; II-1 The Education of Leaders; II-3 Investment in People; II-4 Enhancement of Diversity and Inclusion; III-2 Innovative Centers and Institutions; VI-1 K-16 Education

2.1.2 Related Institutional Priority Item(s): SP-1 Double the Size of the Faculty; SP-6 Increase Number of PhD's

Granted; SP-7 Enhance Graduation Rates; COM-1 Reallocate Existing Resources to Preserve Quality in Teaching and Research Programs; COM-4 Enhance research, graduate education and technology-driven economic development; CMP-1 Increase number of faculty and grad students in engineering. physical sciences & technology; CPT-5 Increase retention and graduation rates; CPT-6 Expand degree profile

2.1.3 Standards and Associations:

As appropriate, utilize standards from professional organizations, including ABET, AACSB, ASHE, ACS, etc.

2.2 Undergraduate and Graduate Education:

Ensure first-class undergraduate and graduate education programs with first-class students.

2.2.1 Related Strategic Plan Item(s):

II-1 The Education of Leaders; II-2 Living-Learning Communities; II-3 Investment in People; II-4 Enhancement of Diversity and Inclusion; VI-1 K-16 Education; VI-2 The Arts; VI-3 Business Leadership; VI-4 Community Outreach; VI-5 University Village

2.2.2 Related Institutional Priority Item(s):

SP-2 Add 5,000 New Students; SP-4 Tell UTD's Story Better; SP-6 Increase Number of PhD's Granted; SP-7 Enhance Graduation Rates; COM-2 Protect Enrollment Gains, Access and Student Quality as part of moving toward Tier One Status; COM-4 Enhance research, graduate education and technology-driven economic development; CMP-1 Increase number of faculty and grad students in engineering. physical sciences & technology; CPT-1 Control enrollment expansion; CPT-2 Maintain 60/40 mix UG/GR with highest academic standards; CPT-3 Significantly improve quality of UTD's graduate students; CPT-4 Enhance student diversity; CPT-5 Increase retention and graduation rates; CPT-6 Expand degree profile

2.3 Academic Programming:

Ensure excellent, engaged academic and academic support programs that are agile and capable of meeting the needs of students and faculty.

2.3.1 Related Strategic Plan Item(s):

I-2 The Bio-World; I-3 Nanotechnology; II-1 The Education of Leaders; II-2 Living-Learning Communities; II-3 Investment in People; II-4 Enhancement of Diversity and Inclusion; III-2 Innovative Centers and Institutions; VI-1 K-16 Education; VI-2 The Arts; VI-3 Business Leadership; VI-4 Community Outreach; VI-5 University Village

2.3.2 Related Institutional Priority Item(s): SP-6 Increase Number of PhD's Granted; SP-7 Enhance Graduation

Rates; COM-3 Sustain Progress toward Tier One Status in terms of programs, research and faculty quality; COM-4 Enhance research, graduate education and technology-driven economic development; CPT-2 Maintain 60/40 mix UG/GR with highest academic standards; CPT-3 Significantly improve quality of UTD's graduate students; CPT-4 Enhance student diversity; CPT-6 Expand degree profile

2.4 Research: Promote active, innovate research at the frontiers of knowledge

2.4.1 Related Strategic Plan Item(s):

I-1 Research Enterprise Initiative; I-2 The Bio-World; I-3 Nanotechnology; III-2 Innovative Centers and Institutions; IV-1 National and Global Security; IV-2 Energy and the Environment; V-1 Life Science Health Collaborations; V-2 Enhanced Quality of Life; VI-4 Community Outreach

2.4.2 Related Institutional Priority Item(s):

SP-3 More than Double Research Funding; SP-6 Increase Number of PhD's Granted; COM-1 Reallocate Existing Resources to Preserve Quality in Teaching and Research Programs; COM-3 Sustain Progress toward Tier One Status in terms of programs, research and faculty quality; COM-4 Enhance research, graduate education and technology-driven economic development; CMP-1 Increase number of faculty and grad students in engineering. physical sciences & technology; CMP-3 Complete NSERL Building; CMP-4 Renovate Founders Hall; CPT-3

Significantly improve quality of UTD's graduate students

2.5 Regulatory and Institutional Compliance: Ensure compliance with the rules and regulations of the State of Texas, the Texas Higher Education Coordinating Board, and The University of Texas System, as well as with other internal policies and procedures.

2.5.1 Related Strategic Plan Item(s): III-1 Dynamic Change Management

2.5.2 Related Institutional Priority Item(s):
COM-1 Reallocate Existing Resources to Preserve Quality in Teaching and Research Programs

3. Measures & Findings:

3.1 Turn-around time in hiring faculty:
Improve the turn-around time from advertisement to offer of employment for faculty positions

3.1.1 Success Criteria: Process received applications 25% more efficiently

3.1.2 Related Objective(s): Faculty Excellence

3.1.3 Results Related To Success Criteria:
Restructured position with hire of Diane Griffith; during the first six months, Griffith assisted Hogan in the processing of application files, thus reducing the turn-around time significantly. Log of file entry and completion suggests the increase in productivity.

3.1.4 Achievement Level: Met

3.1.5 Further Action: Yes

3.2 Committee on Qualifications Review Process: Improve access to applicant files for review by CQ members.

3.2.1 Success Criteria:
Improve review time of files for new faculty positions so that the review process takes no more than one month (including summer reviews).

3.2.2 Related Objective(s): Faculty Excellence

3.2.3 Results Related To Success Criteria:
Despite improved email communication processes, summer reviews continue to take too long, given the number of CQ members who travel for research and/or vacation during the summer. At least one potential hire was unavailable because of the lag time.

3.2.4 Achievement Level: Not Met

3.2.5 Further Action: Yes

3.3 Annual Reporting:
Improve collection of files from faculty for annual reporting so as to enable faster access for merit raise review.

3.3.1 Success Criteria: Increase submission of annual reports in electronic format by 25%.

3.3.2 Related Objective(s): Faculty Excellence

3.3.3 Results Related To Success Criteria:
Ms. Chester in Faculty Records reduced the number of paper submissions to under 30 in FY 2006.

3.3.4 Achievement Level: Met

3.3.5 Further Action: Yes

3.4 Targeted Freshman Enrollment:
Based upon a set tuition rate and an administrative decision regarding the target SAT average for incoming freshmen, determine the amount of money available for AES awards to attract highly qualified incoming freshmen.

3.4.1 Success Criteria:
Award funds so as to maintain enrollment at current level or with 2-3% increase in incoming freshmen

3.4.2 Related Objective(s): Undergraduate and Graduate Education

3.4.3 Results Related To Success Criteria:
Dean Coleman was able to get a starting figure in April 2006 for potential awards for upcoming year. Final incoming freshman enrollment was stable but SAT average increased.

3.4.4 Achievement Level: Met

3.4.5 Further Action: No

3.5 Graduate Student Scholarships:

Allocation of GSS funds and TA salaries distributed to schools in an equitable manner and to cover the entire year in a single budgetary award.

3.5.1 Success Criteria:
School Deans and budget officers will be able to fund 95% of their non-research-based TA`s and RA`s with GSS budget allocations.

3.5.2 Related Objective(s): Undergraduate and Graduate Education

3.5.3 Results Related To Success Criteria:
Additional funds were used to cover summer expenses within NSM, ECS, and Management. The significant expenses fell within NSM, where a separate account was available to support specific students within target disciplines.

3.5.4 Achievement Level: Partially Met

3.5.5 Further Action: Yes

3.6 Academic Program Review: Continue Academic Program Review process.

3.6.1 Success Criteria:
Successfully pass ABET accreditation for undergraduate programs in Engineering and Computer Sciences.

3.6.2 Related Objective(s): Undergraduate and Graduate Education; Academic Programming

3.6.3 Results Related To Success Criteria:
The Jonsson School passed the ABET review; however, ABET has decided to revisit the campus in a year and a half to monitor findings in EE.

3.6.4 Achievement Level: Partially Met

3.6.5 Further Action: Yes

3.7 Faculty Handbook: Expedite updating and distribution of Faculty Handbook through electronic availability

3.7.1 Success Criteria: Move entire Faculty Handbook to web-based version.

3.7.2 Related Objective(s): Academic Programming

3.7.3 Results Related To Success Criteria:
While the majority of the policies and handbook sections were already available online, many handbooks continued to be updated with new pages through the fall term. All manual updates of existing handbooks has ceased and all updates are completed online. Faculty are notified via email of updates to the policies and procedures.

3.7.4 Achievement Level: Met

3.7.5 Further Action: No

3.8 Support for Academic Governance:
Provide clerical support for Faculty Senate to support enhanced document tracking and policy dissemination

3.8.1 Success Criteria: Hire 1 FTE to work with both Staff Council and Academic Senate a.s.a.p.

3.8.2 Related Objective(s): Academic Programming

3.8.3 Results Related To Success Criteria: Administrative Assistant was hired January 2006. Distribution of agenda and minutes documents has improved and has met targeted deadlines (from the Chairs).

3.8.4 Achievement Level: Met

3.8.5 Further Action: No

3.9 Berkner Renovation: Renovate Berkner Hall to support faculty offices and laboratory space.

3.9.1 Success Criteria: Complete renovation of Berkner during FY 2006.

3.9.2 Related Objective(s): Research

3.9.3 Results Related To Success Criteria:
Renovation was not completed during FY 2006. Plans were advanced and some roof work was begun during the year.

3.9.4 Achievement Level: Partially Met

3.9.5 Further Action: Yes

3.10 Complete NSERL Building construction:
Complete the Natural Sciences and Engineering Research Laboratory building for Fall 2006 housing of faculty and laboratories.

3.10.1 Success Criteria:
Contractor will identify completion date by July 2006 to allow possession of the building early in Fall 2006.

3.10.2 Related Objective(s): Research

3.10.3 Results Related To Success Criteria: Due to weather setbacks and some negotiation issues between the contractor and vendors, the target date was moved to December 2006 for possible occupancy during the spring 2007 term.

3.10.4 Achievement Level: Not Met

3.10.5 Further Action: Yes

3.11 Indirect Cost allocation: Review Indirect Cost Recovery allocation formula for PI, Dean, and Research VP.

3.11.1 Success Criteria:
Review and determine appropriate allocations for FY 2007. Changes not anticipated, but review is needed, especially in light of Senate action(s).

3.11.2 Related Objective(s): Research

3.11.3 Results Related To Success Criteria:
Provost reviewed allocation strategy for FY2007 and awarded using same algorithm as previously. (10% to PI, 35% to Dean, balance for Research)

3.11.4 Achievement Level: Met

3.11.5 Further Action: Yes

3.12 Improve standing of SOM faculty in research: Through continuing support for faculty, provide resources and release time to allow SOM faculty to publish and conduct research so as to enhance the reputation of the School of Management.

3.12.1 Success Criteria:
SOM will improve its ranking among North American Business Schools by at least 5 positions (from #37).

3.12.2 Related Objective(s): Research

3.12.3 Results Related To Success Criteria: SOM improved its standing by 4 positions (37 to 33) based on a March 2006 ranking.

3.12.4 Achievement Level: Not Met

3.12.5 Further Action: Yes

3.13 Initiate SACS Compliance Review:
Appoint SACS Liaison and begin hiring support staff to begin compliance analysis.

3.13.1 Success Criteria: Liaison hired by January 2006; additional staff hires to continue through spring term.

3.13.2 Related Objective(s): Regulatory and Institutional Compliance

3.13.3 Results Related To Success Criteria: Liaison was hired in January 2006; Assistant and Systems Software Manager hired in March 2006; Editor and Info Services Coordinator hired in June 2006. QEP Director appointed June 2006. Assessment Director and CELT Director appointed June 2006.

3.13.4 Achievement Level: Met

3.13.5 Further Action: No

3.14 Endowment Compliance:
With Reports of Use completion, include review of all endowment accounts to determine that the terms of the endowments are being met appropriately and that revenues are being distributed in a timely fashion.

3.14.1 Success Criteria:
Reports of Use are submitted on deadline and analysis of endowment requirements is completed before budget preparation for FY 2007 begins.

3.14.2 Related Objective(s): Regulatory and Institutional Compliance

3.14.3 Results Related To Success Criteria: Reports of Use were submitted to Endowment Compliance Officer on schedule; the review was completed. Action was taken in FY 2006 to reduce excess allocations in Green accounts (recent restructuring of accounts had left some accounts with a surplus of funds).

3.14.4 Achievement Level: Met

3.14.5 Further Action: No

3.15 Constitution Day Activities:

To meet new regulation (System, State and Federal), offer activities to enhance the teaching of the Constitution to the student population.

3.15.1 Success Criteria: Have activities in place for September 17th deadline.

3.15.2 Related Objective(s): Regulatory and Institutional Compliance

3.15.3 Results Related To Success Criteria:
Assistant Provost arranged for Collegium V sections to include a panel discussion regarding Judge Roberts` nomination and the Patriot Act. Web site was also posted to include resource materials for students and faculty to use.

3.15.4 Achievement Level: Met

3.15.5 Further Action: No

5. Closing the Loop:

5.1 Reallocation of resources in faculty records: Restructure support staff within Faculty Records to divide the work into components associated with new hires vs. current faculty, thus separating the work of promotion and tenure from hiring.

5.1.1 Related Objective(s): Faculty Excellence

5.1.2 Related Measure(s): Turn-around time in hiring faculty

5.1.3 Responsible Person: Robert Nelsen

5.1.4 Target Date: FY 2007

5.1.5 Priority: Medium Priority

5.2 GSS Allocations:
In FY 2007, make budgetary allocations for all GSS to the schools directly, thus decentralizing the funds and the responsibility for oversight.

5.2.1 Related Objective(s): Undergraduate and Graduate Education

5.2.2 Related Measure(s): Graduate Student Scholarships

5.2.3 Responsible Person: Hobson Wildenthal

5.2.4 Target Date: August 2006

5.2.5 Priority: High Priority

5.3 Complete Berkner Renovation:
Complete renovation of Berkner Hall to improve faculty office space and laboratory space.

5.3.1 Related Objective(s): Research

5.3.2 Related Measure(s): Berkner Renovation

5.3.3 Responsible Person: Hobson Wildenthal

5.3.4 Target Date: FY 2007

5.3.5 Priority: Low Priority

5.4 Develop online review mechanism:
For finalists in a search, provide an online review mechanism to enable CQ members to review an applicant`s file remotely and submit his/her vote electronically.

5.4.1 Related Objective(s): Faculty Excellence

5.4.2 Related Measure(s): Committee on Qualifications Review Process

5.4.3 Responsible Person: Richard Huckaba

5.4.4 Target Date: April 2007

5.4.5 Priority: High Priority

5.5 ABET Accreditation:
Revise faculty development practices and curricular development with regard to senior design projects as needed to ensure ABET accreditation of all undergraduate ECS programs.

5.5.1 Related Objective(s): Undergraduate and Graduate Education

5.5.2 Related Measure(s): Academic Program Review

5.5.3 Responsible Person: Bob Helms

5.5.4 Target Date: FY 2007

5.5.5 Priority: Low Priority

5.6 Finalize space allocation in NSERL:
Deans from ECS and NSM will finalize the list of faculty who will acquire laboratory space in NSERL Building during the fall term of 2006.

5.6.1 Related Objective(s): Research

5.6.2 Related Measure(s): Complete NSERL Building construction

5.6.3 Responsible Person: Deans Helms and Dean Ferraris`s replacement

5.6.4 Target Date: December 2006.

5.6.5 Priority: High Priority

5.7 Annual Reports Availability:
In FY 2007, have all annual reports and CV submitted to SACS office for upload for pdf access. As Ms. Chester receives the files, Ms. Griffith will work with a copy for submission through DoxTool.

5.7.1 Related Objective(s): Faculty Excellence

5.7.2 Related Measure(s): Annual Reporting

5.7.3 Responsible Person: Diane Griffith

5.7.4 Target Date: March, April 2007

5.7.5 Priority: High Priority

5.8 Faculty Reporting:
Modify faculty annual reporting requirements to include summary of assessment activities related to courses taught.

5.8.1 Related Objective(s): Undergraduate and Graduate Education; Academic Programming

5.8.2 Related Measure(s): Initiate SACS Compliance Review; Annual Reporting; Academic Program Review

5.8.3 Responsible Person: Robert Nelsen

5.8.4 Target Date: Spring 2007

5.8.5 Priority: High Priority

5.9 Improve SOM research reputation nationally: Provide additional funding to support research and publication
activities within the School of Management.

5.9.1 Related Objective(s): Research

5.9.2 Related Measure(s): Improve standing of SOM faculty in research

5.9.3 Responsible Person: Dean Hasan Pirkul

5.9.4 Target Date: FY 2007 Budget Cycle

5.9.5 Priority: Medium Priority

5.10 Review Indirect Cost Allocation:
Review indirect cost allocations in FY 2007 with President to determine if a change in strategy is advised, especially as the President continues to organize his Cabinet.

5.10.1 Related Objective(s): Research

5.10.2 Related Measure(s): Indirect Cost allocation

5.10.3 Responsible Person: Hobson Wildenthal

5.10.4 Target Date: Spring 2007

5.10.5 Priority: High Priority

6. Analysis:

6.1 Program/Unit Strengths:

6.1.1 Objectives/Outcomes Exceeded or Met: Overall, the assessments indicate that the objectives and measures under the direct control of the Office of the Provost are generally manageable and were completed in a satisfactory manner.

- The reallocation of staff resources to assist in the management of faculty records has proved a boon to office productivity; while there is still room for improvement, the processes seem to flow better and the atmosphere in the office seems less stressful.
- The awarding of freshman scholarships, while under the direct control of the Undergraduate Dean and Associate Provost, provided evidence that the current processes produce fairly stable acceptance rates. As such, it is possible to predict the size and SAT average of the incoming freshman class with relative certainty.
- Because of the emphasis on gift and endowment funds to support targeted activities, it is imperative that endowment accounts be monitored closely. This year's activities indicate that the process for monitoring those accounts is strong. Even so, the re-structuring of the Green Endowment accounts (now for Systems Biology) created some excess funds in some accounts. Those funds were re-distributed into a single "surplus fund" account for possible reallocatoin based on the actual need of the Chairs and Professors so named.
- Funding for TA's and RA's is always an enormous expense, but the emphasis on graduate education and Ph.D. production requires some careful planning. While we were able to estimate the needed funds in some schools, there is room for improvement in forecasting graduate enrollment in the larger, research-focused schools.

Overall, the year's activities were generally successful. For upcoming cycles, however, the office staff needs to work toward building more meaningful measures and consider the potential of changing or adding some objectives for more meaningful assessment.

6.2 Program / Unit Weaknesses:

6.2.1 Objectives / Outcomes Partially or Not Met: As the University has undergone considerable change during the 2005-2006 year (with a new president and the death of another central administrator), it is difficult to imagine that projects requiring cooperation outside the office per se could have gone much better. Even so, the majority of those measures will be met in the upcoming cycle (FY 2007).

- Berkner Renovations and the opening of the NSERL Building will likely wrap up during FY 2007. It is possible the Founders Renovation will extend well into succeeding years, simply because of the need to relocate faculty and staff in a trade-off fashion to allow successful renovation and placement of offices and laboratories.
- The Budgeting Process for Academic Affairs will continue to be problematic while the funding for higher education remains less than fully funded. Simply, the capital campaigns will do little to assist in the direct needs for funding in Instruction for quite some time. As such, careful and strategic faculty hiring must occur. Additionally, the University must determine the extent to which research and classroom assignments should be calculated in both existing faculty contracts and in the contracts offered to new faculty.
- Financial support for graduate students remains a priority, especially in light of the Strategic Plan and Institutional Priority to increase Ph.D. production and meaningful research.

7. Report:

7.1 Executive Summary:

Fiscal Year 2006 proved an exciting year for the Office of the Provost and for Academic Affairs. President Daniel's first year provided many opportunities for the Provost and the President to work together on a number of projects, including the tuition planning, preparing for re-accreditation in academic programs, and building the foundation for a new strategic plan.

Overall, Academic Affairs had a good year, with faculty members stimulating national and international discussion about innovations in nanotechnology, a fast-growing program in art and technology, and the growth of numerous research projects, among them the Sickle Cell Center, the Institute for Anticipatory Arts and Engineering, and cochlear implant technology.

7.2 Top 3 Program/Unit Accomplishments:

The addition of Associate Provost Nelsen to the Office of the Provost demonstrated an institutional commitment to "do SACS right" and to focus appropriate resources on an institutional priority, namely the improvement of academic programs through assessment, evaluation, and analysis.

In FY 2006, 8 junior faculty members were reappointed at their third year review, 9 assistant professors were promoted to associate professor with tenure, and 5 associate professors were promoted to full professor.

The Provost's Office worked closely with the recently appointed President and worked on a number of issues of importance, including tuition consultations with faculty, staff, and students; the continuing efforts within the Nanotech Institute; the promotion of the Center for BrainHealth; and building closer ties between central administration and faculty governance.

The McDermott Scholars Program, having recently graduated its first class, recruited and enrolled its fifth class of

Scholars. From the first class, 5 students remained to continue graduate work in ECS, SOM, and Social Sciences.

7.3 Research Activities or Publications:

The Provost worked closely with Dean Bert Moore and Dr. Sandra Chapman in continuing discussions regarding the Center for BrainHealth and its eventual Dallas location.

7.4 Instructional/Training Activities (presented or received): McDermott Scholars Program Charles Leonard
taught CRWT 3308 in the fall term for the School of Arts and Humanities. Vice Provost John Wiorkowski taught OPRE 6301 across 5 sections in Fall 2005 and across 3 sections in Spring 2006 for the School of Management.

7.5 Public Service:

The Provost supported the student publication A Modest Proposal and continued his intense interaction with the McDermott Scholars Program. Dr. Wildenthal continued to work closely with the McDermott Foundation on a number of initiatives, including the campus beautification planning and the promotion of the Dallas Zoo.

7.6 Other External Activities:

The Provost's Office continued its support for and oversight of the U.S.-Mexico Center and the Office of International Education; Vice Provost Terry provided more direct oversight of the program in the negotiation of international agreements and exchange agreements. The Provost continued his association with Green College in England. Additionally, the Provost's Office continued its close ties with the University of Guanajuato.

7.7 Contributions to UTD:

The collection of faculty members' annual reports provided the information necessary to create the annual publication Faculty Achievements.

The Provost chaired the search for the Vice President of Business Affairs. As the search yielded no satisfactory candidate, Vice Provost Larry Terry was appointed Interim Vice President.

The search for the Dean of Natural Sciences and Mathematics also yielded no satisfactory candidate; Dr. John Ferraris continued to serve as Interim Dean.

The Provost continued dialogue with the McDermott Foundation and continued to monitor the renovation of the McDermott Library.

Assistant Provost Richard Huckaba joined the staff to continue support of the McDermott Scholars Program and budgetary management for Academic Affairs.

The Provost chaired the ad hoc Tuition Committee for submission of a tuition plan for the FY 2006 year.

Dr. Robert Nelsen joined the Provost's Office in January 2006 to begin the SACS reaffirmation review process. He assembled a team of personnel to oversee academic and operational program assessment, syllabus collection and posting, core curriculum assessment, and technical support within the first few months of his tenure in the office as Associate Provost and SACS Liaison.

7.8 Top 3 Program / Unit Challenges:

The Provost concerned himself with a method for providing sufficient financial support to students for whom any tuition increases would prove burdensome. He worked closely with the Financial Aid office to determine what levels of funding would be available through the Designated Tuition Set-asides for grants and loans.

The continuing problem of partial state funding of the formula proves an annual problem and creates difficulties in budgeting adequately to address significant issues related to the Strategic Plan and the Institutional Compact. Specifically, it is difficult to hire sufficient numbers of qualified and talented faculty to promote the aggressive research agenda UTD has long maintained and still provide adequate funding for graduate teaching and research assistants.

SACS reaffirmation planning required the appointment of a SACS Liaison and a QEP director. Dr. Robert Nelsen joined the office staff in January 2006. The size of the task has proven daunting, given the need for a complete review of all assessment processes across the institution. The establishment of more routine processes for gathering and analyzing data will be a major focus of the SACS efforts in FY 2007.