

July 30, 2008

To: Department Chairs and Cross-Disciplinary Studies' Coordinators

From: Larry E. Vote, provost

Sub: Strategic Planning, Assessment, Budgeting and Financial Matters and  
Request for FY10 Planning and Budgeting Information

### **The Planning Timeline**

Here is the general chronology of the annual budget process. I have used the current year to describe what is going on from month to month. However, the timeline is general because the relationship between actions month to month remains the same. From the timeline below, it is evident that most of the work on budget development at the College level occurs in the spring semester. We are seeking to have department budget work, or at least the initial work, undertaken in the fall semester. I hope this distributes the department chairperson workload more evenly over the academic year. Also, it provides better information to me for developing the broad academic affairs budget request.

May 2008	Firm figures available on expected Fall 2008 enrollment. College budget for FY09 approved by Board of Trustees.
June 2008	Initial FY10 College (summary) budget request due to State.
July 2008	Actual FY08 College revenue and expenditures reported.
August 2008	Formal FY10 College budget submission to State.
September 2008	FY10 Operating budget hearing at MHEC. Official fall 2008 enrollment determined. Enrollment projection for fall 2009 revised. SPC initiates annual review of strategic plan.
December 2008	Academic departments submit FY10 strategic plans, assessment plan, and budget requests. FY10 tuition and fees approved by Board of Trustees. Departments submit line requests as described in the Planning Document (listed below)
January 2009	Fall 2009 enrollment projection revised based on Fall 2009 admission decisions.
February 2009	SPC reviews FY10 budget requests from units of the College. Legislative hearings on FY10 College budget request.
March 2009	SPC prepares FY10 budget recommendations to President.
April 2009	State Legislature acts on FY10 College budget request. President reviews SPC recommendations and prepares FY10 budget for Board approval.
May 2009	College budget for FY10 approved by Board of Trustees. Firm figures available on expected Fall 2009 enrollment.
June 2009	Initial FY11 College budget request due to State of Maryland.

## Planning Document FY10

### A. Assessment

The institution has shown steady growth in the area of planning and assessment. However, standards required by our Middle States accreditors are clear in their intent to have institutions provide assessment measures at the institutional, unit and learning outcomes levels. As we approach our five year periodic review in 2010 we must be able to show good progress in these areas. Most academic departments have some assessment practices in place and are using the data to help make strategic decisions. To continue this development, **I ask all departments to define, in terms of learning outcomes, what they expect of all graduates of their major.** This should be concise language that would appear at the beginning of your departmental catalog section. The goal is for all departments to publish these outcomes in the next edition of the catalog. I note that a number of departments have already considered this issue. See the example that follows.

Students in the psychology major will:

- A. Understand and apply the scientific method.
- B. Understand the diverse theories and content of psychology.
- C. Use critical thinking to analyze problems related to behavioral and mental processes.
- D. Learn effective communication skills.
- E. Acquire information literacy skills.

We must also provide evidence of assessment at the unit and institutional level. To accomplish this, the assessment committee of the SPC has designed an instrument to gather information from all units of the college regarding how they are meeting the goals of the college mission statement. The instrument is attached. It asks for both a quantitative and narrative assessment of this material. Note that some questions may be non-applicable to your unit. **I ask that you complete this as part of your December submission by consulting with your department on the questions included.** This activity will replace the need for a yearly SWOT analysis and requires only a review of your mission statement, priorities and tactics. Changes in these areas should be noted in your planning document. Instructions for this process appear below if needed.

As you are aware, the current strategic plan will end in FY10. The SPC spent a good portion of last year generating draft strategic priorities for the next plan. We need the input of all departments on this issue and ask that you review the proposed strategic priorities with your faculty and provide guidance on their appropriateness. This information will allow the committee to develop goals and tactics to meet the priorities. This document has been circulated before and is attached for your review. **I ask that input on this issue be provided as a part of your December submission.**

### B. Planning

**Please review and revise your existing strategic plan as necessary.**

Take time to assess how your program goals have or have not been achieved. For your convenience, the process used in the past is provided below.

#### **Mission Statement Review (if necessary)**

Please draft a short statement of mission for your department. A mission statement should set forth concisely the ideals of the department or program. It should be clear enough to give guidance in all decisions regarding the requirements of the major or program and complete enough to offer a standard for setting goals. Department and program mission statements need to be consistent with the College's mission statement.

Example: The mission of the Economics Department is for students to learn the basic ingredients of economic analysis, to apply that analysis to a diverse range of social

problems, to communicate the results of their applications in a clear way, and to acquire sufficient understanding of economic concepts to be able to gain employment in business or government or to continue on to graduate study.

#### **SWOT Analysis (if necessary)**

Once the mission statement is in a form that is agreeable to the department, an analysis of the department's perceived strengths, weaknesses, opportunities and threats should be undertaken. Strengths and weaknesses are internal to the program, opportunities and threats are external. Again, discussion in an open and honest way will provide inputs that will reveal important issues. It is also instructive to analyze the relationship between each area. For example, the identification of a strength and an opportunity could lead to a strategic decision that would positively affect the department. Similarly, a weakness and a threat should sound an alarm that calls for immediate attention.

#### **Strategic Priorities (if necessary)**

With an understanding of the strengths, weaknesses, opportunities and threats, the department will be prepared to consider issues which could rise to the level of a strategic priority. A strategic priority is something the department believes must be done in the current planning cycle for the program to achieve excellence and success. Since there can be only 3 or 4 of these which can be reasonably addressed at one time, the challenge is to come to agreement on those that are most critical and table other good ideas for later consideration.

#### **Tactics (if necessary)**

To address strategic priorities actions are developed which are reasonable, fundable, assessable and time bound. They will guide you through the planning cycle and lead you to the refinements of the future. Your departmental strategic plan will be complete when you have produced a mission statement, SWOT analysis, strategic priorities and tactics for their address.

### **C. Mentoring**

Our new faculty handbook contains approved language related to mentoring of faculty. Department Chairs Section 1b.) Faculty Development contains a section on mentoring under #5 which reads:

- 5.) Leads the department in developmental mentoring of faculty in a process that is crucial to their development as teachers and scholars.
  - a.) coordinates an ongoing process distinct from the evaluation process that occurs at specified points during the career of the faculty member.
  - b.) leads department in devising a well designed mentoring program and coordinates the participation of multiple parties including department members, the department chair, and the associate provost for academic affairs.**

The section in bold is what we should focus on this year. In your submission please describe how mentoring is taking place and/or being developed in line with the expectations of the faculty by-laws.

Note also that there are specific duties of the chair listed in the "institutional Faculty development" section under by-laws governing appointments, etc.

"The departmental role in mentoring begins with providing timely information on evaluation and tenure including the department's expectations and guidelines for obtaining tenure. All department chairs must meet yearly with each pre-tenure faculty member to discuss the evaluation and tenure process as outlined in the by-laws, the

faculty member's progress towards tenure, and any activities (such as the preparation of a file or administration of narrative evaluations) that will take place in the coming year.”

#### **D. Evaluation Process**

I provide for you reminders of the evaluation process with excerpts of the by-laws from the handbook.

##### **Faculty** (every fall)

- 1) Annual reports due to you and to the Provost (electronic only) August 15th.
- 2) Evaluation files for pre-tenure three-year contract renewal due to you August 15th- they do not need to do an annual report.
- 3) Yearly meetings with each full-time, tenure-track and tenured faculty member not on sabbatical to discuss their progress and goals by the first Monday of the spring semester. For pre-tenure faculty the discussion should include the evaluation and tenure process, progress toward tenure and any activities that need to take place in the coming year- preparation of the evaluation file, class visits, narrative evaluations, sabbatical requests, etc. This yearly meeting will be more important now that the 1st year review is eliminated.
- 4) Those of your faculty coming up for tenure and promotion to either associate or full will have evaluation files due early in the spring semester.- dates will be placed in the chair's handbook.

*Processes specific for pre-tenure contract renewal, tenure review and promotion (excerpted from the by-laws)*

**a. Pre-tenure contract renewal evaluation** (The following timetable applies to persons who are appointed to tenure track positions at the entry level. For faculty members who are credited with previous teaching experience appropriate adjustments will be made as described in the appointment letter.)

- 1) The pre-tenure evaluation will be conducted during the fifth semester of the faculty member's employment at the College.
- 2) The faculty member must have his/her evaluation file submitted to the department chair by August 15th prior to the start of his/her fifth semester.
- 3). **Following the formal pre-tenure review in the third year, the department chair will discuss with the faculty member the expectations for tenure as outlined in the departmental letter** (see section G3b below).

##### **Departmental and evaluation materials needed for pre-tenure faculty coming up for 3-year renewal**

Course evaluations for the 4 semesters before review semester- those coming up this fall should have at least 2 semesters- this is the last year we will need to make this exception.

Class observations for developmental purposes should have been carried out only by the invitation of the faculty member requesting such direct observation. Colleagues should make every effort to fulfill such requests.

*There is also this language found under “departmental roles in the review process”:*

The department chair may request, in the semester prior to a formal review (for pre-tenure, tenure or promotion), to schedule one to three (total) classroom visitations by the chair or other senior faculty. The department chair and the candidate will work together to find mutually acceptable times for the visits.

Below is the list in the by-laws of pre-tenure year review candidate's materials to be included in their evaluation files. A detailed description of each item is given in the section prior to this list:

1. Material from section I to be included in **pre-tenure contract** renewal evaluation file

Recommendations from evaluators (I1), current CV (I2), comprehensive self-report (I3), colleague evaluation letters (I6), student evaluation letters (I7), College's approved student evaluations (I9a), course material (I9c), materials documenting scholarly, professional and/or creative activities (I10), and materials documenting service to the College (I11). In addition, the cross-disciplinary study areas coordinator's letter (I4) and provost's letter (I5) should be included if applicable.

Following the formal pre-tenure review in the third year, the department chair discusses with the faculty member the expectations for tenure as outlined in the departmental letter

**Departmental and evaluation materials needed for those coming up for tenure**

Course evaluations for the 4 semesters before review semester- those coming up this next spring should have at least 3 semesters- this is the last year we will need to make this exception.

Narratives are required "In two out of the three semesters preceding the evaluation (for tenure or for promotion to professor only), students in each of the faculty member's classes will be asked to submit a written statement concerning the person's teaching ability."

*There is also this language regarding class visits for evaluative purposes.*

The department chair may request, in the semester prior to a formal review (for pre-tenure, tenure or promotion), to schedule one to three (total) classroom visitations by the chair or other senior faculty. The department chair and the candidate will work together to find mutually acceptable times for the visits.

See section of Faculty by-laws stating materials to be included in the evaluation file.

**Departmental and evaluation materials needed for those coming up for promotion to full professor**

Course evaluations for the 4 semesters before review semester- those coming up this spring should have at least 3 semesters- this is the last year we will need to make this exception.

Narratives are required "In two out of the three semesters preceding the evaluation (for tenure or for promotion to professor only), students in each of the faculty member's classes will be asked to submit a written statement concerning the person's teaching ability."

*There is also this language regarding class visits for evaluative purposes.*

The department chair may request, in the semester prior to a formal review (for pre-tenure, tenure or promotion), to schedule one to three (total) classroom visitations by the chair or other senior faculty. The department chair and the candidate will work together to find mutually acceptable times for the visits.

**E. The articulation of your department's normal expectations of each department member.**

This discussion can be viewed as determining together what is considered good departmental citizenship and what will make pre-tenure colleagues successful in your

department. You can discuss normal expectations for your entire faculty to guide pre-tenure faculty as they acclimate to your department and review your normal expectations with a view to ensuring that your department is meeting its goals for effectiveness. Items you may want to examine include:

Teaching expectations. What development plan will you put into place to develop the teaching of your pre-tenure faculty? How will you carry out class visits? Mentoring? What will work for you in light of the newly approved guidelines? What do you expect of your junior and senior colleagues? Do you ask all faculty to attend workshops through the year? Teaching and Learning lunches? Do you have expectations of overall teaching performance? What are the basic elements needed in a syllabus?

Course load balance. Do all members of the department share equally in the core curriculum course load; are schedules of faculty members balanced for class sizes; do faculty get equal access to desirable teaching times and less desirable times.

Office hours. What is your standard? Most of our peers require office hours ranging from being available to students at a variety of convenient times throughout the week to 5 hours of office hours spread across 5 days a week. In all cases office hours are posted. You should determine a strategy that works for your department and serves the needs of your students.

Days on campus. I have asked in the past that all faculty be present on campus at least 3 days a week with 4 days a week being preferable. Our peers are mixed on the required number of days on campus but the range is 3-5 days per week.

Days absent. How many days of conferences can a person attend per year and be absent from class? Many of our peers will pay faculty travel to conferences for no more than 4 or 5 days during the semesters. We also urge that class absences be covered or made up in some way.

Final Exam policies. We are expected to meet during final exam periods in order to meet the state minimum number of contact hours. Many of our peers require that final exams be given.

Annual reports. What information should colleagues include in their annual reports that would be useful for you and the department beyond that suggested by the Provost's office?

Department meeting attendance. Is it important to your department that all members be present at regularly scheduled department meetings?

#### **F. Application for New Lines**

With the advice of the academic planning committee I have revised the content of the materials required for my and the committee's consideration. Please review this carefully and feel free to contact me with any questions. Because of the need to take early action on these decisions I ask that all requests be to me in electronic form by December 19, 2008.

#### **Tenure-Track Faculty Requests for FY10**

For each request, please address the following issues:

1. Explanation of how position fulfills programmatic needs.
  - a. Is the program changing or being influenced by new developments in the discipline or in technology? Are there specific plans for changes?
  - b. What are the programmatic needs addressed through this position?
  - c. How have the needs been met previously? Would this position reduce visiting or part-time faculty position needs?

- d. What is the planned involvement of the requested faculty in cross disciplinary programs, the Nitze Scholars program, or other College-wide initiatives – with particular emphasis on the college's defined strategic priorities?
  - e. How would the position request reduce class size or crowding?
2. What impact would this position have on the department's facilities use and needs?
  3. What impact would this position have on department equipment and operating budget needs?

Please confine the length of response to approximately 1000 words.

## **G. The Department Budget Request**

### **Several Budget Issues**

Budget and Staffing Review by Chairs. It is important and valuable for new department chairpersons to review and familiarize themselves with the department's budget and its faculty staffing situation. This is best done in consultation with the outgoing chair and fiscal associate.

Curricular changes. The curriculum is dynamic and we are constantly changing the courses that we offer as well as major program and graduation requirements. In considering curricular matters, it is important to recognize budget implications. For example, the decision to add new courses to a curriculum has a resource impact. If the courses are offered in addition to existing course offerings, then additional instructional staffing resources are required. If the courses are offered instead of previously existing courses, then we have given up other offerings. Since the curriculum process does not directly take account of resource requirements, the approval of curricular changes does not necessarily mean that resources are available to implement the change. As a department chairperson, one cannot assume that desired budget adjustments will be made. These anticipated needs must be requested and approved through budget processes.

Program Reviews. We are conducting external reviews of academic programs on a six-year cycle. These reviews are an important part of academic planning for major programs. I will make every attempt to provide financial support for agreed upon actions to follow up program review recommendations.

Preparing the Budget. **Department chairs should prepare the requested budget and planning report and submit it to the provost's office by *December 19, 2008*. Cross Disciplinary Studies' coordinators should file any budget requests with Associate Provost of Academic Affairs Linda Coughlin by *December 19, 2008*. **Just a reminder: this is your only opportunity for submitting budget requests for FY10.****

The strategic plan for FY06-09 was adopted in May of 2005. This plan will be the framework for planning and budgeting. Department budget requests will be reviewed within the framework of this plan. I will review department requests as input in putting forward a budget request for all of academic affairs. The submission of these requests at the end of the fall semester will facilitate their use in College-wide budget discussions during the spring semester.

The departmental budget request should contain some basic department information that will constitute a tentative context in which to evaluate and act upon requests. To provide this information, please respond to the questions posed in the sections below. I will review all requests for new resources as part of the preparation for College-wide budget decisions. Furthermore, budget requests should be comprehensive, i.e., all requests—operating budget, all personnel requests, etc.—should flow from the same context and justification. Thus, requests for any kind of new resources are to be part of this report.

Requests for temporary, full-time and part-time instructional staff should be made as part of this request. I intend to review these and make commitments to departments as early as possible in the spring.

The strategic plan requested above should include well defined departmental goals with respect to programs, courses, faculty scholarship, students, etc. for the next three years. Be specific about proposed changes that have resource impacts. For example, the development of new courses to be offered by a department would require that either other existing courses not be offered or that new staffing resources are available to expand offerings. New courses and programs should be considered from this perspective. The means by which new offerings or programs will be "funded" should be part of your staffing plan and budget request.

Identify any significant collaborative activities between your department and other departments, programs or other institutions.

Staffing Plan. To develop plans for allocating faculty positions, both permanent and temporary, it is important to consider (a) the contributions that each department's faculty are making to the array of all college programs and (b) the staffing needs and obligations into the future for several years. Please answer these questions:

What retirements or resignations do you anticipate in the next 3 years? Who and when?  
What sabbatical leaves do you anticipate in the next 3 years? Who and when?  
What staffing contributions are anticipated for cross-disciplinary programs, Scholars program, or other programs external to the department in the next 3 years? Who and when?

St. Mary's Projects. Provide information on the following aspects of St. Mary's Project supervision. How many majors will complete St. Mary's projects during the 2008-09 academic year? If the department does not now require the St. Mary's Project, provide an estimate of how many majors may complete St. Mary's projects during the 2009-10 academic year.

How many course equivalencies for St. Mary's Project completions have been granted for fall 2008 and spring 2009? How many course equivalencies have been earned by department faculty, but not yet awarded?

How many tenured or tenure-track faculty have NOT supervised a St. Mary's project as of this spring semester?

Scheduling of Major Program Courses.

List any department courses not offered in the last 4 semesters.

### **FY10 Budget Requests**

Temporary and Visiting Faculty for FY10

*NOTE: Please make this section a self-contained document that can be reviewed independent of the other parts of your budget request. Use the attached template to organize your temporary and visiting instructional request.*

In considering department staffing needs, please review the overall college and department student enrollment situation. For purposes of staffing planning, you should assume that the College will have a 500 person cohort of new students (430 first-year students; 70 transfer students) for fall 2009. This target cohort size will be reviewed during the fall and any revisions will be brought to your attention.

What temporary full-time or part-time faculty requests do you have for FY10? (Exclude requests for FY10 paid leave replacements. We already have those and will provide

decisions to you soon.) Please identify the anticipated courses to be covered, the semester needed, and proposed cost. What problems would be resolved or benefits generated by the requested position(s)? Be specific. What problems might the requested additional personnel create, such as space or operating budget needs?

#### Non-IT Equipment Budget Requests for FY10

What new or replacement equipment requests do you have? Provide specifications on each piece of requested equipment, estimated price, and the reason for the requested item in terms of department programs, contributions to research and/or teaching, etc. Identify courses that would benefit from the equipment. Identify faculty whose research would benefit from equipment. **PRIORITIZE EACH REQUEST.** Assign a **DIFFERENT** priority to each requested item. A non-IT equipment request form is attached for your use. With the exception of software, IT items are not funded from this source. A template is provided for your IT (non-software) requests.

#### Operating (non equipment) Budget Requests for FY10

*NOTE: Please make this section a self-contained document that can be reviewed independent of the other parts of your budget request. A template is attached for your use.*

What new operating budget requests do you have? Normally, prior levels of support will be continued. Any funding allocated to you by my office on a temporary basis this year must be requested through this process if you seek to have such funding next year. Identify each specific request and justify in terms of department programs, goals, etc. **PRIORITIZE YOUR REQUESTS.** Assign a **DIFFERENT** priority to each request.

#### **H. Worst Case Scenario FY10**

I think it is valuable to consider the actions that would be taken if a budget reduction were necessary. Please consider seriously the responses that the department would make to these scenarios.

What adjustments would you make if you had to absorb a 3% operating budget reduction? Explain how your adjustment would minimize impact on your program.

What adjustments would you make if you had to absorb the loss of one full time equivalent faculty position? Explain how your adjustment would minimize impact on your program.