

CHAPTER 3

PLANNING, RESOURCES AND ASSESSMENT

STANDARD 2 – PLANNING, RESOURCE ALLOCATION AND INSTITUTIONAL RENEWAL

STANDARD 3 – INSTITUTIONAL RESOURCES

STANDARD 7 – INSTITUTIONAL ASSESSMENT

STANDARD 2: PLANNING, RESOURCE ALLOCATION, AND INSTITUTIONAL RENEWAL

58

STATEMENT OF THE STANDARD:

An institution conducts ongoing planning and resource allocation based on its mission and utilizes the results of its assessment activities for institutional renewal. Implementation and subsequent evaluation of the success of the strategic plan and resource allocation support the development and change necessary to improve and to maintain institutional quality.

DECLARATION OF COMPLIANCE

To achieve its goals, UMB and its schools engage continuously in strategic planning. The University's strategic planning process is a rigorous and coordinated effort that emphasizes implementation, improvement, and assessment. The specifics of the planning process and associated strategic initiatives, such as resource allocation and institutional renewal, are described below.

PLANNING

UMB's strategic planning takes into account three different contexts. First, UMB engages in strategic planning within the framework of the strategic plans for the entire [University System of Maryland \(USM\)](#) as well as the [Maryland Higher Education Commission \(MHEC\)](#). Both of these comprehensive plans outline broad goals that inform UMB priorities. Second, because of UMB's nature as a collection of graduate and professional schools, the University's strategic plan builds upon the mission, goals, and planning efforts of each school — which, in turn, are based on many factors including trends in the professions and professional accreditation criteria. Third, each of the professional schools at UMB engages in planning on an ongoing basis, as required by each discipline's professional accrediting agency. Thus, planning at UMB is both a top-down and a bottom-up process.

Shortly after the start of his tenure in July 2010, President Perman launched the first comprehensive, widely participatory strategic planning process in UMB's history. Led by the chair of the Department of Surgery in the School of Medicine, and UMB's chief operating officer and vice president, a broadly representative committee of 24 faculty, administrators, and students engaged in a yearlong process of identifying goals and priorities to advance the University's mission. The result, *Redefining Collaboration: University of Maryland Strategic Plan 2011-2016*, reflects input from hundreds of faculty, students, staff, and community partners who participated in focus group meetings, town halls, feedback sessions, and surveys.

The [UMB strategic plan](#) is anchored in broad themes, identified at the outset of the process by deans and University executive leadership. These themes were then further refined by the [Strategic Planning Committee](#). The themes are:

1. Achieve pre-eminence as an innovator
2. Promote diversity and a culture of inclusion
3. Foster a culture of accountability and transparency
4. Excel at interdisciplinary research
5. Excel at interprofessional education, clinical care and practice, and public service
6. Develop local and global initiatives that address critical issues
7. Drive economic development
8. Create an enduring and responsible financial model for the University
9. Create a vibrant, dynamic University community

59

Working groups were developed around each theme. These groups conducted research, engaged in focus groups, held town hall meetings, visited other institutions, and conducted surveys — all to inform the development of the plan. Then, each working group developed goals and tactics related to the plan themes. Deans and executive leadership were kept abreast of the work through regular updates. After goals, tactics, and metrics were developed by the working groups, they were brought to the entire Strategic Planning Committee for ratification. A draft of the plan was shared with the broader UMB community for input and, after adoption by the Strategic Planning Committee, presented to the deans, executive leadership, and ultimately the president for review and approval.

Many of UMB's schools also have school-specific strategic plans that are complementary to the UMB strategic plan and reflect the school's mission, strengths, and goals. For the two schools that do not have current strategic plans, the budget, planning, and renewal processes are purposeful, intentional, and timely. As an illustration, within the Graduate School, curriculum review and enrollment planning are done annually at the program level, and major changes to curriculum are approved by the Graduate Council, which is comprised of graduate faculty from both UMB and the University of Maryland, Baltimore County (UMBC). Fiscal planning, including tuition and fees, takes place with participation of the school's leadership in conjunction with the Graduate School dean. Moreover, since the Graduate School does not have a physical plant, and it has no faculty of its own, considerations of physical plant and faculty are not relevant. In addition, the School of Dentistry is firmly engaged in a Strategic Planning Process that will guide the school

in accordance with the University's plan for the years ahead. Initially, the dean's leadership team established the school's long-term Vision, Purpose Statement and Values by which it operates. A Core Strategic Planning Group has been established to facilitate the process and the dean's leadership team meets regularly to review progress. A communications plan is in place to keep employees informed of progress with the planning process.

Closing the loop

In 2013, after completion of the strategic plan, President Perman appointed a [Strategic Plan Executive Implementation Committee \(EIC\)](#) consisting of the deans and a broad representation of other leaders across campus. Members of the EIC were assigned responsibility for tracking implementation of goals through the cited metrics. A "dashboard" contains data on the progress toward goals, shared with members of the committee and shared publicly on the [Strategic Plan website](#). The president communicates updates on the strategic plan implementation and data on progress toward goals in the dashboard. In addition, he provides success stories about specific initiatives through the University website and his monthly [President's Message](#) newsletter to the University community. [Strategic plan success stories](#) provide a forum for the University community and the public to better understand the progress the University is making toward achieving performance measures and goals. Accountability and transparency are priorities of the University leadership, and through open communication, students, faculty, and staff can be involved and informed in the University challenges and success. (A discussion of the strategic plan process is also in Standard 14: Assessment of Student Learning.)

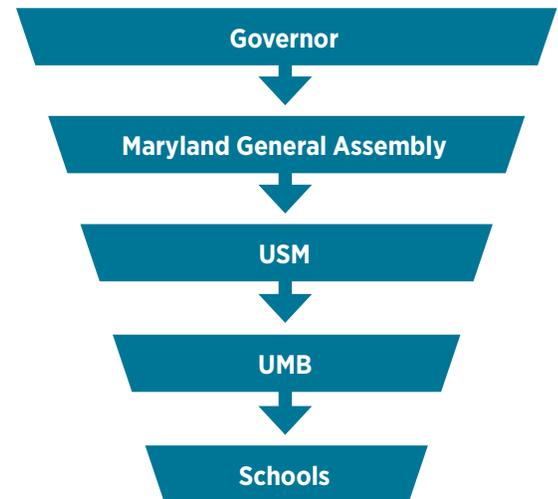
In January 2016, the [strategic process was launched for the 2017-2021 strategic plan](#). The objective is to produce a plan that will guide the University for the next five fiscal and academic years. In January to mid-March, the University developed new strategic plan themes and high-level goals based on the mission, vision, and core values. Recommendations from the Middle States Self-Study process also were embraced. This stage included deans, vice presidents, and the shared governance councils. From mid-March to mid-May, these themes and goals will be presented in Universitywide feedback sessions. Tactics and plans for achieving these goals also will be drafted during this time. Finally, from mid-May to June, the new strategic plan will be finalized and adopted.

RESOURCE ALLOCATION

As a major research university, the budgeting and financial planning for UMB is complex, involving multiple revenue sources and a wide range of entities with diverse operations and needs. (For a detailed breakdown of revenue sources, see the Financial Resources section in Standard 3: Institutional Resources.)

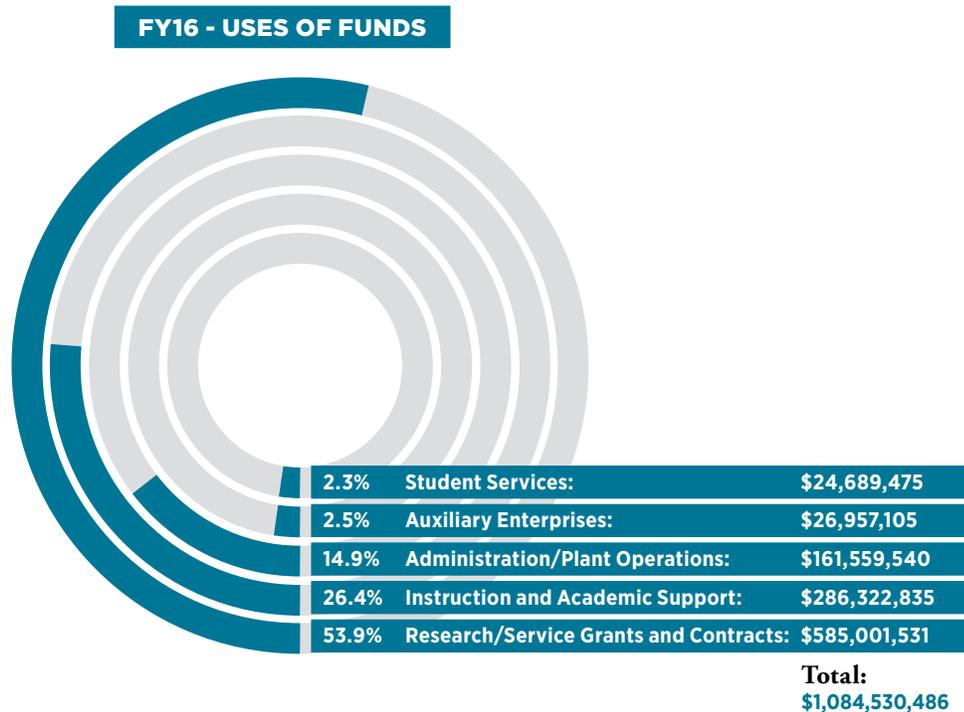
The process of setting UMB's budget involves many layers with the Maryland governor and state government on one end and the schools at the other end. The budgeting process typically extends over several months. It starts each year when the governor submits the state budget to the Maryland General Assembly. Between January and April the budget is debated, testimony is presented, and amendments are made until a balanced budget is adopted by the legislature, typically at the end of the session in April. The governor then allocates to each state agency, including the [University System of Maryland \(USM\)](#), its budget for the fiscal year. The USM budget office applies an allocation formula and distributes a pro rata share of the budget to each institution, including UMB.

BUDGET ALLOCATION FLOW



UMB's president then has responsibility for determining the allocation of these resources to the central administrative units and the schools. The president makes these determinations through a participatory process involving the deans and senior leadership, who in turn seek advice and counsel from the faculty, staff, and administrators in their respective units. Annually the dean of each school makes a presentation to the president and senior leadership outlining the school's strategic priorities, progress on key metrics, new initiatives and needs, and their alignment with the University's strategic priorities. Similarly, the vice presidents responsible for each major administrative unit present their plans to the president.

The allocation of most of UMB's revenue is not discretionary. For example, external support for research must be spent as contracted whereas state appropriations and tuition support existing academic programs. Lastly, mandatory increases in expenditures such as health care costs account for a significant percent of annual budgetary increases.



The University's working budget for FY 2016 is roughly \$1.1 billion. More than half of this is dedicated to research, and another quarter is directed toward instruction and academic support (see chart above).

Closing the loop

After the initial allocation of funds, the president continues to meet with senior leadership. He meets individually with each dean, with the deans collectively, and with a larger group consisting of both deans and vice presidents. These meetings all occur on a monthly basis. These standing meetings, combined with the initial allocation process, create an environment in which information is freely shared and decisions made with broad input and the development of shared consensus whenever possible.

In addition to what might be considered broad, operational base budget allocations, implementation of the strategic plan has

resulted in targeted resource allocation closely tied to strategic goals and progress along key metrics. The EIC holds an annual review of each area and theme. Through this review, it determines the allocation of funds in a special projects strategic plan account to help advance key goals in the plan. The funded areas cover a broad cross-section of the strategic plan. As noted above, assessment of implementation of these funds and priorities is done by the EIC.

Institutional Renewal

UMB's planning and resource allocation demonstrate a commitment to institutional renewal. At the University level, institutional renewal occurs in a broad-based way through the EIC. In this manner, UMB is able to utilize the results of its assessment activities to develop and, where appropriate, make changes to improve and maintain institutional quality.

One illustration of UMB's real-time, real-world application of institutional renewal concerns the strategic plan. In the summer of 2014, midway through the time frame of the plan and in response to increasing constraints on state-level funding for the University, the EIC engaged in a process of reviewing progress on the plan's goals and tactics. A review of the plan's environmental scan was conducted. The plan's goals and tactics were reviewed and it was determined that many of the initiatives and strategies in the plan had begun to be operationalized and should be assigned to specific administrative units to become embedded as ongoing facets of University operations. Though the EIC would continue to monitor and track process on these operational objectives, it would focus its attention on prioritizing and advancing the remaining strategic goals and tactics. Through several rounds of meetings in the late fall of 2014 and early winter of 2015, the EIC prioritized strategic plan goals and tactics and heard reports on process from assigned goal and tactic leaders. This process resulted in recommendations on which among these goals and tactics should be highest priority — both protected from likely University budget reductions in FY15 and FY16, and supported through reallocation of existing resources where possible.

Another instance of the way UMB's strategic planning, resource allocation, and institutional renewal are intertwined is the revitalization of the University's legacy of community engagement. Since the adoption of the strategic plan, UMB has brought about better cohesion and coordination of its many disparate community engagement initiatives to maximize their collective impact. In 2013, President Perman created the [Center for Community-Based Engagement and Learning](#)

to better coordinate faculty scholarship and service learning that improves the health and welfare of UMB's neighbors. The center has undertaken such initiatives as mapping UMB's extensive service-learning activities to enhance collaboration; coordinating violence prevention initiatives with the Baltimore City Health Department; and mentoring student groups involved in community engagement. Each year, the center supplies grants for community engaged faculty projects, and its Faculty Fellows Program has developed a network of faculty, staff, and students committed to advancing social justice by sustaining close working partnerships with West Baltimore residents and organizations. In 2014, President Perman established the [Office of Community Engagement](#) to coordinate UMB's abundant school-led, student-led, and employee-led outreach; to more aggressively move the needle on community health, wealth, and social indicators; and to hold the University accountable for doing so.

SUMMARY

The University engages in strategic planning that is anchored in broad themes and builds upon its mission and goals, and the planning efforts of its constituent schools. Its resource allocation process is complex but fair, and its planning and resource allocation demonstrate a commitment to institutional renewal. Therefore, the University is in compliance with Standard 2: Planning, Resource Allocation, and Institutional Renewal.

STANDARD 3: INSTITUTIONAL RESOURCES

63

STATEMENT OF THE STANDARD

The human, financial, technical, physical facilities, and other resources necessary to achieve an institution's mission and goals are available and accessible. In the context of the institution's mission, the effective and efficient uses of the institution's resources are analyzed as part of ongoing outcomes assessment.

DECLARATION OF COMPLIANCE

UMB has sufficient human, financial, technical, and physical facilities to support its mission to improve the human condition and serve the public good of Maryland and society at-large through education, research, clinical care, and service. The adequacy and effectiveness of these resources are assessed through the University's comprehensive and integrated strategic planning process.

HUMAN RESOURCES

There are sufficient faculty, staff, and administration to support the University's institutional mission and goals. As of fall 2015, UMB employed 3,945 staff and 2,721 faculty (for a detailed analysis of faculty, please see Standard 10: Faculty). The School of Medicine and central administration employ the largest percentage of staff members (47 percent and 29 percent of all staff members, respectively), while the Carey School of Law employs the least (3 percent of all staff members) (see table below). Due to the nature of the Graduate School, its employees are counted either within the other schools or within central administration. Regardless of the unit of employment, each employee is subject to a centralized set of policies and procedures that are overseen and administered at the University level.

STAFF BY FEDERAL FAIR LABOR STANDARDS ACT STATUS

School	Exempt	Nonexempt	Postdoctoral	School Total
School of Dentistry	79	53	23	155
Carey School of Law	74	31	11	116
School of Medicine	1,153	469	230	1,852
School of Nursing	84	156	1	241
School of Pharmacy	138	61	64	263
School of Social Work	132	49	2	183
Central Administration	578	555	2	1,135
Total	2,238	1,374	333	3,945

To effectively support the University's operations, the University employs staff in a variety of categories. The majority of staff (76 percent), however, are employed by the

University in a permanent status (see table below). Regardless of status of employment, each employee is accountable and protected under the University's policies and procedures, and is expected to uphold its [core values](#).

STAFF BY APPOINTMENT STATUS

School	Permanent	Contractual	Postdoctoral	School Total
School of Dentistry	117	15	23	155
Carey School of Law	97	8	11	116
School of Medicine	1,293	329	230	1,852
School of Nursing	96	144	1	241
School of Pharmacy	169	30	64	263
School of Social Work	155	26	2	183
Central Administration	1,066	67	2	1,135
Total	2,993	619	333	3,945

Fostering a work environment that is free from discrimination is at the forefront of the University's efforts. One of the fundamental planning concepts UMB utilizes is a broad and inclusive approach that is representative of the thoughts and input of the entire University community. The whole University benefits from working in an environment that brings together people from diverse backgrounds, and equal employment opportunity is essential to achieving that diversity. Each year, UMB prepares an [Affirmative Action Plan](#) that assists it in developing a representative workforce.

The plan focuses on UMB's effectiveness to achieve a workforce that is more diverse, and highlights areas where it needs to increase its emphasis. According to UMB's most recent (2014-2015) Affirmative Action Plan, the University employment of under-represented minorities (including women) in each of the federally defined categories was higher than the regional availability of minorities in those categories, with the exception of Hispanics, which was 2.2 percent below the regional availability. The distribution of the University's staff by race and gender are summarized in the tables below.

FALL 2015 UNIVERSITY STAFF BY RACE

School	American Indian	Asian	Black	Hispanic	Pacific Islander	White	Multi-racial	Total	Percent Minority
School of Dentistry	0	27	45	0	0	81	2	155	48%
Carey School of Law	0	6	38	5	0	67	0	116	42%
School of Medicine	3	334	425	42	3	1,028	17	1,852	44%
School of Nursing	1	8	64	5	0	160	3	241	34%
School of Pharmacy	0	46	53	8	0	153	3	263	42%
School of Social Work	2	7	57	6	0	108	3	183	41%
Central Administration	3	62	540	18	0	507	5	1,135	55%
Total UMB	9	490	1,222	84	3	2,104	33	3,945	47%

UNIVERSITY STAFF BY GENDER

School	Male	Female	School Total
School of Dentistry	40	115	155
Carey School of Law	34	82	116
School of Medicine	557	1,295	1,852
School of Nursing	73	168	241
School of Pharmacy	102	161	263
School of Social Work	44	139	183
Central Administration	513	622	1,135
Total	1,363	2,582	3,945

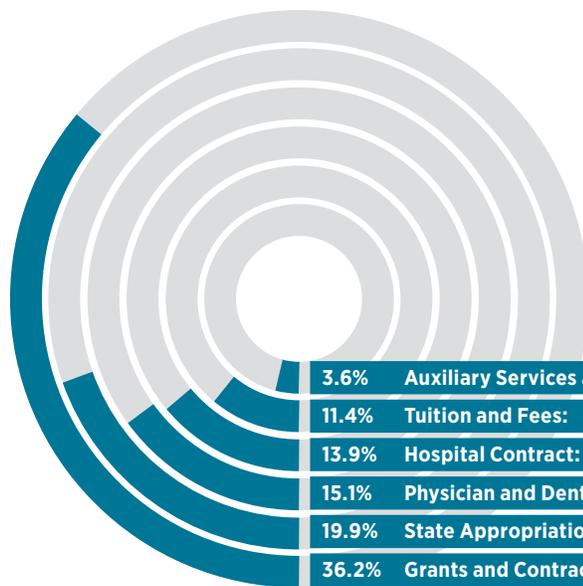
The University’s [Human Resource Services \(HRS\)](#) works in conjunction with campus leadership to maintain staffing levels and to ensure that new hires and current employees receive the training they need to be successful. HRS is staffed with certified human resource professionals and generalists with subject-matter expertise in the areas of benefits, compensation, employee and labor relations, talent acquisition, professional development and training, career services, equal employment opportunity and

affirmative action, organization and employee development, and human resources information systems and personnel records management.

HRS is led by the chief human resources officer. Additionally, the University’s deans and vice presidents provide feedback on staffing procedures to ensure they conform to acceptable national standards.

FINANCIAL RESOURCES

UMB’s financial resources stem from various sources, including state-appropriated funds, tuition and fees, and external grants and contracts. In the FY 2016 working budget, these sources provided the University with roughly \$1.1 billion of support. Grants and contracts were the largest single source of funding, accounting for more than a third of the University’s funds (see chart below).



FY16 - SOURCES OF FUNDS

3.6%	Auxiliary Services and Other:	\$38,653,939
11.4%	Tuition and Fees:	\$123,988,152
13.9%	Hospital Contract:	\$150,434,866
15.1%	Physician and Dental Service Plans:	\$163,352,585
19.9%	State Appropriations:	\$215,405,339
36.2%	Grants and Contracts:	\$392,695,605

Total:
\$1,084,530,486

66

The University's faculty generated almost \$393 million in external grants and contracts revenue in FY 2016. The value of these funds extends beyond the financial because they also represent the primary mechanism by which new knowledge is generated. However, unlike other sources of funding, grants and contracts are restricted in nature and cannot be used to address the basic funding needs of campus.

State-appropriated funds, or general funds, are important — not only to the University's continued growth and development, but also to the state's economic and social health and development. In FY 2016, the University's state appropriation of \$215 million provided roughly 20 percent of its financial support.

The support from clinical services is reflected under physician and dental service plans and contracts. The hospital contract includes the annual contract with the University of Maryland Medical Center (UMMC). UMB and UMMC cooperate in the planning and administration of health professions academic programs at UMB and UMMC, including both clinical education and clinical research, and the graduate medical education programs sponsored by UMMC including University of Maryland Medical Center Midtown Health. Both of these funding sources are important to the clinical education and research missions of the University.

Tuition and fees are also a key source of funding. Due to the fact that the majority of its students are graduate and professional students, UMB did not benefit from the prior governor's "enrollment initiative" that provided state support in lieu of tuition increases for undergraduate in-state students over a number of successive years. Nonetheless, the University works diligently during each year's budgeting cycle to diminish, where possible, the need to increase tuition and fees as a

way to supplement shortfalls. A student fee committee exists to give advice and counsel with regard to fee increases and each dean is called upon to explain the need for any proposed tuition increase. Decisions regarding increases also are made with an eye toward ways to supplement available financial aid. University and school-level financial resources are assessed and allocated as part of the annual budgeting process, which also includes three-year financial projections. The University's financial statements are audited as part of the consolidated statements for the University System of Maryland (USM). In addition to the annual financial statement audit, [USM internal auditors review specific financial and operational compliance areas each year](#). Any issues identified are remedied, and a review audit is usually conducted within six months. Finally, on a periodic basis, the University undergoes a [comprehensive audit](#) from the [Maryland Office of Legislative Audits](#).

TECHNICAL RESOURCES

The [Center for Information Technology Services \(CITS\)](#) is the central information technology organization for the University, and it develops and maintains mission-critical enterprise systems and technologies including those that support human resources, payroll, finance, students, email, research, teaching/learning management, as well as the network infrastructure, web, and telecommunications. CITS is led by the chief information officer and vice president for information technology, who reports directly to President Perman. The center ensures that replacement processes and plans are in place for current and future technology needs through the [IT Stakeholders group](#) that participates in the development and updating of [UMB's Comprehensive Data Management Plan and Strategy](#).

67

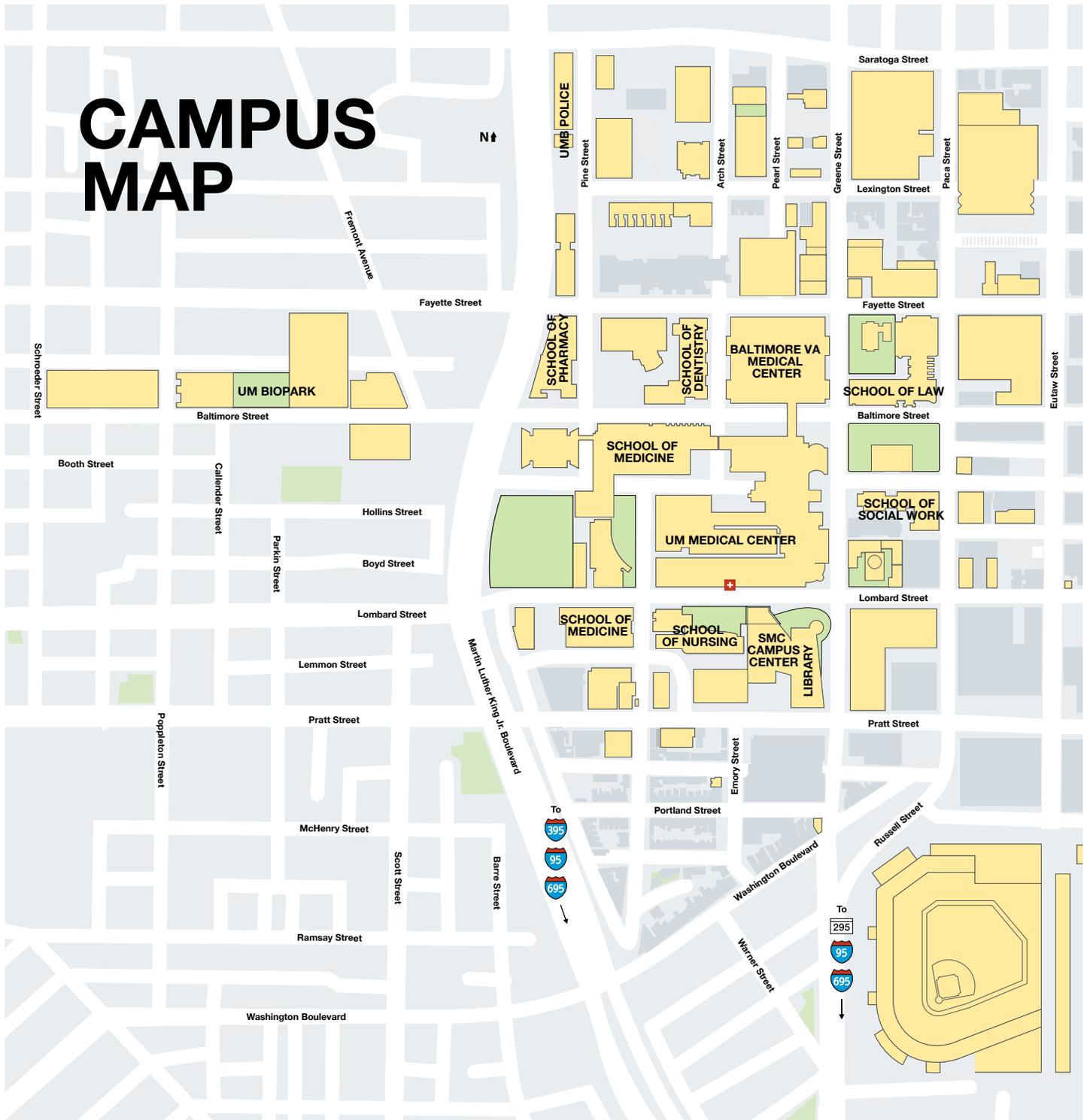
In addition to providing high-speed access to national research networks through its membership in the Internet2 consortium, CITS maintains numerous services, including:

- Accellion, a secure file-transfer service
- Archibus, space information and management system
- AppSpace, digital signage equipment
- Blackboard, the University's learning management system
- Collaborate, a web conferencing system
- Eduroam, an international higher education wireless network
- eUMB, an integrated system for HR and financial data
- ImageNow, for scanning and storing files
- Quali Coeus, a grant proposal submission system
- myUMB, a platform for timesheets, paychecks, and personal information
- Mediasite, lecture capturing infrastructure
- Questionmark, testing and assessment infrastructure
- RAVEN, a payroll and financial reporting tool
- SURFS, a platform for student personal academic and financial information
- UMB Alerts, emergency text, phone, and email alerts to the UMB community
- UM Vibe, an online collaborative workspace

CITS also maintains policies with regard to the use and security of its information technology resources. All users of these resources (staff, faculty, students, and guests) are expected to be familiar with these policies and the consequences of violation via UMB's IT Acceptable Use Policy. These policies have been developed to protect the confidentiality, integrity, and availability of University data.

PHYSICAL FACILITIES

The University has almost 7.5 million gross square feet of space in 67 facilities located on its downtown campus, and it occupies an additional 468,000 gross square feet in non-University facilities near the campus. The University's [Facilities Master Plan](#) ensures that the University possesses and maintains the physical facilities necessary for institutional excellence. Within the past 10 years, the University has constructed new buildings for the School of Pharmacy, School of Dentistry, and School of Medicine as well as a new Campus Center and student housing. The largest current construction project is the Health Sciences Facility III, a 428,970-square-foot research facility that will be completed in September 2017. (See Standard 2: Planning, Resource Allocation and Institutional Renewal for more information about institutional renewal.)



69

Every five years, campus leadership engages in a facilities master planning exercise to ensure the [Facilities Master Plan](#) is relevant to UMB's mission and strategic plan as well as the programming needs of individual schools. This process considers campus infrastructure, impact of the University on neighboring communities, needs of adjacent partner institutions, streetscaping, open space, pedestrian and vehicular movement through the campus, historic resources, facilities renewal, and sustainability. Also considered are the development needs of UMB's affiliated institution, the University of Maryland Medical Center (UMMC). Additionally, campus spaces are reviewed each year with respect to state guidelines for academic facilities. The review is based on enrollment, weekly student contact hours in classrooms and teaching laboratories, the number of faculty and staff, number of library volumes, and other relevant space data. This review looks not only at current space allocation but also at future space needs. The next Facilities Master Plan process has just begun and the names of the co-chairs were recently released. The next plan will guide the physical development of the University for the next 10 years.

RESEARCH FACILITIES

The University maintains a robust system of research-oriented resources and facilities. UMB has 33 interdisciplinary research centers and institutes, including the [Institute for Human Virology](#), [Institute for Genome Sciences](#), [Center for Pain Studies](#), [Center on Drugs and Drug Policy](#) and more. The [Clinical and Translational Sciences Institute](#) provides an infrastructure to facilitate the translation of fundamental science to patient care and to the community. Additionally, the [Office of Research and Development](#) furthers research and economic development by providing high-

quality service to investigators, fostering new research and clinical initiatives with industry, and promoting translational discoveries into public benefit. Most recently, the [Office of Technology Transfer](#), through its [UM Ventures Team](#), launched a program to help accelerate promising, but early stage UMB technologies through the commercialization process. UMB has already doubled the number of startups launched in FY16 than were launched, annually, in the prior five years. All UMB research is conducted under the watchful eye of [UMB's Office of Accountability and Compliance](#), which contains both the Conflict of Interest and the Research Integrity units. (See Standard 6: Integrity.)

The [Health Sciences and Human Services Library \(HS/HSL\)](#) and the [Thurgood Marshall Law Library](#) provide the expertise, resources, services, and facilities that are essential to achieve UMB's strategic priorities. The [Priddy Library at the Universities at Shady Grove](#) also serves UMB students. The libraries advance faculty success throughout the research life cycle, from idea exploration through dissemination of results. Space for collaborative work, interdisciplinary teaching and learning, and scholarship are provided at the libraries. Through the support of the *MPower* initiative, the libraries at UMB and University of Maryland, College Park are expanding shared knowledge resources to encourage collaborative learning and discovery between the campuses.

SUMMARY

The University maintains the institutional resources necessary to achieve its mission and goals. Therefore, the University is in compliance with Standard 3: Institutional Resources.

STANDARD 7: INSTITUTIONAL ASSESSMENT

70

STATEMENT OF THE STANDARD

The institution has developed and implemented an assessment process that evaluates its overall effectiveness in achieving its mission and goals and its compliance with accreditation standards.

DECLARATION OF COMPLIANCE

UMB has developed and implemented an integrated assessment system to evaluate overall effectiveness in achieving its mission and goals. These measures are updated and augmented as needed based on assessment data.

DRIVERS FOR INSTITUTIONAL ASSESSMENT

As a public state institution, UMB's institutional assessment philosophy and program is significantly influenced and shaped by drivers at the state, University system, and University levels. To be sure, much of the assessment that UMB engages in is mandated, particularly at the state level. However, instead of approaching its assessment and reporting under these programs as simply a compliance activity, UMB has adopted a holistic institutional assessment model that (a) is responsive and accountable to its stakeholders, (b) advances the University's mission and vision, and (c) utilizes the assessment data and information to evaluate the effectiveness of its programs, both at the macro and micro levels, and to improve the effectiveness of its programs while meeting its reporting obligations to its stakeholders.

STATE INFLUENCED ASSESSMENT

As a public institution, UMB's ability to meet the needs of the state, region, and nation are dependent upon alignment of its institutional goals with that of the state. The University's measure of how well it is supporting and assisting Maryland in achieving the state's priorities, as well as how effectively and responsibly it is administering the state's

investment in UMB, is captured in three major assessment programs: Managing for Results, Performance Accountability Reports, and its Peer-Based Assessment program.

MANAGING FOR RESULTS

Managing for Results (MFR) is a statewide strategic planning process in which state agencies craft mission and vision statements and identify key goals supported by measurable objectives. It is a tool for state agency strategic planning, performance measurement, and budgeting that emphasizes the use of resources to achieve measurable results, accountability, efficiency, and continuous improvement in state government programs. The standards for the assessment plan are established by state law and administered by the state of Maryland's Department of Budget and Management (DBM). DBM has established the format for agency submissions and has general authority to review and approve the components of the plan. Each year, UMB submits its MFR plan to DBM together with its budget request. The Maryland General Assembly also monitors the development of the plan during the legislative session, and legislators and staff provide additional suggestions.

In 2015, UMB's MFR was revised from the ground up. Objectives were recast in the time frame of five years, through FY 2019. Attainment of the objectives is evaluated through the annual reporting of performance measures, which are the data elements specified in the MFR plan. Each goal in the MFR is defined by two or three objectives. Progress toward attaining these objectives is measured by one or more indicators. The following table details each of the goals in UMB's Managing for Results program along with the objectives and performance measures associated with each goal.

INSTITUTIONAL CONTEXT AND ASSESSMENT
Chapter 3 - Planning, Resources and Assessment

71

MFR PROGRAM¹

Goal	Objective	Performance Measure	Actual 2013	Actual 2014	Actual 2015	Estimated 2016	Estimated 2017	
1. Enhance UMB Standing Law and Health Profession	1.1 Through 2019 increase or maintain number of graduates	2012 levels						
		BSN 281	275	287	292	319	350	
		DDS 123	127	128	127	126	132	
		JD 321	285	300	269	205	198	
		MD 153	158	165	157	147	158	
		DNP 21	17	12	30	45	73	
		PharmD 156	163	153	164	152	163	
		DPT 51	58	54	61	60	53	
		Prof MS 4	0	9	16	37	99	
			By 2019					
	1.2 Through 2019 increase extramural funding for research, training, and service	2012 levels						
		\$524.9	\$478.8	\$499.2	\$497.9	\$500	\$510	
		By 2019						
	1.3 Produce and protect IP, retain copyright, and transfer technology	Act Lic 154	153	157	174	178	182	
		Discl 131	128	139	139	140	145	
		Patent 65	79	83	82	83	86	
		By 2019						
		1.4 Increase or maintain nationally recognized membership and awards to UMB faculty	Equal or > 2014 level of 15	13	15	N/A	16	16
2. Develop students who demonstrate personal, professional, and social skills to serve community	2.1 Maintain graduation rate	minimum 90% grad rate within 150% of time to degree for each profession	Dentistry	96.9%	86.2 %	92.2 %	92.2%	92.2%
			Law	90.9%	91.6%	91.9%	91.9%	91.9%
			Medicine	95.0%	96.3%	91.9%	91.9%	91.9%
			Nursing	96.5%	94.8%	87.4%	87.4%	87.4%
			Pharmacy	96.2%	95.7%	97.0%	97.0%	97.0%
			PT	87.3%	79.6%	96.5%	96.5%	96.5%
			So Work	88.6%	87.0%	91.1%	91.1%	91.1%

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Notes:

1. Data depicted in this exhibit may not align by year with similar data depicted elsewhere in this report due to Department of Budget and Management reporting production schedules.

INSTITUTIONAL CONTEXT AND ASSESSMENT
Chapter 3 - Planning, Resources and Assessment

MFR PROGRAM CONT.

Goal	Objective	Performance Measure	Actual 2013	Actual 2014	Actual 2015	Estimated 2016	Estimated 2017
	2.2	95%	Dentistry	Dentistry	Dentistry	Dentistry	Dentistry
	Maintain		96%	99%	94%	94%	94%
	first-time		Law	Law	Law	Law	Law
	licensure exam		88%	81%	84%	84%	84%
	pass rates for		Medicine	Medicine	Medicine	Medicine	Medicine
	each profession	By 2019	99%	99%	97%	97%	97%
			Nursing	Nursing	Nursing	Nursing	Nursing
			93%	97%	90%	90%	90%
			Pharmacy	Pharmacy	Pharmacy	Pharmacy	Pharmacy
			100%	99%	99%	99%	99%
			PT	PT	PT	PT	PT
			100%	100%	100%	100%	100%
			So Work	So Work	So Work	So Work	So Work
			89%	89%	90%	90%	90%
	2.3	Through 2019 maintain 2014 level	Dentistry	Dentistry	Dentistry	Dentistry	Dentistry
	Maintain an		\$201,805	\$200,410	\$203,267	\$200,410	\$200,410
	average debt		Law	Law	Law	Law	Law
	of graduating		\$114,909	\$102,183	\$114,493	\$102,183	\$102,183
			Medicine	Medicine	Medicine	Medicine	Medicine
			\$152,626	\$153,562	\$158,374	\$153,562	\$153,562
			Nursing	Nursing	Nursing	Nursing	Nursing
			\$56,553	\$57,979	\$56,273	\$57,979	\$57,979
			Pharm	Pharm	Pharm	Pharm	Pharm
			\$142,282	\$123,199	\$143,039	\$123,199	\$123,199
			PT	PT	PT	PT	PT
			\$79,712	\$106,351	\$100,314	\$106,351	\$106,351
			Soc Work	Soc Work	Soc Work	Soc Work	Soc Work
			\$57,734	\$52,701	\$56,871	\$52,701	\$52,701
	2.4	Through 2019 increase number as compared to 2014	419	622	NA	622	622
	Increase						
	enrollment of						
	those educated						
	entirely online						
	2.5	Through 2019 maintain rates as compared to 2014	Employment Rate	93%			93%
	Maintain						
	high rates						
	of graduate						
	employment						
	and satisfaction		Satisfaction	90%			90%
3.	3.1	Through fiscal year 2019 increase levels compared to 2014 levels	MS in Law 0	MS in Law 0	MS in Law 29	MS in Law 50	MS in Law 100
Position UMB as the model for collaboration with other Institutions to advance education, research, health care, and human services.	Increase enrollment in joint professional programs and programs at regional higher education centers		SG Nursing 210	SG Nursing 253	SG Nursing 290	SG Nursing 285	SG Nursing 294
			SG Soc 58	SG Soc Work 110	SG Soc Work 89	SG Soc Work 120	SG Soc Work 120
			Pharmacy 147	Pharmacy 143	Pharmacy 120	Pharmacy 129	Pharmacy 125
			Laurel 0	Laurel 0	Laurel 13	Laurel 25	Laurel 30

Continued on next page

INSTITUTIONAL CONTEXT AND ASSESSMENT
Chapter 3 - Planning, Resources and Assessment

73

MFR PROGRAM CONT.

Goal	Objective	Performance Measure	Actual 2013	Actual 2014	Actual 2015	Estimated 2016	Estimated 2017
	3.2 Maintain support for financial aid scholarships and grants at the 2009 level	\$22.6 million	\$25 million	\$23 million	\$23 million	\$23 million	\$23 million
		By 2015					
4. Provide communities with meaningful and sustainable education, employment, economic opportunities	4.1 Increase the numbers of days faculty spend in public service through MD Unites		NA	NA	NA	NA	NA
	4.2 Increase number of days faculty spend in public service with MD gov't, business, schools, and communities	Through 2019 increase levels beyond 2014 levels	Number of days in public service per full-time FT member	10.1	10.1	11	11
5. Develop a culture of giving at UMB that supports strategic needs of the University and schools	5.1 By fiscal year 2019 attain annual campaign goal of \$102 million a year	\$102 million by 2019	\$114.3 million	\$71 million	\$80 million	\$85 million	\$88.5 million
	5.2 Increase or maintain combined endowments from all sources at a level of at least equal to the 2014 level	\$340.9 million	\$291.2 million	\$340.9 million	N/A	\$341 million	\$341 million

Continued on next page

MFR PROGRAM CONT.

Goal	Objective	Performance Measure	Actual 2013	Actual 2014	Actual 2015	Estimated 2016	Estimated 2017
6. Position UMB internally and externally to be excellently managed to achieve efficiency and effectiveness	6.1	Through fiscal year 2019 attain 3% annual cost savings	2.0%	2.0%	N/A	3.0%	3.0%
	6.2	Decrease or maintain annual operating expenditures per adjusted FTES	57,168	58,136	60,570	58,136	58,136

This state-influenced assessment program allows UMB to create clear goals and set a course for the future as the University nurtures a culture of quality and maintains a commitment to excellence in education. Trends over a five-year period are analyzed and revisited to measure progress toward achieving the state's and University's goals. To assure all stakeholders of UMB's proper stewardship of funds and investments, shortcomings or concerns found during trend analysis are addressed with the relevant constituents through the University's established accountability and planning activities — e.g., the annual budgeting process, enrollment planning with the deans, strategic planning review with the [Executive Implementation Committee](#), joint meetings with the shared governance senates, etc. — and plans are developed to realize more favorable outcomes.

PERFORMANCE ACCOUNTABILITY REPORT

The University submits to the [Maryland Higher Education Commission \(MHEC\)](#) a [Performance Accountability Report \(PAR\)](#). The purpose of the PAR is to provide an opportunity for the state, the commission, the Board of Regents, and other

stakeholders to review and evaluate UMB's efforts in fulfilling its missions and advancing the goals of the state. The commitment of Maryland's public colleges and universities to this process is demonstrated by their ongoing efforts to provide detailed and high-quality reports to the commission each year.

The 2014 PAR is the 19th accountability report submitted to the commission. It includes the following: 1) an overview of the accountability process; 2) observations about institutional performance on key statistical indicators, such as affordability, achievement gaps, and degree progression and completion; 3) an analysis of key issues not currently being addressed by the accountability process; and 4) institutional responses to the commission's questions about indicators submitted in the 2013 PAR.

MHEC has responsibility for approving the plan and presenting recommendations to the governor and the state legislature. The MHEC process looks at performance retrospectively rather than prospectively, to assess progress toward a benchmark.

MHEC examines four years of trend data and benchmarks on each indicator. Its analyses employ data for the four most recently completed years, while the MFR analyses uses the two previous years and projections of two future years. Institutions are expected to make progress toward achieving their accountability benchmarks.

In 2014, for example, UMB was asked to comment on the University's progress toward *Objective 1.1 – By fiscal year 2012 demonstrate the quality and pre-eminence of all UMB professional schools by achieving Top 10 status among public schools. Specifically MHEC noted:*

In the most recent rankings in 2012, the School of Pharmacy saw its rank decline from a tie for 9th place to 17th place. The School of Social Work saw its rank improve from 18th to 16th, and while any improvement is commendable, the school's rank is still below the benchmark established by the University. Please discuss the University's strategies for improving performance for Pharmacy and Social Work on this indicator.

The University replied as follows:

Rankings reported by *U.S. News & World Report* for schools of pharmacy and social work are based solely on the results of peer assessment surveys sent to deans, other administrators, and/or faculty at schools in each of these disciplines. Respondents rate their own perceptions of the academic quality of programs on a five-point scale. Schools are ranked on the basis of the highest average scores. As such, there is no direct relationship between specific data points involving research awards, admission profiles, or licensing exam pass rates to these rankings, unlike the methodology *U.S. News & World Report* applies for medical and law school rankings.

The above example illustrates that UMB is indeed held accountable by MHEC if the commission perceives that the University's performance is below its benchmarks. In such an instance, the institution must submit a

report to MHEC identifying actions that it will take to improve performance. As with the MFR assessment program discussed above, UMB utilizes its established accountability and planning activities to close the loop on the PAR assessment program to assure that it is achieving its benchmarks and when necessary to address any concerns raised by MHEC.

PEER-BASED ASSESSMENTS

Although the University's mix of professional schools makes it unique among public academic health centers, in 2014 MHEC designated 21 public institutions as peers for the purpose of performing competitor state funding calculations, as recommended by the [2008 Commission to Develop the Maryland Model for Funding Higher Education](#). In 2015, UMB selected 10 institutions from within this group as its performance peers, pending approval by MHEC:

- The Ohio State University
- University at Buffalo, SUNY
- University of California, Los Angeles
- University of California, San Francisco
- University of Cincinnati
- University of Minnesota, Twin Cities
- University of North Carolina, Chapel Hill
- University of Pittsburgh
- University of Virginia
- University of Washington, Seattle

The 10 institutions selected as performance peers represent a diverse mix of institutions across eight of the competitor states identified by the commission. All have a school of medicine and at least two additional professional schools corresponding to similar schools at UMB. In addition, to recognize UMB's emphasis on research, comparable peer institutions have a significant level of expenditures in the medical sciences.

In the peer assessment process, UMB performance and state funding are compared with the performance and state funding of these peer institutions. It should be noted, however,

that comparing individual professional schools presents difficulties because the sources of revenue are very different. There is a significant data collection problem as well because professional schools are reluctant to share such data as passing rates on licensure examinations.

USM INFLUENCED ASSESSMENT

The [mission](#) of the [University System of Maryland \(USM\)](#) is to improve the quality of life for the people of Maryland by providing a comprehensive range of high-quality, accessible, and affordable educational opportunities; engaging in research and scholarship that expand the boundaries of current knowledge; and providing knowledge-based programs and services that are responsive to the needs of the citizens of the state and the nation. A 17-member [Board of Regents](#) governs the University System of Maryland. The regents oversee the system's academic, administrative, and financial operations; formulate policy; and appoint the USM chancellor and the presidents at each of the system's institutions. USM's programs and activities have a significant impact on the quality of life in Maryland, creating social and economic benefits for people throughout the state and beyond. To assure that it fulfills its mission, USM has adopted a number of assessment programs against which the effective and efficient management of the resources allocated to each of its component institutions are assessed. These USM-influenced assessment programs are the USM Dashboard Indicators, Faculty Workload Assessment, and the Presidential Assessment programs.

USM DASHBOARD INDICATORS

The [USM Board of Regents](#) maintains a uniform set of “dashboards” or key indicators to highlight specific trends and identify challenges faced by each USM institution. The [Dashboard Indicators \(DBIs\)](#) provide a “snapshot” overview of the USM and its institutions. It brings together data from many USM reports and

data sets, and is primarily used by the Board of Regents to identify areas for additional scrutiny by the board. As such, the DBIs provide a gateway to most of the areas of University operation and “red” lights will result in board follow-up and, on occasion, requests for plans for corrective action. Additionally, designation of new Dashboard Indicators is used by the regents as a method of focusing institutional leadership on areas for additional focus.

Overall, there are 29 universal indicators in the areas of student access, affordability and attainment, faculty, economic and workforce development, stewardship, and effectiveness and efficiency. Due to the differing mission of USM institutions, not all universal dashboard indicators are reported for each institution.

The universal dashboards (see following page) reported for UMB are primarily in the areas of economic and workforce development and stewardship. In the most recent report presented to the Board of Regents, performance improved on nine out of 10 universal dashboard indicators. Each benchmark, or basis of comparison, is derived from peers, Board of Regents policy, national standards, state policy, or an institutional goal established in the corresponding Managing for Results document.

The 10 universal dashboards reported by UMB are supplemented by 16 additional institution-specific indicators that relate to performance in areas more closely representing UMB's mission. These indicators include passing rates on various professional licensing exams, graduate student diversity, the [National Institutes of Health \(NIH\)](#) funding awards, *U.S. News & World Report* rankings, research expenditures in medicine, and the number of professional practice degrees awarded in several disciplines. In the most recent report presented to the Board of Regents, UMB's performance improved on nine out of 16 institution-specific indicators. The following is UMB's most recent dashboard.

INSTITUTIONAL CONTEXT AND ASSESSMENT
Chapter 3 - Planning, Resources and Assessment

University of Maryland, Baltimore
 Dashboard Indicators, December 2014

Italicized figures are figures against which peer comparisons should be made.
 * Measure used by U.S. News

* Benchmark - Comparison to external standard (P = peers; B = BOR policy; N = national standard; S = State policy; I = institutional goal)

Student: Access, Affordability, and Attainment											Economic Dvlp.
Year	1-UMB Passing rate on Bar (Law) exam	2-UMB Passing rate on medical licensure exam	3-UMB Passing rate on nursing licensure exam	4-UMB Passing rate on dentistry licensure exam	10-UMB Total headcount enrollmt.	11-UMB Afr.-Amer., Hispan., & Nat. Amer. as % of total headcount enrollment	12-UMB Graduate & 1st prof. as % of total hdct. enrollment	NC		38 Number of start-up companies	
2009	84%	95%	89%	98%	6,382	21%	87%			NA	
2010	90%	96%	93%	98%	6,349	19%	88%			NA	
2011	85%	96%	90%	100%	6,395	19%	89%			NA	
2012	86%	99%	88%	97%	6,368	19%	87%			10	
2013	88%	99%	93%	96%	6,284	19%	89%			8	
2014	81%	99%	97%	99%	6,276	20%	87%			15	
Benchmark*	93%	P	N	N	22,915	P	P			40%	

Faculty				Economic Development						
Year	5-UMB Nat'l. ranking NIH awards to public med. schls.	6-UMB Nat'l. ranking: NIH awards to public & priv. dental schls.	7-UMB No. of specialty law programs ranked in top 10 nationally	24 Student to Faculty Ratio	13-UMB Grant & contract awards (millions)	14-UMB Total R&D expenditures in medicine per F-T medical faculty	32 U.S. Patents issued	33 Adjusted gross license income received	34 Licenses & options executed	
2009	14	7	3	10	\$516.0	\$267,799	NA	NA	NA	
2010	14	3	3	8	\$566.0	\$273,201	15	\$1,375,250	12	
2011	13	3	4	10	\$557.0	\$313,668	30	\$385,815	14	
2012	13	6	3	6	\$525.0	\$254,028	30	\$955,703	21	
2013	14	5	3	6	\$479.0	\$255,227	25	\$835,817	23	
2014	15	6	2		\$499.0	\$249,379				
Benchmark*	Top 10	Top 10	Top 10	15.0		\$349,846	I	5% annually	I	5% annually

Stewardship				Effectiveness & Efficiency		Workforce Development										
Year	41 Expend. for instr. as % of oper. expend. (Excl. auxil./hosp.)	42 Expend. for admin. as % of oper. expend. (Excl. auxil./hosp.)	43 Fund balance increase: goal achievement	44 % of fundraising goal achieved	52 Facilities renewal \$ as % of replacem. value	19-UMB Days of charity care provided by clinical medical faculty	16-UMB Number of nursing graduates (BSN, MS, PhD)	17-UMB Number of pharmacy graduates (PharmD)	18-UMB Number of dentistry grads (DDS)							
2009	22%	8%	Did not meet goal	92%	0.8%	3,107	559	121	115							
2010	23%	9%	Met goal	112%	0.5%	3,038	635	114	117							
2011	22%	8%	Met goal	100%	0.7%	2,830	627	147	128							
2012	24%	9%	Met goal	129%	0.6%	3,011	646	156	123							
2013	25%	9%	Met goal	66%	0.9%	2,894	632	163	127							
2014			Met goal		0.8%	2,909	614	153	128							
Benchmark*	31%	P	P	B	100%	I	0.2% increase	B	3,625	I	5% annually	I	5% annually	I	5% annually	I

Note: Institutional goals are usually taken from institution's MFR and are usually set for FY 2010.
 Q:\ACCOUNTABILITY-DASHBOARD INDICATORS\2014\DBI12014.XLS, 2/27/2015

To assure satisfactory progress on each of its indicators, performance on each indicator is tracked by UMB's institutional assessment office and periodic reports are presented to the University's executive leadership, which includes the president, the deans, the senior vice president, and other vice presidents. During these presentations progress and deficiencies are highlighted and strategies are developed to both bolster performance and address concerns. The operationalization of these strategies occurs within the appropriate units at the University. The leaders of these units (i.e., deans and vice presidents) are ultimately accountable to the president for executing the plans. This process is yet another manifestation of UMB's ongoing commitment to closing the loop on its assessment programs — i.e., using information and data to routinely evaluate its performance against stated goals and objectives, while providing feedback and direction to internal constituents on areas in which improvement in performance is required.

FACULTY WORKLOAD ASSESSMENT

The workload of faculty within University System of Maryland institutions is governed by a series of policies overseen by the USM Board of Regents and designed to ensure maximum accountability while providing individual institutions high levels of flexibility to deploy faculty in the most effective and efficient way possible. Within this policy framework UMB applies a set of standards appropriate for its professional schools. In the aggregate, 95 percent of UMB faculty met or exceeded these standard teaching loads for the 2014-2015 academic year, consistent with attainment for previous years. More than half of faculty exempted from teaching the standard load did so to pursue opportunities for externally funded or department-supported research and service. The following table summarizes UMB's assessment of the workload of its faculty for the most current reporting period.

INSTITUTIONAL CONTEXT AND ASSESSMENT
Chapter 3 - Planning, Resources and Assessment

78

FALL 2014 - SPRING 2015 REPORT ON FACULTY TEACHING WORKLOAD

Line		Type of Faculty						
		Tenured & Tenure-Track Faculty	Department Chair	Full-Time Non-Ten/ Non-Track Instructional Faculty	Full-Time Non-Ten/ Non-Track Research Faculty	School Total (excl. Other Fac. & Teaching Assist.)	Other Faculty	Teaching Assist.
1	Headcount Faculty	500	39	961	326	1,826	1,189	33
2	FTEF (line 2 < line 1)	492	39	952	326	1,809	n/a	n/a
3	State-Supported FTEF (Optional) (line 3 < line 2)							
15	Number of Faculty who taught standard load	441	32	910	306	1,689		
16	Number of Faculty who taught more than standard load	7	2	31	0	40		
17	Number of Faculty exempted from teaching standard load by type of exception:	52	5	20	20	97		
18	Instruction- related	0	0	9	0	9		
19	Departmental administration	7	4	3	0	14		
20	Externally funded research and service	19	1	7	18	45		
21	Department- supported research	2	0	0	0	2		
22	Department- supported service - profession	0	0	0	0	0		
23	Department- supported service - internal	6	0	1	0	7		
24	Department- supported service - public	0	0	0	0	0		
25	Sabbatical	6	0	0	0	6		
26	Contractual / Illness / Other	11	0	0	2	13		
27	Faculty in line 17 who did not engage in credit activity	3	0	0	0	3		

INSTITUTIONAL CONTEXT AND ASSESSMENT
Chapter 3 - Planning, Resources and Assessment

79

UMB also centrally collects and reports the scholarship and service activities of full-time faculty to the University System of Maryland (see table below). Information derived from these non-instructional productivity data are used by state agencies to hold the University accountable through both the Managing for Results process, coordinated by the [Department of Budget and Management \(DBM\)](#), and the Performance Accountability process, coordinated by the Maryland Higher Education Commission (MHEC). The volume of scholarly works

contributed by full-time UMB faculty, consisting of books, refereed and non-refereed works, papers and creative activities, is slightly above the level reported last year. The number of days each faculty member spends in public service continues to be more than 10 days per faculty member. Based on \$499.6 million of grant and contract awards, the average grant and contract amount received by each full-time equivalent faculty member was \$276,196 for fiscal year 2015, on par with the average amount for the previous year.

FALL 2014 - SPRING 2015 REPORT ON FACULTY TEACHING WORKLOAD

Line	Research, Scholarship and Other Selected Activities	Type of Faculty (n=1,747)		Actual FTEF (n=1,809)		Prorated for Actual FTEF (n=1,809)	Notes
		Totals	Ratio Totals/Surveyed Faculty	Totals	Ratio Totals/Actual FTEF	Ratio x Actual FTEF	
28	Number of Books Published	267	0.15			276	
29	Number of Refereed Works	5,341	3.06			5,531	
30	Number of Non-Refereed Works	698	0.40			723	4
31	Number of Creative Activities	2,371	1.36			2,455	
32	Number of Professional Presentations	3,743	2.14			3,876	
33	Number of Externally Funded Grants and Contracts			2,246	1.24		2, 3
34	Number of Faculty Awarded Grants			794	0.44		
35	Dollars Awarded in Grants and Contracts			\$499,638,679	\$276,196		1, 3
36	Number of Days Spent in Public Service	17,729	10.15			18,358	4

Notes:

1. \$499,638,679 refers to total dollars awarded in grants and contracts to FTEF during Fiscal Year 2015 as reported to the Board of Regents Education Policy Committee in the USM Extramural Funding Report. Data are subject to revision.
2. n=2,246 grants and contracts and n=794 faculty are based on information provided by the Office of Research and Development (ORD) and includes those grants and contracts reported through the ORD. Data are subject to revision.
3. Ratios (lines 33-35) were calculated based on total FTEF (n=1,809). FTEF is defined as the number of headcount faculty adjusted to reflect their assignment in the department and includes Tenured & Tenure Track Faculty, Department Chair, Full-Time Non-Tenure/Non-Track Instructional Faculty, and Full-Time Non-Tenure/Non-Track Research Faculty.
4. Ratios (lines 28-32 and 36) were calculated based on surveyed responses from the 2015 Survey of Faculty Non-Instructional Workload Productivity (n=1,747).

80

Given the importance of the faculty to the academy, the regular assessment through these workload reports on their performance as it relates to the teaching, research, and service missions of the University is one of the principal tools utilized by the chief academic and research officer (provost) and the deans to evaluate the effectiveness and productivity of the faculty.

PRESIDENTIAL ASSESSMENT

The chancellor evaluates the president at each USM institution on an annual basis. As part of the evaluation process, each president works with his or her leadership team to develop a set of goals that are congruent with those of the state, the University system, and his or her institution. Once developed, these goals are presented to the chancellor, discussed, revised as necessary, and

then adopted. UMB’s presidential goals for the 2015-2016 academic year are organized around the following priorities:

- Collaboration
- People of Baltimore/Anchor Institution
- People of the State
- UMB Students
- Strategic Planning and Institutional Leadership
- Effectiveness and Efficiency
- UMB Fundraising

Each priority has one or more clearly articulated goals. Associated with each goal are a set of strategies and success measures against which the president is assessed and evaluated. The following table summarizes the priorities, goals, and strategies for which the president is accountable.

PRESIDENTIAL GOALS SUMMARY

Priority	Goal	Strategy
“Collaboration”	Position UMB as the model for meaningful collaboration in education and research in health care and human services with other institutions in the USM and the state.	<ol style="list-style-type: none"> 1. Expand and strengthen <i>MPowering the State</i> (MTS). UMB’s highest priority “collaboration” goal is to expand our MTS initiative with the University of Maryland, College Park (UMCP). Because educational and research programs at UMB and UMCP are highly complementary, this creates opportunities for new funding sources where neither university is competitive alone but together are highly competitive. 2. Strengthen and enhance UMB’s collaboration with UMBC. 3. Strengthen UMB’s collaboration with other Maryland institutions to expand health care and social justice-related educational programs.
“People of Baltimore/Anchor Institution”	Leverage UMB’s standing as a Baltimore City anchor institution to provide its surrounding communities with meaningful and sustainable educational, employment, and economic opportunities that serve as a catalyst for individual and community empowerment.	<ol style="list-style-type: none"> 1. Enhance the capacity of the newly formed Office of Community Engagement in the Office of the President to build a comprehensive and coordinated community engagement strategy for the University. 2. Catalyze development of the west side of downtown Baltimore through direct investment in renewal and facility occupancy or in partnership with private development.

Continued on next page

PRESIDENTIAL GOALS SUMMARY CONT.

Priority	Goal	Strategy
<p>“People of the State”</p>	<p>1. Enhance UMB’s standing as a major contributor to Maryland’s highly qualified health, legal, and human services workforce.</p>	<p>Promote an educational model that is accessible, affordable, and which incorporates innovation across a diverse portfolio of in-demand academic programs.</p>
	<p>2. Position UMB as a university of research strength, innovation, and entrepreneurship that is “open for business” with the business community.</p>	<p>1. Maintain, grow, and diversify the UMB research portfolio. UMB will maintain a continued strong focus on NIH grants and contracts, our traditional funding source, but will place added emphasis on diversifying funding from other sources by fully utilizing our corporate contacts and our federal and state relationships. Efforts to diversify are the focus of Strategies #2 and #3 listed below.</p> <p>2. Continued growth of UM Ventures. UMB will focus on assisting our faculty in developing their ideas and discoveries into useful products and on increasing our strategic collaborations with Maryland-located companies. Achieving this goal will enhance the health and prosperity of Maryland, including the troubled neighborhoods surrounding the UMB campus, by: improving health care in the process of bringing new therapeutics, diagnostics, and medical devices to market; recruiting and retaining the best faculty and students; and diversifying UMB’s revenue sources.</p> <p>3. Transform the BioPark into a leading Innovation District</p>
	<p>3. Establish UMB as a thought-leader and statewide resource on policy and legislative initiatives aimed at improving the health, legal, and social well-being of Maryland’s citizens.</p>	<p>Engage effectively with the state’s legislative and policy leaders to highlight and reinforce UMB’s competencies and expertise in education, clinical practice, and research in the areas of health, law, and human services.</p>
<p>“UMB Students”</p>	<p>1. Develop students who demonstrate personal, professional, and social responsibility and who acquire the skills and experiences needed to succeed at UMB, in the community, and in their chosen professions after graduation.</p>	<p>Promote student growth and development through exposure to and promotion of skills and experiences in leadership development, competency in team-based care, and collaborative approaches to problem-solving, cultural competency, health and wellness, community engagement, and career and professional development.</p>
	<p>2. Enhance UMB’s commitment to students through its mission of teaching and learning excellence by providing the infrastructure for the advancement of scholarly and pedagogically sound teaching.</p>	<p>Provide professional development opportunities for UMB’s faculty and teaching assistants to ensure constructive and active learning environments. Promote best practices of teaching excellence in both traditional and online pedagogy of teaching and learning.</p>

Continued on next page

PRESIDENTIAL GOALS SUMMARY CONT.

Priority	Goal	Strategy
“Strategic Planning and Institutional Leadership”	Streamline and harmonize UMB’s planning activities to promote more effective and efficient use of the personnel and financial resources committed to institutional planning.	Integrate and align the planning activities around the Middle States Self-Study, enterprise risk management (ERM), and strategic planning to avoid duplication of effort and reduce time to completion on each activity.
“Effectiveness and Efficiency”	Position UMB internally and externally as an excellently managed university, utilizing best business practices to achieve greater efficiency and effectiveness and managing its resources for the greatest impact on its mission.	<ol style="list-style-type: none"> 1. Create resources for strategic investment by decreasing the resources spent on standard business functions. 2. Manage financial resources to maintain the agreed-upon fund balance while increasing investment in maintenance of the physical plant, in strategic objectives, and in schools experiencing financial difficulties.
“UMB Fundraising”	Continue to develop a culture of giving at UMB that supports the strategic needs of the University and its schools.	Promote the need for and impact of private support in University and school-related strategic areas, and increase the number of requests for support.

The assessment process for assuring that the president is on track for achieving each goal is overseen by UMB’s chief accountability officer (CAO). The CAO meets with the president and the chief academic and research officer (provost) as soon as the goals are approved by the chancellor to determine which member of the executive leadership will be responsible for stewarding each goal over the course of the evaluation period. Once those determinations have been made, the CAO communicates that information to the leadership team and implements a quarterly reporting framework to monitor and evaluate progress toward achieving each goal. As with the other dimensions of UMB’s institutional assessment program, where concerns are noted during the reporting period discussion with the

key stakeholders are conducted and corrective strategies are developed and approved by the president. The following table summarizes the midyear progress report submitted to the chancellor in January 2016.

**STATISTICAL SUMMARY
OF MIDYEAR PROGRESS REPORT**

Total Number of Priorities	7
Total Number of Goals	10
Total Number of Strategies	16
Total Number of Success Measures	60
Completed	14 (23%)
Substantially Completed	11 (18%)
Partially Completed	33 (55%)
No Progress	2 (4%)

In addition to the annual assessment of the president, a five-year evaluation review as required by the [USM Board of Regents](#) also is conducted. The most recent review was held on campus on June 10 and 11, 2015. The evaluation team consisted of three other leaders in higher education: Stephen Klasko, president and CEO of Thomas Jefferson University and Jefferson Health; Joseph Steinmetz, executive vice president and provost at the Ohio State University; and Lorris Betz, former senior vice president for health at the University of Utah and CEO of the University of Utah Health System. The team was extremely complimentary of President Perman's ability to balance the complexities of management, especially with the University of Maryland Medical System, and his commitment to interprofessional collaborations. The report noted the collaboration in research activities among the schools. It also noted his ability to draw a balance between decentralized operations at the schools and appropriate central oversight. (See Standard 4: Leadership and Governance.)

In the course of assuring that UMB's president is effective and excelling as a leader, the assessment of the president's performance affords the University another essential opportunity to evaluate institutional effectiveness, albeit in the context of the president's performance. The fact is, however, the president's goals are UMB's goals and as such the University has deliberately adopted the presidential assessment program as another important dimension in its multi-pronged approach to evaluating institutional effectiveness.

UMB INFLUENCED ASSESSMENT

The University recognizes the need to assure all stakeholders that as an institution of higher learning UMB is committed to student success. We also recognize that student success cannot be realized without deliberate and sustained commitment to institutional effectiveness.

Accordingly, UMB has in place a robust internal assessment program that evaluates and supports the implementation of its strategic plan; its budgeting, capital planning, and facilities renewal processes; identifies and manages institutional risks, monitors each of its schools' accreditation processes; and evaluates the effectiveness of the University's executive leaders.

STRATEGIC PLAN IMPLEMENTATION ASSESSMENT

The University engaged in a comprehensive strategic planning process that led to the development of specific goals and tactics to be implemented to advance its mission. Each tactic identified was subject to measure by specific metrics and milestones. These metrics and milestones are tracked by the [Strategic Plan Executive Implementation Committee \(EIC\)](#), which is a broadly representative committee of deans and other faculty and staff. Goals and tactics are revised — both augmented and, where appropriate, abandoned — through annual reporting processes, followed by analysis, review, and recommendation by the EIC. President Perman regularly reports progress on the strategic plan through his [President's Message newsletter](#) — indeed, the existence of the newsletter is a direct result of the strategic planning process as is the [President's State of the University Address](#). Another success, thanks to the work group overseeing the theme “create an enduring and responsible financial model for the University,” is the creation of a “[Procedure Library](#)” to simplify the search for routine business processes. This initiative has far more impact than just making information available online. It serves to ensure uniformity across the University, address compliance issues, and increase UMB's institutional effectiveness and efficiencies. It also will serve to foster [UMB's core values](#) of accountability, civility, collaboration, diversity, excellence, knowledge, and leadership.

84

Given that *Redefining Collaboration: University of Maryland Strategic Plan 2011-2016* was the first comprehensive, broadly participatory strategic plan in UMB's history, it has served UMB well as a framework around which other state-mandated and internal assessment processes can be aligned.

In January 2016, the [strategic process was launched for the 2017-2021 strategic plan](#). The objective is to produce a plan that will guide the University for the next five fiscal and academic years. In January to mid-March, the University developed new strategic plan themes and high-level goals based on the mission, vision, and core values. Recommendations from the Middle States Self-Study process also were embraced. This stage included deans, vice presidents, and the shared governance councils. From mid-March to mid-May, these themes and goals will be presented in Universitywide feedback sessions. Tactics and plans for achieving these

goals also will be drafted during this time. Finally, from mid-May to June, the new strategic plan will be finalized and adopted.

Adopting the new strategic plan is just the first step in a larger cycle of implementation. The next step involves action planning, in which unit leaders develop milestones and success measures related to University strategic priorities and vision. These plans will be approved by the deans and vice presidents. Next, administrative academic units will implement the plan. The final step is accountability, which will be accomplished through annual and quarterly reports to the vice presidents and deans throughout the life cycle of the strategic plan. This reporting will close the loop, ensuring that the themes and goals developed by the University are carried to completion. The following is the proposed implementation and accountability framework of the next strategic plan currently under consideration by UMB's leadership team.



**BUSINESS AND FACILITIES
OPERATIONS ASSESSMENT**

While institutional assessment is conducted at all levels, three offices – the [Office of Institutional Research and Accountability](#), the [Office of Budget and Financial Analysis](#), and the [Office of Capital Budget and Planning](#) – provide information and analysis to inform ongoing University decision-making.

The [Office of Institutional Research and Accountability \(OIRA\)](#) supports individuals and groups who make policies and decisions affecting UMB by collecting and supplying verifiable data and information, conducting policy analysis, coordinating campus assessment and evaluation activities, and facilitating planning efforts. Because of the diverse nature of programs at UMB, the primary responsibility for assessment belongs to each individual school. The OIRA provides support for the assessment function by collecting and maintaining and verifying the accuracy of institutional data and disseminating this information as needed. Additionally, each year OIRA performs extensive analyses of the data collected on performance and reports the results to USM. These analyses are then used within UMB to identify problems or areas of weakness, and strategies are developed to improve performance (for example, see “[Enterprise Risk Management](#)” below). The data generated are reported as part of the [MFR](#) and in other reports submitted to USM after review by the appropriate leadership constituent within UMB. The OIRA also supplies data to regulatory agencies, such as IPEDS, and various publications, such as *U.S. News & World Report*. Participation in the data collections and surveys administered by the various publications allows UMB to compare itself to other participating institutions based on the included measures. Many of the reports produced by the OIRA may be found on its website.

The [Office of Budget and Financial Analysis](#) supports academic and other University units in achieving their business goals by maintaining

and providing financial information and services. The office develops the University’s budget plans and submissions to USM, provides accurate and timely financial information to the state, is a source of financial expertise for internal offices, and adheres to the highest standards of financial accountability. In addition, the [Office of Capital Budget and Planning](#) is responsible for the preparation of the capital budget and its management as well as for the USM-funded construction and capital facilities renewal programs. This office also provides planning support to the campus community on matters related to space, facilities, and historic preservation; the development, updating, and implementation of the [Facilities Master Plan](#); design guidelines; the historic preservation plan; and other planning documents.

The University routinely performs a detailed assessment of the condition of the campus buildings as well as the campuswide infrastructure. The most recent assessment was completed in 2015. The total estimated deferred maintenance/facilities renewal backlog was estimated to be more than \$300 million. A separate independent assessment by an outside consultant, VFA, estimated the backlog at \$400 million. From the assessments, an [Infrastructure Investment Plan](#) was developed with a planning horizon of 10 years. The plan details the condition of the various central campuswide infrastructure and specific building components such as electrical systems, mechanical systems, structure, and elevators, estimates a current day cost for repair or replacement for each item, establishes priorities by building component, and proposes a strategy for funding the needed work over a 10-year period. The funding strategy recommends addressing the deferred maintenance backlog using a variety of sources including the [State’s Capital Improvement Program](#), UMB operating funds, and philanthropy. A summary of the facilities renewal plan that was developed on account of the assessment is provided below.

FACILITIES RENEWAL PLAN

Priority	Goal	Strategy
The total campus operating budget in FY 2015 for facilities maintenance projects was \$6.7m. This level of funding must be maintained, or enhanced, in the future.	\$6.7m	\$67m
Maintain or increase campus access to capital facilities renewal funds through the Capital Improvement Program (CIP).	\$2.7m	\$27m
Add a recurring capital appropriation to the 10-year CIP for deferred maintenance.	\$10m	\$100m
Seek funding for infrastructure improvements as part of the School of Social Work and School of Nursing projects included in the 10-year CIP request.		\$18m
Secure State Capital Funding for campuswide electrical infrastructure upgrade and new substation.		\$82m
Seek donor funds for Davidge Hall and other historic structures projects.		\$15m
Total Investment		\$309m

Implementation of this funding strategy has begun. The UMB leadership has endorsed the need to invest in the University's existing built environment by making funding for deferred maintenance projects a high priority. State capital funding for a new electric substation and upgrading of the electrical infrastructure was requested in the FY 2017 budget. The governor included this request in the state's Capital Improvement Program with first-year funding anticipated in July 2016.

Further, the Office of Facilities Management maintains an ongoing five-year [Deferred Maintenance \(DM\) Funding Plan](#) using operating and capital facilities renewal funds to complete priorities identified in the [Infrastructure Investment Plan](#). As an example, the FY 2017 DM includes the following projects:

- Medical School Teaching Facility Animal Facility HVAC system design - \$192,000
- 108 N. Greene Building chillers and towers replacement - \$1,800,000

- Health Sciences Facility I generator enclosure replacement - \$240,000
- Bressler Building roof replacement - \$600,000
- Howard Hall roof replacement and shed removal design - \$100,000
- Bressler Building exterior façade upgrades, phase 1 - \$840,000
- Health Sciences and Human Services Library cooling tower replacement - \$1,440,000
- School of Pharmacy piping riser replacement design - \$360,000
- School of Pharmacy south roof replacement - \$600,000
- 737 W. Lombard Building passenger and freight elevators upgrades - \$1,200,000
- Howard Hall Fire Pump replacement - \$300,000
- Medical School Teaching Facility condensate removal system replacement - \$1,440,000
- School of Social Work East roof replacement - \$480,000
- 108 N. Greene Building roof replacement - \$330,000

ENTERPRISE RISK ASSESSMENT

Even as the University pursues its strategic objectives, enhances its planning framework and processes, and strengthens its accountability and institutional effectiveness program, it is important that it does so with full knowledge of the implications of its decisions and actions. This includes ensuring that the University understands and manages the risks inherent in its activities and that it includes a balanced risk-reward analysis in evaluating potential opportunities available to it. It is with this attention to risk mitigation that President Perman launched the [Enterprise Risk Management \(ERM\)](#) initiative.

ERM is a holistic approach to risk management that provides a framework for entitywide risk identification, for prioritization of key exposures, development of operational responses to potentially adverse events and outcomes based on a foundation of accountability and transparency. The University believes that understanding and effectively managing risks that impact its operations is critical to continued success. The ERM initiative is led by the chief accountability officer, who, working with other key individuals, has developed the structure and process of the program, which the University is currently in the process of implementing.

The ERM structure includes a representative 16-person [Enterprise Risk Management Steering Committee](#) and [12 Subject Area Workgroups \(SAW\)](#). These 12 SAWs are:

- Academic Affairs
- Campus Security and Public Safety
- Clinical Practice
- External and Internal Relations
- Facilities, EHS, and Campus Operations
- Finance and Internal Controls
- Global Activities
- Government Regulatory/Compliance
- Human Resources

- IT Systems and Communication
- Research
- Risk Management and Insurance.

Through ERM, the University has been able to identify potential problem areas through the inquiry and assessment process; and prioritize and work to avert them. For example, ERM determined that the University would be at risk in the case of a riot or civil disturbance. As a result, a mitigation plan was enacted, including purchasing protective gear and incorporating crowd control training into the UMB police annual training schedule. Given the events of April 2015, this action was quite prudent. Another example concerned the need to preserve the student records that were stored, somewhat precariously, on a single server dating from the time of the first, homegrown, campuswide electronic student database. Now all the records from that time period have been preserved and adequately stored.

SCHOOL-BASED ACCREDITATION, ASSESSMENT, AND REVIEW

In addition to the accountability, planning, and risk management processes discussed above, the president, the deans, and other senior leadership continue to rely on the assessments and recommendations made in professional accreditation reports to stimulate improvements in all aspects of the schools' operations and to measure progress.

In assessing institutional effectiveness as it relates to student learning, UMB ensures that it has clearly articulated learning outcomes to guide its programs. UMB is uniquely positioned as an institution with a primary focus on professional and graduate education. Thus, in terms of "institutional effectiveness" as it relates to Standard 7: Institutional Assessment, there is a broad focus on achieving and maintaining accreditation for each of the professional degree programs. Each professional school at UMB is currently accredited by its professional licensing

and review agency as noted in the chart in Standard 11: Educational Offerings. This process ensures that each school maintains standards requisite for its graduates to gain admission to other reputable institutions of higher learning or to achieve credentials for professional practice. The goal is to certify that the education provided meets acceptable levels of quality. Each accrediting organization establishes operating standards for professional institutions and programs and determines the extent to which the standards are met. The University's president as well as its chief academic and research officer (provost) meet with members of each school's accreditation team during the site visit, and receive and review the teams' final reports with the respective dean to address areas for improvement.

The Graduate School does not have an associated accrediting body. Instead, its programs undergo a process of program review. (See Standard 11: Educational Offerings.) For example, UMB's programs in biomedical, health, and human service sciences are scrutinized in accordance with the [USM Guidelines for External Review of Existing Academic Programs](#). The purpose of external review is to garner additional perspectives on program strengths and weaknesses from academics and professionals in the field or a closely related field who are affiliated with other institutions. A key deliverable from each external review is a report that explicitly identifies program strengths and suggests improvements.

Some of the additional ways UMB's assessment of its academic units and programs is operationalized at the institutional level include the review and approval by senior central administrators of key academic processes: faculty appointment, promotion, and tenure; human subjects research protocols and projects; sabbatical leave requests; minority recruitment; faculty recruitment plans; and central oversight of research compliance and management of conflict of interest.

EXECUTIVE LEADERSHIP ASSESSMENT

Just as the president is responsible to the chancellor and the Board of Regents, the deans and vice presidents are responsible to the president and undergo decanal and vice presidential review. President Perman, consistent with [UMB's Policy on Review of Chief Academic/Administrative Officers of the University](#), reviews the chief academic and administrative officers to enhance leadership effectiveness and provide accountability in ensuring fidelity to the University's vision, mission, and values. For example, over the past 12 months, President Perman has evaluated James L. Hughes, MBA, chief enterprise and economic development officer; Peter Murray, PhD, chief information technology officer; and Richard P. Barth, PhD, MSW, dean of the School of Social Work. In each case the review consisted of a self-assessment and confidential evaluations by each executive's direct reports and others with whom the person works closely. In the case of Dean Barth, this was a cross-section of faculty, staff, peers, students, and members of the school's board of advisors. The IDEA Center, a nonprofit organization that provides online assessment and feedback tools for higher education institutions, administered the evaluation. President Perman reported Dean Barth's results to the School of Social Work community, noting that an overwhelming majority of evaluators believe that Dean Barth has provided excellent leadership for the school. A similar level of transparent disclosure was instituted for vice presidents, beginning with Dr. Murray's review.

SUMMARY

The University has extensive and comprehensive systems in place to assess its institutional effectiveness and to use assessment data to improve its operations. Therefore, the University is in compliance with Standard 7: Institutional Assessment.