Executive Summary

The Office of Faculty Affairs supports all facets of a faculty member's experience at the University:

- Managing the APT process to ensure excellence and equity in tenure decisions;
- Facilitating human resource functions to ensure equitable employment practices;
- Overseeing professional development opportunities to enhance career progression and success;
- Advocating for faculty interests and perspectives in the overall leadership of the University;
- Coordinating the University's response to faculty investigation and/or sanction;
- Providing orientation information and events for all new faculty and new administrators.

The Office discharges these functions guided by a simple vision: Excellence requires integrating faculty concerns into institutional decision-making processes and vice-versa. In short, reaching our fullest potential requires cooperative networks across all areas of our academic activities.

To this end, the Office has collaborated intentionally and extensively with colleges, departments, and individual faculty over the past four years as it has enhanced and expanded many of the key services and programs it provides. In consultation with the campus community, the office has:

- Revised the processes of the Appointment, Promotion, and Tenure (APT) system to improve equity and efficiency;
- Initiated additional, more extensive modifications to improve human resource services and activities far beyond the APT function alone;
- Expanded efforts to support the mentoring of assistant and associate professors, now developing a campus-wide network of mentors that includes a formal training program;
- Extended professional development opportunities to leadership training for academic administrators, in keeping with practices at CIC and other peer institutions;
- Changed its scope to include faculty who are not eligible for tenure, thereby providing a career track for those faculty and a more professionally developed faculty for the University.

Additionally, in order to provide these services more efficiently and effectively, the Office has begun a complete overhaul and restructuring of its information systems (e.g. databases, web applications, electronic management of APT dossiers). This is meant to improve not only administrative efficiency; as importantly, data gathered this way can be systematically analyzed, thereby improving the office’s ability to support faculty and to evaluate the effectiveness of faculty-related campus initiatives.

The functions of the office have been performed by the following staff: the Associate Provost for Faculty Affairs, two directors (one full-time, the other part-time), three full-time staff members (a manager, a coordinator, and an administrative assistant), and two graduate assistants.

This study reports on the current range of services and programs that the office provides. It concludes that a full restructuring of office information systems (especially in light of necessary modifications to how the APT system is managed) and a complete deployment of mentoring and leadership programs requires more effort than can be sustained by the current part-time staff assigned to those duties.
Office of Faculty Affairs: Internal Review
September 2014

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1. History and Vision

1.1 History

The Office of Faculty Affairs was established as a consequence of a change in the State of
Maryland’s higher education system: in 1989, the Board of Regents’ POLICY ON APPOINTMENT,
RANK AND TENURE assigned the tenure process to institutional presidents. College Park then
enacted the UNIVERSITY OF MARYLAND POLICY ON APPOINTMENT, PROMOTION, AND TENURE (APT) OF
FACULTY, and Adele Berlin, the first Associate Provost for Faculty Affairs, began overseeing the
APT process. From 1997 to 2010 Ellin Scholnick oversaw the APT process and the expansion of related concerns in Faculty Development and Mentoring.

While the APT process continues to be central to the Office, the growing prominence of UMD as a Research I university requires it to expand upon the support and recognition it provides for faculty. When the current Associate Provost for Faculty, Juan Uriagereka, was appointed in 2010, then Provost Nariman Farvardin identified as issues in need of attention (Appendix 01):

- To strengthen and streamline the APT Process and related policies.
- To develop initiatives for faculty mentoring and leadership training.
- To analyze and organize matters relating to faculty awards and distinction.
- To analyze and reorganize the Non-Tenure Track (NTT) faculty.
- To restructure the Office itself and its integration within Academic Affairs.

Although changes in leadership have entailed different emphases by different provosts, the different components of the agenda established in 2010 continue to define the main trajectory.

1.2 Vision

Cooperative Networks and Integrative Excellence

In addition to recommending that the Office be restructured and better integrated into Academic Affairs, Provost Farvardin also recommended that it should be advised by an Advisory Board of prominent faculty. Taken together, these two directives capture the essence of the vision that guides Office initiatives: faculty excellence—and thus institutional excellence—will be achieved through the cooperative efforts of institutional administrators and faculty, with each group integrating the insights and concerns of the other into their work.

Creating an Advisory Board of prominent faculty is part of the effort to include faculty input in substantive institutional deliberations. At the writing of this report the board consists of:

- Professor Theresa Coletti (former Chair of the English Department and Distinguished Scholar-Teacher)
- Dr. Robert Infantino (Associate Dean in the College of Computer, Mathematical and Natural Sciences)
- Professor Joseph JaJa (Director of Cyberinfrastructure, National Socio-Environmental Synthesis Center)
- Professor S. Raghuram Raghavan (Smith School of Business and Institute for Systems Research, chair of the APT committee)
- Professor Robert Schwab (Department of Economics, former Associate Dean of the College of Behavioral and Social Sciences)
- Professor Stephen Thomas (Director of the UMD Center for Health Equity)
- Professor Konstantina Trivisa (Director of the Applied Mathematics, Statistics, and Computation Program)
- Professor Ann Wylie (former Provost and Distinguished Scholar-Teacher).

In the same spirit of the Advisory Board, Uriagereka also constituted a standing committee, the Council of Academic Deans for Faculty Affairs (CADFA), to provide direct and regular
communications between the office and the colleges on matters relating to faculty. Through monthly meetings, CADFA is one of the central means for the office to seek input from the colleges on office initiatives, and it provides a conduit for communicating to deans and departmental administrators alike.

In sum, Office initiatives are guided by the principle that excellence will emerge when faculty and administrators work cooperatively in an honest, open dialog about how best to serve the needs of the institution and its many constituents.

2. Current Initiatives

2.1 The APT Process

The Office has taken several steps to ensure integrative excellence in the APT Process. The changes have occurred in three main phases.

2.1.1 Phase I – Administrative Review of APT

In 2011, yearly Guidelines for Promotion and Tenure were revised, clarifying the APT process. The revision was executed via the Council of Associate Deans for Faculty Affairs (CADFA). In addition, the Office implemented the following during this initial phase:

(i) New protocols for participation in APT meetings as well as remote voting facilities, teleconferencing and web-based information in the process.
(ii) Streamlining the electronic submission of APT dossiers.
(iii) Gathering and analyzing APT data, attempting to spot demographic patterns.
(iv) Working with various constituencies to examine and revise the APT policy. College reorganizations in 2010 entailed minor revisions; clinical titles were added in 2012.
(v) Involving constituencies across campus on improving APT standards.
(vi) Annual workshops covering the APT process for candidates (separate sessions for tenure and promotion), administrators, and staff.

2.1.2 Phase II – Senate Review of APT

University policy requires APT guidelines to be periodically reviewed by the Senate. A Provost-Senate Task Force was created to analyze the APT Process, to determine how it can be improved (report appended, Appendix 02). This Task Force’s charge included examining change in a range of areas, managing the implementation of which will be a major focus of the Office.

2.1.3 Phase III – Restructuring the Campus APT Committee

The final phase, following a suggestion from the CADFA, involved restructuring the campus APT committee into two separate committees: a Tenure Committee and a Promotion/Appointment Committee. The objectives of this move are:

- To ensure as large a number of faculty members as possible participating in the process.
- To reduce the workload for each committee (roughly in half).
- Since the two committees meet concurrently, to produce APT results in a more timely fashion.

The fairness and integrity of the process have been ensured by running each committee with
the same policies and procedures (including rules on quorum, voting, etc.).

### 2.1.4 Lyterati

The three phases above all constitute APT-specific reviews and revisions. In addition to those APT-specific changes, the office explored web-based packages that can improve the APT process. In general, although data associated with a faculty member’s career are precise (as expressed in a CV), if these data are not transactionalized, inputting them for various reporting purposes involves redundancy and their full use for the purposes of data mining is limited.

Four products were considered (see comparison matrix, Appendix 03) and the Lyterati product, owned by Entigence Corporation, was chosen for a pilot with two colleges in AY 2013/2014. For the pilot, 245 CVs from BSOS and Architecture were parsed and loaded into Lyterati. GAs were trained in each school and the Provost’s office to assist faculty, and policies related to searching and reporting were established. The pilot demonstrated that the product can allow:

- Faculty to review their historical CV data, add new contributions, and generate an annual Faculty Activity Report (FAR) from the product.
- Courses taught, student evaluations, and grants data (proposals, awards, and expenditures) to be loaded into Lyterati from files provided by IRPA.
- Searching of an expertise database that draws from the CVs of faculty members.
- Reporting for accreditation, trending, comparative analysis.
- Re-purposing of data for web profiles, bio-sketches, rankings, external relations, etc.
- Generating full or abridged CVs, NIH/NSF bio-sketches, web profiles, etc.
- Feeding system data into other applications with faculty-centric data.

Based on the relative success of the pilot, the Lyterati product was procured for a campus-wide implementation. Annual savings, in terms of staff hours, are estimated as approximately offsetting the new cost (see estimated costs savings, Appendix 04).

Beyond the financial considerations, a relational database of faculty data has vast consequences for future use. The initiative will require the university to reexamine faculty contributions to the APT process, in line with the approved changes to policy and procedures from the APT Task Force. The Senate and the Administration should be involved in analyzing policies that interact with a system with these possibilities: while a systematic effort was made to include faculty in the decision-making process at the pilot stage, further faculty and Senate involvement should be extended as the Office works to implement the system.

### 2.1.5 Additional Considerations Regarding APT

The APT Process also bears on matters of pre- and post-tenure (or promotion) reviews. Although systematization ought to happen in all domains — further improvements being possible when the Lyterati product is assumed — the Office started by concentrating on reviews happening after tenure is granted. Due to unclear elements in university policy, as well as a failed attempt to clarify them in the Senate in 2009, less than half the units on campus had concrete procedures to review their faculty post-tenure and only an estimated 20% were actually executing such policies. Provost Rankin asked the Office to provide guidelines to units to update their policies, with a deadline of December 2013 (see Appendix 05). Given these guidelines, units could define the process for complying with the post-tenure review policy. May 2014 was the deadline for the first systematic application of post-tenure review on campus, applying to
roughly a fifth of tenured faculty (see Appendix 06 for a summary of results). Depending on an analysis of the process leading to this first set of reviews, further adjustments may be necessary.

Although strictly not part of the APT process, librarians can achieve permanent status, and their relevant policy has undergone multiple revisions during the last decade (2004, 2006 and in progress). Presently the Libraries function essentially as their own entity with regards to appointment and promotion, which creates difficulties that need to be addressed. While a dialogue with the libraries has taken place, in terms of advising librarians how to integrate their promotion process within generally accepted practices on campus, this process is not complete. Across the nation librarians differ in their status: in some universities they are considered staff, in others they are considered tenured faculty, while in places like Maryland they have a somewhat hybrid status. A task force to analyze the best course of action for the future may be advisable, including representatives from the Provost’s office.

2.2 Faculty Leadership and Mentoring

While Professor Berlin was Associate Provost, Dr. Rhonda Malone started working initially as an intern, and through various positions eventually became Director of Faculty Mentoring and Development. This directorship initiated many valuable programs, and with Dr. Malone’s retirement in 2012, an opportunity arose to create two positions, thereby providing a better match between personnel and job responsibilities:

(i) The programmatic aspects of the position were assigned to newly created position of Director of Faculty Leadership. This position is to be filled on a rotating basis by a member of our faculty, so as to strengthen the partnership between the Office and its constituencies. In particular, having a senior faculty member in this directorship provides important input regarding the design and implementation of programs designed to foster faculty leadership and mentoring.

(ii) The more administrative aspects were assigned to a newly created position of Coordinator of Faculty Leadership. More specifically, the Coordinator handles all programmatic support such as coordinating administrative reviews, planning and scheduling workshops and training sessions, and data analysis related to leadership functions.

The purpose of the Faculty Leadership component of the Office is to create a stronger sense of community and quality of life for faculty. This in turn has two major components:

- Stronger and More Effective Faculty Mentoring
- Leadership Development for academic administrators (especially chairs and academic directors).

These components align with initiatives that the Committee on Institutional Cooperation (CIC) promotes. Current Director Steve Marcus has had a direct role in events the CIC organized in 2013 and plans to lead the organization of one such event at Maryland in Spring 2016.

2.2.1 Mentoring

Goals in mentoring have concentrated on building a community of mentors and of junior faculty,
and developing ways to disseminate mentoring information to mentors. Steps taken include:

- Updating faculty and administrators’ workshops with mentoring information.
- Luncheons with new faculty.
- Local discussions with deans, associate deans, chairs and faculty in general.
- Coordinating with colleges’ local mentoring programs.
- Working with the Center for Health Equity and the University of Wisconsin in offering a Master Mentor Training Program to senior mentors on campus.
- Planning a workshop for newly tenured faculty.

Future initiatives may build on present achievements so as to:

- Create a Junior Faculty Association campus-wide (modeled on the one at Purdue).
- Develop workshops for mentors and chairs, building on the Master Mentor Training Program.
- Include mentoring as one criterion on which deans and chairs are evaluated.
- Significantly strengthen mentoring of associate professors.
- Work closely with the new incarnation of the Center for Teaching Excellence to ensure that the best possible programs and workshops on teaching are available to faculty.
- Get faculty mentoring to be officially reported in Faculty Activity Reports.
- Get the University System of Maryland (USM) to recognize junior faculty mentoring as part of a faculty member’s teaching/advising contribution for workload reporting (as is the case already for graduate student or post-doctoral fellow mentoring).
- Create a more unified program of faculty development.

In addition, the Joint Provost-Senate APT Guidelines Task Force is recommending that each unit develop a mentoring plan, to be filed with Faculty Affairs, and that each unit offer mentoring to each associate professor. The Office will be working with colleges and departments to implement these recommendations if they become policy.

2.2.2 Leadership

Goals have concentrated on building a community of chairs, deans, and academic administrators across the campus, providing programs that support them and facilitate the discussion of important issues among them, so as to develop a strong and high quality program for the development of future faculty leaders. Steps taken include:

- Updating new administrators workshops.
- Offering workshops on budget and mentoring for new chairs.
- Developing a new series of Academic Leadership Forums (ALFs), primarily aimed at chairs, and including deans, some associate deans, and other campus leaders on a topic-specific basis.
- Serving as liaison to the CIC for the Department Executive Officers Program (developing selection process and attending and sending chairs for a CIC training seminar), and the Academic Leadership Program (developing selection process and attending and sending senior faculty for CIC leadership training).
- Organizing on-campus leadership programs for CIC Academic Leadership Program and Department Executive Officers Program Fellows.
Future initiatives may build on present achievements so as to:

- Develop a more extensive new administrators workshop (including former chairs).
- Continue to develop workshops and a mentoring program for new chairs.
- Continue ALFs so as to fully institutionalize them (modeled on Penn State experience).
- Lead the UMD relationship to the CIC leadership programs, so as to build strong relationships with offices for Faculty/Academic Affairs at CIC institutions.

The Director of Faculty Leadership will be responsible for organizing the CIC Academic Leadership Program seminar in April 2016. This is a three-day meeting involving close to 100 faculty from CIC institutions. Organization of the meeting will require a significant commitment from the Director of Faculty Leadership, the Coordinator for Faculty Leadership, and other staff in the Office.

2.2.3 ADVANCE
Though not part of the Office, the ADVANCE initiative originally spearheaded by Provost Farvardin (which NSF supported through a grant between 2010 and 2015) has been essential to the Office’s mentoring and leadership efforts. Though the Office cannot take credit for the accomplishments the grant produced for women on campus, it should capitalize on this success story as a proof of concept: when resources and leadership coalesce, significant improvement is possible. For example, the Parental Leave policy, systematically pursued by Provost Wylie and approved by the Senate in 2012, owes much to the role of ADVANCE as “think tank” for the concepts that underlie the policy. Similarly, though leadership initiatives were initiated by Associate Provost Scholnick, they came to fruition through ADVANCE, as it produced its own leadership forum, which the Office benefitted in being a part of. The challenge is how to institutionalize these efforts when the NSF grant ends (see appendix 07 for the ADVANCE proposal regarding an institutional home with the Office).

The Office of Faculty Affairs is perhaps the most logical group for the ADVANCE team to join, as its mission of faculty development and mentoring encompasses theirs. The ADVANCE team has demonstrated expertise in developing gender equity and faculty diversity on campus, which would be an immediate asset to the work of the Office. One important question is whether the work of ADVANCE will continue to focus on gender and diversity only, or whether their work should be extended. Another important question is whether the ADVANCE goals should be implemented though two different positions: one focusing on organizing and analyzing faculty data (especially after this becomes systematic through the Lyterati product), and a different one focusing on implementing initiatives and spearheading procedure and policy efforts. Possibly the first of these positions, a Director of Faculty Data, ought to be recruited from the faculty in a rotating basis, just as the Director of Faculty Leadership is. In contrast, a putative Director of ADVANCE may have to go through a regular search, open to all faculty in the university. Given the larger mission of the Office of Faculty Affairs, these questions need careful consideration.

2.3 Professional Track Faculty
Extending Provost Farvardin’s call to examine and revise campus policies related to non-tenure track faculty, Provost Wylie approved a new directorship for the office to improve the circumstances of the non-tenure track faculty at the institution. The need for a dedicated staff
position became clear after a Senate report from 2010 documented the extent of the problems at UMD. Concurrent with that report, the issue of “adjunct faculty” gained national attention and became a central concern of the USM: an Adjunct Policy was enacted by the Board of Regents in 2011, and adapted to our campus by the Senate in 2012. Providing a more professional treatment of faculty not eligible for tenure involves multiple aspects, the most pressing being the fact that they are often treated in a way that is not commensurate with their contribution to the institution. Given a proposal currently in the Senate, we adopt the term Professional Track (PTK) faculty as a first step in changing institutional norms related to this constituency – the name captures the nature of contribution these faculty make and represents the institutional commitment to improving their professional career opportunities.

2.3.1 Programmatic Initiatives
At the heart of the efforts related to PTK faculty lies the fundamental assumption that all faculty should be expected to be excellent in, and thus recognized for, their academic activity. In particular, while tenure-track (TTK) faculty must excel in all three dimensions of academic activity (scholarship, teaching, service), PTK faculty may excel in only one or two of these dimensions. Thus lecturers mainly teach, research scientists mainly do research, or clinical faculty mainly perform service to their discipline. Applying the well-known dimensions of the APT system in this manner provides the basis for an integrated model of faculty, in which all faculty contributions can be understood within a shared framework. Adopting such a model organizes haphazard faculty titles according to dimensions of academic activity, rationalizing appointment expectations and promotion opportunities for PTK faculty. This model provided the conceptual basis for amendments to the campus APT policy, as proposed in a report by the Senate’s Faculty Affairs Committee, which regularized the system of PTK faculty titles as well as appointment and promotion guidelines [see Appendix 08].

Promulgating this framework is one aspect of shifting the cultural norms related to how PTK faculty are appointed, evaluated, and recognized. Additional programmatic efforts include:

- Incorporating PTK faculty concerns into Office and campus initiatives, e.g. faculty leadership and mentoring initiatives, New Faculty Orientation, New Administrator Workshop, institutionalizing ADVANCE, etc.
- Enhancing outreach to PTK faculty to increase the engagement of the various constituencies with campus initiatives related to PTK faculty.
- Staying abreast of changes in campus and system policies affecting PTK faculty and providing that information to other administrators in the Office, the division and across campus, as well as PTK faculty in general.
- Adopting best practices from peer institutions for addressing the range of issues facing PTK faculty.
- Advocating for a change in the institutional practice of limiting PTK faculty access to professional development opportunities.
- Developing and implementing an award program for PT faculty.

2.3.2 Mechanics of PTK Appointments
Until the new directorship was created, a significant number of problems related to PTK faculty had gone largely unnoticed at the campus level: the mechanisms for making and managing PTK appointments regularly create challenges for the program directors and business managers
tasked with putting PTK faculty appointments into the system. The structural problems then manifest to PTK faculty as evidence that the institution “does not care” about them. These frequent problems with their appointments contribute to low morale among PTK faculty. Guided by the vision of cooperative networks, the Office is addressing these mechanical problems as part of the effort to enhance the professional engagement of PTK faculty.

Efforts in this area include:

- Coordinating the development and implementation of a system for tracking/archiving PTK faculty contracts in order to improve adherence to policy, as well as establishing campus-wide norms for PTK appointments.
- Collaborating with Legal Affairs to create contract templates that supports institutional efforts to reduce repeat, semester-to-semester, contracts.
- Working with unit administrators to improve staffing models in support of increasing academic year and multi-year contracts.
- Coordinating with the Registrar’s office and PHR to create a tracking system for ensuring that Adjuncts receive a course cancellation payment per Adjunct Policy.
- Supporting institutional efforts to comply with the Affordable Care Act vis-à-vis part-time PTK faculty.

2.4 General Office Processes

The Office maintains a busy schedule processing many personnel-related tasks for all faculty, including involvement in appointments, promotions, leaves (Parental, FML, Sabbatical), and retirements. The paperwork and recording procedures are handled by the Manager, the Coordinator, the Administrative Assistant, and Graduate Assistants. Faculty Affairs also serves as a clearing house for any information pertaining to faculty on campus, and those individuals offer assistance for questions from faculty, administrators, and external parties by phone and online. Requests for annual and ad-hoc faculty statistics are satisfied by the Coordinator, Manager, and Director of Faculty Initiatives, utilizing internal databases and University systems. Finally, in order to facilitate provostial needs and initiatives, the Office manages several faculty and administrator committees each year, staffed by the Manager or Coordinator, with assistance from the Administrative Assistant and Graduate Assistants.

2.5 Modernizing Office Processes – Leveraging Information Technology

2.5.1 Web-related Tasks

The Office has undertaken a complete overhaul of the Faculty Affairs web site, which functions as the Faculty Handbook and is accessed over 1,000 times a week. As a result of the redesign, content is easier to find and is updated regularly, and an improved use of graphics provides an ever-changing fresh look for the office. In addition to improving the Faculty Handbook portion of the site, the broader project includes improving the use of web-based tools more generally:

- A dynamic site map allows users to navigate the frequently updated content more easily.
- Faculty photos and other graphics can be systematically updated (e.g. after awards).
- The web application used by APT committee members has been redesigned to be more user friendly:
Login page is responsive, directing college reps and committee members to the appropriate pages.

Meeting agendas are automatically generated.

Staff and administrators have the capability to interact with reports as they are read.

- DST and DUP nominations are now online.
- PTK Surveys hosted on the Office site gathered information from business managers and PTK faculty themselves.
- Contracts Administration gives business managers an online tool for generating contracts for PTK faculty appointments.
  - Contract data is available for review by college administrators and by Faculty Affairs.
  - Business managers are reminded when contracts are close to expiring or not signed.
  - The system has been expanded to integrate the creation of non-paid appointment agreements with the approval of such appointments by the Export Control Office.

- Surveys and webpages for Deans’ Reviews, APT Appeals, and sanction investigations are now created from a template, thereby streamlining the creation of such online tools.
- The Office web site hosted the ADVANCE Work Environment Survey.
- Efforts to use web applications to replace paper forms are systematically under way.
- APT manual reorganized to reflect variety of roles. Information added for administrators and staff responsible for preparing the dossiers, to help with the technical aspects of process.
- Profiles and contact information for all Office of Faculty Affairs staff are available on the website.

Future projects include:

- Responsive design for website, to ensure fuller access to users on mobile devices/tablets.
- Pages to be re-designed to take advantage of the capability of CSS3 and HTML5 (will make site run faster and provide more access to users with screen readers).
- Automate the site map in the process.
- New applications:
  - Joint Appointment Agreements – similar to Contracts app.
  - Affiliate Appointment Agreements.
  - Non-paid Appointments.
  - Use of electronic signatures for all appointment contracts.
- Mentors – to give department chairs and designees ability to log in and enter mentors for new faculty.

2.5.2 Data-related Tasks
The Office is frequently called upon to provide faculty data that is not maintained institutionally,
often on short notice. In the past, the necessary information has been gathered in an ad hoc manner, with staff members scrambling to determine how to cross reference available data in order to generate the requested information. In some instances, certain types of data had been gathered over the years, but the databases containing the information were poorly designed and/or maintained, thus rendering the data largely inaccessible. In addition, evaluating certain initiatives related to faculty require data that no other offices on campus maintain, so a need exists for a central repository of faculty related data.

Consequently, the Office has undertaken the design of its own databases so that the wide range of faculty-related questions brought to the Office can be more readily answered. Certain data points are available from campus systems, so the new database will draw automatically from campus sources when possible, but other data are specific to the functions of the Office (e.g. vote tallies and status in APT cases). In the same manner that the web site has been updated in both content and function, the data needs of the office will soon be met using a robust relational database, ultimately allowing for meta-analysis in a way that has not been possible to date. While this is directly related to the Lyterati project, some aspects of this initiative go beyond the specific confines of Lyterati.

The importance of data for the Office of Faculty Affairs, and for offices that depend on this data, should be reflected in the creation of a Data Advisory Board (DAB). One issue to consider is whether DAB should advise the Office or, instead, Academic Affairs more generally. Among the many tasks this group should advise on, some are obvious: (i) the possibility of new cooperative products integrating what Lyterati is capable of already with what our local experts can achieve in terms of human/computer interactions; (ii) an updated web-presence, particularly as systems move into the “cloud”; (iii) the multiple issues that arise with regards to MOOCs and other ways of moving education into an electronic era; (iv) a more proactive way of having the academic mission of the university lead in IT solutions to these complex dynamics. Needless to say, DAB should include our best faculty, whose experience in these matters is already well known.

3. Special Initiatives for the Future

Many special initiatives for the Office stem from requirements that arise more generally for the Provost’s Office. Among these, direct ones are the MPower Initiative or relations with the CIC as a result of joining the Big Ten. Some special initiatives stabilize into something more permanent while others dissipate or get assigned to other offices. Recent and ongoing ones include:

- Awards and Distinction: A committee jointly tasked with the Division of Research analyzed internal and external awards on campus (Appendix 09).
- On-campus or UMD-partnered child care remains an unreached goal that keeps emerging until fulfilled.
- Cluster Hires stemmed from a Presidential initiative seeking targeted hires, and some are still under way (a total of five clusters were selected).
- A Committee on Commitment, Alternative FTE, and Consulting Arrangements analyzed a variety of problems emerging in relation to the Policy on Commitment and in situations of entrepreneurial activities that may result in reduced FTE.
- Concerns relating to Degree Verification were analyzed to allow for flexibility in junior star appointments while guaranteeing degree verification, especially from abroad.
- Technical issues arise as a consequence of family-friendly policies over the years, albeit in haphazard fashion reflecting political realities. Various leaves need harmonization.
• MOOCs appeared on the market in 2012 and required rapid action, selecting various courses to fit the bill. Now channeled through a new Associate Provost.
• Diversity-driven Postdocs arise as a possible (long-term) solution to problem of under-represented faculty retention. A committee was put in place to implement the idea.
• Relocation Issues arise in a mobile faculty population, and can be partly addressed with facilities for faculty being hired, in conjunction with Real Estate office.
• Retirement considerations are being addressed by the Advisory Council of Emeriti, including the need to develop best practices to post on the web site.
• The Office will be implementing the recommendations of the Joint Provost-Senate APT Guidelines Task Force.
• A University Club has been an elusive goal for years (see Appendix 10).

Ideally many of these can be related to one another, so that they move from special initiatives into structural concerns and corresponding solutions.

For example,emeriti faculty have helped in the development of a website for retirees, including advice on retirement possibilities and issues that arise pre and post-retirement. This matter, if organized well, can be of strategic importance. Emeriti themselves could also help spearheading efforts to obtain more and better external awards – if the title “Emeritus Professor” is meant seriously. They could also be central participants in activities in a University Club, including initiatives geared towards mentoring the new generation and training new leaders.

With regard to the university club and its value to Faculty Affairs, a solution may be through Adele’s, which is underutilized at times in which Faculty Affairs has scheduled ALFs: for breakfast and into mid morning, or at later afternoon and into happy hour times. Other similar events will happen just because of our joining CIC, and they involve not just university leaders, but also high-profile professors. One can imagine, also, multiple events of the sort that build community, like a “meet the...” series, in which important people (Vice Presidents, Distinguished University Professors, Regents, Distinguished Scholar Teachers, Donors, and others) could sit with a host having a relaxed discussion about their personal history and vision for the university. A “proof of concept” of this sort for the University Club in action has been solicited by many professors, who would be willing even to donate funds for an effort along these lines.

4. Current Staff

4.1 Manager
The Manager, Ms. Elizabeth Wineke, runs the administrative aspects of the Office as a whole, and assumes primary responsibility for the APT process in particular. The Manager attends all APT meetings to ensure smooth operation of the various facets of the process:

• Procedural:
  o Clicker system for anonymous voting at APT meetings and subsequent data analysis.
  o Web-based APT operations with goal of integrating system with Lyterati product.
- Management and oversight of Distinguished University Professor website and selection process.
- Manage hiring and training of office GAs and Administrative Assistant.

**Information-based:**
- Collect and organize APT candidate data
- Use collected APT data to begin discussions with units on improved practices.
- Produce and update FAQs for leave procedures and related mechanisms.
- Produce the first range of answers to policy and procedure questions, forwarding to the Legal Office or the Associate Provost in complex or controversial cases.
- Act as liaison with IT personnel regarding updates to office website and pages.
- Administer the request of leaves/sabbaticals, with the goal of making all such forms electronic in the request and approval process.
- Train Assistant Deans and related personnel on APT matters.

**Organizational:**
- Run two separate APT committees and their corresponding meetings.
- Help coordinate logistics and support for the New Academic Administrators and New Faculty Orientations.
- Schedule and manage all standing committees and many ad hoc meetings.
- Answer questions from staff regarding APT, faculty procedures and policy.
- Supervise staff so as to organize APT process in a timely fashion.
- Supervise Administrative Assistant
- Manage the Associate Provost’s calendar and the office conference room calendar.

### 4.2 Administrative Assistant

The office has hired a new full-time Administrative Assistant, for more complete and consistent administrative support than had been possible with undergraduate student and GA staffing. This Assistant should staff the front desk, answer the phones and assist in clerical and administrative tasks (maintaining and updating databases, making minor updates to the website, scheduling meetings and events, ordering food and other necessaries for meetings/events, scheduling use of the conference room, etc.).

### 4.3 Graduate Assistants

An integral component in the success of the Office has been its Graduate Assistants. The university has excellent graduate programs, many of which specialize in matters that are directly relevant to the functioning of an office whose focus is academic. The GAs report to the Manager and Coordinator, one to each. At the writing of this report, they are Rebecca Follman (Ph.D. candidate in the i-school) and Alison Wilson (M.A. candidate in the College of Education). Both GAs have helped with special initiatives and with preparing APT reports (especially in terms of candidate’s credentials and verifying achievements), they will also each continue to develop special projects consistent with their professional expertise.

Ms. Wilson will be in charge of gathering and summarizing news related to faculty affairs, as well as assisting with collecting best practices from peers, and organizing internal data sets. A large component of her assistantship will include executing training and follow-up support for the campus wide rollout of Lyerati. She will serve as a point of contact responsible for identifying and synthesizing campus wide issues in Lyerati. She will communicate with Entigence to ensure
necessary updates and repairs are completed. Ms. Wilson will contribute to preparing reports and summaries for award processes handled within the office.

Ms. Follman has been critical in the effort to modernize office processes. She has both the technical skills to develop web applications as well as the information design acumen to update and manage the Office's very complex web site. She has single-handedly developed the on-line contract system that will be used for 3000+ Professional Track Faculty appointments across campus, and she managed the transition of the campus-level APT review process from being paper-based to electronic. While Ms. Follman's accomplishments are remarkable, the rate of progress in these efforts is hampered by the fact that Graduate Assistantships are part-time positions. Thus, continuing to expand the application of information technology will be limited unless the Office is able to bring additional resources to the task.

4.4 Coordinator for Faculty Leadership
The role of this coordinator is to run administrative aspects of faculty leadership, assisting the Director. Ms. Goltz also staffed three APT Appeals committees and the joint Provost-Senate APT Guidelines Task Force. Other tasks include:

- **New Faculty**
  - Communicate general information to new faculty, as gathered from individual requests and department lists (TTK and PTK).
  - Organize New Faculty Orientation event before classes start, requiring collaboration with the Division of Research, Human Resources, the Teaching and Learning Transformation Center, the Office of Diversity and Inclusion, and various units.
  - Organize new faculty luncheons.

- **Chairs and Deans**
  - Organize workshops for new academic administrators.
  - Organize the Academic Leadership Forums.
  - Organize selection materials and coordinate information for the CIC Academic Leadership Program and Department Executive Officer Seminar.
  - Chairs’ and Deans’ Reviews:
    - Verify completion of Chairs’ Reviews, compiling them in the Office.
    - Facilitate Deans’ Reviews for the Provost’s Office.

- **Faculty and Administrator Data and Reporting**
  - Help maintain databases for the Office and work with IT to update them as needed.
  - Ad-hoc and annual institutional reporting from office and campus systems.
  - Manage compliance for Outside Professional Activities reporting for Academic Affairs faculty and staff for Provost’s Office.

- **Awards and Faculty Distinction**
  - Organize and serve as staff support in CFAD meetings.
  - Organize applications/nominations for external awards and review processes as needed.
  - Organize Board of Regents Awards applications.
  - Coordinate Distinguished Scholar-Teacher program, including nominations and selection, luncheon, and promotion for lecture series.

- **APT Appeals & Scholarly Misconduct Proceedings**
Coordinate and serve as staff support for committees.

4.5 Director of Faculty Leadership and Mentoring
Professor Marcus has been instrumental in punctual mentoring consideration involving specific faculty members, which need to be kept confidential given their legal implications. He also served on major task forces (e.g. the APT Guidelines joint Provost-Senate Task Force) and as provost representative on important campus committees. In addition this directorship is intended to produce key advice to the Provost and Associate Provost on sensitive matters within its general purview. Being a Distinguished Scholar-Teacher himself, Professor Marcus has also participated in the selection of other honorees. Finally, the APT Appeals Process has been traditionally run by this directorship, so as to make it independent from the APT process itself.

Given the strategic importance of this directorship, a challenge arises. Because the new director and coordinator positions were created from the salary allotted to Dr. Malone’s position, the current compensation structure is not financially sustainable, for the following reason. Initially, 20% of Professor Marcus’s time was bought from his department, but his job has turned into a 50% position – if not more – given his additional roles in CIC-related initiatives and other duties performed in service to the Provost’s Office (e.g. the Budget Task Force). Success in this component of the Office depends on a distinguished and experienced faculty member whose advice is immediately respected by colleagues. An expertise of this nature must be appropriately remunerated and given outstanding staff assistance.

4.6 Director of Faculty Initiatives
The search for the first Director of Faculty Initiatives led to the appointment of Dr. Mark Arnold, former lecturer in the Professional Writing Program. Shortly after Dr. Arnold's appointment, a joint Provost-Senate Task Force was created, for which he provided ex officio support from the Office of Faculty Affairs. In this role, he spearheaded the development and administration of a survey of all PTK faculty (which generated over 850 responses, a 30% participation rate) as well as a survey of all departments and units that make PTK faculty appointments. The decision to survey unit administrators as well as PTK faculty arose out of an awareness that many of the difficulties PTK faculty face are a result of administrative systems that hinder the hiring of PTK faculty and renewing their appointments. Surveying unit administrators was also an example of the office initiative to seek input from all relevant parties. Dr. Arnold's support for the Task Force included drafting the final report and its recommendations. His main policy objective has been to guide the recommendations through the Senate and advise the Senate's Faculty Affairs Committee on the task of transforming the general recommendations in the Task Force report into policy (see Appendix 11).

Dr. Arnold has played a central role in advising the Associate Provost on strategic initiatives of various sorts, and Associate and Assistant Deans regularly consult with him on matters related to PTK faculty appointments. Due to the “special projects” nature of this directorship, Dr. Arnold was, first of all, the force behind the massive move of the Office to its new office suite, including the planning of the new space from demolition to construction. Presently he is the central liaison with Academic Facilities. Moreover, Dr. Arnold has been the Faculty Affairs supervisor of the due diligence involved in procuring the Lyterati project. After this was completed, Dr. Arnold organized the complex data ingestion process, which started in July 2014 with an update of the official CV to accommodate current faculty needs. The goal for this project is eventually to encompass all our faculty, tenure- and professional-track, extension faculty and librarians, in a
genuinely unified fashion. This is, thus, the model of what the office needs to achieve.

4.7 Integrating the Directorships
The Office functions as an organism, where each organ contributes to others and the whole, with timely, honest, direct, and positive feedback. Although pragmatic reasons have resulted in the Director of Faculty Leadership focusing on TTK faculty, while the Director of Faculty Initiatives has focused on PTK faculty, more and more each of them is contributing to the other’s focus. Obviously leadership and mentoring are relevant to all faculty, not just TTK faculty; similarly, the entrepreneurial nimbleness and specialized creativity associated with PTK faculty appointments has important consequences for all faculty, not just PTK faculty.

Consequently a next phase for the Office ought to emphasize an even greater integration, which has already begun to happen in various ways. For instance:

- The Director of Faculty Initiatives has already:
  o Performed ad hoc analyses of faculty-related data (in general, i.e. for both TTK and PTK cohorts) for Academic Affairs and Academic Planning and Programs.
  o Begun collaboration with teaching-related institutions (Center for Teaching Excellence, Learning Technologies and Environments) to enhance teaching.
  o Spearheaded the Lyterati procurement process involving various outside constituencies.

- The Director of Faculty Leadership has already:
  o Begun consulting with CIC colleagues on PTK policies and best practices.
  o Begun to plan mentoring for PTK faculty.
  o Studied how to integrate a broadly construed ADVANCE office into Faculty Affairs.

- Both Directors have already:
  o Consulted one another on specific issues, both narrow and broad.
  o Advised the Associate Provost, separately and jointly, on strategic matters.
  o Been part of all major office initiatives, advisory groups, fora, etc.

Future interleaved activities should strengthen these partnerships for all faculty. The most immediate challenge is how to specifically integrate the ADVANCE project, so that, while it focuses on women and under-represented minorities, its best practices extend to all faculty. Similarly, the new staff that may come from ADVANCE-related activities needs to be integrated into the workings of the office as a whole. Also, obvious opportunities exist, for instance, within the MPower initiative and all its consequences on campus, strategic investments in the Shady Grove campus, relations with the Office of Diversity and Inclusion, the Academy for Innovation and Entrepreneurship, the new Provost-driven teaching initiatives, etc.

5. Conclusion

In the two decades since it was created, the Office defined itself, first, as a service to our faculty and next as a locus of initiatives to foster integrative excellence. Aside from seeking partnerships within the university, the mission of the Office is to reach out beyond the Provost’s Office to other entities that can help execute a vision of this sort.

While progress seems clear, challenges exist. The Office has a reputation of “caring about
faculty” and “pushing the envelope”. The issue is how to keep and enhance this reputation with new initiatives when funds are tight and demands growing. The project is certainly at risk if the directorships cannot be solidified with proper budgeting and significant support.

The Office prides itself in its staff and the way they relate to and challenge one another. A large component of this stems from the hiring of superb graduate students, whose area of professional expertise is academic affairs. As these individuals graduate, though, a better job for their future – or a position with administration – should be secured for them.

The main challenge for the Office is that it could become a “victim of its own success”. Right now job descriptions are vast and, consequently, only a small amount of time can be dedicated to each project. While interactive staff remains a must for this sort of office, it is important that new elements that get added in the future understand this culture and its consequences.