

January 29, 2014

**MEMORANDUM**

**TO:** University Senate Members

**FROM:** Vincent Novara  
Chair of the University Senate

**SUBJECT:** University Senate Meeting on Wednesday, February 5, 2014

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The next meeting of the University Senate will be held on Wednesday, February 5, 2014. The meeting will run from **3:15 p.m. – 5:00 p.m.**, in the **Atrium of the Stamp Student Union**. If you are unable to attend, please contact the Senate Office<sup>1</sup> by calling 301-405-5805 or sending an email to [senate-admin@umd.edu](mailto:senate-admin@umd.edu) for an excused absence. Your response will assure an accurate quorum count for the meeting.

**The meeting materials can be accessed on the Senate Web site. Please go to <http://www.senate.umd.edu/meetings/materials/> and click on the date of the meeting.**

**Meeting Agenda**

1. Call to Order
2. Approval of the November 13, 2013, Senate Minutes (Action)
3. Report of the Chair
4. Alignment of Procurement Contracts with UM Non-Discrimination Values (Senate Doc. No. 12-13-29) (Information)
5. Review of the Evidentiary Standards in the Code of Student Conduct (Senate Doc. No. 12-13-30) (Information)
6. Nominations Committee Slate 2013-2014 (Senate Doc. No. 13-14-10) (Information)
7. PCC Proposal to Establish a New Upper-Division Certificate in Leadership Studies (Senate Doc. No. 13-14-12) (Action)
8. PCC Proposal to Establish a Bachelor's Program in Early Childhood Education and Early Childhood Special Education (Senate Doc. No. 13-14-19) (Action)

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<sup>1</sup> Any request for excused absence made after 1:00 p.m. will not be recorded as an excused absence.

9. PCC Proposal to Establish a Master of Science in Accounting (Senate Doc. No. 13-14-21) (Action)
10. PCC Proposal to Establish a Master of Science in Information Systems (Senate Doc. No. 13-14-22) (Action)
11. PCC Proposal to Establish a Master of Science in Marketing Analytics (Senate Doc. No. 13-14-23) (Action)
12. PCC Proposal to Establish a Master of Science in Supply Chain Management (Senate Doc. No. 13-14-24) (Action)
13. Special Order of the Day  
Bradley Hatfield  
Chair, Joint Provost/Senate APT Guidelines Task Force  
*Progress Report & Guiding Principles*
14. Special Order of the Day  
Kumea Shorter-Gooden  
Chief Diversity Officer & Associate Vice President  
*Revisions to the Search & Selection Guidelines*
15. New Business
16. Adjournment

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<sup>1</sup> Any request for excused absence made after 1:00 p.m. will not be recorded as an excused absence.

## **University Senate**

November 13, 2013

### **Members Present**

Members present at the meeting: 103

### **Call to Order**

Senate Chair Novara called the meeting to order at 3:25 p.m.

### **Approval of the Minutes**

Chair Novara asked for additions or corrections to the minutes of the October 10, 2013 meeting. Hearing none he declared the minutes approved as distributed.

### **Report of the Chair**

#### Plan of Organization Feedback

Novara stated that the Plan of Organization Review Committee was elected at the October Senate meeting and subsequently charged with conducting a thorough review of the Plan and making suggestions for revisions where necessary.

The Committee will conduct its review during the 2013-2014 academic year. PORC will work with administrative offices of the University to collect institutional data regarding population trends of the various constituent groups on campus. The Committee will ensure that any recent changes to administrative structures and titles are reflected in the revised document. In addition, PORC will review changes to Senate and standing committee memberships and consider issues of representation since the last review was conducted.

The committee is in the beginning stages of its review and would like to gather broad feedback from the campus community. Novara encouraged senators to send their thoughts on issues related to the Committee's charge by sending an email to [porcfeedback@umd.edu](mailto:porcfeedback@umd.edu). All feedback will be reviewed by the Committee and kept confidential. The deadline to submit comments is Monday, November 25, 2013.

#### Campus Safety Survey

Novara stated that the Senate Campus Affairs Committee is charged with gathering community input on safety and security issues at the University. In past years, the committee has held an annual Campus Safety Forum, and has submitted an informational report to the Senate to fulfill its charge. This year, the

committee would like to gather feedback from the Senate to identify top safety concerns or issues.

The committee has created a brief four-question survey available on the Senate website (senate.umd.edu), and asks that all Senators provide feedback on behalf of their constituents. The committee expects that with the senators' participation, it will be able to address its charge in a meaningful way. Novara encouraged senators to visit the Senate webpage to participate in the survey.

#### BOR Staff Awards

Novara stated that the Staff Affairs Committee is currently accepting nominations for the prestigious Board of Regents' Staff Awards. Eight individuals within the University System of Maryland will be selected as award recipients, including one non-exempt and one exempt staff member for each of the four award categories. Recipients will receive a \$1,000 award and system-wide recognition. Nomination packages must be submitted to the Senate Office by Friday, December 20th. Novara encouraged senators to support fellow staff colleagues and nominate a staff member for an award. He asked senators to contact the Senate Office or visit the Senate website for more information. He stated that this is an excellent opportunity for our staff employees to be recognized for the amazing work that they do.

#### CIC Governance Conference

Novara stated that he and Reka Montfort attended the Committee on Institutional Cooperation (CIC) Faculty Governance Leaders Conference at Indiana University. This was the first time that the UMD sent a contingent representing the University Senate. The conference took place over two days and featured presentations from an assortment of administrators at Indiana on topics including the future of shared governance, scholarly communications, diversity, graduate education, and interacting with trustees and regents. From meeting with our new colleagues, we discovered that the other CIC governance bodies are facing many of the same issues that we are -- such as non-tenure track faculty concerns, diversity, and even parking. At the conclusion of the conference there was a brainstorming session looking to future conferences and how we can keep some action moving during the interim. Montfort and her counterparts in the CIC are working with shared governance leaders by developing a "blueprint" for collaboration throughout the year as well as a structure for the host institution to follow when planning future conferences. The 2014 conference will be held at Ohio State University.

**Special Order of the Day**  
**Wallace D. Loh**  
**President of the University of Maryland, College Park**  
***2013 State of the Campus Address***

Chair Novara welcomed President Loh to present his address. President Loh thanked Novara and the Senate for the opportunity to address them and thanked everyone for attending.

#### New Administrators

President Loh introduced Alexander Triantis, Dean of the Robert H. Smith School of Business and Martin Wollesen, the new Executive Director of the Clarice Smith Performing Arts Center. He also introduced Kelley Bishop, the new Director of the University Career Center. Loh also recognized the President of the Student Government Association (SGA) Samantha Zwerling and her cabinet. He noted that Zwerling was elected by her peers in the CIC to organize the Congressional lobbying effort on behalf of all of the CIC student governments.

#### Excellence at the University

Loh stated that the state of the campus is strong and will continue to be because of the excellence of the members of our community. The faculty and staff are the lifeblood of the University, and our reputation is also shaped by the quality of our students and excellence of our graduates.

#### Agenda for 2020

Loh announced his agenda for 2020, which included transformative excellence in education, research, and the arts, as well as the redevelopment of the Route 1 corridor leading to campus in College Park.

Transformative excellence in undergraduate education will include how to educate more, educate better, and educate cheaper. We are increasing the number of STEM (Science, Technology, Engineering, Math) graduates, which aligns with national and State trends. We have received State funding for an additional 300 STEM majors, which will be phased in over the next three years. We are also providing a better learning experience in order to increase our graduation rates. As of 2013, our graduation rate climbed from 82% to 84% and our goal by 2020 is to reach 90%. We will have smaller classes by investing money into reducing the size of introductory courses, increasing the number of living and learning communities, and expanding experiential opportunities. We will reimagine doctoral education by rethinking the curriculum (*i.e.*, the number of years of required courses), rethinking the requirements for a PhD, and deciding how best to prepare our students for careers outside academia.

Technology and digital education will be part of the solution to educate more affordably. The University has created a new learning transformation center to combine efforts from the excellent faculty, our information technology resources, and learning analytics and assessment. This venture will dramatically increase the number of online courses, MOOC (massive open online courses) courses, and blended education.

Loh highlighted the achievements of several faculty including S. James Gates who received the National Medal of Science from President Obama, the twenty-two faculty who were involved in the discovery of the “God Particle,” and many other accomplishments. Transformation in research will include investing in faculty, research facilities, and strategic partnerships. In the last three years, we have hired 262 new tenured/tenure-track faculty, with a 60 person net increase in faculty (\$9M faculty investment per year). We have also hired an additional 88 new research faculty. Loh raised concerns about the “revolving door” where faculty hired are not being promoted or retained at a high rate, especially for minority faculty. We have invested resources to level the rates based on gender, so we will need to make a similar investment for minority faculty. A new data center with a super computer (10<sup>th</sup> fastest computer) to support faculty research will be ready in the spring of 2014. We are investing approximately \$600M in research facilities to support the research enterprise of the university by 2020.

Loh commented that strategic partnerships with other universities, the federal government, and the private sector are integral parts of our future. He noted that the MPower Initiative with the University of Maryland Baltimore (UMB) has generated 40 potential joint appointments; 66 joint proposals, including \$18M for a tobacco research center on regulatory science; a new Institute for Health-Related Informatics and Bio-Imaging; and joint efforts in biotechnology. Loh stated that the University is investing \$13M and 10 new faculty in the Institute for Bioscience and Biotechnology Research (IBBR) in Shady Grove with UMB. He noted his recent meeting with the Presidents of UMB, Johns Hopkins University, the Director of the National Institute of Standards & Technology (NIST), and the CEOs and boards of MedImmune and AstraZeneca to collaborate in basic research, incubate startup companies, and accelerate that into the next generation of experimental therapeutics. The goal is to make the I-270 corridor one of the top five hubs for biotechnology in the country. The challenges include what Loh terms “the red threat” (the red ink or continued deficit by the federal government), which has manifested itself in the current sequestration process.

Loh commented on transformative excellence in the arts by noting the proposed partnership with the Corcoran Gallery of Art. This partnership would allow the University to elevate the standing of the arts to include new majors, while magnifying our presence in the Nation’s Capital, and providing access to a new pool of donors. We will know in the next 2-3 months whether this partnership will go forward.

Loh commented on plans to transform the main street of College Park. In order to bring more faculty and staff to College Park, we are providing access to better education through the College Park Academy, an increased sense of safety with additional police officers, vehicles, and security cameras, and an exchange of land to build 20-30 faculty houses in Calvert Hills. He also mentioned plans for a new hotel, the demolition of the Book Exchange for a new apartment complex and retail space, property that has been bequeathed to the University, and the

Knox Village development that will begin construction during the summer of 2014. By 2020 there will be mixed-use of new facilities coexisting with retail stores. The one outstanding problem is the continued and increasingly projected gridlock anticipated on Route 1 by 2030.

#### Construction Initiatives

Loh noted plans for several new buildings on campus including a new residence hall near Van Munching Hall (Prince Frederick Hall opening in fall 2014), the St. John Teaching and Learning Center (opening in 2016), the College Park Academy (a new public charter school in College Park), and plans for a new bioengineering building (breaking ground late fall 2014). He also noted the impending opening of the new Physical Sciences Complex in April 2014. The University is working on plans for a new biosciences research support facility for faculty offices and labs. New chemistry labs will be included in the St. John Teaching and Learning Center and the Chemistry building will be renovated.

#### Budget Concerns

Because of sequestration, our University has lost \$38M since last March. Our federal funding has decreased by 7%. If there is no solution, by next January, sequestration will be even deeper. We are lobbying on behalf of science, technology, and innovation. We are working with the Deans to develop a new strategic budgeting process by which fund balances will be invested in priorities in education and research. We will continue to develop strategic partnerships such as Siemens' gift of the Product Life Management (PLM) software that will transform advanced manufacturing in the College of Engineering. We are hiring 30-40 new people in University Relations to help raise money for the University.

Loh noted that Faculty and staff would receive a Cost of Living Adjustment (COLA) of 3% in January 2014, an average merit increase of 2.5% in April 2014, and potentially another average 2.5% merit increase in July 2014. Earlier this summer, the State was projecting a surplus but now is projecting a deficit of \$400M. We have been asked to prepare a 1% budget reduction.

President Loh stated that transformation is not easy or quick and is not without resistance. He pledged to work with the University Senate to create a greater University of Maryland by 2020.

Novara thanked President Loh for his presentation. There were no questions from the floor.

#### **PCC Proposal to Establish a New Area of Concentration in Physical Activity for the Master of Public Health (Senate Doc. No. 13-14-08) (Action)**

Marilee Lindemann, Chair of the Programs, Curricula, and Courses (PCC) Committee, presented the proposal to establish a new area of concentration in

Physical Activity for the Master of Public Health and provided background information.

Novara opened the floor to discussion of the proposal; hearing none, he called for a vote on the proposal. The result was 81 in favor, 2 opposed, and 3 abstentions. **The motion to approve the proposal passed.**

**PCC Proposal to Establish a Doctoral Program in Teaching and Learning, Policy and Leadership (TLPL) (Senate Doc. No. 13-14-09) (Action)**

Marilee Lindemann, Chair of the Programs, Curricula, and Courses (PCC) Committee, presented the proposal to establish a doctoral program in Teaching and Learning, Policy and Leadership (TLPL) and provided background information.

Novara opened the floor to discussion of the proposal; hearing none, he called for a vote on the proposal. The result was 82 in favor, 1 opposed, and 3 abstentions. **The motion to approve the proposal passed.**

**New Business**

Senator MacDevitt, Faculty, College of Arts & Humanities, stated that he was disheartened by the video presented at the October 2013 Senate Meeting by Peter Weiler, Vice President for University Relations. He had raised concerns about the “masculine” message conveyed in the video. MacDevitt stated that he had been in contact with Brian Ullmann, Assistant Vice President of Marketing and Communications, who confirmed that the video would be revised to incorporate positive images of women.

**Adjournment**

Senate Chair Novara adjourned the meeting at 4:35 p.m.



## University Senate TRANSMITTAL FORM

<b>Senate Document #:</b>	12-13-29
<b>PCC ID #:</b>	N/A
<b>Title:</b>	Alignment of Procurement Contracts with UM Non-Discrimination Values
<b>Presenter:</b>	Terry Owen, Chair, Senate Equity, Diversity, & Inclusion (EDI) Committee
<b>Date of SEC Review:</b>	11/25/2013
<b>Date of Senate Review:</b>	02/05/2014
<b>Voting (highlight one):</b>	<ol style="list-style-type: none"> <li>1. On resolutions or recommendations one by one, or</li> <li>2. In a single vote</li> <li>3. To endorse entire report</li> <li>4. For information only</li> </ol>
<b>Statement of Issue:</b>	<p>The EDI Committee was charged by the Senate Executive Committee (SEC) on November 21, 2012 with reviewing a proposal submitted by a University staff member. The proposal expressed concern that the University's policies on procurement and/or the contracting of vendors do not appear to contain criteria for selection that focus on adhering to the campus diversity goals as stated in the University's strategic plan for diversity, <i>Transforming Maryland: Expectations for Excellence in Diversity and Inclusion</i>, and in such policies as the University's <i>Code on Equity, Diversity, and Inclusion</i> (<a href="#">VI-1.00(B)</a>), the University of Maryland College Park's Policy on Inclusive Language (<a href="#">VI-1.00(C)</a>), and the University System of Maryland's (USM) Policy of Non-Discrimination on the Basis of Sexual Orientation and Gender Identity or Expression (<a href="#">VI-1.05</a>). To meet the University's goals for diversity and inclusion, the proposer stated that campus contractors should adhere to these standards and the procurement process should take these policies into account when granting contracts to vendors.</p>
<b>Relevant Policy # &amp; URL:</b>	<p>'Non-Discrimination in Employment' provision, USM Procurement Policies and Procedures:  <a href="http://www.usmd.edu/regents/bylaws/SectionVIII/apptrme.html">http://www.usmd.edu/regents/bylaws/SectionVIII/apptrme.html</a></p>
<b>Recommendation:</b>	<p>The EDI Committee maintains that the USM Procurement Policies and Procedures are aligned with the University's values on non-discrimination. Therefore, the EDI Committee does not recommend</p>

	<p>any changes to the Procurement Policies and Procedures, given the fact that the Department of Procurement and Supply has voluntarily adopted the State Code of Maryland Regulations (COMAR) regulations, and non-discrimination on the basis of sexual orientation and gender identity is covered by a separate USM policy. The EDI Committee endorses the current practices that the Department of Procurement and Supply has in place in order to comply with University and State non-discrimination policies and regulations.</p>
<b>Committee Work:</b>	<p>The EDI Committee began discussing this charge at the end of the fall 2012 semester. During the spring 2013 semester, the EDI Committee met with a number of relevant experts, including the proposer, the Director of Business Diversity from the Department of Procurement and Supply, and the Senior Associate Director from University of Maryland Department of Dining Services. The EDI Committee also reviewed guidance that had been provided by the University's Office of Legal Affairs. In addition, the committee read and discussed the relevant policy and procedure documents, as assigned by the SEC. The committee conducted a thorough review for this charge and ultimately found that the current processes utilized by the Department of Procurement and Supply, as well as by the Department of Dining Services for vendors in the Stamp Student Union, incorporate the University's stated diversity goals in documents, communications, and other procedures for contract negotiations and agreements.</p>
<b>Alternatives:</b>	To not accept the report of the EDI Committee.
<b>Risks:</b>	There are no associated risks.
<b>Financial Implications:</b>	There are no financial implications.
<b>Further Approvals Required:</b>	N/A

**Senate Equity, Diversity, & Inclusion (EDI) Committee**  
**Senate Document 12-13-29**  
**Alignment of Procurement Contracts with UM Non-Discrimination Values**  
**Report**  
**November 2013**

**BACKGROUND**

In the Fall of 2012, a University of Maryland staff member submitted a proposal to the Senate Executive Committee (SEC) and expressed concern that the University's policies on procurement and/or the contracting of vendors do not appear to contain criteria for selection that focus on adhering to the campus diversity goals as stated in the University's strategic plan for diversity, *Transforming Maryland: Expectations for Excellence in Diversity and Inclusion*, and in such policies as the University's *Code on Equity, Diversity, and Inclusion* ([VI-1.00\(B\)](#)), the University of Maryland College Park's Policy on Inclusive Language ([VI-1.00\(C\)](#)), and the University System of Maryland's (USM) Policy of Non-Discrimination on the Basis of Sexual Orientation and Gender Identity or Expression ([VI-1.05](#)).

To meet the University's goals for diversity and inclusion, the proposer stated that campus contractors should adhere to these standards and the procurement process should take these policies into account when granting contracts to vendors.

In November 2012, the SEC charged the Equity, Diversity, & Inclusion (EDI) Committee to review the relevant procurement policies and procedures and to recommend whether they require revision in order to be consistent with the University's non-discrimination policies as well as with the University's stated values related to diversity and inclusion (Appendix 1).

Specifically, the EDI Committee was asked to review the following documents:

- ❖ The 'Non-Discrimination in Employment' provision of the USM Procurement Policies and Procedures <http://www.usmd.edu/regents/bylaws/SectionVIII/apptme.html> (Appendix 2)
- ❖ The 'Commercial Non-Discrimination Clause' of the Code of Maryland Regulations ([COMAR 21.07.01.26](#)) required under State law and Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland (Appendix 3)
- ❖ The University's Principles of Social Responsibility and Social Responsibility Affidavit Information (Appendix 4)
- ❖ The USM Policy of Non-Discrimination on the Basis of Sexual Orientation and Gender Identity or Expression ([VI-1.05](#)) (Appendix 5)

Each of these documents is described in the following section.

The SEC also asked the EDI Committee to consult with a representative from the Department of Procurement and Supply and the University's Office of Legal Affairs during its review. The SEC asked the EDI Committee to consider whether the University should recommend that the USM

Procurement Policies and Procedures should be revised to align with the University's values of non-discrimination.

## RELEVANT POLICIES AND PROCEDURES

As assigned by the SEC, the EDI Committee reviewed the following relevant policy documents during the review process.

- ❖ The 'Non-Discrimination in Employment' provision of the USM Procurement Policies and Procedures <http://www.usmd.edu/regents/bylaws/SectionVIII/apptrme.html>

The 'Non-Discrimination in Employment' provision of the USM Procurement Policies and Procedures is mandatory for all contracts. It focuses on the prevention of employment discrimination and the following clause is preferred:

The Contractor agrees (a) not to discriminate in any manner against an employee or applicant for employment because of race, color, religion, creed, age, sex, marital status, national origin, ancestry, or physical or mental handicap unrelated in nature and extent so as reasonably to preclude the performance of such employment; (b) to include a provision similar to that contained in subsection (a), above, in any subcontract except a subcontract for standard commercial supplies or raw materials; and (c) to post and to cause subcontractors to post in conspicuous places available to employees and applicants for employment, notices setting forth the substance of this clause.

The EDI Committee learned that any revisions to the language of the USM policy require approval of the Board of Regents (BOR). When USM was given authority by the General Assembly to adopt its own procurement policies and procedures in 1999, this authority was subject to review and approval by the Board of Public Works (BPW) and the Joint Committee on Administrative, Executive, and Legislative Review of the General Assembly (AELR). The current procurement policies, including the 'Non-Discrimination in Employment' provision, have been approved by BPW and the AELR in accordance with this stipulation and any change to the policy language would also require approval of the BPW and the AELR.

- ❖ The 'Commercial Non-Discrimination Clause' of the Code of Maryland Regulations ([COMAR 21.07.01.26](#))

The 'Commercial Non-Discrimination Clause' of the Code of Maryland Regulations is required under State law, as described in the Annotated Code of Maryland, State Finance and Procurement Article and COMAR 21.07.01.26 and focuses on a broad scope of discriminatory practices. It is the EDI Committee's understanding that the clause may not apply to USM contracts but the Department of Procurement and Supply has voluntarily adopted the clause and requires it for all contracts greater than \$100,000.

Any alteration of the language of the clause would be subject to the same review and approval process as the USM provision. However, it is the EDI Committee's understanding that any modification to the text of the COMAR regulation may also be subject to the notice, publication, and public hearing requirements set forth in the Administrative Procedures Act (APA).

The 'Commercial Non-Discrimination Clause' is written as follows:

A. The following provision is mandatory for all State contracts and subcontracts: "As a condition of entering into this Agreement, Contractor represents and warrants that it will comply with the State's Commercial Nondiscrimination Policy, as described under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland. As part of such compliance, Contractor may not discriminate on the basis of race, color, religion, ancestry, national origin, sex, age, marital status, sexual orientation, disability, or other unlawful forms of discrimination in the solicitation, selection, hiring, or commercial treatment of subcontractors, vendors, suppliers, or commercial customers, nor shall Contractor retaliate against any person for reporting instances of such discrimination. Contractor shall provide equal opportunity for subcontractors, vendors, and suppliers to participate in all of its public sector and private sector subcontracting and supply opportunities, provided that this clause does not prohibit or limit lawful efforts to remedy the effects of marketplace discrimination that have occurred or are occurring in the marketplace. Contractor understands that a material violation of this clause shall be considered a material breach of this Agreement and may result in termination of this Agreement, disqualification of Contractor from participating in State contracts, or other sanctions. This clause is not enforceable by or for the benefit of, and creates no obligation to, any third party.

B. The following provision is mandatory for all State contracts: "As a condition of entering into this Agreement, upon the request of the Commission on Civil Rights, and only after the filing of a complaint against Contractor under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland, as amended from time to time, Contractor agrees to provide within 60 days after the request a complete list of the names of all subcontractors, vendors, and suppliers that Contractor has used in the past 4 years on any of its contracts that were undertaken within the State of Maryland, including the total dollar amount paid by Contractor on each subcontract or supply contract. Contractor further agrees to cooperate in any investigation conducted by the State pursuant to the State's Commercial Nondiscrimination Policy as set forth under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland, and to provide any documents relevant to any investigation that are requested by the State. Contractor understands that violation of this clause is a material breach of this Agreement and may result in contract termination, disqualification by the State from participating in State contracts, and other sanctions.

❖ The University's Principles of Social Responsibility and Social Responsibility Affidavit Information

As provided for in Section VIII.C. of the USM Procurement Policies and Procedures, the University is required to make purchases from and award contracts to "responsible" contractors. In order to determine whether a vendor is responsible, the Procurement Officer may use certain factors, including but not limited to a satisfactory record of integrity and business ethics. To assist in making this determination, the Department of Procurement and Supply requires all vendors of contracts with the University greater than \$100,000 to sign the University's Principles of Social Responsibility and Social Responsibility Affidavit Information form.

By signing the affidavit, the vendor affirms that, during the last five years,

1) There has been no judgment made against the vendor for noncompliance with federal or state labor relations and other employment laws or regulations.

2) There has been no violations of federal or state non-discrimination in employment laws or regulations, including but not limited to laws prohibiting discrimination on the basis of race, color, religion, ancestry or national origin, sex, age, marital status, sexual orientation, or disability unrelated in nature and except so as to reasonably preclude the performance of the employment, except as explained.

3) There has been no final, non-appealable judgment made against the vendor for violation of the State of Maryland Commercial Non-Discrimination Policy, State Finance and Procurement Article or the Annotated Code of Maryland.

4) There have been no instances of failure by the vendor to meet mutually agreed upon goals for minority business participation (MBE) on projects performed for the University or any other State of Maryland agency, or any other sanctions for MBE program non-compliance; or any final, non-appealable judgment of noncompliance with the State of Maryland Minority Business Participation law, State Finance and Procurement Article, or the Annotated Code of Maryland.

5) There has been no final, non-appealable judgment made against the vendor for violation of federal or state health, safety or environmental laws or regulations.

This information is used by the Department of Procurement and Supply to determine if the vendor is responsible or not.

❖ The USM Policy of Non-Discrimination on the Basis of Sexual Orientation and Gender Identity or Expression ([VI-1.05](#))

The policy specifically prohibits discrimination against students, faculty, and staff on the basis of sexual orientation or gender identity and expression in academic admissions, financial aid, educational services, housing, student programs, and activities, recruitment, hiring, employment, appointment, promotion, tenure, demotion, transfer, layoff or termination, rates of pay, selection for training and professional development, and employee services.

According to the policy, the protections should be included in all appropriate USM and institution equal opportunity statements and related documents. Each institution must include the protections of the policy in its procedures to implement and enforce its equal opportunity and non-discrimination policies, including the identification of those officials responsible for receiving, investigating, and resolving complaints of discrimination prohibited by the policy.

## **COMMITTEE WORK**

The EDI Committee began discussing this charge at the end of the fall 2012 semester. During the spring 2013 semester, the EDI Committee met with a number of relevant experts. In February 2013, the EDI Committee met with the Director of Business Diversity from the Department of Procurement and Supply to discuss the topic and learn about current practices. In March 2013, the EDI Committee met with the proposer to discuss his concerns and suggestions. In April 2013, the EDI Committee met with the Senior Associate Director from University of Maryland Department of Dining Services to learn more about how vendors for the Stamp Student Union food court are selected. The EDI Committee also reviewed guidance that had been provided by the University's Office of Legal Affairs. In addition, the EDI Committee read and discussed the relevant policy and procedural documents, as assigned by the SEC and described in the previous section of this report.

Due to the complex nature of this review, the EDI Committee found that it would not be able to meet its original deadline of March 29, 2013. Thus, in March 2013 the EDI Committee submitted a request for a deadline extension to the SEC. The SEC granted an extension until December 13, 2013.

The incoming EDI Committee continued to work on this charge throughout the fall 2013 semester.

## **COMMITTEE FINDINGS**

In gathering information about the Department of Procurement and Supply processes for securing contracts for the University, the EDI Committee focused on whether the University's policies on procurement and/or the contracting of vendors adhere to the campus diversity goals.

During its review, the EDI Committee learned that the Department of Procurement and Supply requires all vendors to acknowledge that they will not discriminate in their employment practices. The Principles of Social Responsibility and Social Responsibility Affidavit Information form was developed locally by Procurement and Supply with the assistance of the Office of Legal Affairs and the University is the only agency of the State using this tool. Language in the University's solicitations and other contract documents stress the importance of diversity and non-discrimination values and include mandatory language from State law and regulations, which are consistent with the University's diversity goals and values.

In addition, the following documents and affidavits are submitted with bids/offers greater than \$100,000 and become part of the contract of the firm awarded the project:

- a. Commercial Non-discrimination Affidavit
- b. Non-Discrimination in Employment Affidavit
- c. Social Responsibility Affidavit
- d. Minority Business Enterprise (MBE) Participation Plan listing the specific MBE firms and percentages/dollars that will be subcontracted to meet the MBE goal/subgoals stated in the solicitation. If a bidder cannot meet the MBE goal/subgoals, there is a rigorous MBE waiver process. The MBE Participation Plan is enforced by State law and regulations.

There is standard, less formal, diversity language in solicitations and contracts under \$100,000. State law applies, but the paperwork burden of formal affidavits is not required at this dollar level. Since socioeconomic programs are fertile ground for new State law and regulations, the Department of Procurement and Supply regularly reviews the standard solicitation and contract language in their document templates. The University's diversity goals and values are incorporated from beginning to end of the procurement process.

The EDI Committee also learned that USM is committed to promoting business with State Use Industries, the Blind Industries and Services of Maryland, and the minority business community. The EDI Committee found that the University also endeavors to achieve and exceed the current State goal for minority owned business participation. The University supports the State of Maryland and the Federal Minority and Small Disadvantaged Programs. University employees are encouraged to utilize minority, small, and disadvantaged vendors when making purchases with the UM Purchasing Card and establishing subcontracts. In addition, the State of Maryland's Small Business Reserve Program requires Maryland State Agencies, including the University of Maryland, to reserve at least 10 percent of their total procurements each year for

competition exclusively among Maryland-certified Small Business Enterprises. The overall goal is to increase economic opportunities for small businesses.

The committee found that the Department of Procurement and Supply subscribes to the Code of Ethics as set forth by the National Association of Educational Buyers in 1985. One point in the Code of Ethics is to, "Make every reasonable effort to negotiate an equitable and mutually agreeable settlement of any controversy with a supplier, and/or be willing to submit any major controversies to arbitration or other third party review, insofar as established policies at my institution permit."

Past concerns about corporate behavior resulted in recent petitions to boycott or remove vendors from campus, specifically food establishments in the Stamp Student Union food court. For example, a 2012 petition received approximately 1,000 signatures requesting Chick-fil-A to be removed from Stamp Union in protest of the anti-gay comments made by the president of the company. In addition, McDonald's has faced numerous petitions and protests in years past due to animal welfare concerns. However, protests or petitions have not resulted in a vendor being removed from the food court. A vendor contract is generally not renewed due to business underperformance or weak revenues. The EDI Committee learned that Stamp Union food court establishments are administered by the Department of Dining Services and these agreements are not subject to administration by the Department of Procurement and Supply but are negotiated by the Office of Legal Affairs. Therefore, the EDI Committee consulted with representatives from Dining Services to learn more about the process of contracting with vendors for the Stamp Union.

The EDI Committee found that the University either has leases with the operators of the establishments in the Stamp Union food court or there are agreements allowing the University to operate the establishment with its own employees under franchise or license agreements. Currently, a few of the locations are leased by the Stamp Union to the franchisor; these include McDonald's, Panda Express, Saladworks, Moby Dick's Express, and Sushi by Panda. The remaining locations (Sbarro, Taco Bell, Chick-fil-A, Auntie Anne's, Subway, and Starbucks) are owned and operated by the University, with university employees, under franchise or license agreements and all profits go to the campus.

If space becomes available, vendors submit a short operating statement and a sample menu. Dining Services uses this information to judge which concepts would complement, rather than compete with the current offerings in the food court. Dining Services checks references, verifies that the business is authorized to conduct business in the State of Maryland, and verifies that it has a certificate of good standing filed with the State. Dining Services also reviews the business's Uniform Offering Circular (UOC), if one is required by Maryland State law. The UOC is filed with the Maryland Secretary of State and includes details about what legal issues the company has had in the last few years or if any are currently pending. Dining Services provides the Stamp Union with a list of suitable concepts and the Stamp Union consults with the Stamp Advisory Board for input on whether a new vendor should be introduced to the food court.

The Stamp Advisory Board is responsible for the review of retail and food outlets in the Stamp Union along with a number of other responsibilities. Members on the Stamp Advisory Board are appointed by the Student Government Association and the Graduate Student Government. At-large members are selected through an application procedure. Persons interested in serving as at-large representatives must complete an application form and submit it for review by the Stamp Advisory Board. More information about the Stamp Advisory Board is provided in Appendix 6.

After all concepts have been reviewed, the Stamp Union sends their selections to Dining Services. The Office of Legal Affairs, with assistance from Dining Services, negotiates a franchise agreement for the university to operate the unit or a lease/license agreement to “rent” the space to an outside vendor.

The EDI Committee learned that Dining Services cannot change a lease with a vendor during the term of the lease, unless the lessee agrees to the changes. In addition, all agreements are subject to current Maryland State law. If the lease agreement includes any campus policy information, the policies will still apply to the lessee even if the text of the policies change during the term, provided that they are not in conflict with State law or any other conditions of the agreement. All units operated by the University must continuously operate in accordance with State law and University policy. For example, if a complaint of harassment or other discriminatory practice is filed in relation to a leased space in the food court, the University requires the company to provide information about the incident, holds the leased vendor to the same standards as if they were a University entity, and the incident is reviewed by the appropriate University staff.

The initial proposal that was submitted to the SEC asserted that the University’s policies on procurement and/or process of contracting vendors do not appear to contain criteria for selection that focuses on adhering to the campus diversity goals as stated in *Transforming Maryland: Expectations for Excellence in Diversity and Inclusion*, or as outlined in existing policies such as the *Code of Equity, Diversity, and Inclusion*, the University of Maryland College Park Policy on Inclusive Language, or the USM Policy of Non-Discrimination on the Basis of Sexual Orientation and Gender Identity or Expression. However, text excerpts from Stamp Student Union space license agreements indicate that Dining Services does expect vendors to adhere to these principles. Space license agreements customarily include information about the COMAR Commercial Non-Discrimination Clause, the University’s *Code on Equity, Diversity, and Inclusion*, and the related non-discrimination commitments. The EDI Committee applauds all efforts to include such information about diversity and inclusion in contract agreements and other materials. The committee likewise applauds the Department of Dining Services for requiring vendors in the Stamp Student Union to conduct their businesses and serve their patrons in accordance with these standards.

## **RECOMMENDATIONS**

Based on the committee’s findings, the EDI Committee agrees that the current processes utilized by the Department of Procurement and Supply, and by the Department of Dining Services for vendors in the Stamp Student Union, incorporate the University’s stated diversity goals in documents, communications, and other procedures for contract negotiations and agreements. The EDI Committee voted unanimously in favor of putting forward the following recommendation on November 5, 2013.

The EDI Committee maintains that the USM Procurement Policies and Procedures are aligned with the University’s values on non-discrimination. Therefore, the EDI Committee does not recommend any changes to the Procurement Policies and Procedures, given the fact that the Department of Procurement and Supply has voluntarily adopted the State COMAR regulations, and non-discrimination on the basis of sexual orientation and gender identity is covered by a separate USM policy. The EDI Committee endorses the current practices that the Department of Procurement and Supply has in place in order to comply with University and State non-discrimination policies and regulations.

## **APPENDICES**

Appendix 1 – Charge from the Senate Executive Committee (SEC) and Proposal

Appendix 2 – ‘Non-Discrimination in Employment’ provision of the University System of Maryland (USM) Procurement Policies and Procedures

Appendix 3 – ‘Commercial Non-Discrimination Clause’ of the Code of Maryland Regulations

Appendix 4 – Principles of Social Responsibility and Social Responsibility Affidavit Information

Appendix 5 – University System of Maryland (USM) Policy of Non-Discrimination on the Basis of Sexual Orientation and Gender Identity or Expression

Appendix 6 – Stamp Advisory Board Membership Information

Appendix 7 – University’s Strategic Plan for Diversity, *Transforming Maryland: Expectations for Excellence in Diversity and Inclusion*



## University Senate CHARGE

<b>Date:</b>	November 21, 2012
<b>To:</b>	Leslie Felbain Chair, Equity, Diversity, and Inclusion (EDI) Committee
<b>From:</b>	Martha Nell Smith  Chair, University Senate
<b>Subject:</b>	Alignment of Procurement Contracts with UM Non-Discrimination Values
<b>Senate Document #:</b>	12-13-29
<b>Deadline:</b>	March 29, 2013

The Senate Executive Committee (SEC) requests that the Equity, Diversity, & Inclusion (EDI) Committee review the attached proposal, “Alignment of Procurement Contracts with UM Non-Discrimination Values.”

The Board of Public Works (BPW) and the Joint Committee on Administrative, Executive, and Legislative review of the General Assembly (AELR) gave the University System of Maryland (USM) the authority to adopt its own procurement policies and procedures in 1999. This authority was granted subject to review and approval of the policies by the BPW and AELR. Therefore, any changes to the policy would require similar approval.

The SEC requests that the EDI Committee review the relevant procurement policies and recommend whether they require revision in order to be consistent with UM’s nondiscrimination policies as well as with our stated values.

Specifically, we ask that you:

1. Review the ‘Nondiscrimination in Employment’ provision in the University System of Maryland Procurement Policies and Procedures (<http://www.usmd.edu/regents/bylaws/SectionVIII/apptrme.html>).
2. Review the ‘Commercial Non-Discrimination Clause’ required under Maryland state law. See Anno. Code of Maryland, State Finance and Procurement Article and COMAR 21.07.01.16 (attached).
3. Review the University’s Social Responsibility Affidavit (attached).

4. Review the Policy on Non-Discrimination on the Basis of Sexual Orientation and Gender Identity or Expression (VI-1.05).
5. Consult with a representative from the Department of Procurement and Supply.
6. Consult with the University's Office of Legal Affairs.
7. If appropriate, recommend whether the University of Maryland (UMD) should recommend to the University System of Maryland (USM) that the Procurement Policies and Procedures should be revised to align with the University's values of nondiscrimination.

We ask that you submit your report and recommendations to the Senate Office no later than March 29, 2013. If you have questions or need assistance, please contact Reka Montfort in the Senate Office, extension 5-5804.



## University Senate PROPOSAL FORM

<b>Name:</b>	Mark Brimhall-Vargas
<b>Date:</b>	October 18, 2012
<b>Title of Proposal:</b>	Alignment of procurement contracts with UM non-discrimination values
<b>Phone Number:</b>	52840
<b>Email Address:</b>	<a href="mailto:Brimhall@umd.edu">Brimhall@umd.edu</a>
<b>Campus Address:</b>	2411 Marie Mount Hall
<b>Unit/Department/College:</b>	Office of Diversity Education and Compliance
<b>Constituency (faculty, staff, undergraduate, graduate):</b>	Staff
<b>Description of issue/concern/policy in question:</b>	<p>The UM policies on procurement and/or contracting of vendors do not appear to contain criteria for selection that focuses on adhering to the campus diversity goals as stated in <i>Transforming Maryland: Expectations for Excellence in Diversity and Inclusion</i> or as outlined in existing policies such as:</p> <ul style="list-style-type: none"> <li>• University of Maryland Code on Equity, Diversity, and Inclusion (VI-1.00(B))</li> <li>• University of Maryland, College Park Policy on Inclusive Language (VI-1.00(C))</li> <li>• Policy of Non-Discrimination on the Basis of Sexual Orientation and Gender Identity or Expression (VI-1.05)</li> </ul> <p>In order to meet our campus goals of diversity and inclusion, I believe that contractors on our campus should adhere to these standards and that the procurement process should take these policies into account when granting contracts to vendors.</p>
<b>Description of action/changes you would like to see implemented and why:</b>	I would like to see the Senate investigate the possibility that the procurement process could consider the company's stated goals and behavioral history when deciding to grant (or not grant) a contract.

<b>Suggestions for how your proposal could be put into practice:</b>	I think that amending our current policies on procurement to include requirements around diversity and inclusion would be very helpful in creating an inclusive climate.
<b>Additional Information:</b>	

***Please send your completed form and any supporting documents to [senate-admin@umd.edu](mailto:senate-admin@umd.edu) or University of Maryland Senate Office, 1100 Marie Mount Hall, College Park, MD 20742-7541. Thank you!***

CONTRACT TERMS AND CONDITIONS

21.07.01.26

- (i) Notify the procurement officer within 10 days after receiving notice under §E(2)(h)(ii), above, or otherwise receiving actual notice of a conviction;
- (j) Within 30 days after receiving notice under §E(2)(h)(ii), above, or otherwise receiving actual notice of a conviction, impose either of the following sanctions or remedial measures on any employee who is convicted of a drug or alcohol abuse offense occurring in the workplace:
  - (i) Take appropriate personnel action against an employee, up to and including termination; or
  - (ii) Require an employee to satisfactorily participate in a bona fide drug or alcohol abuse assistance or rehabilitation program;
- and
- (k) Make a good faith effort to maintain a drug and alcohol free workplace through implementation of §E(2)(a)—(j), above.

(3) If the business is an individual, the individual shall certify and agree as set forth in §E(4), below, that the individual shall not engage in the unlawful manufacture, distribution, dispensing, possession, or use of drugs or the abuse of drugs or alcohol in the performance of the contract.

(4) I acknowledge and agree that:

- (a) The award of the contract is conditional upon compliance with COMAR 21.11.08 and this certification;
- (b) The violation of the provisions of COMAR 21.11.08 or this certification shall be cause to suspend payments under, or terminate the contract for default under COMAR 21.07.01.11 or 21.07.03.15, as applicable; and
- (c) The violation of the provisions of COMAR 21.11.08 or this certification in connection with the contract may, in the exercise of the discretion of the Board of Public Works, result in suspension and debarment of the business under COMAR 21.08.03.

**F. CERTAIN AFFIRMATIONS VALID**

**I FURTHER AFFIRM THAT:**

To the best of my knowledge, information, and belief, each of the affirmations, certifications, or acknowledgements contained in that certain Bid/Proposal Affidavit dated \_\_\_\_\_, 20\_\_\_\_, and executed by me for the purpose of obtaining the contract to which this Exhibit is attached remains true and correct in all respects as if made as of the date of this Contract Affidavit and as if fully set forth herein.

I DO SOLEMNLY DECLARE AND AFFIRM UNDER THE PENALTIES OF PERJURY THAT THE CONTENTS OF THIS AFFIDAVIT ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION, AND BELIEF.

Date: \_\_\_\_\_

By: \_\_\_\_\_ (printed name of Authorized Representative and affiant)

\_\_\_\_\_ (signature of Authorized Representative and affiant)

**.26 Commercial Nondiscrimination Clause.**

A. The following provision is mandatory for all State contracts and subcontracts: "As a condition of entering into this Agreement, Contractor represents and warrants that it will comply with the State's Commercial Nondiscrimination Policy, as described under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland. As part of such compliance, Contractor may not discriminate on the basis of race, color, religion, ancestry, national origin, sex, age, marital status, sexual orientation, disability, or other unlawful forms of discrimination in the solicitation, selection, hiring, or commercial treatment of subcontractors, vendors, suppliers, or commercial customers, nor shall Contractor retaliate against any person for reporting instances of such discrimination. Contractor shall provide equal opportunity for subcontractors, vendors, and suppliers to participate in all of its public sector and private sector subcontracting and supply opportunities, provided that this clause does not prohibit or limit lawful efforts to remedy the effects of marketplace discrimination that have occurred or are occurring in the marketplace. Contractor understands that a material violation of this clause shall be considered a material breach of this Agreement and may result in termination of this Agreement, disqualification of Contractor from participating in State contracts, or other sanctions. This clause is not enforceable by or for the benefit of, and creates no obligation to, any third party.

## STATE PROCUREMENT REGULATIONS

21.07.01.26

B. The following provision is mandatory for all State contracts: "As a condition of entering into this Agreement, upon the Maryland Human Relations Commission's request, and only after the filing of a complaint against Contractor under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland, as amended from time to time, Contractor agrees to provide within 60 days after the request a complete list of the names of all subcontractors, vendors, and suppliers that Contractor has used in the past 4 years on any of its contracts that were undertaken within the State of Maryland, including the total dollar amount paid by Contractor on each-subcontract or supply contract. Contractor further agrees to-cooperate in any investigation conducted by the State pursuant to the State's Commercial Nondiscrimination Policy as set forth under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland, and to provide any documents relevant to any investigation that are requested by the State. Contractor understands that violation of this clause is a material breach of this Agreement and may result in contract termination, disqualification by the State from participating in State contracts, and other sanctions."

### Administrative History

Effective date: July 1, 1981 (8:13 Md. R. II-5)

Regulation .09A amended effective May 6, 1985 (12:9 Md. R. 816)

Chapter revised effective January 9, 1989 (15:27 Md. R. 3138)

Regulation .03 amended effective August 2, 1993 (20:15 Md. R. 1221)

Regulation .05 amended effective October 2, 2000 (27:19 Md. R. 1730); July 9, 2001 (28:13 Md. R. 1216)

Regulation .08 amended effective December 25, 2000 (27:25 Md. R. 2284)

Regulation .11A amended effective November 22, 1993 (20:23 Md. R. 1086)

Regulation .12A amended effective November 22, 1993 (20:23 Md. R. 1086)

Regulation .20 amended effective January 26, 1998 (25:2 Md. R. 79); December 25, 2000 (27:25 Md. R. 2284)

Regulation .25 amended effective October 1, 1990 (17:19 Md. R. 2322); August 2, 1993 (20:15 Md. R. 1221); August 8, 2011 (38:16 Md. R. 946)

Regulation .26 adopted as an emergency provision effective August 8, 1997 (24:18-Md. R. 1294); emergency status rescinded-effective October 16, 1997 (24:23 Md. R. 1608)

Regulation .26 adopted effective March 12, 2007 (34:5 Md. R. 562)

**PRINCIPLES OF SOCIAL RESPONSIBILITY**  
**and**  
**SOCIAL RESPONSIBILITY AFFIDAVIT INFORMATION**

**I. Principles of Social Responsibility**

A. As provided for in Section VIII. C. of the University System of Maryland Procurement Policies and Procedures, the University is required to make purchases from and award contracts to “responsible” contractors. The Procurement Officer may use certain factors, including but not limited to a satisfactory record of integrity and business ethics to determine if a bidder or offeror is responsible. The University has determined that a bidder or offeror’s record of integrity and business ethics includes a demonstrated commitment to providing goods and services in an ethical, and socially and environmentally responsible manner by compliance with all applicable:

- (1) Federal and state labor relations and employment laws;
- (2) Federal and state non-discrimination in employment laws;
- (3) State of Maryland Commercial Nondiscrimination laws;
- (4) State of Maryland, Minority Business Enterprise (“MBE”) laws; and,
- (5) Federal and state health, safety and environmental laws.

The above laws are referred to as “Social Responsibility Laws.” The bidder or offeror’s compliance with the above laws is referred to as “Social Responsibility.”

B. Each bidder or offeror shall complete a Social Responsibility Affidavit, in the form that follows, as part of a bid or proposal submitted to the Procurement Officer in response to any solicitation to furnish goods or services of any kind including, but not limited to architectural or engineering services; construction; construction related services; maintenance; consulting; information technology (hardware, software and services); equipment or other commodities.

C. The Procurement Officer shall consider information provided in the Social Responsibility Affidavit to determine if a bidder or offeror is responsible. A determination that a bidder or offeror is not responsible may be considered as the basis for eliminating that bidder or offeror from further consideration for a contract award.

D. After award, the University may terminate a contract for default if the bidder or offeror did not disclose the requested information; misrepresented relevant information to the Procurement Officer; or was subject to a final judgment of non-compliance with applicable Social Responsibility Laws post-award. In such cases, the University may also institute proceedings to debar the vendor from further State contracts, or pursue such other remedies as may be permitted by law or the contract.

**II. Social Responsibility Affidavit and Disclosure**

A. The bidder or offeror agrees that if it is the subject of a final, non-appealable judgment with respect to compliance with applicable Social Responsibility Laws after the date of this affidavit,

the bidder or offeror will immediately make a full disclosure in writing to the Procurement Officer of all relevant facts and circumstances. This disclosure shall include a description of actions which the bidder or offeror has taken or proposes to take to correct the violation. If the contract has been awarded and performance has begun, the vendor shall continue performance until notified by the Procurement Officer of any contrary action to be taken.

**B. CERTIFICATION OF COMPLIANCE WITH SOCIAL RESPONSIBILITY LAWS**

**I HEREBY AFFIRM THAT:**

(1) There has been no final, non-appealable judgment made during the last five years against the bidder or offeror for noncompliance with federal or state labor relations and other employment laws or regulations, including but not limited to the National Labor Relations Act, as amended; the Davis-Bacon Act, as amended; the Fair Labor Standards Act, as amended; the Maryland Living Wage law, State Finance and Procurement Article, §18-101 et seq., Annotated Code of Maryland; the Maryland Prevailing Wage law, State Finance and Procurement Article, §17-201 et seq., Annotated Code of Maryland; federal and state child labor laws; federal minimum wage laws and; the Family Medical Leave Act, except as follows (explain below or add additional sheets):

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(2) There has been no final, non-appealable judgment made during the last five years against the bidder or offeror for violation of federal or state non-discrimination in employment laws or regulations, including but not limited to laws prohibiting discrimination on the basis of race, color, religion, ancestry or national origin, sex, age, marital status, sexual orientation, or disability unrelated in nature and except so as to reasonably preclude the performance of the employment, except as follows (explain below or add additional sheets):

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(3) There has been no final, non-appealable judgment made during the last five years against the bidder or offeror for violation of the State of Maryland Commercial Non-Discrimination Policy, State Finance and Procurement Article, §19-101 et seq., Annotated Code of Maryland, except as follows (explain below or add additional sheets):

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(4) There have been no instances during the last five years of failure by the bidder or offeror to meet mutually agreed upon goals for minority business participation (MBE) on

projects performed for the University or any other State of Maryland agency, or any other sanctions for MBE program non-compliance; or any final, non-appealable judgment of noncompliance with the State of Maryland Minority Business Participation law, State Finance and Procurement Article, § 14-308 et seq., Annotated Code of Maryland, except as follows (explain below or add additional sheets):

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(5) There has been no final, non-appealable judgment made during the last five years against the bidder or offeror for violation of federal or state health, safety or environmental laws or regulations , including but not limited to the U.S. Occupational Safety and Health Act standards; Maryland Occupational Health and Safety laws, State Labor and Employment Article, § 5-101 et seq., Annotated Code of Maryland, or the Federal Noise Control Act of 1972, except as follows (explain below or add additional sheets):

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I DO SOLEMNLY DECLARE AND AFFIRM UNDER THE PENALTIES OF PERJURY THAT THE CONTENTS OF THIS AFFIDAVIT ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION AND BELIEF.

Date: \_\_\_\_\_ By: \_\_\_\_\_  
(Authorized Representative and Affiant)

social responsibility affidavit 7.21.11



## UNIVERSITY SYSTEM OF MARYLAND

### **E. Mandatory Contract Terms and Conditions For Contracts Over \$100,000 Not Documented On a Purchase Order**

If unusual circumstances arise that necessitate the modification of any mandatory terms and conditions, a recommendation containing the necessary modification(s) and including written justification must be approved by the Procurement Officer and, if appropriate, by legal counsel.

1. Parties to the Contract
2. Scope of the Contract
3. Compensation and Method of Payment
4. Non-Hiring of Employees  
No employee of the State of Maryland or any unit thereof, whose duties as such employee include matters relating to or affecting the subject matter of this contract, shall, while so employed, become or be an employee of the party or parties hereby contracting with the State of Maryland or any unit thereof.
5. Disputes  
Pending Resolution of a claim, the Contractor shall proceed diligently with the performance of the contract in accordance with the procurement officer's decision.

One of the following clauses is preferred:

- a. Alternate Disputes Clause (short form). "This contract shall be subject to the USM Procurement Policies and Procedures. Pending resolution of a claim, the Contractor shall proceed diligently with the performance of the contract in accordance with the procurement officer's decision."
- b. Alternate Disputes Clause (long form).
  - (1) This contract is subject to the USM Procurement Policies and Procedures.
  - (2) Except as otherwise may be provided by law, all disputes arising under or as a result of a breach of this contract that are not disposed of by mutual agreement shall be resolved in accordance with this clause.
  - (3) As used herein, "claim" means a written demand or assertion by one of the parties

seeking, as a legal right, the payment of money, adjustment or interpretation of contract terms, or other relief, arising under or relating to this contract. A voucher, invoice, or request for payment that is not in dispute when submitted is not a claim under this clause. However, if the submission subsequently is not acted upon in a reasonable time, or is disputed as to liability or amount, it may be converted to a claim for the purpose of this clause.

- (4) A claim shall be made in writing and submitted to the procurement officer for decision in consultation with the Office of the Attorney General within thirty days of when the basis of the claim was known or should have been known, whichever is earlier.
- (5) When a claim cannot be resolved by mutual agreement, the contractor shall submit a written request for final decision to the procurement officer. The written request shall set forth all the facts surrounding the controversy.
- (6) The contractor, at the discretion of the procurement officer, may be afforded an opportunity to be heard and to offer evidence in support of his claim.
- (7) The procurement officer shall render a written decision on all claims within 180 days of receipt of the contractor's written claim, unless the procurement officer determines that a longer period is necessary to resolve the claim. If a decision is not issued within 180 days, the procurement officer shall notify the contractor of the time within which a decision shall be rendered and the reasons for such time extension. The decision shall be furnished to the contractor, by certified mail, return receipt requested, or by any other method that provides evidence of receipt. The procurement officer's decision shall be deemed the final action of the University.
- (8) The procurement officer's decision shall be final and conclusive unless the contractor mails or otherwise files a written appeal with the Maryland State Board of Contract Appeals within 30 days of receipt of the decision.
- (9) Pending resolution of a claim, the contractor shall proceed diligently with the performance of the contract in accordance with the procurement officer's decision."

6. Maryland Law Prevails. "The laws of Maryland shall govern the interpretation and enforcement of this Contract."
7. Nondiscrimination in Employment.  
Mandatory provision for all contracts. The following clause is preferred:  
"The Contractor agrees: (a) not to discriminate in any manner against an employee or applicant for employment because of race, color, religion, creed, age, sex, marital status, national origin, ancestry, or physical or mental handicap unrelated in nature and extent so as reasonably to preclude the performance of such employment; (b) to include a provision similar to that contained in subsection (a), above, in any subcontract except a subcontract for standard commercial supplies or raw materials; and (c) to post and to cause subcontractors to post in conspicuous places available to employees and applicants for employment, notices setting forth the substance of this clause."
8. Contingent Fee Prohibition.  
Mandatory provision for all contracts:  
"The contractor, architect, or engineer (as applicable) warrants that it has not employed or retained any person, partnership, corporation, or other entity, other than a bona fide employee or agent working for the contractor, architect, or engineer, to solicit or secure this agreement, and that it, has not paid or agreed to pay any person, partnership, corporation, or other entity, other than a bona fide employee or agent, any fee or any other consideration contingent on the making of this agreement."
9. Multi-Year Contracts Contingent Upon Appropriations.  
Mandatory provision for all contracts and contract modifications to be effective in more than one fiscal year:  
  
If the General Assembly fails to appropriate funds or if funds are not otherwise made available for continued performance for any fiscal period of this Contract succeeding the first fiscal period, this Contract shall be canceled automatically as of the beginning of the fiscal year for which funds were not appropriated or otherwise made available; provided, however, that this will not affect either the University's rights or the Contractor's rights under any termination clause in this Contract. The effect of termination of the Contract hereunder will be to discharge both the Contractor and the University from future performance of the Contract, but not from their rights and obligations existing at the time of

termination. The Contractor shall be reimbursed for the reasonable value of any non-recurring costs incurred but not amortized in the price of the Contract. The University shall notify the Contractor as soon as it has knowledge that funds may not be available for the continuation of this Contract for each succeeding fiscal period beyond the first."

10. Termination for Default.

Mandatory provision for all contracts. One of the following clauses is preferred:

a. Alternate Clause -Termination for Default (short form).

"If the Contractor fails to fulfill its obligation under this contract properly and on time, or otherwise violates any provision of the contract, the University may terminate the contract by written notice to the Contractor. The notice shall specify the acts or omissions relied upon as cause for termination. All finished or unfinished work provided by the Contractor shall, at the University's option, become the University's property. The University shall pay the Contractor fair and equitable compensation for satisfactory performance prior to receipt of notice of termination, less the amount of damages caused by Contractor's breach. If the damages are more than the compensation payable to the Contractor, the Contractor will remain liable after termination and the University can affirmatively collect damages. Termination hereunder, including the determination of the rights and obligations of the parties, shall be governed by the provisions of USM Procurement Policies And Procedures."

b. Alternate Clause -Termination for Default (long form).

- (1) The University may, subject to the provisions of paragraph (3) below, by written notice of default to the Contractor, terminate the whole or any part of this contract in any one of the following circumstances: (a) If the Contractor fails to perform within the time specified herein or any extension thereof-, or (b) If the Contractor fails to perform any of the other provisions of this contract, or so fails to make progress as to endanger performance of this contract in accordance with its terms, and in either of these two circumstances does not cure such failure within a period of 10 days (or such

longer period as the procurement officer may authorize in writing) after receipt of notice from the procurement officer specifying such failure.

- (2) In the event the University terminates this contract in whole or in part as provided in paragraph (1) of this clause, the University may procure substitute performance upon terms and in whatever manner the procurement officer may deem appropriate, and the Contractor shall be liable to the University for any excess costs for substitute performance; provided, that the Contractor shall continue the performance of this contract to the extent not terminated under the provisions of this clause.
- (3) Except with respect to defaults of subcontractors, the Contractor shall not be liable for any excess costs if the failure to perform the contract arises out of causes beyond the control and without the fault or negligence of the Contractor. Such causes may include, but are not restricted to, acts of God or of the public enemy, acts of the University in either its sovereign or contractual capacity, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes, and unusually severe weather; but in every case the failure to perform shall be beyond the control and without the fault or negligence of the Contractor. If the failure to perform is caused by the default of a subcontractor, and if the default arises out of causes beyond the control of both the Contractor and subcontractor, and without the fault or negligence of either of them, the Contractor shall not be liable for any excess costs for failure to perform unless substitute performance for the subcontractor was obtainable from another source in sufficient time to permit the Contractor to meet the performance schedule.
- (4) If, after notice of termination of this contract under the provisions of this clause, it is determined for any reason that the Contractor was not in default under the provisions of this clause, or that the default was excusable under the provisions of this clause, the rights and obligations of the parties shall, if the contract contains a clause providing for termination for convenience of the University, be the same as if the notice of termination had been issued pursuant to

such clause. If, after notice of termination of this contract under the provisions of this clause, it is determined for any reason that the Contractor was not in default under the provisions of this clause, and if this contract does not contain a clause providing for termination for convenience of the University, the contract shall be equitably adjusted to compensate for such termination and the contract modified accordingly; failure to agree to any such adjustment shall be a dispute concerning a question of fact within the meaning of the clause of this contract entitled "Disputes."

- (5) If this contract is terminated as provided in paragraph (1) of this clause, the University, in addition to any other rights provided in this clause, may require the Contractor to transfer title and deliver to the University, in the manner, at the times, and to the extent, if any, directed by the procurement officer, (a) the fabricated or unfabricated parts, work in progress, completed work, supplies, and other material produced as a part of, or acquired in connection with the performance of, the work terminated by the Notice of Termination, and (b) the completed or partially completed plans, drawings, information, and other property which, if the contract had been completed, would have been required to be furnished to the University; and the Contractor shall, upon direction of the procurement officer, protect and preserve property in the possession of the Contractor in which the University has an interest. Payment for completed supplies delivered to and accepted by the University shall be at the contract price. Payment for manufacturing materials delivered to and accepted by the University and for the protection and preservation of property shall be in an amount agreed upon by the Contractor and procurement officer; failure to agree to such amount shall be a dispute concerning a question of fact within the meaning of the clause of this contract entitled "Disputes." The University may withhold from amounts otherwise due the Contractor hereunder such sum as the procurement officer determines to be necessary to protect the University against loss because of outstanding liens or claims of former lien holders.
- (6) The rights and remedies of the University

provided in this clause shall not be exclusive and are in addition to any other rights and remedies provided by law or under this contract.

- (7) As used in paragraph (3) of this clause, the terms, "subcontractor" and "subcontractors" mean subcontractor(s) at any tier."

11. Termination for Convenience.

Except as provided in ~~B~~B, mandatory provision for all contracts. One of the following clauses is preferred:

a. Alternate Clause -Termination for Convenience (short form).

"The performance of work under this contract may be terminated by the University in accordance with this clause in whole, or from time to time in part, whenever the University shall determine that such termination is in the best interest of the University. The University will pay all reasonable costs associated with this contract that the Contractor has incurred up to the date of termination and all reasonable costs associated with termination of the Contract. However, the Contractor shall not be reimbursed for any anticipatory profits that have not been earned up to the date of termination. Termination hereunder, including the determination of the rights and obligations of the parties, shall be governed by the provisions of the USM Procurement Policies and Procedures.

b. Alternate Clause -Termination for Convenience (long form).

- (1) The performance of work under this contract may be terminated by the University in accordance with this clause in whole, or from time to time in part, whenever the University shall determine that such termination is in the best interest of the University. Any such termination shall be effected by delivery to the Contractor of a Notice of Termination specifying the extent to which performance of work is terminated and the time when such termination becomes effective.
- (2) After receipt of a Notice of Termination, and except as otherwise directed by the procurement officer, the Contractor shall:
- (a) stop work as specified in the Notice

- of Termination;
- (b) place no further orders or subcontracts for materials, services or facilities, except as may be necessary for completion of the portion of the work under the contract as is not terminated;
  - (c) terminate all orders and subcontracts to the extent that they relate to the performance of work terminated by the Notice of Termination;
  - (d) assign to the University, in the manner, at times, and to the extent directed by the procurement officer, all of the right, title, and interest of the Contractor under the orders and subcontracts so terminated, in which case the University shall have the right, in its discretion, to settle or pay any or all claims arising out of the termination of such orders and subcontracts;
  - (e) settle all outstanding liabilities and all claims arising out of such termination of orders and subcontracts, with the approval or ratification of the procurement officer, to the extent he may require, which approval or ratification shall be final for all the purposes of this clause;
  - (f) transfer title and deliver to the University, in the manner, at the times, and to the extent, if any, directed by the procurement officer,
    - (i) the fabricated or unfabricated parts, work in process, completed work, supplies, and other material produced as a part of, or acquired in connection with the performance of, the work terminated by the Notice of Termination, and
    - (ii) the completed or partially completed plans, drawings, information, and other property which, if the contract had been completed, would have been required to be furnished to the University;
  - (g) use its best efforts to sell, in the manner, at the times, to the extent, and at the price or prices directed or authorized by the procurement officer, any property of the types referred to in (f) above; provided, however, that the Contractor

- (i) may not be required to extend credit to any purchaser, and
  - (ii) may acquire any such property under the conditions prescribed by and at a price or prices approved by the procurement officer; and provided further that the proceeds of any such transfer or disposition shall be applied in reduction of any payments to be made by the University to the Contractor under this contract or shall otherwise be credited to the price or cost of the work covered by this contract or paid in such other manner as the procurement officer may direct;
- (h) complete performance of such part of the work as shall not have been terminated by the Notice of Termination; and
- (i) take any action that may be necessary, or as the procurement officer may direct, for the protection and preservation of the property related to this contract which is in the possession of the Contractor and in which the University has or may acquire an interest. The Contractor shall submit to the procurement officer a list, certified as to quantity and quality, of any or all items of termination inventory not previously disposed of, exclusive of items the disposition of which has been directed or authorized by the procurement officer, and may request the University to remove them or enter into a storage agreement covering them. Not later than fifteen (15) days thereafter, the University shall accept title to these items and remove them or enter into a storage agreement covering the same; provided, that the list submitted shall be subject to verification by the procurement officer upon removal of the items, or if the items are stored, within forty-five (45) days from the date of submission of the list, and any necessary adjustment to correct the list as submitted shall be made before

final settlement.

- (3) After receipt of a Notice of Termination, the Contractor shall submit to the procurement officer his termination claim, in the form and with certification prescribed by the procurement officer. This claim shall be submitted promptly but in no event later than one (1) year from the effective date of termination, unless one or more extensions in writing are granted by the procurement officer, upon request of the Contractor made in writing within the one-year period or authorized extension thereof. However, if the procurement officer determines that the facts justify such action, he may receive and act upon any such termination claim at any time after the one-year period or any extension thereof. Upon failure of the Contractor to submit his termination claim within the time allowed, the procurement officer may determine the claim at any time after the one-year period or any extension thereof. Upon failure of the Contractor to submit his termination claim within the time allowed, the procurement officer may determine, on the basis of information available to him, the amount, if any, due to the Contractor by reason of the termination and shall thereupon pay to the Contractor the amount so determined.
- (4) Subject to the provisions of paragraph (3), the Contractor and the procurement officer may agree upon the whole or any part of the amount or amounts to be paid to the Contractor by reason of the total or partial termination of work pursuant to this clause, which amount or amounts may include a reasonable allowance for profit on work done; provided, that such agreed amount or amounts, exclusive of settlement costs, shall not exceed the total contract price as reduced by the amount of payments otherwise made and as further reduced by the contract price of work not terminated. The contract shall be amended accordingly, and the Contractor shall be paid the agreed amount. Nothing in paragraph (5) of this clause, prescribing the amount to be paid to the Contractor in the event of failure of the Contractor and the procurement officer to agree upon the whole amount to be paid to the Contractor by reason of the termination of work pursuant to this clause, shall be deemed to limit, restrict,

or otherwise determine or affect the amount or amounts that may be agreed upon to be paid to the Contractor pursuant to this paragraph.

- (5) In the event of the failure of the Contractor and the procurement officer to agree as provided in paragraph (4) upon the whole amount to be paid to the Contractor by reason of the termination of work pursuant to this clause, the procurement officer shall pay to the Contractor the amounts determined by the procurement officer as follows, but without duplication of any amounts agreed upon in accordance with paragraph (4):
- (a) for completed supplies or services accepted by the University (or sold or acquired as provided in paragraph (2) (g) above) and for which payment has not theretofore been made, a sum equivalent to the aggregate price for the supplies or services computed in accordance with the price or prices specified in the contract, appropriately adjusted for any saving of freight or other charges;
  - (b) the total of-
    - (i) the costs incurred in the performance of the work terminated, including initial costs and preparatory expense allocable thereto, but exclusive of any costs attributable to supplies or services paid or to be paid for under paragraph (5) (a) hereof;
    - (ii) the cost of settling and paying claims arising out of the termination of work under subcontracts or orders, as provided in paragraph (2) (e) above, which are properly chargeable to the terminated portion of the contract (exclusive of amounts paid or payable on account of supplies or materials delivered or services furnished by subcontractors or vendors before the effective date of the Notice of Termination, which amounts shall be included in the costs payable under (2) (g) above); and
    - (iii) a sum, as profit on (i) above, determined by the procurement officer to be fair and reasonable; provided,

however, that if it appears that the contractor would have sustained a loss on the entire contract had it been completed, no profit shall be included or allowed under this subdivision (iii) and an appropriate adjustment shall be made reducing the amount of the settlement to reflect the indicated rate of loss; and

- (c) the reasonable cost of settlement accounting, legal, clerical, and other expenses reasonably necessary for the preparation of settlement claims and supporting data with respect to the terminated portion of the contract and for the termination and settlement of subcontracts thereunder, together with reasonable storage, transportation, and other costs incurred in connection with the protection or disposition of property allocable to this contract. The total sum to be paid to the Contractor under (a) and (b) of this paragraph shall not exceed the total contract price as reduced by the amount of payments otherwise made and as further reduced by the contract price of work not terminated. Except for normal spoilage, and except to the extent that the University shall have otherwise expressly assumed the risk of loss, there shall be excluded from the amounts payable to the Contractor as provided in (5) (a) and (b) (i) above, the fair value, as determined by the procurement officer, of property that is destroyed, lost, stolen, or damaged so as to become undeliverable to the University or to a buyer pursuant to paragraph (2) (g).
- (6) Costs claimed, agreed to, or determined pursuant to (3), (4), (5) and (11) hereof shall be in accordance with USM Procurement Policies and Procedures as in effect on the date of this contract.
- (7) The Contractor shall have the right of appeal, under the clause of this contract entitled "Disputes," from any determination made by the procurement officer under paragraph (3), (5), or (9) hereof, except that if the Contractor has failed to submit his claim within the time provided in paragraph (3) or (9) hereof, and has failed

to request extension of the time, he shall have no right of appeal. In any case where the procurement officer has made a determination of the amount due under paragraph (3), (5), or (9) hereof, the University shall pay to the Contractor the following: (a) if there is no right of appeal hereunder or if no timely appeal has been taken, the amount so determined by the procurement officer, or (b) if an appeal has been taken, the amount finally determined on such appeal.

- (8) In arriving at the amount due the Contractor under this clause there shall be deducted (a) all unliquidated advance or other payments on account theretofore made to the Contractor, applicable to the terminated portion of this contract, (b) any claim which the University may have against the Contractor in connection with this contract, and (c) the agreed price for, or the proceeds of sale of, any materials, supplies, or other things acquired by the Contractor or sold, pursuant to the provisions of this clause, and not otherwise recovered by or credited to the University.
- (9) If the termination hereunder be partial, the Contractor may file with the procurement officer a claim for an equitable adjustment of the price or prices specified in the contract relating to the continued portion of the contract (the portion not terminated by the Notice of Termination), and such equitable adjustment as may be agreed upon shall be made in such price or prices. Any claim by the Contractor for an equitable adjustment under this clause shall be asserted within ninety (90) days from the effective date of the termination notice, unless an extension is granted in writing by the procurement officer.
- (10) The University may from time to time, under such terms and conditions as it may prescribe, make partial payments and payments on account against costs incurred by the Contractor in connection with the terminated portion of this contract whenever in the opinion of the procurement officer the aggregate of such payments shall be within the amount to which the Contractor shall be entitled hereunder. If the total of such payments is in excess of

the amount finally agreed or determined to be due under this clause, such excess shall be payable by the Contractor to the University upon demand, together with interest computed at the prime rate established by the State Treasurer for the period from the date such excess payment is received by the Contractor to the date on which such excess is repaid to the State; provided, however, that no interest shall be charged with respect to any such excess payment attributable to a reduction in the Contractor's claim by reason of retention or other disposition of termination inventory until ten days after the date of such retention or disposition, or a later date as determined by the procurement officer by reason of the circumstances.

- (11) Unless otherwise provided for in this contract, or by applicable statute, the Contractor shall-from the effective date of termination until the expiration of three years after final settlement under this contract -preserve and make available to the University at , all reasonable times at the office of the Contractor but without direct charge to the University, all his books, records, documents and other evidence bearing on the costs and expenses of the Contractor under this contract and relating to the work terminated hereunder, or, to the extent approved by the procurement officer, reproductions thereof."

12. Delays and Extensions of Time.

Mandatory provision for all contracts. It shall be in substantially the same form as follows:

"Delays and Extensions of Time"

"The Contractor agrees to prosecute the work continuously and diligently and no charges or claims for damages shall be made by it for any delays or hindrances from any cause whatsoever during the progress of any portion of the work specified in this Contract.

"Time extensions will be granted only for excusable delays that arise from unforeseeable causes beyond the control and without the fault or negligence of the Contractor, including but not restricted to, acts of God, acts of the public enemy, acts of the State in either its sovereign or contractual capacity, acts of another Contractor in the performance of a contract with the State, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes, or delays of subcontractors or suppliers arising from

unforeseeable causes beyond the control and without the fault or negligence of either the Contractor or the subcontractors or suppliers."

13. Modifications.  
This Contract may be amended with the consent of both parties. Amendments may not change significantly the scope of the Contract.
14. Liquidated Damages.  
Mandatory provision for those contracts deemed appropriate by the procurement officer.
15. Variations in Estimated Quantities.  
Mandatory provision for all contracts that contain estimated quantity items.
16. Suspension of Work.  
Mandatory provision for all contracts. It shall be in substantially the same form as follows:  
"The procurement officer unilaterally may order the Contractor in writing to suspend, delay, or interrupt all or any part of the work for such period of time as he may determine to be appropriate for the convenience of the University."
17. Pre-existing Regulations.  
Mandatory provision for all contracts. It shall be in substantially the same form as follows:  
"In accordance with the provisions of Section 11-206 of the State Finance and Procurement Article, Annotated Code of Maryland, the regulations set forth in USM Procurement Policies and Procedures in effect on the date of execution of this Contract are applicable to this Contract."
18. Payment of State Obligations.  
Mandatory provision for all contracts. The following clause is preferred:  
"Payments to the Contractor pursuant to this Contract shall be made no later than 30 days after the State's receipt of a proper invoice from the Contractor. Charges for late payment of invoices, other than as prescribed by Title 15, Subtitle 1, of the State Finance and Procurement Article, Annotated Code of Maryland, or by the Public Service Commission of Maryland with respect to regulated public utilities, as applicable, are prohibited."
19. Financial Disclosure.  
Mandatory provision for all contracts:  
"The Contractor shall comply with the provisions of Section 13-221 of the State Finance and Procurement Article of the Annotated Code of Maryland, which requires that every business that enters into contracts, leases, or other agreements with the State of Maryland or its agencies during a calendar year

under which the business is to receive in the aggregate \$100,000 or more, shall, within 30 days of the time when the aggregate value of these contracts, leases or other agreements reaches \$100,000, file with the Secretary of State of Maryland certain specified information to include disclosure of beneficial ownership of the business."

20. Political Contribution Disclosure.

Mandatory provision for all contracts:

"The Contractor shall comply with Article 33, Sections 30-1 through 30-4 of the Annotated Code of Maryland, which requires that every person that enters into contracts, leases, or other agreements with the State, a county, or an incorporated municipality, or their agencies, during a calendar year in which the person receives in the aggregate \$100,000 or more, shall file with the State Administrative Board of Election Laws a statement disclosing contributions in excess of \$500 made during the reporting period to a candidate for elective office in any primary or general election. The statement shall be filed with the State Administrative Board of Election Laws:

- a. before a purchase or execution of a lease or contract by the University, a county, an incorporated municipality, or their agencies, and shall cover the preceding two calendar years; and
- b. if the contribution is made after the execution of a lease or contract, then twice a year, throughout the contract term, on (1) February 5, to cover the 6-month period ending January 31; and (2) August 5, to cover the 6-month period ending July 31.

21. Retention of Records.

Mandatory provision for all contracts. The following clause is preferred:

"The Contractor shall retain and maintain all records and documents relating to this Contract for three years after final payment by the University hereunder or any applicable statute of limitations, whichever is longer, and shall make them available for inspection and audit by authorized representatives of the University, including the procurement officer or designee, at all reasonable times."

22. Compliance with Laws.

Mandatory provision for all contracts. The following clause is preferred:

"The Contractor hereby represents and warrants that:

- a. It is qualified to do business in the State of Maryland and that it will take such action as, from time to time hereafter, may be necessary to remain so qualified;
- b. It is not in arrears with respect to the payment

of any moneys due and owing the State of Maryland, or any department or unit thereof, including but not limited to the payment of taxes and employee benefits, and that it shall not become so in arrears during the term of this Contract;

- c. It shall comply with all federal, State, and local laws, regulations, and ordinances applicable to its activities and obligations under this Contract; and
- d. It shall obtain, at its expense, all licenses, permits, insurance, and governmental approvals, if any, necessary to the performance of its obligations under this Contract."

23. Cost and Price Certification.

Mandatory provision for all contracts and contract modifications (excluding real property leases and architectural services or engineering services contracts (see 24. below "Truth in Negotiations") if the contract or modification exceeds \$100,000 or a smaller amount determined by the procurement officer under State Finance and Procurement Article, §13-220. The language shall be in substantially the same form as follows:

"Cost and Price Certification"

The Contractor by submitting cost or price information certifies that, to the best of its knowledge, the information submitted is accurate, complete, and current as of a mutually determined specified date prior to the conclusion of any price discussions or negotiations for:

- a. A negotiated contract, if the total contract price is expected to exceed \$100,000, or a smaller amount set by the procurement officer; or
- b. A change order or contract modification, expected to exceed \$100,000, or a smaller amount set by the procurement officer.
- c. The price under this Contract and any change order or modification hereunder, including profit or, fee, shall be adjusted to exclude any significant price increases occurring because the Contractor furnished cost or price information which, as of the date agreed upon between the parties, was inaccurate, incomplete, or not current."

24. Truth-In-Negotiation Certification.

Mandatory provision for architectural services or engineering services contracts exceeding \$100,000. It shall be in substantially the same form as follows:

"Truth- In -Negotiation Certification"

"The Contractor by submitting cost or price information, including wage rates or other actual unit costs, certifies to the best of its knowledge,

information and belief, that:

- a. The wage rates and other factual unit costs supporting the firm's compensation, as set forth in the proposal, are accurate, complete and current as of the contract date;
- b. If any of the items of compensation were increased due to the furnishing of inaccurate, incomplete or noncurrent wage rates or other units of costs, the State is entitled to an adjustment in all appropriate items of compensation, including profit or fee, to exclude any significant sum by which the price was increased because of the defective data. The University's right to adjustment includes the right to a price adjustment for defects in costs or pricing data submitted by a prospective or actual subcontractor; and
- c. If additions are made to the original price of the contract, such additions may be adjusted to exclude any significant sums where it is determined the price has been increased due to inaccurate, incomplete or noncurrent wage rates and other factual costs."

25. Contract Affidavit.  
Mandatory contract addendum. The contract addendum shall be in substantially the same form as follows:

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**CONTRACT AFFIDAVIT**

**A. AUTHORIZED REPRESENTATIVE**

I HEREBY AFFIRM THAT

I am the \_\_\_\_\_ (title) and the duly authorized representative of (business) \_\_\_\_\_ and that I possess the legal authority to make this affidavit on be of myself and the business for which I am acting.

**B. CERTIFICATION OF CORPORATION REGISTRATION AND TAX PAYMENT**

I FURTHER AFFIRM THAT-

(1) The business named above is a (domestic ) (foreign ) corporation registered in accordance with the Corporations and Associations Article, Annotated Code of Maryland, and that it is in good standing and has filed all of its annual reports, together with filing fees, with the Maryland State Department of Assessments and Taxation, and that the name and address of its resident agent filed with the State Department of Assessments and Taxation is:

Name: Address:

(2) Except as validly contested, the business has paid, or has arranged for payment of, all taxes due the State of Maryland and has filed all required returns and reports with the Comptroller of the Treasury, the State Department of Assessments and Taxation, and the Department of Labor, Licensing, and Regulation, as applicable, and will have paid all withholding taxes due the State of Maryland prior to final

settlement.

**C. CERTAIN AFFIRMATIONS VALID**

I FURTHER AFFIRM THAT:

To the best of my knowledge, information, and belief, each of the affirmations, certifications, or acknowledgments contained in that certain Bid/Proposal Affidavit dated , \_\_/\_\_/\_\_, and executed by me for the purpose of obtaining the contract to which this Exhibit is attached remains true and correct in all respects as if made as of the date of this Contract Affidavit and as if fully set forth herein.

I DO SOLEMNLY DECLARE AND AFFIRM UNDER THE PENALTIES OF PERJURY THAT THE CONTENTS OF THIS AFFIDAVIT ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION, AND BELIEF.

Date: \_\_\_\_\_ By: \_\_\_\_\_  
(Authorized

Representative and Affiant)  
University System of Maryland  
3300 Metzert Road  
Adelphi, MD 20783-1690, USA  
301.445.2740

**THE CODE OF MARYLAND REGULATIONS (COMAR) IS THE OFFICIAL  
COMPILATION OF ALL ADMINISTRATIVE REGULATIONS ISSUED BY  
AGENCIES OF THE STATE OF MARYLAND**

**21.07.01.26**

**.26 Commercial Nondiscrimination Clause.**

A. The following provision is mandatory for all State contracts and subcontracts: "As a condition of entering into this Agreement, Contractor represents and warrants that it will comply with the State's Commercial Nondiscrimination Policy, as described under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland. As part of such compliance, Contractor may not discriminate on the basis of race, color, religion, ancestry, national origin, sex, age, marital status, sexual orientation, disability, or other unlawful forms of discrimination in the solicitation, selection, hiring, or commercial treatment of subcontractors, vendors, suppliers, or commercial customers, nor shall Contractor retaliate against any person for reporting instances of such discrimination. Contractor shall provide equal opportunity for subcontractors, vendors, and suppliers to participate in all of its public sector and private sector subcontracting and supply opportunities, provided that this clause does not prohibit or limit lawful efforts to remedy the effects of marketplace discrimination that have occurred or are occurring in the marketplace. Contractor understands that a material violation of this clause shall be considered a material breach of this Agreement and may result in termination of this Agreement, disqualification of Contractor from participating in State contracts, or other sanctions. This clause is not enforceable by or for the benefit of, and creates no obligation to, any third party.

B. The following provision is mandatory for all State contracts: "As a condition of entering into this Agreement, upon the request of the Commission on Civil Rights, and only after the filing of a complaint against Contractor under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland, as amended from time to time, Contractor agrees to provide within 60 days after the request a complete list of the names of all subcontractors, vendors, and suppliers that Contractor has used in the past 4 years on any of its contracts that were undertaken within the State of Maryland, including the total dollar amount paid by Contractor on each subcontract or supply contract. Contractor further agrees to cooperate in any investigation conducted by the State pursuant to the State's Commercial Nondiscrimination Policy as set forth under Title 19 of the State Finance and Procurement Article of the Annotated Code of Maryland, and to provide any documents relevant to any investigation that are requested by the State. Contractor understands that violation of this clause is a material breach of this Agreement and may result in contract termination, disqualification by the State from participating in State contracts, and other sanctions."

**PRINCIPLES OF SOCIAL RESPONSIBILITY  
and  
SOCIAL RESPONSIBILITY AFFIDAVIT INFORMATION**

**I. Principles of Social Responsibility**

A. As provided for in Section VIII. C. of the University System of Maryland Procurement Policies and Procedures, the University is required to make purchases from and award contracts to “responsible” contractors. The Procurement Officer may use certain factors, including but not limited to a satisfactory record of integrity and business ethics to determine if a bidder or offeror is responsible. The University has determined that a bidder or offeror’s record of integrity and business ethics includes a demonstrated commitment to providing goods and services in an ethical, and socially and environmentally responsible manner by compliance with all applicable:

- (1) Federal and state labor relations and employment laws;
- (2) Federal and state non-discrimination in employment laws;
- (3) State of Maryland Commercial Nondiscrimination laws;
- (4) State of Maryland, Minority Business Enterprise (“MBE”) laws; and,
- (5) Federal and state health, safety and environmental laws.

The above laws are referred to as “Social Responsibility Laws.” The bidder or offeror’s compliance with the above laws is referred to as “Social Responsibility.”

B. Each bidder or offeror shall complete a Social Responsibility Affidavit, in the form that follows, as part of a bid or proposal submitted to the Procurement Officer in response to any solicitation to furnish goods or services of any kind including, but not limited to architectural or engineering services; construction; construction related services; maintenance; consulting; information technology (hardware, software and services); equipment or other commodities.

C. The Procurement Officer shall consider information provided in the Social Responsibility Affidavit to determine if a bidder or offeror is responsible. A determination that a bidder or offeror is not responsible may be considered as the basis for eliminating that bidder or offeror from further consideration for a contract award.

D. After award, the University may terminate a contract for default if the bidder or offeror did not disclose the requested information; misrepresented relevant information to the Procurement Officer; or was subject to a final judgment of non-compliance with applicable Social Responsibility Laws post-award. In such cases, the University may also institute proceedings to debar the vendor from further State contracts, or pursue such other remedies as may be permitted by law or the contract.

**II. Social Responsibility Affidavit and Disclosure**

A. The bidder or offeror agrees that if it is the subject of a final, non-appealable judgment with respect to compliance with applicable Social Responsibility Laws after the date of this affidavit,

the bidder or offeror will immediately make a full disclosure in writing to the Procurement Officer of all relevant facts and circumstances. This disclosure shall include a description of actions which the bidder or offeror has taken or proposes to take to correct the violation. If the contract has been awarded and performance has begun, the vendor shall continue performance until notified by the Procurement Officer of any contrary action to be taken.

**B. CERTIFICATION OF COMPLIANCE WITH SOCIAL RESPONSIBILITY LAWS**

**I HEREBY AFFIRM THAT:**

(1) There has been no final, non-appealable judgment made during the last five years against the bidder or offeror for noncompliance with federal or state labor relations and other employment laws or regulations, including but not limited to the National Labor Relations Act, as amended; the Davis-Bacon Act, as amended; the Fair Labor Standards Act, as amended; the Maryland Living Wage law, State Finance and Procurement Article, §18-101 et seq., Annotated Code of Maryland; the Maryland Prevailing Wage law, State Finance and Procurement Article, §17-201 et seq., Annotated Code of Maryland; federal and state child labor laws; federal minimum wage laws and; the Family Medical Leave Act, except as follows (explain below or add additional sheets):

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(2) There has been no final, non-appealable judgment made during the last five years against the bidder or offeror for violation of federal or state non-discrimination in employment laws or regulations, including but not limited to laws prohibiting discrimination on the basis of race, color, religion, ancestry or national origin, sex, age, marital status, sexual orientation, or disability unrelated in nature and except so as to reasonably preclude the performance of the employment, except as follows (explain below or add additional sheets):

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(3) There has been no final, non-appealable judgment made during the last five years against the bidder or offeror for violation of the State of Maryland Commercial Non-Discrimination Policy, State Finance and Procurement Article, §19-101 et seq., Annotated Code of Maryland, except as follows (explain below or add additional sheets):

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(4) There have been no instances during the last five years of failure by the bidder or offeror to meet mutually agreed upon goals for minority business participation (MBE) on

projects performed for the University or any other State of Maryland agency, or any other sanctions for MBE program non-compliance; or any final, non-appealable judgment of noncompliance with the State of Maryland Minority Business Participation law, State Finance and Procurement Article, § 14-308 et seq., Annotated Code of Maryland, except as follows (explain below or add additional sheets):

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(5) There has been no final, non-appealable judgment made during the last five years against the bidder or offeror for violation of federal or state health, safety or environmental laws or regulations , including but not limited to the U.S. Occupational Safety and Health Act standards; Maryland Occupational Health and Safety laws, State Labor and Employment Article, § 5-101 et seq., Annotated Code of Maryland, or the Federal Noise Control Act of 1972, except as follows (explain below or add additional sheets):

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I DO SOLEMNLY DECLARE AND AFFIRM UNDER THE PENALTIES OF PERJURY THAT THE CONTENTS OF THIS AFFIDAVIT ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION AND BELIEF.

Date: \_\_\_\_\_ By: \_\_\_\_\_  
(Authorized Representative and Affiant)

social responsibility affidavit 7.21.11

## **VI-1.05 POLICY OF NON-DISCRIMINATION ON THE BASIS OF SEXUAL ORIENTATION AND GENDER IDENTITY OR EXPRESSION**

(Approved by the Board of Regents, July 11, 1997; amended, June 22, 2012)

### **PURPOSE**

This policy affirms that the University System of Maryland's (USM) commitment to the most fundamental principles of academic freedom, equality of opportunity, and human dignity includes the protection of members of the USM community from discrimination based on sexual orientation and gender identity and expression. These principles require that the treatment of students, faculty, and staff of USM institutions, and applicants for admission and employment, be based on individual abilities and qualifications and be free from invidious discrimination.

### **I. DEFINITIONS**

For the purposes of this policy, the following definitions apply:

- A. "Gender identity or Expression" is defined as a person's actual or perceived gender identity, self-image, appearance, behavior, or expression, regardless of whether that identity, self-image, appearance, behavior, or expression is different from that traditionally associated with the person's gender at birth.
- B. "Sexual Orientation" is defined as the identification, perception, or status of an individual as to homosexuality, heterosexuality, or bisexuality.

### **II. PROHIBITION AGAINST DISCRIMINATION BASED UPON SEXUAL ORIENTATION OR GENDER IDENTITY AND EXPRESSION**

- A. This policy specifically prohibits discrimination against students, faculty, and staff on the basis of sexual orientation or gender identity and expression in academic admissions, financial aid, educational services, housing, student programs, and activities, recruitment, hiring, employment, appointment, promotion, tenure, demotion, transfer, layoff or termination, rates of pay, selection for training and professional development, and employee services.

- B. The USM reserves the right to comply with conditions on the application of this policy required by the terms of any bona fide employee benefit plan such as a retirement, pension, or insurance plan, and to enforce or comply with any Federal or State law, regulation, or guidelines, including conditions for the receipt of federal funding.

### **III. IMPLEMENTATION**

- A. The protections of this policy shall be included in all appropriate USM and institution equal opportunity statements and related documents.
- B. The USM and each institution shall include the protections of this policy in its procedures to implement and enforce its equal opportunity and non-discrimination policies, including the identification of those officials responsible for receiving, investigating and resolving complaints of discrimination prohibited by this policy.



## STAMP ADVISORY BOARD

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[Late-night Event Policy](#)

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### STAMP ADVISORY BOARD



Stamp Student Union  
College Park, MD 20742

#### Stamp Advisory Board Application for Membership

The Adele H. Stamp Student Union - Center for Campus Life is the community center for all members of the College Park campus including students, faculty, staff, and visitors. The Stamp provides a central place for students and others to learn, socialize, and relax while coming to feel more closely connected to the campus. The Stamp contributes directly to the educational mission of the University of Maryland by providing opportunities and encouragement for participation in educational, social, and recreational activities. It also contributes to the success of student organizations and provides services for the personal convenience of the whole campus community.

As an integral component of managing the Adele H. Stamp Student Union - Center for Campus Life, the opinions and advice of representatives of the campus community are solicited through the Stamp Advisory Board. The purposes of the Board are as follows:

- To advise the Director of the Adele H. Stamp Student Union - Center for Campus Life on matters of policy related to the administration of the Stamp.
- To conduct social, cultural, educational, and recreational programs for all members of the University community including students, faculty, staff, alumni, and guests of the University through support of Student Entertainment Events (SEE).
- To provide for students, opportunities for experience in social responsibility and leadership.
- To strengthen bonds of friendship among all members of the University community.
- To advise the Director of the Adele H. Stamp Student Union - Center for Campus Life, as needed, in the employment of administrative staff.
- To advise the Vice President for Student Affairs, as needed, in the appointment of the Director of the Adele H. Stamp Student Union - Center for Campus Life.

Some of the issues which are addressed by the Board each year include the budget process for the Stamp allocation of student organization office space, review of programs and funds allocated to SEE, selection of the recipient of the Adele H. Stamp Memorial Award, and review of retail and food outlets in the Stamp.

In addition to those members of the Board who are appointed by the Student Government Association and the Graduate Student Government, and those members who serve in an ex officio capacity, there are at-large members of the Board who are selected through an application procedure. Persons interested in serving as at-large representatives are to complete the application form on the reverse side of this sheet and submit it for review by the Stamp Advisory Board.

## **ADELE H. STAMP STUDENT UNION STAMP ADVISORY BOARD**

The Adele H. Stamp Student Union – Center for Campus Life is the community center for all members of the College Park campus including students, faculty, staff, and visitors. The Stamp provides a central place for students and others to learn, socialize, and relax while coming to feel more closely connected to the campus. The Stamp contributes directly to the educational mission of the University of Maryland by providing opportunities and encouragement for participation in educational, social, and recreational activities. It also contributes to the success of student organizations and provides services for the personal convenience of the whole campus community.

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To advise the Director of the Adele H. Stamp Student Union – Center for Campus Life on matters of policy related to the administration of the Stamp.

To conduct social, cultural, educational, and recreational programs for all members of the University community including students, faculty, staff, alumni, and guests of the University through support of Student Entertainment Events (SEE).

To provide for students, opportunities for experience in social responsibility and leadership.

To strengthen bonds of friendship among all members of the University community.

To advise the Director of the Adele H. Stamp Student Union – Center for Campus Life, as needed, in the employment of administrative staff.

To advise the Vice President for Student Affairs, as needed, in the appointment of the Director of the Adele H. Stamp Student Union – Center for Campus Life.

Some of the issues which are addressed by the Board each year include the budget process for the Stamp allocation of student organization office space, review of programs and funds allocated to SEE, selection of the recipient of the Adele H. Stamp Memorial Award, and review of retail and food outlets in the Stamp.

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**ADELE H. STAMP STUDENT UNION – CENTER FOR CAMPUS LIFE  
STAMP ADVISORY BOARD  
APPLICATION FOR MEMBERSHIP**

Name: \_\_\_\_\_

ID#: \_\_\_\_\_

Address: \_\_\_\_\_

Work Phone: \_\_\_\_\_

E-mail: \_\_\_\_\_

Home Phone: \_\_\_\_\_

Check one:     Undergraduate Student  
                   Non-exempt Staff  
                   Faculty  
                   Alumnus/a

Anticipated Graduation  
 Graduate Student (Master's or PhD)  
 Exempt Staff

GPA: \_\_\_\_\_

Are you available on Friday afternoons at 3:00pm?     Yes     No

Would you be interested in being a member of the Building Utilization Committee? \_\_\_\_\_

The Committee on Building Utilization recommends to the Board policies pertaining to the utilization of space and facilities of the Union, including but not limited to space allocations in the Student Involvement Suite for student organizations, space reservations, and general facilities.

Would be interested in joining the University Book Center Advisory Board? \_\_\_\_\_

The purpose of the UBC board is to maintain two-way communication between the UBC management team and various segments of the university. The UBC advisory board will serve in an advisory capacity to both the Director of the Adele H. Stamp Student Union-Center for Campus Life and the University Book Center management team to assist and provide feedback with regards to making operation improvements, reviewing both short-and long-range goals and reviewing general service and operational philosophy.

1. In what ways have you been involved with the Adele H. Stamp Student Union – Center for Campus Life?

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2. What organizations do you belong to?

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3. What leadership roles have you held or are you holding?

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4. Why do you want to be a member of the Stamp Advisory Board?

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I certify that the information above is correct to the best of my knowledge.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

**Application forms must be returned by September 4, 2012, no later than 12:00pm.  
to Marie Jenkins in 3100 Stamp Student Union.**

# **Transforming Maryland: Expectations for Excellence in Diversity and Inclusion**

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The Strategic Plan for Diversity at the University of Maryland



# DIVERSITY STRATEGIC PLAN

## University of Maryland

### I. The University of Maryland's Commitment to Diversity

The University of Maryland, the flagship of the University System of Maryland and one of the nation's top research universities, has long embraced diversity as a core value and counts a diverse educational community among its great strengths. Our commitment to diversity rests on three tenets:

1. We believe that living and working in a community that accepts and celebrates diversity is a joy and a privilege that contributes to the vitality and excellence of the educational experience.
2. We believe that as a State university, we have a responsibility to assure all citizens access to the transformative experience of an outstanding higher education and the opportunity for success in this experience.
3. We believe it is essential that our students have exposure to different perspectives, that they interact with people from different backgrounds, and that they explore ideas with those from different cultures in order to succeed in an increasingly diverse workplace and global community.

In short, creating an educational and work environment that is rich in diversity, inclusive, and supportive of all students, faculty and staff is morally right and educationally sound. We commit ourselves fully to implementing the strategies set forth in this plan to achieve an optimal environment for all members of the University community.

The University Strategic Plan of 2008, *Transforming Maryland: Higher Expectations*, clearly states the results we strive for as a preeminent university: impact, leadership and excellence. We know without doubt that the diversity of our university faculty, staff and students is a cornerstone of that excellence. This Diversity Plan is aligned with the goals of the University Strategic Plan. It calls for the University to energetically renew its efforts in diversity. The results will be transformative.

The Strategic Plan states the mission of the University with eloquence: "As the flagship, its task is to look over the horizon, attract the most brilliant minds, advance the frontiers of knowledge, stimulate innovation and creativity, and educate those who will be leaders in business, public service, education, the arts, and many other fields." To succeed in this task we must have a community that acknowledges and celebrates diversity in all its dimensions.

Through the goals and strategies outlined in this plan, we intend to secure and maintain a working and learning environment in which all members of our community are welcomed and can flourish regardless of race, color, creed, sex, sexual orientation, gender identity, marital status, personal appearance, age, national origin, political affiliation, hidden or visible disabilities.

We are confident that we can meet the goals outlined in this document because the University has special strengths on which it can build: 1) a history of national leadership in diversity initiatives during the past three decades; 2) a substantial record of scholarship on diversity issues across the disciplines; 3) a location that offers opportunities to engage with a wealth of diverse communities, including large African-American, Hispanic American/Latino/a, and Asian American populations, and thanks to the proximity of the federal government agencies and offices, a substantial international population; and 4) a conviction that a University community energized by diverse perspectives and experiences provides an enriching educational experience and strong competitive edge for our students, our faculty and our State.

We are uniquely positioned to influence the world *outside* the University based on the contributions and research of our faculty, students, and staff. Our vision for the next decade is to become a model diverse community of learning, exploration, and self examination whose impact is felt across the State, the region, and throughout the nation and world.

## **II. The University's Transformation into a Leader in Diversity**

### **University of Maryland Leaders Embrace Diversity**

The University undertakes this new Diversity Plan after three decades of successful initiatives that focus on diversity issues. We are confident in the University's ability to meet new challenges in creating the community of the future. After an early history in which the University engaged in deplorable practices of discrimination and held destructive prejudices against women, we now have a keen appreciation of the moral imperative of equity and diversity. We know that at the time of its founding in 1856, sixteen of the first twenty-four Trustees of the Maryland Agricultural College were slave owners and that slaves labored, if not on campus, certainly throughout Prince George's County, in which it was built. White women were first admitted in 1916, and African-Americans in 1951. Though slower than we would wish in including all citizens and creating an appropriate climate for their success, in the past decades the University eagerly adopted the ideal of diversity and has worked diligently to transform the campus to become a national leader in this area. The University of Maryland's strategies were among those highlighted in the *Diversity Blueprint: A Planning Manual for Colleges and Universities*, published with the American Association for Colleges and Universities (AAC&U) in 1995. Today we are on the path toward realizing our vision of being a "model multiracial, multicultural, and multigenerational academic community."

We have been guided by many dedicated members of the campus community in this transformation, especially three exceptional leaders: Dr. John Slaughter, Chancellor, 1982-1988; Dr. William E. Kirwan, President, 1988-1998; and Dr. C. D. Mote, Jr., President, 1998-2010. Under their leadership, the University embraced a commitment to diversity with unwavering vigor. The journey toward a diverse and inclusive institution began with race and gender, but the imperative to address other identities became apparent as we undertook various initiatives. Indeed our terminology that today favors the word "diversity" evolved from a growing understanding of the complexity of this work.

During his tenure as Chancellor of the University of Maryland (1982-1988), Dr. John B. Slaughter, one of the first African-American chancellors of a major state university, challenged the campus to become a “model multiracial, multicultural, and multigenerational academic community.” Under Dr. Slaughter’s leadership, the University moved from being an institution focused merely on compliance with equity mandates, to an academic community that addressed diversity proactively.

Under the leadership of his successor, President William E. Kirwan, the University made giant strides in its commitment to equity and inclusion for minorities. His administration supported major initiatives designed to involve every campus unit and department in activities that supported minority faculty, staff and students. University leaders raised expectations for recruitment of faculty, undergraduates, and graduate students from under-represented groups; developed major initiatives to support and mentor minority members on our campus; and provided significant financial support for activities likely to increase the success of minority members of the University community. From 1990 through 1995, President Kirwan led the University’s defense of a legal challenge to the University’s Banneker scholarship, a program designed to enroll academically talented African American students. While the court eventually ruled against the race exclusive nature of the scholarship, the University’s defense of the case was a first step in developing the now widespread use of the diversity rationale to advance affirmative action goals in higher education.

President C. D. Mote, Jr., built on these efforts, deepened our understanding of the complexities of diverse backgrounds and identities, and expanded the focus of our commitment. He sponsored innovative and successful programs that reached into Maryland communities with large numbers of disadvantaged students, and created pipelines for students who had overcome adverse circumstances to obtain an affordable college education. In the past decade, the University significantly increased the graduation rates of undergraduates from all racial/ethnic backgrounds, and made substantial progress in closing the achievement gap. In recognition of the University’s growing global impact, President Mote has also vigorously supported programs that offer students life-changing international experiences.

Led by the President, the administration has pushed aggressively to promote the rights of gays, lesbians, and women and has fought to obtain benefits for domestic partners of University employees. The State began providing same-sex domestic partner health benefits to Maryland State employees and retirees in July 2009. Under President Mote’s leadership, the University has also introduced new family-friendly policies and programs to help faculty, staff, and students balance their academic, work, and family responsibilities.

### **Where We Are Today: Diversity Accomplishments**

Diversity and inclusiveness have, over time, become integral and ongoing components of the University’s institutional identity. A quantitative sketch of our successes indicates how far the University of Maryland has progressed in recent decades.

The diversity of our students:

- Students of color comprise 34% of the undergraduate student body.
- African American students constitute 12% of our undergraduates.
- Asian American students comprise 15% of Maryland's undergraduates.
- The Hispanic American/Latino/a student population increased 29% at the undergraduate level and 58% at the graduate level from 2001 to 2009.
- The percentage of new minority graduate students increased from 16% in 2001 to 21% in 2009.

The success of our students:

- The University of Maryland is one of the top degree granting institutions for African American and other minority students in the United States. In 2009, our campus was rated 1<sup>st</sup> among AAU institutions for the number of African American Ph.D.s.
- In a 2010 study by the Education Trust, the University had the 4<sup>th</sup> highest ranking for 2007 graduation rates of minorities among public research universities.
- In the same study, the University was ranked 14<sup>th</sup> in improved graduation rates for minority students (2002-07).
- Six year graduation rates for African American students have increased from 46.3% to 70.4% in the past ten years (Classes of Fall 1993 and Fall 2003). Graduation rates for Hispanic American/Latino/a students rose from 49.3% to 72.0% in the same time period.
- The University has achieved parity between male and female Bachelors and Masters degree recipients since 2001. In fact, between 2001 and 2008 more women than men were awarded Bachelors degrees.
- The gap between male and female doctorates is also narrowing, with women earning 48% of all doctoral degrees in 2009.

The diversity of our faculty and staff:

- Between 2000 and 2009, the percentage of women in the tenured/tenure track faculty increased from 26% to 31% and the percentage of faculty of color in this group increased from 16% to 20%.
- In 2009, one third of new tenured/tenure track faculty hires were women and 43% were members of ethnic minority groups.
- The number of women department chairs grew from 6 in 2004 to 15 in 2009, a 150% increase.
- The University's diverse staff is 16% African American, 7% Asian American, 5% Hispanic American/Latino/a, 17% from other nations, and 52% women.

### **III. Taking Stock: Diversity Initiatives at Maryland**

#### **University Offices that Promote Equity and Diversity**

Several campus programs have been established that address diversity issues, and the dates of their inception reflect the growing understanding of the complexity of diversity and the variety of groups that need to be served.

The Office of Human Relations Programs (1971), now known as the Office of Diversity and Inclusion (ODI), is responsible for compliance with the Human Relations Code which contains our official nondiscrimination policy (1976; amended in 1992 to include sexual orientation). The Office also provides a variety of multicultural and diversity education programs, including intergroup dialogues.

Many other offices, centers, and programs address specific issues. These include the:

- Nyumburu Cultural Center (1971)
- Office of Multi-Ethnic Student Education (1971)
- Disability Support Services (1977)
- Office of Lesbian, Gay, Bisexual, and Transgender (LGBT) Equity (1998)
- Maryland Incentive Awards Program (2000)
- Office of Multicultural Involvement and Community Advocacy (2006)  
(formerly Student Involvement and Minority Programs 1987)

Special presidential commissions focus on eliminating inequity and fostering community for specific groups on campus. The four President's Commissions focus on: Women's Issues (1973), Ethnic Minority Issues (1973), Disability Issues (1986), and Lesbian, Gay, Bisexual, and Transgender Issues (1997).

The Provost's Conversations on Diversity, Democracy and Higher Education, established in 2003, promote University-wide awareness and dialogue about nationally-important diversity issues.

#### **Diversity in the Curriculum**

The University has been a leader in interdisciplinary programs, with its American Studies program (1945) one of the earliest in the nation. This history was a stepping stone for academic programs and concentrations that focus on educational issues surrounding specific areas of diversity. First introduced in the 1960s, these programs have helped to broaden our understanding of diversity, cultivate community, and build support for various social identity groups.

Many programs that began as concentrations in traditional departments led to the establishment of formal academic programs:

- African American Studies (1968)
- Women's Studies (1977)
- Jewish Studies (1980)
- Latin American Studies (1989)
- Asian American Studies (2000)
- Lesbian, Gay, Bisexual, and Transgender Studies (2002)
- Persian Studies (2004)
- U.S. Latino Studies (2007)

The University has also been a national leader in fostering diversity as a serious topic for research and academic exploration. One of the most important and successful initiatives has been the Consortium on Race, Gender, and Ethnicity (1998). Faculty members working through the Consortium have published groundbreaking studies on the complexity of issues surrounding self-identity and diversity.

In 2008, the U.S. Department of Education granted the University status as a minority-serving institution for Asian Americans and Pacific Islanders, a gateway to targeted support for the growth of academic programs and support for student scholarships.

The David C. Driskell Center for the Study of the Visual Arts and Culture of African Americans and the African Diaspora, established at UM in 2001, preserves the heritage of African American visual arts and culture.

Existing and new courses within established disciplines have been infused with elements and principles of diversity with the assistance of the Curriculum Transformation Project (1989). Since 1990, undergraduate students have had a CORE diversity requirement, and they currently have co-curricular opportunities that address diversity such as Words of Engagement: Intergroup Dialogue Program (2000) and the Common Ground Multicultural Dialogue Program (2000).

There are far more activities, campus-wide, and locally, than we can include in this overview, but the programs listed above represent the breadth of our commitment to building a diverse and inclusive campus community.

#### **IV. Recommendations**

The University of Maryland has laid a strong and broad foundation for diversity and equity over the past three decades. The recommendations in the Diversity Strategic Plan aim to ensure that the University will build on this foundation and continue as one of the nation's higher education leaders in diversity, equity, and inclusion.

Clearly, the University has made great progress. However, building a community in which support for diversity permeates all levels is an on-going process. The University still has much to do to create the optimal, inclusive, learning and work environment to which it aspires.

Vigorous efforts should be made to further diversify the senior leadership, faculty and student body; to create a more vibrant and inclusive campus community; to support diversity-related research; and to implement a curriculum that prepares our students to succeed in a multicultural, globally interconnected world. This Plan sets forth strategies to take us to the next level.

Our Plan seeks to accomplish three goals:

1. To ensure policies and structures are in place at all levels of the University to support transformational leadership, recruitment and inclusion efforts, and to institutionalize campus diversity goals;
2. To foster a positive climate that promotes student success and encourages faculty and staff members to flourish; and
3. To promote a vision across the University that fully appreciates diversity as a core value and educational benefit to be studied, cultivated, and embraced as a vital component of personal development and growth.

The Plan includes many exciting, bold initiatives to help the University meet its goal of excellence in diversity. Highlights include: the appointment of a Chief Diversity Officer and creation of an Office of University Diversity; the establishment of a representative Diversity Advisory Council that will give a central voice to the needs and visions of diverse groups at all levels of the campus community; the introduction of new initiatives to assist with recruitment and retention, such as cluster faculty hires and work-family initiatives; the creation of a “Building Community” fund to support innovative approaches for enhancing the campus climate; and the emphasis on challenging new General Education diversity requirements that will engage students in learning about plural societies and prepare them to be culturally competent leaders.

Following are the major goals and strategies of the Diversity Strategic Plan, organized in six core areas: Leadership, Climate, Recruitment and Retention, Education, Research and Scholarship, and Community Engagement.

## **A. Leadership**

Leadership is essential to building a more diverse, inclusive, and equitable institution. This Plan proposes to strengthen the diversity leadership throughout the campus. The goals and strategies listed below recognize that leadership in diversity must come from senior leaders as well as from the ranks of students, faculty, and staff.

First, the Plan calls for leadership from the top. When the University’s senior administrators endorse diversity programs and initiatives, they affirm that diversity is a core value and set the tone for action throughout the University. The appointment of a Chief Diversity Officer and establishment of a campus-wide Diversity Advisory Council to replace the current Equity Council will be a visible signal of this commitment. With wide representation from campus

groups, the new Council will focus on major diversity initiatives that can help move the campus forward.

Second, leadership in diversity requires a commitment to increasing the presence of individuals from diverse populations among those in charge at all levels. This plan proposes an energetic effort to increase their numbers through robust recruitment strategies. In addition, the University should expand and strengthen programs of professional development that prepare individuals from underrepresented groups already on campus to move into positions of leadership. Students, faculty, and staff all benefit from a community in which those in charge reflect diversity among their ranks.

Finally, the University should support a vigorous effort to inculcate the principles of diversity, equity, and inclusion in all faculty, staff, and students so that leadership in diversity is something every member of the University community understands and for which each one feels responsible.

**GOAL A.1: The University will provide strong leadership for diversity and inclusion at all campus levels.**

### **Strategies**

- A. The President will appoint a Chief Diversity Officer (preferably a Vice President with faculty rank) who reports directly to the President and is a member of the President's Cabinet.
- B. The University will create an Office of University Diversity led by the Chief Diversity Officer. The Officer and his or her staff will advocate for diversity and equity issues; provide active oversight, coordination, and evaluation of work in these areas; track University progress in meeting the goals of the *Diversity Strategic Plan*; and encourage and support the efforts of units to achieve their diversity goals.
  - The Office will serve as a resource providing regular and accurate information on existing University equity and diversity programs, centers, academic units, and identity-based organizations.
  - The Office will develop a comprehensive communication plan and strong campus web presence to: provide diversity and equity information; disseminate examples of best practices for promoting diversity and inclusion; and highlight the University's leadership in diversity research, academic and co-curricular programming, minority graduation rates, and other accomplishments.
  - The Office will establish a resource center to share diversity materials (e.g., curricula/syllabi, co-curricular programs, fellowships, funding opportunities) and provide a site for consultation and collaboration on diversity, equity, and climate issues.

- C. The University will create a campus-wide Diversity Advisory Council with representatives from all divisions, schools/colleges, graduate and undergraduate student bodies, and other appropriate units, to play a key role in advising the Chief Diversity Officer regarding diversity decision-making, planning, and training.
- Units represented on the Diversity Advisory Council will appoint Diversity Officers who will be responsible for providing diversity education and training, overseeing climate assessments, and supporting diversity-related recruitment/retention, programming and evaluation efforts within the unit. Diversity Officers will also collaborate on campus-wide diversity initiatives. Responsibilities, expectations, and accountability for Diversity Officers will be clearly defined and consistent across units.
  - Although the Diversity Advisory Council will replace the Equity Council as the major diversity leadership body, units may continue to appoint Equity Administrators to oversee all aspects of search and selection procedures, including data collection.
- D. The President, Vice Presidents and Deans will take steps to increase the diversity of leadership ranks across all divisions, Colleges/Schools, and departments/units to support a diverse and inclusive institution.
- E. The University leadership will help each unit establish measurable goals for diversity and inclusion at the division, College/School and department/unit levels and help units meet their goals. Accountability mechanisms will be used to assess outcomes. Support for diversity and inclusion will be a uniform qualification for all leadership positions and a performance criterion in the annual reviews of all campus leaders.

**GOAL A.2: The University will increase opportunities for leadership training, mentoring, professional growth and advancement of diverse faculty and staff in all divisions.**

### **Strategies**

- A. The Provost's Office will:
- Provide an annual leadership orientation for all new vice presidents, deans, and department chairs that includes a significant focus on fostering diversity and inclusion. This orientation should address such topics as supporting diversity research/scholarship and teaching, creating an inclusive climate, dealing with sexual harassment, and recruiting and retaining diverse faculty, staff and students.
  - Offer leadership training and mentoring programs, such as the University's Leadership Education and Administrative Development (LEAD) program, which prepare tenured faculty to assume campus and professional leadership positions. Women, minorities, and faculty from diverse backgrounds will be actively encouraged to apply for these programs.

- B. The University will establish leadership education and mentoring programs for talented staff from diverse groups that provide avenues for professional growth, network development, and career advancement.
- C. The Chief Diversity Officer will offer periodic training that prepares faculty and staff from all groups to be influential leaders, advocates and spokespeople for diversity initiatives across the campus.

## **B. Climate**

All individuals in a community need to feel that their individual worth is recognized, their work is respected, and they work in an environment in which they can flourish. If students feel marginalized because they are different from those in the mainstream, if faculty or staff members feel that their contributions are not valued, or if any individual feels isolated and excluded by a climate that is unfriendly or uninterested, the University community is diminished. A welcoming, supportive climate is essential in our academic community.

The University has in place clearly defined policies and legal guidelines to deal with egregious problems such as sexual harassment, hate speech or threats. The initiatives addressed in this Plan aim to ensure that we go beyond a neutral climate to one that is completely supportive and inclusive. This Diversity Plan focuses on ways to enhance day-to-day learning and working conditions. The creation of a climate that nurtures and supports all of its members requires proactive acts of self-examination.

Many useful tools are available for self-assessment of the workplace and classroom climate. Exit surveys, for example, are accepted and valuable ways to measure experiences. The Plan proposes surveys and other formal assessments as initial steps, but units will also find it helpful to gauge climate issues through informal group discussions, spontaneous interviews with individuals in the unit, and other activities.

**GOAL B.1: The University will ensure a welcoming and inclusive learning community, workplace, and campus environment.**

### **Strategies**

- A. Units will actively support and demonstrate adherence to the University's policies on equity, non-discrimination, compliance, and equal employment opportunity/affirmative action.
- B. The Chief Diversity Officer, in collaboration with the Diversity Advisory Council, will:
  - Create an online Climate Assessment Survey that will be administered by all units to establish a baseline so they can assess their needs in creating a climate conducive to success. The results will be submitted to appropriate unit heads (e.g., deans, vice presidents) for review and feedback. The Climate Assessment Survey will be repeated periodically, maybe even annually, as dictated by the results.

- Create the framework for a Climate Enhancement Plan and help units use the Plan to identify strategies for responding to climate concerns and to create an inclusive, welcoming environment. Climate Enhancement Plans will be submitted to and discussed with appropriate unit heads and unit Diversity Officers.
  - Develop a schedule for unit heads and the Diversity Advisory Council to reach out, work with units, and offer them support and advice as indicated by the results of their Climate Assessment Surveys and the outcomes of their Climate Enhancement Plan activities.
- C. The University will survey graduating students on an annual basis concerning the impact of their diversity-related educational and co-curricular experiences, as well as their perceptions of the campus climate.

**GOAL B.2: The University will develop and implement innovative, cross-cutting programs to improve and enhance the campus climate for diverse students, faculty, staff, and visitors.**

### **Strategies**

- A. The Chief Diversity Officer, in consultation with the Diversity Advisory Council, will identify common themes that arise from climate assessments and develop campus-wide programs to foster an inclusive, civil environment and to remedy climate-related problems.
- B. The University will create a “Building Community” fund administered by the Chief Diversity Officer to support innovative initiatives for enhancing the climate within and/or across units, and between social identity groups on campus.
- C. Across the University, in campus-wide social activities and campus offices designed to address issues of different cultural and identity groups, the University will celebrate and promote a community based on inclusiveness and respect for differences, encouraging close interaction among individuals on campus with varying backgrounds, experiences, interests, and perspectives.
- D. The President’s Office will continue to support the Commissions on Women’s Issues, Ethnic and Minority Issues, Disability Issues, and Lesbian, Gay, Bisexual, and Transgender Issues in their work to identify campus diversity concerns, educate University constituencies, advocate for programmatic and policy improvements, and celebrate the achievements of diverse members of the campus community. With oversight from the Chief Diversity Officer, the Commissions may hold annual (or periodic) town meetings of their constituencies to identify issues that require University attention, evaluate progress in achieving equity and diversity goals, and make recommendations to the President.

## C. Recruitment and Retention

Excellence at the University depends on the recruitment and retention of outstanding faculty and staff. Talented individuals with great potential are found among every group. To build an academic community that is preeminent, the University will actively seek and aggressively recruit these outstanding and diverse individuals to our faculty, staff, administrative ranks, and student body. The University has taken action in recent years to remove impediments to effective recruiting and retention of faculty. For example, new policies recognize the needs of faculty involved in child-rearing, a concern that has disproportionately affected the careers of academic women. A newly established Family Care Resource and Referral Service will provide a variety of child and elder care services to facilitate greater work-life balance for faculty, staff, and students. In 2009-10, the University also instituted a policy for Part-Time Status of Tenured/Tenure Track Faculty due to Childrearing Responsibilities, enabling faculty with young children to work part-time.

Research and experience have shown that achieving a critical mass of colleagues is especially important in recruiting individuals from groups who are not in the mainstream. If many individuals from a particular group find support and success in a department or unit, others from that group will be more eager to join them. It will be our goal, at every level, to build the critical mass that signals the University of Maryland is a welcoming home for every individual who aspires to reach his or her highest potential. The promotion of cluster hires and a renewed emphasis on mentoring of junior faculty will help ensure success in building the corps of minority and women faculty across the University. Likewise, the University will support efforts to recruit, retain and promote diverse staff members, and to overcome unfair barriers to their advancement.

The University's recruitment strategies over the past two decades at the undergraduate level have reaped rewards and successes. We are proud of the steady enrollment of African Americans and Asian Americans, of the increasing numbers of Hispanic American/Latino/a students attending the University, and of the numbers of women in our programs. Innovative recruitment efforts at the undergraduate level will continue. The University's Strategic Plan set forth goals for supporting graduate students, casting a wide net in their recruitment that should greatly help to attract minority students and women, and offer them the highest level of mentoring and guidance. We expect steady increases in the enrollment and success of diverse graduate students as a result of these new measures.

**GOAL C.1: The University will continue to recruit, promote, and work to retain a diverse faculty and staff.**

### Strategies

- A. The Provost's office and Colleges/Schools will implement faculty recruitment strategies, such as cluster hiring, faculty exchanges with minority-serving institutions, and programs that build the pipeline of future faculty, to increase faculty diversity and create an inclusive community that facilitates retention. A faculty recruitment fund will provide support to enhance the diversity of the University's faculty.

- B. The University will join the Higher Education Recruitment Consortium (HERC) to increase its competitive advantage in recruiting talented and diverse faculty and staff, and to identify potential positions for their family members.
- C. The Chief Diversity Officer will work with Deans and Department Chairs to determine the availability of women and minorities in targeted fields, and to ensure that departments are making efforts to hire diverse faculty and staff in proportion to their availability in relevant job pools.
- D. The Provost's Office, Deans, and Chairs will develop mentoring, professional growth, and other retention initiatives, such as collaboration cafes, to reduce disparities in the retention rates of tenure track/tenured faculty from diverse groups. Administrators should replicate best practice models from departments that have been successful in retaining and promoting faculty of color, and should provide mentorship training to faculty who choose to become mentors.
- E. The Chief Diversity Officer will monitor faculty retention and promotion/tenure rates, identify impediments to retention and advancement, and make recommendations for remedying identified disparities.
- F. Deans and Department Chairs will carefully evaluate campus service assignments and mentoring activities of junior faculty, with a particular focus on women and minority faculty, and will ensure that they have time to successfully complete their teaching and research responsibilities required for promotion and tenure.
- G. The Chief Diversity Officer will monitor staff retention, promotion, and turnover rates, identify barriers to career advancement, and make recommendations for remedying identified obstacles.
- H. The University will implement family-friendly policies and provide services to facilitate work-life balance as retention incentives.

**GOAL C.2: The University will recruit, retain, and graduate a diverse student body.**

**Strategies**

**Undergraduate Students**

- A. The Division of Academic Affairs will adopt innovative, high-contact recruitment models, including those that employ alumni of color and international alumni, to attract a diverse student body from all areas of the State, the nation, and the world. The University will set appropriate goals for increasing enrollments.
  - The University will increase the percentage of undergraduate students from underrepresented groups (African American, Asian American, Hispanic

American/Latino/a, Native American, and multiracial) to a target of at least 38% of the total enrollment by 2018.

- The University will increase the percentage of international undergraduate students to a target of at least 8% of the total enrollment by 2018.
- B. The University will continue to create scholarship and financial aid programs to ensure that higher education is accessible to diverse undergraduates, particularly low-income, first generation students.
- C. The Division of Academic Affairs will support initiatives that enhance the academic preparation of low income, first generation students during their pre-college years, and that encourage their college attendance.
- D. The University will regularly review its 25 admission factors, including academic achievement, standardized test scores, and other criteria, to ensure that admissions procedures do not negatively impact women, minority, and low-income students. Members of the University community should make every effort to share information about the individualized, holistic evaluation of student applicants to the University.
- E. The University will work to close the academic achievement gap by bringing the graduation rates of African American, Hispanic American/Latino/a, and Native American students in line with those of the general student body. Specifically, the University will reduce the discrepancy between the six-year graduation rate of students from the above groups and that of all students to 5% or lower by 2018.
- F. The University will continue to support offices and programs that facilitate undergraduate student success, progress to degree and timely graduation, including those that provide smooth transitions to campus life, mentoring/advising, and positive academic and co-curricular experiences.

## **Graduate Students**

- A. The Graduate School and Deans will develop innovative programs to recruit, enroll and retain diverse graduate students, and increase their degree completion rate.
- The Graduate School and Colleges/Schools will educate Graduate Directors and other interested faculty on best practices for recruiting, retaining and graduating diverse students.
  - Colleges/Schools will periodically review and provide feedback on department plans for recruiting a diverse student body.
- B. The Provost and Graduate School will consider the success of its programs in recruiting and graduating a diverse population of graduate students when allocating institutional financial support to programs, departments, and Colleges/Schools.

## D. Education

Consistent with the goals of the *Strategic Plan*, the University strives to provide every student with an education that incorporates the values of diversity and inclusion and prepares its graduates for an increasingly diverse United States and evolving global society. Curricula should ensure that graduates have had significant engagement with different cultures and global issues.

The new General Education plan spells out clearly the courses and curricula that will be required to broaden the vision of all undergraduates. Innovative new diversity courses will increase students' understanding of cultural pluralism, develop their cultural competencies, and provide exceptional opportunities to study abroad. In addition, the University has many outstanding scholars whose work has focused on diversity issues within their disciplines. To name just a few, our School of Public Health has a major research focus on the reduction of health disparities in Maryland's minority populations, our History faculty and students have traced historic connections between African American slavery and the Maryland Agricultural College (which grew into the University of Maryland), and our Education scholars regularly conduct studies with urban schools in Prince George's County and Baltimore City that have large minority populations. University faculty from many disciplines have made important contributions to the scholarship on diversity and self-identity. These and many other programs can be given campus-wide publicity and tapped to provide educational experiences for undergraduates.

Through a collaborative process, the University will consider how best to incorporate the study of diversity and different cultural perspectives in its academic programs, courses, and co-curricular programs. Students will gain knowledge of intellectual approaches and dimensions of diversity, develop an understanding of diverse people and perspectives, and recognize the benefits of working and problem-solving in diverse teams. Programs and activities that promote cross-cultural understanding will help to prepare students for careers in a global economic environment and life in a multicultural society.

**GOAL D.1: The University will ensure that undergraduate students acquire the knowledge, experience, and cultural competencies necessary to succeed in a multicultural, globally-interconnected world.**

### Strategies

- A. The University will implement the new General Education plan with Diversity requirements that increase undergraduates' knowledge of diversity issues, understanding of pluralistic societies, engagement with peers from diverse backgrounds, and multicultural competencies. Academic Affairs and Colleges/Schools will support the development of new courses and modification of existing courses to fulfill requirements of the Understanding Plural Societies and Cultural Competency courses in the University's General Education program.

- B. Academic Affairs and Student Affairs will integrate diversity and social justice education into academic courses, living-learning programs, residence hall programs and other co-curricular activities.
- C. The University will expand opportunities for all students to participate in global learning and leadership experiences, including Education Abroad, alternative breaks, service learning and internships. The University will actively encourage and provide incentives for first generation undergraduates, students from minority groups, students with disabilities, and other students from diverse backgrounds to take advantages of these opportunities.
- D. The University will continue to support intergroup dialogue programs that expose students to the identities, backgrounds, cultural values and perspectives of diverse students, and that enhance their communication, intergroup relations and conflict resolution skills.

**GOAL D.2: Departments and programs will equip graduate students with diversity-related expertise.**

**Strategies**

- A. The Center for Teaching Excellence; Office of Diversity and Inclusion; Consortium for Research on Race, Gender and Ethnicity; and Graduate School will collaborate with academic departments to provide Graduate Teaching Assistants with training in how to teach effectively in diverse, multicultural classrooms/settings and incorporate diversity topics in their courses.
- B. Working with the Division of Research and Graduate School, departments will ensure that graduate students are educated in the responsible conduct of research, including research involving vulnerable populations.

**GOAL D.3: The University will increase faculty capacity to educate students about diversity issues and to develop inclusive learning environments.**

**Strategies**

- A. The Division of Academic Affairs will work with department and program chairs to establish curriculum transformation programs that prepare faculty to teach students from diverse backgrounds, employ pedagogies that recognize multiple ways of learning, and integrate diversity issues in their courses and laboratory/research environments, including the new General Education courses.
- B. Faculty will work with colleagues from Student Affairs to develop innovative co-curricular experiences, such as service learning, common ground dialogue programs,

internships and international experiences that equip students to work and live in diverse communities.

## **E. Research and Scholarship**

The University's record is filled with instances of groundbreaking scholarship that illuminate the experiences of women, minorities, and other diverse groups in America. In departments such as Women's Studies, African American Studies, Government and Politics, and Family Science, as well as Journalism, Theater and Music (which recently commissioned *Shadowboxer*, an opera on the life of Joe Louis), research has investigated issues of ethnicity, culture, sexuality, religion, gender, age, disability, and a wide range of other identities. Other research focuses on application of theory to practical situations. In the Colleges of Education and Computer, Mathematical and Physical Sciences, as well as the School of Engineering, researchers are identifying the tools for mentoring and teaching specialists in the Science, Technology, Engineering and Mathematics (STEM) fields, including methods for use in urban communities with large minority and first-generation college populations. School of Business scholars study how diversity in management teams contributes to innovation. Such research is making a difference on campus and in the larger society. Communicating the outcomes of our diversity scholarship in lectures, programs, and events has the potential to energize the campus discussion of diversity issues and inspire research by other faculty and students.

This plan calls for multiple strategies that will strengthen, augment, and enhance opportunities for research and scholarship in diversity fields. In addition, every academic and co-curricular unit will be encouraged to incorporate diversity-related topics, themes, and concerns into their curricula. Such efforts will greatly enrich the educational experience of faculty and students, as well as other members of the University community.

**GOAL E.1: The University will commit itself to developing and supporting the production of nationally recognized research and scholarship on race, ethnicity, class, gender, and other dimensions of diversity.**

### **Strategies**

- A. The Chief Diversity Officer will engage the faculty in opportunities to participate in diversity-themed, interdisciplinary research centers and programs on the campus.
- B. The University will support the recruitment of distinguished senior faculty who can establish world-class, externally funded research/scholarship programs that address race/ethnicity, class, gender, sexual orientation, disability, and other dimensions of diversity.
- C. The Provost will provide seed funding, Research and Scholarship Awards, and/or Creative and Performing Arts Awards for faculty members engaged in cutting-edge diversity research, scholarship, and creative and performing arts projects, including interdisciplinary collaborations.

- D. The Provost will sponsor conferences, symposia and seminars that address diversity research and scholarship, including ways to apply research findings in instructional, co-curricular and institutional improvement activities.
- E. The Provost's Office will work to ensure that diversity research and scholarship is appropriately valued and evaluated in promotion and tenure decisions.
- F. Colleges/Schools will increase opportunities for graduate students to participate in professional development and career preparation activities that support scholarship on diversity issues, such as national/international conference presentations and fellowships for international study. Women, minorities, and other students from diverse backgrounds will be actively encouraged to apply for these opportunities.
- G. The University will create a President's Postdoctoral Fellowship Program, available in all academic fields, for scholars whose research and presence will contribute to the diversity of the academic community.

**GOAL E.2: The University will provide a clearinghouse of opportunities for funded research, scholarship, and creative activities addressing diversity issues.**

### **Strategies**

- A. The Division of Research will maintain and disseminate information about funded opportunities for regional, national, and international research, scholarship, and creative activities that focus on diversity and equity issues.
- B. The Graduate School will maintain and publicize an up-to-date list of fellowships and outside sources of support from funding agencies and foundations that are specifically for minority and female graduate students.

### **F. Community Engagement**

Community engagement has been an underlying theme in several of the goals listed above. The vision that animates this plan is of a university characterized by intellectual vitality and excitement, where individuals from different backgrounds, ethnic groups, national cultures, socioeconomic groups, and life experiences can share ideas and concerns. This would be a university in which students actively engage with other students, faculty and staff in both formal and informal settings. The Diversity Advisory Council will promote community engagement by sharing examples of other successful campus models. For example, students on the University's Sustainability Council and its student subcommittee share environmental concerns and tackle sustainability issues with faculty and staff from Academic Affairs, Administrative Affairs, Student Affairs, Research, University Relations and the Office of Information Technology. Such engagement enriches the educational experience and leads to personal growth. It builds trust among participants, supports creativity, enlivens intellectual life and creates an ambiance that is characteristic of the great universities.

The University's reach and involvement extend beyond the physical boundaries of the campus. The neighboring communities and regions provide valuable resources for learning and personal growth. For example, the Department of Public and Community Health has maintained a 10-year partnership with the City of Seat Pleasant, with faculty, staff, and students providing health education services to city residents and residents offering feedback on the department's health education curriculum. College Park Scholars partners with the City of College Park to provide weekly tutoring for children through the Lakeland Stars program serving Paint Branch Elementary School. Other community-based activities are described in the Plan, but much, much more interaction takes place between the University and communities throughout the State. Learning experiences include departmental internships, alternative break programs, service learning, and field experiences for credit or for learning, such as Engineers Without Borders, which takes our students to other countries. Engagement in educational, research, and service activities in communities beyond the campus is an important vehicle that broadens perspectives and increases understanding of the value of diversity. This Plan supports University efforts to promote such engagement.

**GOAL F.1: The University will promote academic and co-curricular activities that facilitate positive interactions among students, faculty, staff, and alumni.**

### **Strategies**

- A. The University will create and support opportunities that facilitate dialogue and engagement among diverse students, faculty, staff and alumni, and that contribute to the professional, social, economic, and spiritual development of all participants.
- B. The University will create initiatives that support and expand collaboration on diversity issues between departments/units in Student Affairs, Academic Affairs, Research, Administrative Affairs, University Relations, and the Office of Information Technology. Initiatives will reflect the University's values of diversity, equity, inclusion, and citizenship with the goal of developing the "whole student." The University will showcase innovative and effective initiatives as models for replication.

**GOAL F.2: The University will increase the number of partnerships and the quality of engagement with the diverse external community.**

### **Strategies**

- A. The Colleges/Schools, Institute for Internal Programs and Student Affairs will provide increased opportunities for students to participate in community-based internships, service-learning, international exchange programs, and related activities that enhance their knowledge of diverse populations and their cultural competency.
- B. The University will create new community-based research, continuing education, and extension partnerships, as well as leverage existing partnerships, that benefit diverse populations in the State and surrounding areas.

## IV. Implementation

This Diversity Plan proposes a leap forward at the University of Maryland over the next ten years. Like the University's 2008 Strategic Plan, it sets high expectations and offers a framework and guide for the University as it fulfills aspirations for future excellence in becoming a model of diversity and inclusion. Its vision and initiatives represent a bold and ambitious agenda for the University.

The goals and strategies recommended in this Plan must be thoughtfully and carefully implemented. The role of the Chief Diversity Officer and the Diversity Advisory Council will be crucial to the success of the implementation. They will need to prioritize the proposed goals and strategies, develop a realistic time table, and assign the Plan's specific tasks to offices or individuals responsible for executing them. Their success will depend, in part, on their ability to seek the advice and counsel of expert and engaged faculty, staff and students from across campus as they pursue these goals; their willingness to support bold initiatives; and their acceptance of patience and flexibility in finding ways to achieve their goals. Future, not yet anticipated opportunities or challenges, may create a need to modify individual goals and strategies, or create new ones. Yet the vision of a University community that thrives on diversity, that uses diversity as an educational instrument for personal growth and enrichment, and that cultivates future leaders who embrace diversity will not change. It remains our fixed star.

**GOAL 1: There will be guiding principles developed for the implementation component of the Diversity Strategic Plan. These principles will be developed by the Chief Diversity Officer in consultation with the Diversity Advisory Council.**

- A. The President, Provost, Vice Presidents, Deans, Department Chairs, Directors, and the Chief Diversity Officer should use the Diversity Strategic Plan for planning and decision making related to campus diversity issues.
- B. The Chief Diversity Officer should work with the University's senior leadership to develop incentives for implementing strategies presented in the Plan.
- C. The Chief Diversity Officer, in consultation with the Diversity Advisory Council, should develop measures to monitor and evaluate the success of Plan goals and strategies.

**GOAL 2: The University will prioritize and set a timeline for the goals and objectives of the Diversity Strategic Plan.**

The Chief Diversity Officer, President, and Provost will:

- A. Annually identify high-priority Strategic Plan goals and strategies for implementation.
- B. Identify the individuals/units responsible for implementing and evaluating the progress of prioritized goals and strategies.

- C. Establish realistic timelines and outcome measures for implementing high priority goals and strategies.
- D. Work with the Vice President for University Relations and appropriate development officers to seek financial sources to fund the goals and strategies of the Plan.

**GOAL 3: The Chief Diversity Officer will monitor implementation of the Diversity Strategic Plan and will report annually on Plan progress.**

- A. The Chief Diversity Officer will annually report on the progress of the Diversity Strategic Plan to the President and the President's Cabinet.
- B. After presentations to the President and Cabinet, the annual progress report of the Diversity Strategic Plan will be posted on the University website and released to the University community, including the Student Government Association, the Graduate Student Government, the University Senate, and the *Diamondback*.

**GOAL 4: The University will develop processes for modifying the Diversity Strategic Plan and updating it at least once every ten years.**

- A. Members of the University community will have an opportunity to petition for major and/or minor amendments to the Diversity Strategic Plan.
  - Major amendments will require revisiting the goals and strategies of the Plan or the basic assumptions that have provided direction for the Plan. A major amendment would have an impact on many areas of the Plan.
  - Minor amendments might include a change in the wording of a goal or strategy, or changes in responsible leadership.
- B. The President will appoint a Diversity Strategic Plan Steering Committee to complete a major review and update of the Diversity Strategic Plan no less than once every 10 years.
- C. The Chief Diversity Officer will chair the Diversity Strategic Plan Steering Committee.
- D. The Diversity Strategic Plan Steering Committee will include representation from the faculty, staff, senior leadership, and undergraduate and graduate students.

**DIVERSITY PLANNING  
STEERING COMMITTEE**

**Robert Waters, Chair**  
Associate Vice President  
for Academic Affairs  
and Special Assistant to  
the President

**Cordell Black**  
Associate Provost for  
Academic Affairs;  
Associate Professor,  
School of Languages,  
Literatures, and Cultures

**Gloria Aparicio Blackwell**  
Assistant to the Vice  
President,  
Administrative Affairs

**Gloria Bouis**  
Executive Director,  
Office of Diversity and  
Inclusion

**Kamilia Butler-Peres**  
Undergraduate Student

**Linda Clement**  
Vice President for  
Student Affairs

**Pat Cleveland**  
Associate Dean, R. H.  
Smith School of  
Business

**Roberta Coates**  
Assistant to the  
President and Staff  
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**Carol Corneilse**  
Graduate Student

**Natalia Cuadra-Saez**  
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**Gene Ferrick**  
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College of Chemical and  
Life Sciences

**Wanika Fisher**  
Undergraduate Student

**Sharon Fries-Britt**  
Associate Professor,  
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**Steven Glickman**  
Undergraduate Student;  
President, Student  
Government Association

**Gay Gullickson**  
Professor, Department of  
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**April Hamilton**  
Associate Director,  
Academic Affairs

**Paul Hanges**  
Professor and Associate  
Chair, Department of  
Psychology

**Sharon Harley**  
Associate Professor and  
Chair, Department of  
African-American  
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**Luke Jensen**  
Director, Office of  
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**Brian Kelly**  
Associate Professor,  
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**Sally Koblinsky**  
Assistant President and  
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**Gretchen Metzelaars**  
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**Kim Nickerson**  
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**Larry Hajime Shinagawa**  
Associate Professor and  
Director, Asian  
American Studies  
Program

**Nancy Struna**  
Professor and Chair,  
Department of American  
Studies

**Cynthia Trombly**  
Director of Human  
Resources, University  
Relations

**Tanner Wray**  
Director of Public  
Services, Libraries

**Ruth Zambrana**  
Professor, Department of  
Women's Studies



## University Senate TRANSMITTAL FORM

<b>Senate Document #:</b>	12-13-30
<b>PCC ID #:</b>	N/A
<b>Title:</b>	Review of the Evidentiary Standards in the <i>Code of Student Conduct</i>
<b>Presenter:</b>	Jason Speck, Chair, Senate Student Conduct Committee (SCC)
<b>Date of SEC Review:</b>	November 25, 2013
<b>Date of Senate Review:</b>	February 5, 2014
<b>Voting (highlight one):</b>	<ol style="list-style-type: none"> <li>1. On resolutions or recommendations one by one, or</li> <li>2. In a single vote</li> <li>3. To endorse entire report</li> <li>4. For information only</li> </ol>
<b>Statement of Issue:</b>	<p>In December 2011, the Senate approved the Student Conduct Committee's (SCC) report and recommendations on Senate Document #11-12-10, "Updates to Procedural Requirements Pertaining to Sexual Harassment and Sexual Violence." President Loh approved the report and recommendations on January 17, 2012. One of the approved recommendations was a request from the SCC to be charged in Fall 2012 with revisiting the <i>Code of Student Conduct</i> regarding the changes made to comply with the directives in the Department of Education Office of Civil Rights' (OCR) "Dear Colleague Letter" of April 2011. In order to bring the University into compliance with the directives outlined in the OCR letter, the burden of proof requirements in the <i>Code of Student Conduct</i> were changed to include "preponderance of the evidence" (e.g., it is more likely than not that the incident occurred) instead of "clear and convincing" (e.g., it is highly probably or reasonably certain that the incident occurred) as the evidentiary standard in proceedings for complaints of sexual misconduct (including sexual harassment, sexual assault, and other forms of sexual violence or misconduct). As requested, the SCC was charged in November 2012 with reviewing the evidentiary standards in the <i>Code of Student Conduct</i>.</p>
<b>Relevant Policy # &amp; URL:</b>	V-1.00(B) University of Maryland Code of Student Conduct <a href="http://www.president.umd.edu/policies/v100b.html">http://www.president.umd.edu/policies/v100b.html</a>

<b>Recommendation:</b>	Due to the fact that there is no evidence that having two different standards of evidence in the <i>Code of Student Conduct</i> is having a negative impact on the review and processing procedures for non-academic misconduct cases, the SCC recommends that no changes to the standards of evidence in the <i>Code of Student Conduct</i> be made at this time. It is the opinion of the SCC that instigating a major new change to the <i>Code of Student Conduct</i> would not be prudent while the expansion of the <i>Code of Student Conduct's</i> application off-campus is still being implemented, and that changing <i>the Code of Student Conduct</i> without clear justification would present a burden on the Office of Student Conduct (OSC) and the honor board system. It may be pertinent to have the SCC revisit this issue in one or two years.
<b>Committee Work:</b>	The SCC began working on this charge in Fall 2012. The SCC consulted with the OSC regarding this issue. In addition, the SCC reviewed the standards of evidence in codes of student conduct at the University's peer institutions in the Big Ten Conference. The SCC also reviewed data provided by the OSC regarding the number of non-academic misconduct cases processed and reviewed during the past five academic years. The SCC learned that there were 0 charges of sexual assault and 0 charges of sexual harassment processed by the OSC or the Office of Rights & Responsibilities during the 2012-2013 academic year. Ultimately, the SCC found no basis for recommending any potential changes to the <i>Code of Student Conduct</i> based on an undue burden, the difficulty in training honor boards for multiple standards, or any other justification.
<b>Alternatives:</b>	To not accept the report of the Student Conduct Committee.
<b>Risks:</b>	There are no associated risks.
<b>Financial Implications:</b>	There are no financial implications.
<b>Further Approvals Required:</b>	N/A

# Senate Student Conduct Committee

## Report – Senate Document 12-13-30

### Review of the Evidentiary Standards in the *Code of Student Conduct*

November 2013

#### **BACKGROUND**

In December 2011, the University Senate approved the Student Conduct Committee's (SCC) report and recommendations on Senate Document #11-12-10, "Updates to Procedural Requirements Pertaining to Sexual Harassment and Sexual Violence" (Appendix 1). President Loh approved the report and recommendations on January 17, 2012. One of the approved recommendations was a request from the committee to be charged in Fall 2012 with revisiting the *Code of Student Conduct* regarding the changes made to comply with the directives in the Department of Education Office of Civil Rights' (OCR) "Dear Colleague Letter" of April 2011.

In order to bring the University into compliance with the directives outlined in the OCR letter, the committee recommended revising the burden of proof requirements in the *Code of Student Conduct* to include "preponderance of the evidence" (e.g., it is more likely than not that the incident occurred) instead of "clear and convincing" (e.g., it is highly probably or reasonably certain that the incident occurred) as the evidentiary standard in proceedings for complaints of sexual misconduct (including sexual harassment, sexual assault, and other forms of sexual violence or misconduct). The change to the *Code of Student Conduct* was made immediately following the President's approval in January 2012.

The *Code of Student Conduct* now has two different standards of evidence, depending on the type of case, which is fairly uncommon for an institution of higher education. Therefore, the SCC submitted a letter to the Senate Executive Committee (SEC) asking that it be charged with exploring whether this situation is in the best interest of the Office of Student Conduct (OSC) and the University (Appendix 2).

#### **CURRENT PRACTICES**

For violations of the *Code of Student Conduct*, the burden of proof is on the complainant, who must establish the guilt of the respondent by clear and convincing evidence. However, in disciplinary conferences and hearings under section 10(q) of the *Code of Student Conduct*, which allege violation of VI-1.20(A) University of Maryland Sexual Misconduct Policy, the complainant must establish the guilt of the respondent by a preponderance of the evidence.

Students who violate the *Code of Student Conduct* may participate in a disciplinary conference conducted by the Director of Student Conduct or a designee, or may undergo a hearing before a Conference Board, Residence Board, or the Central Board. Appealed cases may go on to the Appellate Board, an Ad Hoc Board, or the Senate Student Conduct Committee.

#### **COMMITTEE WORK**

The SCC received an official charge from the SEC in November 2012 (Appendix 3). The SEC asked the committee to review the *Code of Student Conduct* and consult with a representative

from the OSC regarding this issue. The SCC was also asked to consult with the Senate Student Affairs Committee regarding the potential impact that any changes to the *Code of Student Conduct* would have on students at the University. In addition, the SCC was asked to review the standards of evidence in codes of student conduct at our peer institutions, and to consult with the University's Office of Legal Affairs. Finally, the SCC was asked to recommend whether the *Code of Student Conduct* should be revised to make the standard of evidence for all cases consistent.

The SCC began reviewing this issue at the end of Fall 2012. During the Spring 2013 semester, the committee submitted a request for a deadline extension, which was granted by the SEC (Appendix 4). The committee completed its work on this charge during the Fall 2013 semester.

As requested, the committee reviewed the *Code of Student Conduct* and consulted with the Director of Student Conduct about the standards of evidence used for cases of academic and non-academic misconduct. The committee also reviewed data provided by the OSC regarding the number of non-academic misconduct cases processed and reviewed during the past five academic years. In particular, the committee examined the number of non-academic misconduct cases that were processed and reviewed during the 2012-2013 academic year, which included new referrals, as well as cases carried over from the previous reporting period:

During the 2012-2013 academic year, there were 387 campus cases of non-academic misconduct. Of the 387 cases received by OSC, the majority were resolved in Disciplinary Conferences with staff members. Of the total number of 387 cases, 175 respondents were charged under the *Code of Student Conduct*; 14 hearings went before the Central Board, which included 22 respondents. The remaining cases were either deferred (98), dismissed (84), or were pending resolution at the end of May 2013.

During the 2012-2013 academic year, there were 211 resident cases of non-academic misconduct. Of the 211 cases received by the Department of Resident Life's Office of Rights & Responsibilities, 115 were resolved in Disciplinary Conferences, 11 were heard by the Resident Board, 19 were dismissed, 21 were deferred, 7 were rescinded back to Community Staff for adjudication, and 38 referrals were received near the end of the Spring 2013 semester and were pending adjudication at the end of May 2013.

The committee learned that there were 0 charges of sexual assault and 0 charges of sexual harassment processed by the OSC or the Office of Rights & Responsibilities during the 2012-2013 academic year. As such, the committee has no basis for recommending any potential changes to the *Code of Student Conduct* based on an undue burden, the difficulty in training honor boards for multiple standards, or any other justification.

The committee also looked at the evidentiary standards used at peer institutions, confirming that all institutions use a "preponderance of the evidence" standard for cases of sexual misconduct, as directed by OCR. Many of the University's peers in the Big Ten Conference use "preponderance of the evidence" as the standard for all cases (including Michigan State University, University of Minnesota, The Ohio State University, University of Nebraska, Purdue University, Penn State University, University of Illinois at Urbana-Champaign, University of Iowa, and Northwestern University). The remaining Big Ten Institutions have split standards of evidence, depending on the type of case presented. For example, like our University, the University of Michigan uses a "preponderance of the evidence" standard for sexual misconduct cases and a "clear and convincing" standard for all other cases. Information regarding our Big Ten peer institutions' standards of evidence can be found in Appendix 5.

## **RECOMMENDATION**

Due to the fact that there is no evidence that having two different standards of evidence in the *Code of Student Conduct* is having a negative impact on the review and processing procedures for non-academic misconduct cases, the SCC recommends that no changes to the standards of evidence in the *Code of Student Conduct* be made at this time. It is the opinion of the committee that instigating a major new change to the *Code of Student Conduct* would not be prudent while the expansion of the *Code of Student Conduct*'s application off-campus is still being implemented, and that changing the *Code of Student Conduct* without clear justification would present a burden on the OSC and the honor board system. It may be pertinent to have the committee revisit this issue in one or two years.

## **APPENDICES**

**Appendix 1** – SCC Report on “Updates to Procedural Requirements Pertaining to Sexual Harassment and Sexual Violence” (Senate Doc #11-12-10) (December 2011)

**Appendix 2** – Letter of Request to be Charged from the SCC (November 1, 2012)

**Appendix 3** – Charge from the Senate Executive Committee (November 16, 2012)

**Appendix 4** – Extension Request Letter from the SCC (March 5, 2013)

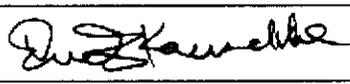
**Appendix 5** – Peer Institution Research (Big Ten Conference)



DEC 13 2011

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## SENATE LEGISLATION APPROVAL

<b>Date:</b>	December 12, 2011
<b>To:</b>	Wallace D. Loh
<b>From:</b>	Eric Kasischke Chair, University Senate 
<b>Subject:</b>	Updates to Procedural Requirements Pertaining to Sexual Harassment and Sexual Violence
<b>Senate Document #:</b>	11-12-10

I am pleased to forward for your consideration the attached legislation entitled, "Updates to Procedural Requirements Pertaining to Sexual Harassment and Sexual Violence." Nan Ratner, Chair of the Student Conduct Committee, presented the proposal. The University Senate approved the proposal at its December 8, 2011 meeting.

We request that you inform the Senate Office of your decision as well as any subsequent action related to your conclusion.

Enclosure: Updates to Procedural Requirements Pertaining to Sexual Harassment and Sexual Violence

Senate Document # 11-12-10

EK/rm

Cc: Ann Wylie, Senior Vice President & Provost  
Reka Montfort, Executive Secretary and Director, University Senate  
Juan Uriagereka, Associate Provost for Faculty Affairs  
Terry Roach, Executive Assistant to the President  
Janet Turnbull, President's Legal Office  
Elizabeth Beise, Associate Provost for Academic Planning & Programs  
Sylvia B. Andrews, Academic Affairs  
Andrea Goodwin, Director, Office of Student Conduct

Approved: \_\_\_\_\_



Wallace D. Loh  
President

Date: \_\_\_\_\_

1/17/12



## University Senate TRANSMITTAL FORM

<b>Senate Document #:</b>	11-12-10
<b>PCC ID #:</b>	N/A
<b>Title:</b>	Updates to Procedural Requirements Pertaining to Sexual Harassment and Sexual Violence
<b>Presenter:</b>	Nan Ratner, Chair, Senate Student Conduct Committee
<b>Date of SEC Review:</b>	November 29, 2011
<b>Date of Senate Review:</b>	December 8, 2011
<b>Voting (highlight one):</b>	On resolutions or recommendations one by one, or In a single vote To endorse entire report
<b>Statement of Issue:</b>	In April 2011, the US Department of Education’s Office for Civil Rights (OCR) distributed a “Dear Colleague Letter” providing guidance to institutions regarding sexual harassment and sexual violence disciplinary proceedings and appeals processes. As a recipient of Federal financial assistance, the University needs to comply with the directives issued in the letter. In order to be in compliance, the burden of proof requirement and appeals process must be revised in the <i>Code of Student Conduct</i> to include “preponderance of the evidence” instead of “clear and convincing” as the evidentiary standard in proceedings. Additionally, the OCR letter recommends that schools provide an appeals process for findings or remedy, and that they do so for both parties involved. Currently, the <i>Code of Student Conduct</i> provides an appeal to the respondent (accused student) only.
<b>Relevant Policy # &amp; URL:</b>	<a href="http://www.president.umd.edu/policies/v100b.html">http://www.president.umd.edu/policies/v100b.html</a>
<b>Recommendation:</b>	The Student Conduct Committee (SCC) recommends that the University make the changes to the <i>Code of Student Conduct</i> necessary to bring the University into compliance with the directives outlined in the OCR letter. The specific changes to the <i>Code</i> are outlined in the attached report. The SCC wishes to reserve the right to revisit the <i>Code</i> and the recommendations in one year, at the beginning of the Fall 2012 semester. If this recommendation is approved, the SCC requests that it be charged

	by the SEC to perform this review in Fall 2012.
<b>Committee Work:</b>	<p>The SCC reviewed this issue during the Fall 2011 semester. The committee consulted with the Office of Student Conduct and the President’s Legal Office, to ensure that any proposed changes to the <i>Code of Student Conduct</i> would be appropriate for the University. The committee stayed abreast of developments within the Senate Equity, Diversity, &amp; Inclusion (EDI) Committee, as the EDI Committee worked on two similar charges related to the University’s Sexual Harassment Policy. The SCC received information regarding peer institution research on evidentiary standards and researched national responses to the OCR letter and its guidance.</p> <p>At its meeting on November 8, 2011, following deliberation, the SCC voted unanimously in favor of recommending the University make the changes to the <i>Code of Student Conduct</i> necessary to be in compliance with the directives outlined in the OCR letter.</p>
<b>Alternatives:</b>	The University could continue to use “clear and convincing evidence” for cases of student-on-student sexual harassment and sexual violence, as outlined in the <i>Code of Student Conduct</i> ; the University would then not be in compliance with the OCR.
<b>Risks:</b>	There are no associated risks. However, if this recommendation is not endorsed, the University could face penalties (unspecified) from the OCR.
<b>Financial Implications:</b>	There are no related financial implications.
<b>Further Approvals Required:</b> (*Important for PCC Items)	Senate Approval, Presidential Approval.

# Senate Student Conduct Committee

Senate Document 11-12-10

## Updates to Procedural Requirements Pertaining to Sexual Harassment and Sexual Violence

November 2011

### **BACKGROUND:**

In April 2011, the US Department of Education's Office for Civil Rights (OCR) distributed a "Dear Colleague Letter" providing guidance to institutions regarding sexual harassment and sexual violence disciplinary proceedings and appeals processes (Appendix 5). This letter outlined an institution's current responsibilities under Title IX for dealing with complaints of sexual harassment and sexual violence. As a recipient of Federal financial assistance, the University of Maryland needs to comply with the directives issued in the letter. In order to be in compliance, the burden of proof requirement and appeals process must be revised in the *Code of Student Conduct* to include "preponderance of the evidence" (i.e., it is more likely than not that the sexual harassment or violence occurred) instead of "clear and convincing" (i.e., it is highly probable or reasonably certain that the sexual harassment or violence occurred) as the evidentiary standard in proceedings. Additionally, the OCR letter recommends that institutions provide an appeals process for findings or remedies, and that they do so for both parties involved.

The OCR letter explains that the "preponderance of the evidence" evidentiary standard is the standard of proof established for violations of civil rights laws, and is thus "the appropriate standard for investigating allegations of sexual harassment or violence" (US Department of Education, Office for Civil Rights. 2011, April 4. Dear Colleague Letter, p. 11). The letter states that grievance procedures that use "clear and convincing" standards for cases of sexual harassment and sexual violence are not equitable under Title IX.

According to the National Institute of Justice (NIJ), "Surveys of college students confirm that many sexual assaults are not reported to the police. Researchers asked students why they did not report the incidents to law enforcement officers. The most commonly reported response—offered by more than half the students—was that they did not think the incident was serious enough to report. More than 35 percent said they did not report the incident because they were unclear as to whether a crime was committed or that harm was intended" (<http://nij.gov/>).

In response to the OCR letter, a Sexual Violence Policy Working Group was formed at the University and charged with the following:

- 1) Review and Evaluate current policy and practice;
- 2) Evaluate OCR Guidance;
- 3) Recommend policy changes consistent with OCR guidance;
- 4) Recommend changes in practice to ensure compliance.

The members of the Sexual Violence Policy Working Group include:

- John Zacker, Assistant Vice President of Student Affairs, CHAIR
- Allison Bennett, Coordinator, Sexual Assault Response and Prevention, Health Center
- Roger Candelaria, Campus Compliance Officer, Office of Diversity Education & Compliance

- Kevin Glover, Athletic Department
- Andrea Goodwin, Director, Office of Student Conduct
- Major Chris Jagoe, Department of Public Safety
- Diane Krejsa, Legal Counsel
- Keira Martone, Manager of Resident Office of Rights and Responsibilities in the Department of Resident Life
- Steve Petkas, Associate Director, Department of Resident Life
- Matt Supple, Director, Department of Fraternity and Sorority Life

Following deliberation between the end of the Spring 2011 semester and the Fall 2011 semester, the Sexual Violence Policy Working Group developed a proposal for the University Senate with proposed changes to the *Code of Student Conduct*.

### **CURRENT PRACTICE:**

The *Code of Student Conduct* (University of Maryland Policy V-1.00(B)) defines prohibited conduct by students and the review process for violations and appeals. Title IX of the Education Amendments of 1972 prohibits sex-based discrimination at educational institutions that receive Federal funding. The OCR maintains that sexual harassment and sexual violence interfere with a student's right to an education free of discrimination.

Currently, the evidentiary standard used in the *Code of Student Conduct* for all disciplinary cases is "clear and convincing." Additionally, the *Code of Student Conduct* currently provides an appeal to the respondent (accused student) only.

### **COMMITTEE WORK:**

The Senate Student Conduct Committee (SCC) was charged (Appendix 3) by the Senate Executive Committee (SEC) with reviewing the proposal, "Updates to Procedural Requirements Pertaining to Sexual Harassment and Sexual Violence" on October 3, 2011 (Appendix 4). The SEC asked the SCC to make recommendations on whether the University of Maryland *Code of Student Conduct* should be revised.

The SEC asked the SCC to consult with the Office of Student Conduct (OSC) and the subcommittee charged with proposing revisions to the *Code of Student Conduct*. Dr. Andrea Goodwin, Director of the OSC and a member of the subcommittee, sits on the SCC and provided input throughout the review process. A member of the University's Office of Legal Affairs also sat on the subcommittee charged with proposing revisions to the *Code of Student Conduct*. The committee received the proposed revisions on October 25, 2011 (Appendix 1).

The SCC stayed abreast of developments within the Senate's Equity, Diversity, and Inclusion (EDI) Committee during its review process, as the EDI Committee was similarly charged with reviewing two proposals (Senate Docs 11-12-05 and 11-12-09) related to the University's Sexual Harassment Policy (VI-1.20(A) UNIVERSITY OF MARYLAND POLICY AND PROCEDURES ON SEXUAL HARASSMENT). The SCC determined that the proposed changes to the *Code of Student Conduct* will have minimal, if any, impact on the University of Maryland *Code of Equity, Diversity, and Inclusion*, as the *Code of Student Conduct* deals solely with cases of student-on-student sexual harassment and sexual violence.

The SCC reviewed how the University's peer institutions have implemented the changes suggested in the OCR letter. The SCC found that two institutions, Eastern Michigan University and Notre Dame College in Ohio, were recently under investigation and received letters with guidelines for handling allegations of sexual assault (Ashburn, E. 2010, December 10. Education Dept. Tells 2 Colleges to Revamp Sexual-Harassment Policies. *The Chronicle of Higher Education*. Retrieved online from <http://chronicle.com/>).

Additionally, the Sexual Violence Policy Working Group provided a list of peer institution evidentiary standards, which it had used when originally researching this issue (Appendix 2). Standards were reviewed at both public and private institutions across the nation. The list includes all of the University of Maryland's peers, including University of California, Berkeley, University of Illinois at Urbana-Champaign, University of California, Los Angeles (UCLA), the University of North Carolina at Chapel Hill, and University of Michigan, Ann Arbor. Of the twenty-three institutions reviewed, only one uses anything other than "preponderance of the evidence" for cases of sexual harassment and sexual violence. Most use a "preponderance of the evidence" standard for all violations. Therefore, the University of Maryland is atypical in using "clear and convincing" as an evidentiary standard. According to the OSC, even within the University System of Maryland (USM), most institutions use a "preponderance of the evidence" standard.

The committee also researched criticism of the Education Department's sexual harassment guidance, noting that the American Association of University Professors (AAUP) has written and sent at least two letters of criticism to the OCR. The AAUP asserts that lowering the standard of evidence to a "preponderance of the evidence" would make it "more likely that faculty members will be unfairly accused and found guilty, their careers ruined" (2011, August 18. AAUP Renews Criticism of Education Dept.'s Sexual Harassment Guidance. *The Chronicle of Higher Education*. Retrieved online from <http://chronicle.com/>).

The SCC considered whether the proposed evidentiary standard of "preponderance of the evidence" should apply to all violations of the *Code of Student Conduct*, in addition to complaints of sexual harassment and sexual violence. Additionally, the SCC considered whether the proposed change to the appeals procedures—that schools provide an appeals process for **both** parties—should apply to all violations of the *Code of Student Conduct*.

### **RECOMMENDATIONS:**

At its meeting on November 8, 2011, the SCC voted unanimously in favor of recommending that the University make the changes to the *Code of Student Conduct* necessary to get to the University in compliance with the directives outlined in the OCR letter. However, the committee wishes to reserve the right to revisit the *Code* and the recommendations in one year, at the beginning of the Fall 2012 semester. If approved, the SCC requests that it be charged by the SEC as such.

Therefore, in order for the University to be in compliance with the United States Department of Education Office for Civil Rights, the Senate Student Conduct Committee recommends that the attached policy changes be made to the *Code of Student Conduct* (Appendix 1). The recommended changes are outlined below:

**1) The SCC recommends that the following section be added to the *Code of Student Conduct*, in order to reflect OCR compliance:**

## **BURDEN OF PROOF<sup>29</sup>**

32. Except as provided below, the burden of proof shall be upon the complainant, who must establish the guilt of the respondent by clear and convincing evidence<sup>30</sup>. In disciplinary conferences and hearings under section 9(p) of this *Code* which allege violation of VI-1.30(A) UMCP Procedures on Sexual Assault and/or VI-1.20(A) University of Maryland Policy and Procedures on Sexual Harassment, the burden of proof shall be upon the complainant, who must establish the guilt of the respondent by a preponderance of the evidence.<sup>31</sup>

**The SCC recommends that items 42 and 43 of the Appeals section in the *Code of Student Conduct* be updated as follows, in order to comply with OCR:**

## **APPEALS**

42. Except as provided below, any determination made pursuant to this *Code* resulting in expulsion or suspension<sup>46</sup> may be appealed by the respondent to the Senate Committee on Student Conduct. Appeals regarding violations of VI-1.30(A) UMCP Procedures on Sexual Assault and/or VI-1.20(A) University of Maryland Policy and Procedures on Sexual Harassment may be made by either party.<sup>47</sup> The Senate Committee shall also hear appeals from denials of petitions to void disciplinary records, pursuant to Part 52 of this *Code*.

43. Except as provided below, final decisions of residence boards, the Central Board and ad hoc boards, not involving the sanctions specified in Part 42, may be appealed by the respondent to the Appellate Board.<sup>48</sup> Appeals regarding violations of VI-1.30(A) UMCP Procedures on Sexual Assault and/or VI-1.20(A) University of Maryland Policy and Procedures on Sexual Harassment may be made by either party.<sup>49</sup>

**The SCC recommends that the following three items be added to the Annotations section of the *Code of Student Conduct*, in order to reflect OCR compliance:**

## **ANNOTATIONS**

29. On April 4, 2011, the United States Department of Education, Office of Civil Rights issued a "significant guidance document" to provide universities with information to assist them in meeting their obligations under Title IX of the Education Amendments of 1972 ("Title IX"). This document is known as the "OCR Dear Colleague Letter". According to the OCR Dear Colleague Letter, Title IX requires that the burden of proof in sexual harassment cases, including sexual assault, be "preponderance of the evidence." Prior to the issuance of the OCR Dear Colleague Letter, the burden of proof under the Code was "clear and convincing evidence". According to the OCR Dear Colleague Letter, Title IX also requires that both parties in disciplinary hearings in sexual harassment cases, including sexual assault, be provided the same appeal rights, if any.

30. "Clear and convincing" means "the evidence should be 'clear' in the sense that it is certain, plain to the understanding and unambiguous, and 'convincing' in the sense that it is so reasonable and persuasive as to cause [one] to believe it." *Wills v. State of Maryland*, 329 Md. 370, 374 (1993), quoting Maryland Civil Practice Jury Instruction Section 1:8b (1984). It does not call for "unanswerable" or "conclusive" evidence. *Attorney Grievance Commission v. Harris*, 366 Md. 376, 389 (2001). To be clear and convincing means that it is substantially more likely than not that the allegations are in fact true but that it "need not be established with absolute certainty". *Vogel v. State*, 315 Md. 458, 473 (1989). The burden is "more than a mere

preponderance of the evidence [the burden of proof in ordinary civil cases] but not beyond a reasonable doubt [the standard in criminal cases]. *Berkey v. Delia*, 287 Md. 302, 319-20 (1980).

31. "Preponderance of the evidence" means it is "more likely than not" that the violation occurred as alleged. To meet a burden of proof by a preponderance of the evidence, means that "the scales tipped in the direction" of one of the parties. "When the scales are 'in a state of even balance,' the party with the burden of proving its case by a preponderance of the evidence loses. *Wills v. State of Maryland*, 329 Md. 370, 374 (1993), quoting *Potts v. Armour & Co.*, 183 Md 483, 490 (1944). See Maryland Civil Pattern Jury Instructions Section 1:8a (1984).

### **APPENDICES:**

Appendix 1 – Recommended Policy Changes to the *Code of Student Conduct*

Appendix 2 – Peer Institution Evidentiary Standards Research

Appendix 3 – Charge from the Senate Executive Committee, October 3, 2011

Appendix 4 – Proposal from the Office of Student Conduct, September 12, 2011

Appendix 5 – Dear Colleague Letter from the Office for Civil Rights, April 4, 2011

## Proposed Revisions October | 2011

### V-1.00(B) UNIVERSITY OF MARYLAND CODE OF STUDENT CONDUCT

Approved by the Board of Regents January 25, 1980; amended effective September 4, 1990; December 18, 2001; April 22, 2004; November 18, 2005; April 5, 2006; March 10, 2011

Note: Different procedures and penalties are applicable in cases involving allegations of academic dishonesty. Please refer to the *Code of Academic Integrity*, available from the Office of Student Conduct (301-314-8204).

Footnotes which appear throughout the *Code of Student Conduct* refer to the Annotations listed at the end of this appendix.

### RATIONALE

1. The primary purpose for the imposition of discipline in the University setting is to protect the campus community. Consistent with that purpose, reasonable efforts will also be made to foster the personal and social development of those students who are held accountable for violations of University regulations.<sup>1</sup>

### DEFINITIONS

2. When used in this *Code*:<sup>2</sup>
  - (a) The term “aggravated violation” means a violation which resulted or foreseeably could have resulted in significant damage to persons or property or which otherwise posed a substantial threat to the stability and continuance of normal University or University-sponsored activities.
  - (b) The term “distribution” means sale or exchange for personal profit.
  - (c) The term “group” means a number of persons who are associated with each other and who have not complied with University requirements for registration as an organization.
  - (d) The terms “institution” and “University” mean the University of Maryland, College Park.
  - (e) The term “organization” means a number of persons who have complied with University requirements for registration.
  - (f) The term “reckless conduct” means action which any member of the University community can be expected to know would create a clear risk of harm to persons or property, or would disrupt the lawful activities of others, including studying, teaching, research, and University administration.<sup>3</sup>
  - (g) The term “student” means a person taking or auditing courses at the institution either on a full- or part-time basis.<sup>4</sup>
  - (h) The term “University premises” means buildings or grounds owned, leased, operated, controlled or supervised by the University.

- (i) The term “weapon” means any object or substance designed to inflict a wound, cause injury, or incapacitate, including, but not limited to, all firearms, pellet guns, switchblade knives, knives with blades five or more inches in length.
- (j) The term “University-sponsored activity” means any activity on or off campus which is initiated, aided, authorized or supervised by the University.
- (k) The terms “will” or “shall” are used in the imperative sense.

#### **INTERPRETATION OF REGULATIONS**

- 3. Disciplinary regulations at the University are set forth in writing in order to give students general notice of prohibited conduct. The regulations should be read broadly and are not designed to define misconduct in exhaustive terms.

#### **INHERENT AUTHORITY**

- 4. The University reserves the right to take necessary and appropriate action to protect the safety and well-being of the campus community.<sup>5</sup>

#### **STUDENT PARTICIPATION**

- 5. Students are asked to assume positions of responsibility in the University judicial system in order that they might contribute their skills and insights to the resolution of disciplinary cases. Final authority in disciplinary matters, however, is vested in the University administration and in the Board of Regents.

#### **STANDARDS OF DUE PROCESS**

- 6. Students subject to expulsion, suspension<sup>6</sup> or disciplinary removal from University housing<sup>7</sup> will be accorded a conduct board hearing as specified in Part 30 of this *Code*. Students subject to less severe sanctions will be entitled to an informal disciplinary conference,<sup>8</sup> as set forth in Parts 33 and 34.
- 7. The focus of inquiry in disciplinary proceedings shall be the guilt or innocence of those accused of violating disciplinary regulations. Formal rules of evidence shall not be applicable, nor shall deviations from prescribed procedures necessarily invalidate a decision or proceeding, unless significant prejudice to a student respondent or the University may result.<sup>9</sup>

#### **VIOLATIONS OF LAW AND DISCIPLINARY REGULATIONS**

- 8. Students may be accountable to both civil authorities and to the University for acts which constitute violations of law and of this *Code*.<sup>10</sup> Disciplinary action at the University will normally proceed during the pendency of criminal proceedings

and will not be subject to challenge on the ground that criminal charges involving the same incident have been dismissed or reduced.

**PROHIBITED CONDUCT**

9. The following misconduct is subject to disciplinary action:
- (a) Intentionally or recklessly causing physical harm to any person on University premises or at University-sponsored activities, or intentionally or recklessly causing reasonable apprehension of such harm.
  - (b) Unauthorized use, possession or storage of any weapon on University premises or at University-sponsored activities.
  - (c) Intentionally initiating or causing to be initiated any false report, warning or threat of fire, explosion or other emergency on University premises or at University-sponsored activities.
  - (d) Off-campus misconduct which:
    - i. is a criminal offense off campus, resulting in conviction, if such an offense would constitute a violation of this *Code* had it occurred on University premises. No student convicted of a misdemeanor under this section shall be subject to expulsion or full suspension unless the offense constitutes an “aggravated violation” as defined in Part 2(a) of this *Code*. The University shall not pursue disciplinary action when a non-aggravated misdemeanor does not pose a threat to the stability of the campus or campus community; provided, however,
    - ii. rioting, assault, theft, vandalism, fire setting, or other serious misconduct related to a University-sponsored event, occurring on – or off-campus, that results in harm to persons or property or otherwise poses a threat to the stability of the campus or campus community may result in disciplinary action regardless of the existence, status, or outcome of any criminal charges in a court of law related to misconduct associated with a University-sponsored event.
  - (e) Knowingly violating the terms of any disciplinary sanction imposed in accordance with this *Code*.
  - (f) Intentionally or recklessly misusing or damaging fire safety equipment.
  - (g) Unauthorized distribution or possession for purposes of distribution of any controlled substance or illegal drug<sup>11</sup> on University premises or at University-sponsored activities.
  - (h) Use or possession of any controlled substance or illegal drug on University premises or at University-sponsored activities.<sup>12</sup>
  - (i) Intentionally furnishing false information to the University.
  - (j) Making, possessing, or using any forged, altered, or falsified instrument of identification on University premises, or at University-sponsored activities; making, possessing, or using any forged, altered, or falsified University document, on or off-campus.

- (k) Intentionally and substantially interfering with the freedom of expression of others on University premises or at University-sponsored activities.<sup>13</sup>
- (l) Theft of property or of services on University premises or at University-sponsored activities; knowing possession of stolen property on University premises or at University-sponsored activities.
- (m) Intentionally or recklessly destroying or damaging the property of others on University premises or at University-sponsored activities.
- (n) Engaging in disorderly or disruptive conduct on University premises or at University-sponsored activities which interferes with the activities of others, including studying, teaching, research, and University administration.\*
- (o) Failure to comply with the directions of University officials, including campus police officers, acting in performance of their duties.
- (p) Violation of published University regulations or policies, as approved and compiled by the Vice President for Student Affairs.<sup>14</sup> Such regulations or policies may include the residence hall contract, as well as those regulations relating to entry and use of University facilities, sale of alcoholic beverages, use of vehicles\*\* and amplifying equipment, campus demonstrations, and misuse of identification cards.
- (q) Use or possession of any alcoholic beverage under the age of 21 on University premises or at University-sponsored activities; knowingly providing alcoholic beverages to a person known to be under the age of 21 on University premises or University-sponsored activities. \*\*\*
- (r) Unauthorized use or possession of fireworks on University premises.

\* The response of fire, police, or emergency personnel to a non-frivolous call, or action taken by them on their own initiative pursuant or non-pursuant to policy is not considered a disruption or reckless action within the meaning of this section.

\*\* Parking and traffic violations may be processed in accordance with procedures established by the Vice President for Student Affairs.

\*\*\* This charge may be deferred under Part 29 of this *Code* consistent with procedures outlined in the *Promoting Responsible Action in Medical Emergencies Policy*.

## SANCTIONS

10. Sanctions for violations of disciplinary regulations consist of:

- (a) **EXPULSION:** permanent separation of the student from the University. Notification will appear on the student's transcript. The student will also be barred from the University premises (expulsion requires administrative review and approval by the President and may be altered, deferred or withheld).

- (b) **SUSPENSION:** separation of the student from the University for a specified period of time. Permanent notification will appear on the student's transcript. The student shall not participate in any University-sponsored activity and may be barred from University premises. Suspended time will not count against any time limits of the Graduate School for completion of a degree. (Suspension requires administrative review and approval by the Vice President for Student Affairs and may be altered, deferred or withheld).
  - (c) **DISCIPLINARY PROBATION:** the student shall not represent the University in any extracurricular activity or run for or hold office in any student group or organization. Additional restrictions or conditions may also be imposed. Notification will be sent to appropriate University offices, including the Office of Campus Programs.
  - (d) **DISCIPLINARY REPRIMAND:** the student is warned that further misconduct may result in more severe disciplinary action.
  - (e) **RESTITUTION:** the student is required to make payment to the University or to other persons, groups, or organizations for damages incurred as a result of a violation of this *Code*.
  - (f) **OTHER SANCTIONS:** other sanctions may be imposed instead of or in addition to those specified in sections (a) through (e) of this part. For example, students may be subject to dismissal from University housing for disciplinary violations which occur in the residence halls. Likewise, students may be subject to restrictions upon or denial of driving privileges for disciplinary violations involving the use or registration of motor vehicles. Work or research projects may also be assigned.
11. Violations of sections (a) through (g) in Part 9 of this *Code* may result in expulsion from the University<sup>15</sup>, unless specific and significant mitigating factors are present. Factors to be considered in mitigation shall be the present demeanor and past disciplinary record of the offender, as well as the nature of the offense and the severity of any damage, injury, or harm resulting from it.
12. Violations of sections (h) through (l) in Part 9 of this *Code* may result in suspension from the University, unless specific and significant mitigating factors as specified in Part 11 are present.
13. Repeated or aggravated violations of any section of this *Code* may also result in expulsion or suspension or in the imposition of such lesser penalties as may be appropriate.
14. Any decision to impose a sanction less than suspension or expulsion for University-sponsored event-related misconduct as defined in Part 9(d)(ii) of this *Code* must be supported by written findings signed by the Vice President for Student Affairs. A student suspended under this section shall not be admitted to any other institution in the University of Maryland System during the term of the suspension. A student expelled under this section shall not be admitted to any

other institution in the System for at least one year from the effective date of the expulsion.

15. Attempts to commit acts prohibited by this *Code* shall be punished to the same extent as completed violations.<sup>16</sup>
16. Penalties for off-campus misconduct shall not be more severe than for similar on-campus conduct.

#### **INTERIM SUSPENSION<sup>17</sup>**

17. The Vice President for Student Affairs or a designee may suspend a student for an interim period pending disciplinary proceedings or medical evaluation, such interim suspension to become immediately effective without prior notice, whenever there is evidence that the continued presence of the student on the University campus poses a substantial threat to him or herself or to others or to the stability and continuance of normal University functions.
18. A student suspended on an interim basis shall be given an opportunity to appear personally before the Vice President for Student Affairs or a designee within five business days from the effective date of the interim suspension in order to discuss the following issues only:
  - (a) the reliability of the information concerning the student's conduct, including the matter of his or her identity;
  - (b) whether the conduct and surrounding circumstances reasonably indicate that the continued presence of the student on the University campus poses a substantial threat to him or herself or to others or the stability and continuance of normal University functions.

#### **OFFICE OF STUDENT CONDUCT**

19. The Office of Student Conduct directs the efforts of students and staff members in matters involving student discipline. The responsibilities of the office include:
  - (a) Determination of the disciplinary charges to be filed pursuant to this *Code*.
  - (b) Interviewing and advising parties<sup>18</sup> involved in disciplinary proceedings.
  - (c) Supervising, training, and advising all conduct boards.
  - (d) Reviewing the decisions of all conduct boards.<sup>19</sup>
  - (e) Maintenance of all student disciplinary records.
  - (f) Development of procedures for conflict resolution.
  - (g) Resolution of cases of student misconduct, as specified in Parts 33 and 34 of this *Code*.
  - (h) Collection and dissemination of research and analysis concerning student conduct.

- (i) Submission of a statistical report each semester to the campus community, reporting the number of cases referred to the office, the number of cases resulting in disciplinary action, and the range of sanctions imposed.<sup>20</sup>

#### CONDUCT PANELS

- 20. Hearings or other proceedings as provided in the *Code* may be held before the following boards or committees:
  - (a) **CONFERENCE BOARDS**, as appointed in accordance with Part 34 of this *Code*.
  - (b) **RESIDENCE BOARDS**, as established and approved by the Vice President for Student Affairs.<sup>21</sup> Students residing in group living units owned, leased, operated or supervised by the University may petition the Vice President for authority to establish conduct boards. Such boards may be empowered to hear cases involving violations of the *Code*, as prescribed by the Vice President for Student Affairs.
  - (c) **THE CENTRAL BOARD** hears cases involving disciplinary violations which are not referred to Residence Boards or resolved in accordance with Parts 33 and 34 of this *Code*. The Central Board is composed of five students, including at least two graduate students when a graduate student case is being heard.
  - (d) **THE APPELLATE BOARD** hears appeals from Residence Boards, the Central Board, and ad hoc boards, in accordance with Part 43 of this *Code*. The Appellate Board is composed of five full-time students, including at least two graduate students.
  - (e) **AD HOC BOARDS** may be appointed by the Director of Student Conduct when a Conference Board, a Residence Board, the Central Board, the Appellate Board or the Senate Adjunct Committee are unable to obtain a quorum or are otherwise unable to hear a case.<sup>22</sup> Each ad hoc board shall be composed of three members, including at least one student.
  - (f) **THE SENATE COMMITTEE ON STUDENT CONDUCT** hears appeals as specified in Part 42 of this *Code*. The committee also approves the initial selection of all conduct board members, except members of conference and ad hoc boards.<sup>23</sup>
- 21. The presiding officer of each conduct board and of the Senate Adjunct Committee on Student Conduct may develop bylaws which are not inconsistent with any provision in this *Code*. Bylaws must be approved by the Director of Student Conduct.<sup>24</sup>

#### SELECTION AND REMOVAL OF BOARD MEMBERS

- 22. Members of the various conduct boards are selected in accordance with procedures developed by the Director of Student Conduct.

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23. Members of conference and ad hoc boards are selected in accordance with Parts 34 and 20(e), respectively.
24. Prospective members of the Central Board and the Appellate Board are subject to confirmation by the Senate Committee on Student Conduct.
25. Members of the Senate Committee on Student Conduct are selected in accordance with the bylaws of the University Senate.
26. Prior to participating in board or committee deliberations, new members of the Senate Committee on Student Conduct and all conduct boards, except conference and ad hoc boards, will participate in one orientation session by the Office of Student Conduct.
27. Student members of any conduct board or committee who are charged with any violation of this *Code* or with a criminal offense<sup>25</sup> may be suspended from their judicial positions by the Director of Student Conduct during the pendency of the charges against them. Students convicted for any such violation or offense may be disqualified from any further participation in the University judicial system by the Director of Student Conduct. Additional grounds and procedures for removal may also be set forth in the bylaws of the various conduct panels.

### **CASE REFERRALS**

28. Any person<sup>26</sup> may refer a student or a student group or organization suspected of violating this *Code* to the Office of Student Conduct. Allegations of off-campus event-related misconduct must be supported by a report, statement, or accusation from a law enforcement agency in whose jurisdiction the misconduct is alleged to have occurred. Persons making such referrals are required to provide information pertinent to the case and will normally be expected to appear before a conduct board as the complainant.<sup>27</sup>

### **DEFERRAL OF PROCEEDINGS**

29. The Director of Student Conduct may defer disciplinary proceedings for alleged violations of this *Code* for a period not to exceed 90 days. Pending charges may be withdrawn thereafter, dependent upon the good behavior of the respondent. Students subject to conditional relief from disciplinary charges under the *Promoting Responsible Action in Medical Emergencies Policy* may also be required to successfully complete an approved alcohol intervention program prior to the withdrawal of charges.

### **HEARING REFERRALS**

30. Staff members in the Office of Student Conduct will review referrals to determine whether the alleged misconduct might result in expulsion, suspension, or

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disciplinary removal from University housing.<sup>28</sup> Students subject to those sanctions shall be accorded a hearing before the appropriate conduct board. All other cases shall be resolved in the Office of Student Conduct after an informal disciplinary conference, as set forth in Part 33 and 34 of this *Code*.

31. Students referred to a conduct board hearing may elect instead to have their case resolved in accordance with Parts 33 and 34. The full range of sanctions authorized by this *Code* may be imposed, although the right of appeal shall not be applicable.

### **BURDEN OF PROOF**<sup>29</sup>

32. Except as provided below, the burden of proof shall be upon the complainant, who must establish the guilt of the respondent by clear and convincing evidence<sup>30</sup>. In disciplinary conferences and hearings under section 9(p) of this *Code* which allege violation of VI-1.30(A) UMCP Procedures on Sexual Assault and/or VI-1.20(A) University of Maryland Policy and Procedures on Sexual Harassment, the burden of proof shall be upon the complainant, who must establish the guilt of the respondent by a preponderance of the evidence<sup>31</sup>.

**Comment [AG1]:** This section was added to reflect the OCR compliance

### **DISCIPLINARY CONFERENCES**<sup>32</sup>

33. Students subject to or electing to participate in a disciplinary conference in the Office of Student Conduct are accorded the following procedural protections:
  - (a) Written notice of charges at least three days prior to the scheduled conference.
  - (b) Reasonable access to the case file<sup>33</sup> prior to and during the conference.
  - (c) An opportunity to respond to the evidence against them and to call appropriate witnesses on their behalf.
  - (d) The option to be accompanied and assisted by a representative, who may be an attorney. Representatives have the right to make opening and closing statements, to advise their clients during the course of the proceedings, and to petition for recesses. All representatives are subject to the restrictions of Parts 36 and 37 of this *Code*.
34. Disciplinary conferences shall be conducted by the Director of Student Conduct or a designee.<sup>34</sup> Complex or contested cases may be referred by the Director to a conference board, consisting of one member of the Central Board, one member of the Appellate Board, and a staff member in the Division of Student Affairs. Conference Board members shall be selected on a rotating basis by the Director of Student Conduct.

### **HEARING PROCEDURES**

35. The following procedural guidelines shall be applicable in disciplinary hearings:

- (a) Respondents shall be given notice of the hearing date and the specific charges against them at least five days in advance and shall be accorded reasonable access to the case file, which will be retained in the Office of Student Conduct.
- (b) The presiding officer of any board may subpoena witnesses upon the motion of any board member or of either party and shall subpoena witnesses upon request of the board advisor. Subpoenas must be approved by the Director of Student Conduct and shall be personally delivered or sent by certified mail, return receipt requested. University students and employees are expected to comply with subpoenas issued pursuant to this procedure, unless compliance would result in significant and unavoidable personal hardship or substantial interference with normal University activities.<sup>35</sup>

If the Director of Student Conduct or his or her designee determines that a fair hearing cannot be held without the testimony of a particular witness, and, after good faith attempts are made, the witness either fails to or refuses to appear, the disciplinary hearing will be postponed until the witness agrees to appear or the charges will be dismissed.
- (c) Respondents who fail to appear after proper notice will be deemed to have pleaded guilty to the charges pending against them.
- (d) Hearings will be closed to the public, except for the immediate members of the parties' families and their representatives, if applicable. An open hearing may be held, at the discretion of the presiding officer, if requested by both parties.
- (e) The presiding officer of each board shall exercise control over the proceedings to avoid needless consumption of time and to achieve the orderly completion of the hearing. Except as provided in section (o) of this Part, any person, including the respondent, who disrupts a hearing may be excluded by the presiding officer or by the board advisor.
- (f) Hearings may be tape recorded or transcribed. If a recording or transcription is not made, the decision of the board must include a summary of the testimony and shall be sufficiently detailed to permit review by appellate bodies and by staff members in the Office of Student Conduct.
- (g) Any party or the board advisor may challenge a board member on the grounds of personal bias. Board members may be disqualified upon majority vote of the remaining members of the board, conducted by secret ballot,<sup>36</sup> or by the Director of Student Conduct.
- (h) Witnesses shall be asked to affirm that their testimony is truthful and may be subject to charges of perjury, pursuant to Part 9(i) of this *Code*.
- (i) Prospective witnesses, other than the complainant and the respondent, may be excluded from the hearing during the testimony of other witnesses. All parties, the witnesses, and the public shall be excluded during board deliberations.

- (j) Formal rules of evidence shall not be applicable in disciplinary proceedings conducted pursuant to this *Code*.<sup>37</sup> The presiding officer of each board shall give effect to the rules of confidentiality and privilege, but shall otherwise admit all matters into evidence which reasonable persons would accept as having probative value in the conduct of their affairs. Unduly repetitious or irrelevant evidence may be excluded.<sup>38</sup>
- (k) Both parties shall be accorded an opportunity to question those witnesses who testify at the hearing.
- (l) Affidavits shall not be admitted into evidence unless signed by the affiant and witnessed by a University employee, or by a person designated by the Director of Student Conduct.
- (m) Board members may take judicial notice of matters which would be within the general experience of University students.<sup>39</sup>
- (n) Board advisors may comment on questions of procedure and admissibility of evidence and will otherwise assist in the conduct of the hearing. Advisors will be accorded all the privileges of board members, and the additional responsibilities set forth in this *Code*, but shall not vote. All advisors are responsible to the Director of Student Conduct and shall not be excluded from hearings or board deliberations by any board or by the presiding officer of any board.
- (o) The Director of Student Conduct may appoint a special presiding officer to any board in complex cases or in any case in which the respondent is represented by an attorney. Special presiding officers may participate in board deliberations, but shall not vote.<sup>40</sup>
- (p) A determination of guilt shall be followed by a supplemental proceeding in which either party and the board advisor may submit evidence or make statements concerning the appropriate sanction to be imposed. The past disciplinary record<sup>41</sup> of the respondent shall not be supplied to the board by the advisor prior to the supplementary proceeding.
- (q) Final decisions of all conduct panels shall be by majority vote of the members present and voting. A tie vote will result in a recommended acquittal in an original proceeding. A tie vote in an appellate proceeding will result in an affirmation of the original decision.
- (r) Final decisions of all boards, except conference boards, shall be accompanied by a brief written opinion.

#### **ATTORNEYS AND REPRESENTATIVES**

36. Representatives of both complainants and respondents in hearings pursuant to this *Code* have the right to call witnesses to testify, to question in person all witnesses who appear at the hearing, to voice timely objections, to make opening and closing statements, to petition for recesses in the proceedings and to zealously and lawfully assert their client's position under the *Code of Student Conduct*.<sup>42</sup> All presenters and representatives who participate in disciplinary hearings and disciplinary conferences shall not:

- (a) Intentionally engage in conduct to disrupt a hearing;
  - (b) Intentionally attempt to improperly influence an officer of the Office of Student Conduct, a hearing advisor or member of a conduct board;
  - (c) Intentionally fail to obey a reasonably definite and specific order by a presiding officer;
  - (d) Knowingly make a false statement of material fact, law or representation of the *Code* to other participants in a hearing;
  - (e) Knowingly fail to disclose a material fact in a hearing when disclosure is necessary to avoid assisting a future criminal or fraudulent act;
  - (f) Knowingly offer false evidence, falsify evidence, counsel or induce witnesses to testify falsely, or offer improper inducements to testify;
  - (g) Recklessly and unlawfully obstruct another party's access to evidence, or alter, destroy or conceal material not protected by privilege having potential evidentiary value;
  - (h) If the representative is an attorney, otherwise fail to follow any obligations under relevant standards of professional responsibility in matters pertaining to the representation.
37. (a) Any participant in a hearing may refer complaints about suspected violations of the provisions of Part 36 of this *Code* to the Senate Committee on Student Conduct.
- (b) Within a reasonable time after such referral, the chairperson of the Senate Committee on Student Conduct will review the complaint. After review the chairperson shall dismiss complaints which are anonymous, manifestly frivolous, which cannot be reasonably construed to allege a violation of Part 36, or are based on hearsay alone. Those which are not dismissed will be referred to the full Committee which will convene a hearing no sooner than 10 business days after sending a copy of the evidence presented to the representative named in the complaint. The hearing shall be held under the relevant rules and procedures governing disciplinary hearings outlined in Parts 35-37 of this *Code*.
- (c) A client shall not be compelled either directly or through their representative to waive the attorney-client privilege.
- (d) Representatives found responsible for violations of the provisions of Part 36 may be suspended from the privilege of representation for such time as the Committee may deem appropriate. In addition, the Committee may refer their findings to the Attorney Grievance Commission, or other appropriate disciplinary body.
- (e) Appeals from decisions of the Senate Committee on Student Conduct regarding violations under Part 36 may be made by parties found responsible. Appeals should be made in writing to the Senate Campus Affairs Committee within 10 business days of receipt of the letter notifying the party of the decision. Appeals will be conducted in accordance with the standards for the hearing of student disciplinary appeals. Decisions of the Campus Affairs Committee regarding these appeals shall be final.

**STUDENT GROUPS AND ORGANIZATIONS**

- 38. Student groups and organizations may be charged with violations of this *Code*.
- 39. A student group or organization and its officers may be held collectively<sup>43</sup> or individually responsible when violations of this *Code* by those associated with<sup>44</sup> the group or organization have received the tacit or overt consent or encouragement of the group or organization or of the group's or organization's leaders, officers, or spokespersons.
- 40. The officers or leaders or any identifiable spokespersons<sup>45</sup> for a student group or organization may be directed by the Vice President for Student Affairs or a designee to take appropriate action designed to prevent or end violations of this *Code* by the group or organization or by any persons associated with the group or organization who can reasonably be said to be acting in the group's or organization's behalf. Failure to make reasonable efforts to comply with the Vice President's directive shall be considered a violation of Part 9(o) of this *Code*, both by the officers, leaders or spokespersons for the group or organization and by the group or organization itself.
- 41. Sanctions for group or organization misconduct may include revocation or denial of recognition or registration, as well as other appropriate sanctions, pursuant to Part 10(f) of this *Code*.

**APPEALS**

- 42. Except as provided below, any determination made pursuant to this *Code* resulting in expulsion or suspension<sup>46</sup> may be appealed by the respondent to the Senate Committee on Student Conduct. Appeals regarding violations of VI-1.30(A) UMCP Procedures on Sexual Assault and/or VI-1.20(A) University of Maryland Policy and Procedures on Sexual Harassment may be made by either party.<sup>47</sup> The Senate Committee shall also hear appeals from denials of petitions to void disciplinary records, pursuant to Part 52 of this *Code*.
- 43. Except as provided below, final decisions of residence boards, the Central Board and ad hoc boards, not involving the sanctions specified in Part 42, may be appealed by the respondent to the Appellate Board.<sup>48</sup> Appeals regarding violations of VI-1.30(A) UMCP Procedures on Sexual Assault and/or VI-1.20(A) University of Maryland Policy and Procedures on Sexual Harassment may be made by either party.<sup>49</sup>
- 44. Requests for appeals must be submitted in writing to the Office of Student Conduct within seven business days from the date of the letter providing notice of the original decision. Failure to appeal within the allotted time will render the original decision final and conclusive.<sup>50</sup>

**Comment [AG2]:** This section has been added to comply with OCR

**Comment [AG3]:** This section has been added to comply with OCR

45. A written brief in support of the appeal must be submitted to the Office of Student Conduct within 10 business days from the date of the letter providing notice of the original decision. Failure to submit a written brief within the allotted time will render the decision of the lower board final and conclusive.<sup>51</sup>
46. Appeals shall be decided upon the record of the original proceeding and upon written briefs submitted by the parties. De novo hearings shall not be conducted.
47. Appellate bodies may:
  - (a) Affirm the finding and the sanction imposed by the original board.
  - (b) Affirm the finding and reduce, but not eliminate, the sanction, in accordance with Parts 48 and 48(a).
  - (c) Remand the case to the original board, in accordance with Parts 47 and 47(b).
  - (d) Dismiss the case, in accordance with Parts 48 and 48(c).
48. Deference shall be given to the determinations of lower boards.<sup>52</sup>
  - (a) Sanctions may only be reduced if found to be grossly disproportionate to the offense.
  - (b) Cases may be remanded to the original board if specified procedural errors or errors in interpretation of University regulations were so substantial as to effectively deny the respondent a fair hearing, or if new and significant evidence became available which could not have been discovered by a properly diligent respondent before or during the original hearing.<sup>53</sup> On remand, no indication or record of the previous conduct hearing will be introduced or provided to members of the new conduct panel, except to impeach contradictory testimony at the discretion of the presiding officer. The board will be directed by the committee not to repeat the specified errors that caused the remand.
  - (c) Cases may be dismissed only if the finding is held to be arbitrary and capricious.<sup>54</sup>
  - (d) Decisions of the Appellate Board shall be recommendations to the Director of Student Conduct.<sup>55</sup> Decisions of the Senate Committee on Student Conduct shall be recommendations to the Vice President for Student Affairs. Decisions altering the determinations of all hearing boards and the Senate Committee on Student Conduct shall be accompanied by a brief written opinion.
49. The imposition of sanctions will normally be deferred during the pendency of appellate proceedings, at the discretion of the Director of Student Conduct.

#### DISCIPLINARY FILES AND RECORDS

50. Case referrals may result in the development of a disciplinary file in the name of the respondent, which shall be voided if the respondent is found innocent of the charges.<sup>56</sup> The files of respondents found guilty of any of the charges against them will be retained as a disciplinary record for three years from the date of the letter providing notice of final disciplinary action.<sup>57</sup> Disciplinary records may be retained for longer periods of time or permanently, if so specified in the sanction.
51. Disciplinary records may be voided<sup>58</sup> by the Director of Student Conduct for good cause, upon written petition of respondents. Factors to be considered in review of such petitions shall include:
  - (a) the present demeanor of the respondent.
  - (b) the conduct of the respondent subsequent to the violation.
  - (c) the nature of the violation and the severity of any damage, injury, or harm resulting from it.
52. Denials of petitions to void disciplinary records shall be appealable to the Senate Committee on Student Conduct, which will apply the standard of review specified in Part 48 and 48(c). The requirements for appeals as set forth in Part 44 and 45 shall be applicable.<sup>59</sup>
53. Disciplinary records retained for less than 90 days or designated as “permanent” shall not be voided without unusual and compelling justification.<sup>60</sup>

#### ANNOTATIONS

1. The University is not designed or equipped to rehabilitate or incapacitate persons who pose a substantial threat to themselves or to others. It may be necessary, therefore, to remove those individuals from the campus and to sever the institutional relationship with them, as provided in this *Code of Student Conduct* and by other University regulations.\*

Any punishment imposed in accordance with the *Code* may have the value of discouraging the offender and others from engaging in future misbehavior. In cases of minor disciplinary violations, the particular form of punishment may also be designed to draw upon the educational resources of the University in order to bring about a lasting and reasoned change in behavior. The underlying rationale for punishment need not rest on deterrence or “reform” alone, however. A just punishment may also be imposed because it is “deserved” and because punishment for willful offenses affirms the autonomy and integrity of the offender. The latter concept was expressed by D.J.B. Hawkins in his essay “Punishment and Moral Responsibility” in *7 Modern Law Review* 205:

*The vice of regarding punishment entirely from the points of view of reformation and deterrence lies precisely in forgetting that a just punishment is deserved. The punishment of men then ceases to be essentially different from the training of animals, and the way is open for the totalitarian state to undertake the forcible improvement of its citizens without regard to whether their conduct has made them morally liable to social coercion or not. But merit and demerit, reward and punishment, have a different significance as applied to men and as applied to animals. A dog may be called a good dog or a bad dog, but his goodness or badness can be finally explained in terms of heredity and environment. A man, however, is a person, and we instinctively recognize that he has a certain ultimate personal responsibility for at least some of his actions. Hence merit and demerit, reward and punishment, have an irreducible individual significance as applied to men. This is the dignity and the tragedy of the human person.*

A similar view was expressed by Justice Powell, dissenting in *Goss v. Lopez* (42 L. Ed. 2d 725, 745):

*Education in any meaningful sense includes the inculcation of an understanding in each pupil of the necessity of rules and obedience thereto. This understanding is no less important than learning to read and write. One who does not comprehend the meaning and necessity of discipline is handicapped not merely in his education but throughout his subsequent life. In an age when the home and church play a diminishing role in shaping the character and value judgments of the young, a heavier responsibility falls upon the schools. When an immature student merits censure for his conduct, he is rendered a disservice if appropriate sanctions are not applied.*

2. An effort is made in the *Code* to use a simplified numbering and lettering system, without use of Roman numerals or subsets of letters and numbers. Any part of the *Code* can be found by reference to one number and one letter [e.g., Part 10a explains the meaning of expulsion].
3. Culpable conduct should include conscious acts posing a substantial risk or harm to others (e.g. throwing a heavy object out a tenth floor window above a sidewalk). If the act itself, however, is unintended (e.g. one is distracted by a noise while climbing a flight of stairs and drops a heavy object) the individual may have failed to use reasonable care, but is not normally deserving of the moral stigma associated with a “conviction” for a disciplinary offense.
4. Former students may be charged for violations which allegedly occurred during their enrollment at the University.

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5. Colleges and universities are not expected to develop disciplinary regulations which are written with the scope of precision of a criminal *Code*. Rare occasions may arise when conduct is so inherently and patently dangerous to the individual or to others that extraordinary action not specifically authorized in the rules must be taken.
6. The terms “suspension” and “interim suspension” are to be distinguished throughout the *Code* and are not interchangeable.
7. Disciplinary removal from University housing should be distinguished from administrative removal for violations of the residence contract. The latter does not leave students with a disciplinary record and does not come under the purview of this *Code*.
8. The standard set forth here represents the minimal procedural protection to be accorded to students charged with most disciplinary violations. Students who are subject to lengthy suspensions or to expulsion may be entitled to more formal procedures, including a hearing with a right to cross-examine the witnesses against them. *Goss v. Lopez*, 419 U.S. 565 (1975).
9. The Supreme Court has recently rejected the theory that state schools are bound by principles of federal administrative law requiring agencies to follow their own regulations. *Board of Curators, University of Missouri v. Horowitz* 55 L.Ed 2d 124, 136. See, generally, “Violation by Agencies of Their Own Regulations” 87 *Harvard Law Review* 629 (1974).
10. Respondents in disciplinary proceedings may be directed to answer questions concerning their conduct. Students who refuse to answer on grounds of the Fifth Amendment privilege may be informed that the hearing panel could draw negative inferences from their refusal which might result in their suspension or dismissal. If the student then elects to answer, his/her statements could not be used against him/her in either state or federal court. *Garrity v. New Jersey*, 385 U.S 493 (1967). See also *Furutani v. Ewigleben*, 297 F. Supp. 1163 (N.D.Cal. 1969).
11. The “controlled substances” or “illegal drugs” prohibited in this section are set forth in Schedules I through V in the Maryland Criminal Law Article 5-401 through 5-406 and 5-708 (Inhalants).
12. See Annotation 11.
13. Colleges and universities should be a forum for the free expression of ideas. In the recent past, however, unpopular speakers have been prevented from addressing campus audiences by students who effectively “shouted them down.” Both Yale and Stanford Universities have treated such actions (which are to be distinguished from minor and occasional heckling) as serious disciplinary violations. See the

“Report from the Committee on Freedom of Expression at Yale University” which is available in the Office of Student Conduct.

The following language from the Yale report may be used to elaborate upon the intent and scope of Part 9(k) of this *Code*.

- A. “There is no right to protest within a University building in such a way that any University activity is disrupted. The administration, however, may wish to permit some symbolic dissent within a building but outside the meeting room, for example, a single picket or a distributor of handbills.”
  - B. “[A] member of the audience may protest in silent, symbolic fashion, for example, by wearing a black arm band. More active forms of protest may be tolerated such as briefly booing, clapping hands or heckling. But any disruptive activity must stop [and not be repeated] when the chair or an appropriate University official requests silence.
  - C. “Nor are racial insults or any other ‘fighting words’ a valid ground for disruption or physical attack... The banning or obstruction of lawful speech can never be justified on such grounds as that the speech or the speaker is deemed irresponsible, offensive, unscholarly, or untrue.”
14. A compilation of published regulations which have been reviewed and approved by the Vice President shall be available for public inspection during normal business hours in the Office of Student Conduct.
15. This Part and Parts 12 and 13 represent an attempt to give needed guidance to those who are assessing penalties. Moreover the direction of the guidance is toward imposition of more severe disciplinary sanctions in serious cases. Nonetheless, the language concerning “mitigating factors” is broad enough to give decision-makers considerable leeway to “do justice,” depending upon the facts in each case. The burden of establishing facts in mitigation should, of course, be upon the respondent.
16. There does not seem to be any rational basis for imposing less severe penalties for attempts than for completed violations. The authors of the *Model Penal Code*, for example, have written that:
- To the extent that sentencing depends upon the antisocial disposition of the actor and the demonstrated need for a corrective action, there is likely to be little difference in the gravity of the required measures depending on the consummation or the failure of the plan.*  
See LaFave, *Criminal Law Treatise* p. 453.
17. These procedures are analogous to those found in the “emergency” disciplinary rules adopted by the Board of Regents in 1971 and are consistent with the formal

opinion of the Maryland Attorney General on this subject, dated January 23, 1969. See also *Goss v. Lopez*, 419 U.S. 565 (1975).

Nothing in this provision would prohibit the Vice President from modifying the terms of an interim suspension, so long as the hearing requirement specified in Part 18 was met. For example, a suspended student might be allowed to enter University premises solely for the purpose of attending classes.

18. Staff members in the Office of Student Conduct should endeavor to arrange a balanced presentation before the various conduct boards and may assist both complainants and respondents.
19. This language does not effect any change in previous policy concerning the powers of conduct boards. All board decisions, including those rendered by Conference Boards, shall be treated as recommendations.
20. See Annotation 1, *supra*. The deterrent effect of punishment is diminished if the community is unaware of the number and general nature of sanctions imposed. The Director of Student Conduct may, for example, arrange for publication of the statistical report in the campus press each semester.
21. Boards established pursuant to this section might include modified versions of the present “Greek” or residence hall boards.
22. It is intended that a quorum will consist of three members (out of five). The authority to appoint ad hoc boards should be broadly construed and might be especially useful, for example, when a conduct board or the Senate Committee is charged with hearing a case involving one of its own members. The final determination as to whether a panel is “unable to hear a case” should be within the discretion of the Director of Student Conduct.
23. The power of confirmation represents a significant grant of authority to the Senate Committee. Moreover, confirmation procedures will give committee members direct contact with board members and will also allow the committee to exercise more control over the quality of Conduct Board decisions.
24. Proposed bylaws must be submitted to the Attorney General for review.
25. It could be a public embarrassment for the University to have a student charged with or convicted of a serious crime sit in judgment over other students in disciplinary proceedings. The various state criminal *Codes* are usually so broad and archaic, however, that automatic suspension or removal should not result from any violation of any law (e.g., New York makes it a criminal misdemeanor for anyone “to dance continuously in a dance contest for 12 or more hours without respite”).

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26. Case referrals should not be limited to members of the “campus community.” A student who assaults another person on campus should not escape University judicial action merely because the person assaulted was a visitor (or, as in a recent case, a former student who had just withdrawn from the University).
27. The Director of Student Conduct may appoint a trained volunteer from the campus community to serve as the complainant. It would be preferable, however, to employ a “community advocate” to present all disciplinary cases.

Several measures in the *Code* are designed to restore balance in disciplinary proceedings, even in those cases in which the complainant is inexperienced with administrative adjudication:

- (a) A hearing officer may be appointed in complex or serious cases. See Part 35(o).
  - (b) The role of attorneys or advisors may be restricted. See Parts 36 and 37, and Annotation 42.
  - (c) The “disciplinary conference” procedure is designed to eliminate adversary proceedings in minor cases. See Parts 33-34 and Annotation 32.
28. Staff members may consider the mitigating factors specified in Part 11 to determine the permissible sanction to be imposed if the respondent is found guilty of charges. For example, a student involved in a minor altercation might be charged pursuant to Part 9(a), but referred to a disciplinary conference, thereby precluding the possibility of expulsion or suspension for the alleged misconduct.

29. On April 4, 2011, the United States Department of Education, Office of Civil Rights issued a “significant guidance document” to provide universities with information to assist them in meeting their obligations under Title IX of the Education Amendments of 1972 (“Title IX”). This document is known as the “OCR Dear Colleague Letter”. According to the OCR Dear Colleague Letter, Title IX requires that the burden of proof in sexual harassment cases, including sexual assault, be “preponderance of the evidence.” Prior to the issuance of the OCR Dear Colleague Letter, the burden of proof under the Code was “clear and convincing evidence”. According to the OCR Dear Colleague Letter, Title IX also requires that both parties in disciplinary hearings in sexual harassment cases, including sexual assault, be provided the same appeal rights, if any.

Comment [AG4]: Added to reflect OCR compliance

30. “Clear and convincing” means “the evidence should be ‘clear’ in the sense that it is certain, plain to the understanding and unambiguous, and ‘convincing’ in the sense that it is so reasonable and persuasive as to cause [one] to believe it.” Wills v. State of Maryland, 329 Md. 370, 374 (1993), quoting Maryland Civil Practice Jury Instruction Section 1:8b (1984). It does not call for “unanswerable” or “conclusive” evidence. Attorney Grievance Commission v. Harris, 366 Md. 376, 389 (2001). To be clear and convincing means that it is substantially more likely than not that the allegations are in fact true but that it “need not be established

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with absolute certainty". Vogel v. State, 315 Md. 458, 473 (1989). The burden is "more than a mere preponderance of the evidence [the burden of proof in ordinary civil cases] but not beyond a reasonable doubt [the standard in criminal cases]. Berkey v. Delia, 287 Md. 302, 319-20 (1980).

31. "Preponderance of the evidence" means it is "more likely than not" that the violation occurred as alleged. To meet a burden of proof by a preponderance of the evidence, means that "the scales tipped in the direction" of one of the parties. "When the scales are 'in a state of even balance,' the party with the burden of proving its case by a preponderance of the evidence loses. Wills v. State of Maryland, 329 Md. 370, 374 (1993), quoting Potts v. Armour & Co., 183 Md 483, 490 (1944). See Maryland Civil Pattern Jury Instructions Section 1:8a (1984).

Comment [AG5]: All of these sections are new to comply with OCR

32. The hearing procedures specified at Part 35 need not be followed in disciplinary conferences. Instead a disciplinary conference would normally consist of an informal, nonadversarial meeting between the respondent and a staff member in the Office of Student Conduct. Complainants would not be required to participate, unless their personal testimony was essential to the resolution of a dispositive factual issue in the case. Documentary evidence and written statements could be relied upon, so long as respondents are given access to them in advance and allowed to respond to them at the conference. Respondents would also be allowed to bring appropriate witnesses with them and might be accompanied by a representative, who may participate in discussions, although not in lieu of participation by the respondent.

The conference procedure is designed to reduce the steady growth of unnecessary legalism in disciplinary proceedings. The worst features of the adversary system (including the concept that judicial proceedings are a "contest" to be "won by clever manipulation of procedural rules) undermine respect for the rule of law. Colleges and universities can and should be a testing ground for development of carefully reasoned alternatives to current procedural excesses in the larger society.\*\*

Procedures comparable to the disciplinary conference (referred to as "structured conversations") are suggested by David L. Kirp in his 1976 article "Proceduralism and Bureaucracy: Due Process in the School Setting" 38 *Stanford Law Review* 841.

*The benefits of such conversations in the school setting may better be appreciated by contrasting them with the typical due process hearing. Hearings are designed to determine the facts of a particular controversy, and apply predetermined rules to the facts thus found. At that point, the function of the hearing is at an end. The wisdom of the underlying substantive rules has no relevance, nor is broader discussion of grievances generally encouraged, unless it is somehow pertinent to the dispute at hand.*

*Conversation knows no such limits. It too serves as a vehicle for resolving what are likely to be factually uncomplicated disputes, but it does more than that. It enables students to feel that they are being listened to and may encourage them to raise underlying grievances. It provides administrators with a relatively inexpensive vehicle for monitoring, and hence a basis for reshaping institutional relationships. The outcome of these 'orderly thoughtful conversations' may well be decisions different in their particulars from what might otherwise have been anticipated; repeated conversations which touch upon similar student grievances may ultimately lead disciplinarians to reassess whether control is so vital, and collaboration so improbable, as a means of assuring institutional order.*

The conference procedure would not be used in any case which might result in any form of separation from the University. Accordingly, the procedure appears to meet or exceed the due process requirements set forth by the United States Supreme Court for cases involving suspensions of ten days or less. In *Goss v. Lopez* the Court held:

*[W]e stop short of construing the Due Process Clause to require, countrywide, that hearings in connection with short suspensions must afford the student the opportunity to secure counsel, to confront and cross-examine witnesses supporting the charge, or to call his own witnesses to verify his version of the incident. Brief disciplinary suspensions are almost countless. To impose in each such case even truncated trial-type procedures might well overwhelm administrative facilities in many places and, by diverting resources, cost more than it would save in educational effectiveness. Moreover, further formalizing the suspension process and escalating its formality and adversary nature may not only make it too costly as a regular disciplinary tool but also destroy its effectiveness as part of the teaching process.*

*On the other hand, requiring effective notice and an informal hearing permitting the student to give his version of the events will provide a meaningful hedge against erroneous action. At least the disciplinarian will be alerted to the existence of disputes about facts and arguments about cause and effect. He may then determine himself to summon the accuser, permit cross-examination, and allow the student to present his own witnesses. In more difficult cases, he may permit counsel. In any event, his discretion will be more informed and we think the risk of error substantially reduced (42 L. Ed. 725, 740).*

33. The case file consists of materials which would be considered "education records," pursuant to the Family Educational Rights and Privacy Act. Personal notes of University staff members or complainants are not included.

34. Determinations made in accordance with Parts 33 and 34 are not appealable.
35. Internal subpoenas may be desirable, since cases have arisen in which complainants or respondents were unable to present an effective case due to the indifference and lethargy of potential witnesses. A student who refused to respond to a subpoena may be charged with a violation of Part 9(o) of the *Code*. The Director of Student Conduct should not approve a subpoena unless the expected testimony would be clearly relevant. Likewise, a subpoena designed to embarrass or harass a potential witness should not be authorized. The subpoena power specified here is not designed to reach documents or other materials.
36. Board members should be disqualified on a case basis only; permanent removal should be accomplished in accordance with Part 27. Board members should not be readily disqualified. The term “personal bias” involves animosity toward a party or favoritism toward the opposite party. See, generally, Davis, *Administrative Law Treatise* “Bias” Section 12.03.
37. The exclusionary rule generally does not apply to civil administrative proceedings. Furthermore, the University of Maryland is exempted by statute from the applicable portions of the Administrative Procedure Act. The Maryland Court of Appeals, however, has barred evidence from administrative proceedings where a respondent establishes that officials were improperly motivated to illegally seize the evidence. See *Sheetz v. City of Baltimore*, 315 Md. 208 (1989).
38. Testimony containing hearsay may be heard, if relevant. A final determination should not be based on hearsay alone.
39. Every statement or assertion need not be proven. For example, board members may take notice that many students commute to the University.
40. Student presiding officers are often at a disadvantage when the respondent is represented by an attorney. The proceedings might progress more rapidly and efficiently if a special presiding officer were appointed. Generally, a staff member in the Office of Student Conduct would be selected for such a responsibility, although other University employees with legal training might also be called upon.
41. Information pertaining to prior findings of disciplinary and residence hall violations might be reported, as well as relevant criminal convictions. Prior allegations of misconduct should not be disclosed.
42. The dynamics of a judicial hearing in a University setting are not the same as those of a courtroom. Strict adherence to the conventions of courtroom advocacy may not be in the best interest of clients in University judicial proceedings.

The presiding officer and the board advisor are authorized to take reasonable measures to maintain control over the proceedings in order to elicit relevant facts, to prevent the harassment of participants, to insure that proceedings are not disrupted and the interests of fairness are served. This may include regulating the timing, length and manner of presentations and objections, declaring recesses in the proceedings, and other appropriate actions. Presiding officers should have training and experience appropriate to the demands of the office.

Before hearings, presenters for both complainants and respondents shall be presented with a written statement approved by the Senate Committee on Student Conduct regarding their rights and obligations during hearings and the powers of the presiding officer to control behavior in hearings.

43. Punishment of one or several individuals for the acts of others should be avoided if the identities of the specific offenders can be readily ascertained.
44. Association does not require formal membership. Individuals who might reasonably be regarded as regular participants in group or organization activities may be held to be associated with the group or organization.
45. Leaders or spokespersons need not be officially designated or elected. For example, if a group or organization accepted or acquiesced in the act or statement of an individual associated with it, that individual might reasonably be regarded as a leader or a spokesman for the group or organization.
46. "Suspension" includes deferred suspension but not interim suspension or suspension which is withheld. See Annotation 6.
47. See Annotation 29.
48. Students left with a disciplinary record after a disciplinary conference may request that their record be voided, in accordance with Part 50. Denials may be appealed, pursuant to Part 52.
49. See Annotation 29.
50. The decision will be "final and conclusive" on the part of the conduct board, but will remain a recommendation to the Director of Student Conduct.
51. This Part is intended to discourage frivolous appeals. Respondents who are genuinely interested in pursuing an appeal can reasonably be expected to prepare a written brief.
52. Appellate bodies which do not give deference (i.e., a presumption of validity) to lower board decisions will distort the entire disciplinary system. Respondents would be encouraged to "test their strategy" and "perfect their technique" before

lower boards, since the matter would simply be heard again before a “real” board with final authority.

Lower board members usually have the best access to the evidence, including an opportunity to observe the witnesses and to judge their demeanor. Members of appellate bodies should be especially careful not to modify a sanction or to remand or dismiss a case simply because they may personally disagree with the lower board’s decision.

The opportunity to appeal adverse decisions has not been determined to be a requirement of constitutional “due process” in student disciplinary cases.\*\*\* There is presently no legal obstacle to adopting an amendment to the Code which would eliminate the appellate system altogether.

53. Respondents who obtain information at the hearing which might lead to new evidence are required to request an adjournment rather than wait to raise the matter for the first time on appeal.
54. An arbitrary and capricious decision would be a decision “unsupported by any evidence.” The cited language has been adopted by the Federal Courts as the proper standard of judicial review, under the due process clause, of disciplinary determinations made by the state boards or agencies. *See McDonald v. Board of Trustees of the University of Illinois*, 375 F. Supp. 95, 108 (N.D. Ill., 1974).
55. See Annotation 19.
56. Voided files will be so marked, shall not be kept with active disciplinary records, and shall not leave any student with a disciplinary record.
57. Disciplinary records may be reported to third parties, in accordance with University regulations and applicable state and federal law.
58. Void records shall be treated in the manner set forth in Annotation 56.
59. The scope of review shall be limited to the factors specified at Part 51. An inquiry into the initial determination of guilt or innocence is not permitted. For example, when considering the “nature” of the violation, pursuant to Part 51 (c), it is to be assumed that the violation occurred and that the respondent was responsible for it.
60. Some discretion must be retained to void even “permanent” disciplinary records. It may be unnecessary, for example, to burden a graduating senior with a lifelong stigma for an act committed as a freshman. Social norms also change rapidly. “Unacceptable” conduct in one generation may become permissible and commonplace in the next.

- \* See the procedures for mandatory medical withdrawal developed by the Vice President for Student Affairs
- \*\* See Macklin Fleming, *The Price of Perfect Justice*: “in our pursuit of . . . perfectibility, we necessarily neglect other elements of an effective procedure, notably the resolution of controversies within a reasonable time at a reasonable cost, with reasonable uniformity . . . we impair the capacity of the legal order to achieve the basic values for which it is created, that is, to settle disputes promptly and peaceably, to restrain the strong, to protect the weak, and to conform the conduct of all the settled rules of law.”
- \*\*\* See the due process standard set forth in *Dixon v. Alabama*, 294 F.2nd 150, 158-159 (Fifth Cir., 1961), Cert. den 368 U.S. 930.

**Appendix Two (Senate Doc #11-12-10)**

**Peer Institution Review – Standards of Evidence**

<b>School</b>	<b>Institution Type</b>	<b>Standard of Evidence</b>
Berkeley	4 year-Public	Preponderance of Evidence
College of Charleston	4 year- Public	Preponderance of Evidence for all violations
Emory University	4 year- Private	Preponderance of Evidence for all violations
Florida Atlantic University	4 year-Public	Preponderance of Evidence for all violations
Georgia Tech	4 year- Public	Preponderance of Evidence for all violations
Illinois	4 year-Public	Preponderance of Evidence
James Madison University	4 year- Public	Preponderance of Evidence for all violations
Montclair State University	4 year- Public	Preponderance of Evidence for all violations
Northern Illinois University	4 year- Public	Preponderance of Evidence for all violations
Portland State University	4 year-Public	Preponderance of Evidence for all violations
Purdue University	4 year- Public	Preponderance of Evidence for all violations
UCLA	4 Year-Public	Preponderance of Evidence
UNC-Chapel Hill	4 year-Public	Beyond a reasonable doubt
Union College, NY	4 year -Private	Preponderance of Evidence
University of Delaware	4 year- Public	Preponderance of Evidence for all violations
University of Florida	4 year- Public	Preponderance of Evidence for all violations
University of Miami	4 year-Private	Preponderance of Evidence for all violations
University of Michigan-Ann Arbor	4 year-Public	Preponderance of the evidence for all community living standard violations in Housing; Clear and Convincing for statement violations
University of North Carolina- Charlotte	4 year- Public	Preponderance of Evidence for all violations
University of Texas at Arlington	4 year- Public	Preponderance of Evidence for all violations
University of Wisconsin- Madison	4 year- Public	Preponderance of Evidence for suspension, expulsion, sexual assault
Worcester State University	4 year -Public	Preponderance of Evidence for all violations
Wright State University	4 Year- Public	Preponderance of Evidence



**University Senate  
CHARGE**

<b>Date:</b>	October 3, 2011
<b>To:</b>	Nan Ratner Chair, Student Conduct Committee
<b>From:</b>	Eric Kasischke Chair, University Senate 
<b>Subject:</b>	Updates to Procedural Requirements Pertaining to Sexual Harassment and Sexual Violence
<b>Senate Document #:</b>	11-12-10
<b>Deadline:</b>	March 30, 2012

The Senate Executive Committee (SEC) requests that the Student Conduct Committee review the attached proposal “Updates to Procedural Requirements Pertaining to Sexual Harassment and Sexual Violence” and make recommendations on whether the University of Maryland Code of Student Conduct V-1.00(B) should be revised.

The University’s Code of Student Conduct defines prohibited conduct by students and the review process for violations. Recently, the US Department of Education’s Office of Civil Rights (OCR) distributed a letter providing guidance to institutions regarding sexual harassment and sexual violence disciplinary proceedings and appeals processes. As a recipient of Federal financial assistance, we must comply with the directives issued in the letter. In order to be in compliance, our burden of proof requirement and appeals process must be revised in our Code of Student Conduct to include “preponderance of the evidence” instead of “clear and convincing” as the evidentiary standard in our proceedings. The SEC requests that the Student Conduct Committee review the proposal and recommend appropriate changes to the Code of Student Conduct.

Specifically, we ask that you:

1. Consult with the Office of Student Conduct and the subcommittee charged with proposing revisions to the Code of Student Conduct.
2. Consult with the University’s Office of Legal Affairs.
3. Consult with the Senate’s Equity, Diversity, and Inclusion (EDI) Committee on the impact that any changes to the Code of Student Conduct might have on the

University's Sexual Harassment Policy and the University of Maryland Code on Equity, Diversity, and Inclusion.

4. Review how our peer institutions have implemented the changes suggested in the OCR letter.
5. Consider whether the proposed evidentiary standard should apply to all violations of the Code of Student Conduct in addition to complaints of sexual harassment or violence.

We ask that you submit your report and recommendations to the Senate Office no later than March 30, 2012. If you have questions or need assistance, please contact Reka Montfort in the Senate Office, extension 5-5804.



## University Senate PROPOSAL FORM

<b>Name:</b>	Andrea Goodwin
<b>Date:</b>	9/12/11
<b>Title of Proposal:</b>	Code of Student Conduct Revisions
<b>Phone Number:</b>	301-314-8206
<b>Email Address:</b>	agoodwin@umd.edu
<b>Campus Address:</b>	2118 Mitchell Building
<b>Unit/Department/College:</b>	Director, Office of Student Conduct
<b>Constituency (faculty, staff, undergraduate, graduate):</b>	Staff
<b>Description of issue/concern/policy in question:</b>	<p>In April, 2011, the US Department of Education's Office of Civil Rights issued a "Dear Colleague Letter" (attached) providing guidance to schools, including colleges and universities, regarding sexual harassment and sexual violence. Recipients of Federal financial assistance <b>must</b> comply with the directives issued in the letter including directives that pertain to disciplinary proceedings. In reviewing the <i>Code of Student Conduct</i>, it is clear that our policies, as currently stated, do not meet the procedural requirements outlined in the "Dear Colleague Letter." Specifically we are not in compliance with two major requirements:</p> <p style="padding-left: 40px;">1) Burden of Proof in University Disciplinary Proceedings</p> <p>In order for a grievance procedure to be consistent with the Office of Civil Rights requirements, the school <b>must</b> use a Preponderance of the Evidence Standard (<i>i.e.</i>, it is more likely than not that the sexual harassment or violence occurred.) Currently the University <i>Code of Student Conduct</i> requires us to utilize the "clear and convincing standard" (<i>i.e.</i>, it is highly probably or reasonably certain that that the sexual assault occurred) in all discipline cases.</p> <p style="padding-left: 40px;">2) Appeals</p> <p>OCR recommends that schools provide an appeals process and if a school provides for appeal of findings or remedy, it must do so for <b>both</b> parties. Currently, the University's <i>Code of Student Conduct</i> provides an appeal to the respondent (accused student) only.</p>

<p><b>Description of action/changes you would like to see implemented and why:</b></p>	<p>In order for the University of Maryland to be in compliance with the Office of Civil Rights, the <i>Code of Student Conduct</i> <b>must</b> be amended to reflect the requirements made explicit in the "Dear Colleague Letter." Attached is a draft revision of the changes to the <i>Code</i> that would be required to be in compliance with the Office of Civil Rights.</p> <p>I request that the Campus Senate Committee on Student Conduct approve changes to the <i>Code of Student Conduct</i> so that the University is in compliance with the Office of Civil Rights.</p>
<p><b>Suggestions for how your proposal could be put into practice:</b></p>	<p>The <i>Code of Student Conduct</i> can be amended.</p>
<p><b>Additional Information:</b></p>	<p>Attached is a copy of the "Dear Colleague Letter." Revisions to the <i>Code of Student Conduct</i> are currently being drafted and can be provided to the Campus Senate Committee on Student Conduct for review.</p>

**Please send your completed form and any supporting documents to [senate-admin@umd.edu](mailto:senate-admin@umd.edu) or University of Maryland Senate Office, 1100 Marie Mount Hall, College Park, MD 20742-7541. Thank you!**

U.S. Department of Education  
Office for Civil Rights



Dear Colleague Letter: Sexual Violence  
Background, Summary, and Fast Facts  
April 4, 2011

Sexual Violence Statistics and Effects

- Acts of sexual violence are vastly under-reported.<sup>1</sup> Yet, data show that our nation's young students suffer from acts of sexual violence early and the likelihood that they will be assaulted by the time they graduate is significant. For example:
  - Recent data shows nearly 4,000 reported incidents of sexual battery and over 800 reported rapes and attempted rapes occurring *in our nation's public high schools*.<sup>2</sup> Indeed, by the time girls graduate from high school, more than one in ten will have been physically forced to have sexual intercourse in or out of school.<sup>3</sup>
  - When young women get to *college*, nearly 20% of them will be victims of attempted or actual sexual assault, as will about 6% of undergraduate men.<sup>4</sup>
- Victims of sexual assault are more likely to suffer academically and from depression, post-traumatic stress disorder, to abuse alcohol and drugs, and to contemplate suicide.<sup>5</sup>

Why is ED Issuing the Dear Colleague letter (DCL)?

Title IX of the Education Amendments of 1972 ("Title IX"), 20 U.S.C. Sec.1681, *et seq.*, prohibits discrimination on the basis of sex in any federally funded education program or activity. ED is issuing the DCL to explain that the requirements of Title IX cover sexual violence and to remind schools<sup>6</sup> of their responsibilities to take immediate and effective steps to respond to sexual violence in accordance with the requirements of Title IX. In the context of the letter, sexual violence means physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent. A number of acts fall into the category of sexual violence, including rape, sexual assault, sexual battery, and sexual coercion.

<sup>1</sup> For example, see HEATHER M. KARJANE ET AL. SEXUAL ASSAULT ON CAMPUS: WHAT COLLEGES AND UNIVERSITIES ARE DOING ABOUT IT 3 (Nat'l. Institute of Justice, Dec. 2005).

<sup>2</sup> SIMONE ROBERS ET AL. INDICATORS OF SCHOOL CRIME AND SAFETY 104 (U.S. Dep't of Education & U.S. Dep't of Justice, Nov. 2010), *available at* <http://nces.ed.gov/pubs2011/2011002.pdf>.

<sup>3</sup> EATON, D. K., KANN, L., KINCHEN, S., SHANKLIN, S., ROSS, J., HAWKINS, J., ET AL., YOUTH RISK BEHAVIOR SURVEILLANCE-UNITED STATES 2009, *Morbidity and Mortality Weekly Report*, 1-148.

<sup>4</sup> CHRISTOPHER P. KREBS ET AL., THE CAMPUS SEXUAL ASSAULT STUDY FINAL REPORT xiii, 5-5. (Nat'l. Criminal Justice Reference Service, Oct. 2007), *available at* <http://www.ncjrs.gov/pdffiles1/nij/grants/221153.pdf>.

<sup>5</sup> For example, see WORLD HEALTH ORGANIZATION, WORLD REPORT ON VIOLENCE AND HEALTH 162-164 (Etienne G. Krug, et al. eds., 2002), *available at* [http://whqlibdoc.who.int/publications/2002/9241545615\\_eng.pdf](http://whqlibdoc.who.int/publications/2002/9241545615_eng.pdf); CENTERS FOR DISEASE CONTROL, UNDERSTANDING SEXUAL VIOLENCE: FACT SHEET 1 (2011), *available at* [http://www.cdc.gov/violenceprevention/pdf/SV\\_factsheet\\_2011-a.pdf](http://www.cdc.gov/violenceprevention/pdf/SV_factsheet_2011-a.pdf).

<sup>6</sup> "Schools" includes all recipients of federal funding and includes school districts, colleges, and universities.

## What does the DCL do?

- Provides guidance on the unique concerns that arise in sexual violence cases, such as the role of criminal investigations and a school's independent responsibility to investigate and address sexual violence.
- Provides guidance and examples about key Title IX requirements and how they relate to sexual violence, such as the requirements to publish a policy against sex discrimination, designate a Title IX coordinator, and adopt and publish grievance procedures.
- Discusses proactive efforts schools can take to prevent sexual violence.
- Discusses the interplay between Title IX, FERPA, and the Clery Act<sup>7</sup> as it relates to a complainant's right to know the outcome of his or her complaint, including relevant sanctions facing the perpetrator.
- Provides examples of remedies and enforcement strategies that schools and the Office for Civil Rights (OCR) may use to respond to sexual violence.

## What are a school's obligations under Title IX regarding sexual violence?

- Once a school knows or reasonably should know of possible sexual violence, it must take immediate and appropriate action to investigate or otherwise determine what occurred.
- If sexual violence has occurred, a school must take prompt and effective steps to end the sexual violence, prevent its recurrence, and address its effects, whether or not the sexual violence is the subject of a criminal investigation.
- A school must take steps to protect the complainant as necessary, including interim steps taken prior to the final outcome of the investigation.
- A school must provide a grievance procedure for students to file complaints of sex discrimination, including complaints of sexual violence. These procedures must include an equal opportunity for both parties to present witnesses and other evidence and the same appeal rights.
- A school's grievance procedures must use the preponderance of the evidence standard to resolve complaints of sex discrimination.
- A school must notify both parties of the outcome of the complaint.

## How can I get help from OCR?

OCR offers technical assistance to help schools achieve voluntary compliance with the civil rights laws it enforces and works with schools to develop approaches to preventing and addressing discrimination. A school should contact the OCR enforcement office serving its jurisdiction for technical assistance. For contact information, please visit ED's website at <http://wdcrobcop01.ed.gov/CFAPPS/OCR/contactus.cfm>.

A complaint of discrimination can be filed by anyone who believes that a school that receives Federal financial assistance has discriminated against someone on the basis of race, color, national origin, sex, disability, or age. The person or organization filing the complaint need not be a victim of the alleged discrimination, but may complain on behalf of another person or group. For information on how to file a complaint with OCR, visit <http://www2.ed.gov/about/offices/list/ocr/complaintintro.html> or contact OCR's Customer Service Team at 1-800-421-3481.

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<sup>7</sup> The Family Educational Rights and Privacy Act is at 20 U.S.C. Sec. 1232g, and the Jeanne Clery Disclosure of Campus Security and Campus Crime Statistics Act is at 20 U.S.C. Sec 1092(f).



# UNITED STATES DEPARTMENT OF EDUCATION

OFFICE FOR CIVIL RIGHTS

THE ASSISTANT SECRETARY

April 4, 2011

Dear Colleague:

Education has long been recognized as the great equalizer in America. The U.S. Department of Education and its Office for Civil Rights (OCR) believe that providing all students with an educational environment free from discrimination is extremely important. The sexual harassment of students, including sexual violence, interferes with students' right to receive an education free from discrimination and, in the case of sexual violence, is a crime.

Title IX of the Education Amendments of 1972 (Title IX), 20 U.S.C. §§ 1681 *et seq.*, and its implementing regulations, 34 C.F.R. Part 106, prohibit discrimination on the basis of sex in education programs or activities operated by recipients of Federal financial assistance. Sexual harassment of students, which includes acts of sexual violence, is a form of sex discrimination prohibited by Title IX. In order to assist recipients, which include school districts, colleges, and universities (hereinafter "schools" or "recipients") in meeting these obligations, this letter<sup>1</sup> explains that the requirements of Title IX pertaining to sexual harassment also cover sexual violence, and lays out the specific Title IX requirements applicable to sexual violence.<sup>2</sup> Sexual violence, as that term is used in this letter, refers to physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent due to the victim's use of drugs or alcohol. An individual also may be unable to give consent due to an intellectual or other disability. A number of different acts fall into the category of sexual violence, including rape,

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<sup>1</sup> The Department has determined that this Dear Colleague Letter is a "significant guidance document" under the Office of Management and Budget's Final Bulletin for Agency Good Guidance Practices, 72 Fed. Reg. 3432 (Jan. 25, 2007), *available at*:

[http://www.whitehouse.gov/sites/default/files/omb/assets/regulatory\\_matters\\_pdf/012507\\_good\\_guidance.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/regulatory_matters_pdf/012507_good_guidance.pdf). OCR issues this and other policy guidance to provide recipients with information to assist them in meeting their obligations, and to provide members of the public with information about their rights, under the civil rights laws and implementing regulations that we enforce. OCR's legal authority is based on those laws and regulations. This letter does not add requirements to applicable law, but provides information and examples to inform recipients about how OCR evaluates whether covered entities are complying with their legal obligations. If you are interested in commenting on this guidance, please send an e-mail with your comments to [OCR@ed.gov](mailto:OCR@ed.gov), or write to us at the following address: Office for Civil Rights, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202.

<sup>2</sup> Use of the term "sexual harassment" throughout this document includes sexual violence unless otherwise noted. Sexual harassment also may violate Title IV of the Civil Rights Act of 1964 (42 U.S.C. § 2000c), which prohibits public school districts and colleges from discriminating against students on the basis of sex, among other bases. The U.S. Department of Justice enforces Title IV.

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*The Department of Education's mission is to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access.*

sexual assault, sexual battery, and sexual coercion. All such acts of sexual violence are forms of sexual harassment covered under Title IX.

The statistics on sexual violence are both deeply troubling and a call to action for the nation. A report prepared for the National Institute of Justice found that about 1 in 5 women are victims of completed or attempted sexual assault while in college.<sup>3</sup> The report also found that approximately 6.1 percent of males were victims of completed or attempted sexual assault during college.<sup>4</sup> According to data collected under the Jeanne Clery Disclosure of Campus Security and Campus Crime Statistics Act (Clery Act), 20 U.S.C. § 1092(f), in 2009, college campuses reported nearly 3,300 forcible sex offenses as defined by the Clery Act.<sup>5</sup> This problem is not limited to college. During the 2007-2008 school year, there were 800 reported incidents of rape and attempted rape and 3,800 reported incidents of other sexual batteries at public high schools.<sup>6</sup> Additionally, the likelihood that a woman with intellectual disabilities will be sexually assaulted is estimated to be significantly higher than the general population.<sup>7</sup> The Department is deeply concerned about this problem and is committed to ensuring that all students feel safe in their school, so that they have the opportunity to benefit fully from the school's programs and activities.

This letter begins with a discussion of Title IX's requirements related to student-on-student sexual harassment, including sexual violence, and explains schools' responsibility to take immediate and effective steps to end sexual harassment and sexual violence. These requirements are discussed in detail in OCR's *Revised Sexual Harassment Guidance* issued in 2001 (*2001 Guidance*).<sup>8</sup> This letter supplements the *2001 Guidance* by providing additional guidance and practical examples regarding the Title IX requirements as they relate to sexual violence. This letter concludes by discussing the proactive efforts schools can take to prevent sexual harassment and violence, and by providing examples of remedies that schools and OCR may use to end such conduct, prevent its recurrence, and address its effects. Although some examples contained in this letter are applicable only in the postsecondary context, sexual

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<sup>3</sup> CHRISTOPHER P. KREBS ET AL., *THE CAMPUS SEXUAL ASSAULT STUDY: FINAL REPORT* xiii (Nat'l Criminal Justice Reference Serv., Oct. 2007), available at <http://www.ncjrs.gov/pdffiles1/nij/grants/221153.pdf>. This study also found that the majority of campus sexual assaults occur when women are incapacitated, primarily by alcohol. *Id.* at xviii.

<sup>4</sup> *Id.* at 5-5.

<sup>5</sup> U.S. Department of Education, Office of Postsecondary Education, Summary Crime Statistics (data compiled from reports submitted in compliance with the Clery Act), available at <http://www2.ed.gov/admins/lead/safety/criminal2007-09.pdf>. Under the Clery Act, forcible sex offenses are defined as any sexual act directed against another person, forcibly and/or against that person's will, or not forcibly or against the person's will where the victim is incapable of giving consent. Forcible sex offenses include forcible rape, forcible sodomy, sexual assault with an object, and forcible fondling. 34 C.F.R. Part 668, Subpt. D, App. A.

<sup>6</sup> SIMONE ROBERS ET AL., *INDICATORS OF SCHOOL CRIME AND SAFETY: 2010* at 104 (U.S. Dep't of Educ. & U.S. Dep't of Justice, Nov. 2010), available at <http://nces.ed.gov/pubs2011/2011002.pdf>.

<sup>7</sup> ERIKA HARRELL & MICHAEL R. RAND, *CRIME AGAINST PEOPLE WITH DISABILITIES, 2008* (Bureau of Justice Statistics, U.S. Dep't of Justice, Dec. 2010), available at <http://bjs.ojp.usdoj.gov/content/pub/pdf/capd08.pdf>.

<sup>8</sup> The *2001 Guidance* is available on the Department's Web site at <http://www2.ed.gov/about/offices/list/ocr/docs/shguide.pdf>. This letter focuses on peer sexual harassment and violence. Schools' obligations and the appropriate response to sexual harassment and violence committed by employees may be different from those described in this letter. Recipients should refer to the *2001 Guidance* for further information about employee harassment of students.

harassment and violence also are concerns for school districts. The Title IX obligations discussed in this letter apply equally to school districts unless otherwise noted.

### **Title IX Requirements Related to Sexual Harassment and Sexual Violence**

#### **Schools' Obligations to Respond to Sexual Harassment and Sexual Violence**

Sexual harassment is unwelcome conduct of a sexual nature. It includes unwelcome sexual advances, requests for sexual favors, and other verbal, nonverbal, or physical conduct of a sexual nature. Sexual violence is a form of sexual harassment prohibited by Title IX.<sup>9</sup>

As explained in OCR's *2001 Guidance*, when a student sexually harasses another student, the harassing conduct creates a hostile environment if the conduct is sufficiently serious that it interferes with or limits a student's ability to participate in or benefit from the school's program. The more severe the conduct, the less need there is to show a repetitive series of incidents to prove a hostile environment, particularly if the harassment is physical. Indeed, a single or isolated incident of sexual harassment may create a hostile environment if the incident is sufficiently severe. For instance, a single instance of rape is sufficiently severe to create a hostile environment.<sup>10</sup>

Title IX protects students from sexual harassment in a school's education programs and activities. This means that Title IX protects students in connection with all the academic, educational, extracurricular, athletic, and other programs of the school, whether those programs take place in a school's facilities, on a school bus, at a class or training program

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<sup>9</sup> Title IX also prohibits gender-based harassment, which may include acts of verbal, nonverbal, or physical aggression, intimidation, or hostility based on sex or sex-stereotyping, even if those acts do not involve conduct of a sexual nature. The Title IX obligations discussed in this letter also apply to gender-based harassment. Gender-based harassment is discussed in more detail in the *2001 Guidance*, and in the 2010 Dear Colleague letter on Harassment and Bullying, which is available at <http://www2.ed.gov/about/offices/list/ocr/letters/colleague-201010.pdf>.

<sup>10</sup> See, e.g., *Jennings v. Univ. of N.C.*, 444 F.3d 255, 268, 274 n.12 (4th Cir. 2006) (acknowledging that while not an issue in this case, a single incident of sexual assault or rape could be sufficient to raise a jury question about whether a hostile environment exists, and noting that courts look to Title VII cases for guidance in analyzing Title IX sexual harassment claims); *Vance v. Spencer Cnty. Pub. Sch. Dist.*, 231 F.3d 253, 259 n.4 (6th Cir. 2000) ("[w]ithin the context of Title IX, a student's claim of hostile environment can arise from a single incident" (quoting *Doe v. Sch. Admin. Dist. No. 19*, 66 F. Supp. 2d 57, 62 (D. Me. 1999))); *Soper v. Hoben*, 195 F.3d 845, 855 (6th Cir. 1999) (explaining that rape and sexual abuse "obviously qualify as...severe, pervasive, and objectively offensive sexual harassment"); see also *Berry v. Chi. Transit Auth.*, 618 F.3d 688, 692 (7th Cir. 2010) (in the Title VII context, "a single act can create a hostile environment if it is severe enough, and instances of uninvited physical contact with intimate parts of the body are among the most severe types of sexual harassment"); *Turner v. Saloon, Ltd.*, 595 F.3d 679, 686 (7th Cir. 2010) (noting that "[o]ne instance of conduct that is sufficiently severe may be enough," which is "especially true when the touching is of an intimate body part" (quoting *Jackson v. Cnty. of Racine*, 474 F.3d 493, 499 (7th Cir. 2007))); *McKinnis v. Crescent Guardian, Inc.*, 189 F. App'x 307, 310 (5th Cir. 2006) (holding that "the deliberate and unwanted touching of [a plaintiff's] intimate body parts can constitute severe sexual harassment" in Title VII cases (quoting *Harvill v. Westward Commc'ns, L.L.C.*, 433 F.3d 428, 436 (5th Cir. 2005))).

sponsored by the school at another location, or elsewhere. For example, Title IX protects a student who is sexually assaulted by a fellow student during a school-sponsored field trip.<sup>11</sup>

If a school knows or reasonably should know about student-on-student harassment that creates a hostile environment, Title IX requires the school to take immediate action to eliminate the harassment, prevent its recurrence, and address its effects.<sup>12</sup> Schools also are required to publish a notice of nondiscrimination and to adopt and publish grievance procedures. Because of these requirements, which are discussed in greater detail in the following section, schools need to ensure that their employees are trained so that they know to report harassment to appropriate school officials, and so that employees with the authority to address harassment know how to respond properly. Training for employees should include practical information about how to identify and report sexual harassment and violence. OCR recommends that this training be provided to any employees likely to witness or receive reports of sexual harassment and violence, including teachers, school law enforcement unit employees, school administrators, school counselors, general counsels, health personnel, and resident advisors.

Schools may have an obligation to respond to student-on-student sexual harassment that initially occurred off school grounds, outside a school's education program or activity. If a student files a complaint with the school, regardless of where the conduct occurred, the school must process the complaint in accordance with its established procedures. Because students often experience the continuing effects of off-campus sexual harassment in the educational setting, schools should consider the effects of the off-campus conduct when evaluating whether there is a hostile environment on campus. For example, if a student alleges that he or she was sexually assaulted by another student off school grounds, and that upon returning to school he or she was taunted and harassed by other students who are the alleged perpetrator's friends, the school should take the earlier sexual assault into account in determining whether there is a sexually hostile environment. The school also should take steps to protect a student who was assaulted off campus from further sexual harassment or retaliation from the perpetrator and his or her associates.

Regardless of whether a harassed student, his or her parent, or a third party files a complaint under the school's grievance procedures or otherwise requests action on the student's behalf, a school that knows, or reasonably should know, about possible harassment must promptly investigate to determine what occurred and then take appropriate steps to resolve the situation. As discussed later in this letter, the school's Title IX investigation is different from any law enforcement investigation, and a law enforcement investigation does not relieve the school of its independent Title IX obligation to investigate the conduct. The specific steps in a school's

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<sup>11</sup> Title IX also protects third parties from sexual harassment or violence in a school's education programs and activities. For example, Title IX protects a high school student participating in a college's recruitment program, a visiting student athlete, and a visitor in a school's on-campus residence hall. Title IX also protects employees of a recipient from sexual harassment. For further information about harassment of employees, see *2001 Guidance* at n.1.

<sup>12</sup> This is the standard for administrative enforcement of Title IX and in court cases where plaintiffs are seeking injunctive relief. See *2001 Guidance* at ii-v, 12-13. The standard in private lawsuits for monetary damages is actual knowledge and deliberate indifference. See *Davis v. Monroe Cnty. Bd. of Ed.*, 526 U.S. 629, 643, 648 (1999).

investigation will vary depending upon the nature of the allegations, the age of the student or students involved (particularly in elementary and secondary schools), the size and administrative structure of the school, and other factors. Yet as discussed in more detail below, the school's inquiry must in all cases be prompt, thorough, and impartial. In cases involving potential criminal conduct, school personnel must determine, consistent with State and local law, whether appropriate law enforcement or other authorities should be notified.<sup>13</sup>

Schools also should inform and obtain consent from the complainant (or the complainant's parents if the complainant is under 18 and does not attend a postsecondary institution) before beginning an investigation. If the complainant requests confidentiality or asks that the complaint not be pursued, the school should take all reasonable steps to investigate and respond to the complaint consistent with the request for confidentiality or request not to pursue an investigation. If a complainant insists that his or her name or other identifiable information not be disclosed to the alleged perpetrator, the school should inform the complainant that its ability to respond may be limited.<sup>14</sup> The school also should tell the complainant that Title IX prohibits retaliation, and that school officials will not only take steps to prevent retaliation but also take strong responsive action if it occurs.

As discussed in the *2001 Guidance*, if the complainant continues to ask that his or her name or other identifiable information not be revealed, the school should evaluate that request in the context of its responsibility to provide a safe and nondiscriminatory environment for all students. Thus, the school may weigh the request for confidentiality against the following factors: the seriousness of the alleged harassment; the complainant's age; whether there have been other harassment complaints about the same individual; and the alleged harasser's rights to receive information about the allegations if the information is maintained by the school as an "education record" under the Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. § 1232g; 34 C.F.R. Part 99.<sup>15</sup> The school should inform the complainant if it cannot ensure confidentiality. Even if the school cannot take disciplinary action against the alleged harasser because the complainant insists on confidentiality, it should pursue other steps to limit the effects of the alleged harassment and prevent its recurrence. Examples of such steps are discussed later in this letter.

Compliance with Title IX, such as publishing a notice of nondiscrimination, designating an employee to coordinate Title IX compliance, and adopting and publishing grievance procedures, can serve as preventive measures against harassment. Combined with education and training programs, these measures can help ensure that all students and employees recognize the

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<sup>13</sup> In states with mandatory reporting laws, schools may be required to report certain incidents to local law enforcement or child protection agencies.

<sup>14</sup> Schools should refer to the *2001 Guidance* for additional information on confidentiality and the alleged perpetrator's due process rights.

<sup>15</sup> For example, the alleged harasser may have a right under FERPA to inspect and review portions of the complaint that directly relate to him or her. In that case, the school must redact the complainant's name and other identifying information before allowing the alleged harasser to inspect and review the sections of the complaint that relate to him or her. In some cases, such as those where the school is required to report the incident to local law enforcement or other officials, the school may not be able to maintain the complainant's confidentiality.

nature of sexual harassment and violence, and understand that the school will not tolerate such conduct. Indeed, these measures may bring potentially problematic conduct to the school's attention before it becomes serious enough to create a hostile environment. Training for administrators, teachers, staff, and students also can help ensure that they understand what types of conduct constitute sexual harassment or violence, can identify warning signals that may need attention, and know how to respond. More detailed information and examples of education and other preventive measures are provided later in this letter.

### **Procedural Requirements Pertaining to Sexual Harassment and Sexual Violence**

Recipients of Federal financial assistance must comply with the procedural requirements outlined in the Title IX implementing regulations. Specifically, a recipient must:

- (A) Disseminate a notice of nondiscrimination;<sup>16</sup>
- (B) Designate at least one employee to coordinate its efforts to comply with and carry out its responsibilities under Title IX;<sup>17</sup> and
- (C) Adopt and publish grievance procedures providing for prompt and equitable resolution of student and employee sex discrimination complaints.<sup>18</sup>

These requirements apply to all forms of sexual harassment, including sexual violence, and are important for preventing and effectively responding to sex discrimination. They are discussed in greater detail below. OCR advises recipients to examine their current policies and procedures on sexual harassment and sexual violence to determine whether those policies comply with the requirements articulated in this letter and the *2001 Guidance*. Recipients should then implement changes as needed.

#### **(A) Notice of Nondiscrimination**

The Title IX regulations require that each recipient publish a notice of nondiscrimination stating that the recipient does not discriminate on the basis of sex in its education programs and activities, and that Title IX requires it not to discriminate in such a manner.<sup>19</sup> The notice must state that inquiries concerning the application of Title IX may be referred to the recipient's Title IX coordinator or to OCR. It should include the name or title, office address, telephone number, and e-mail address for the recipient's designated Title IX coordinator.

The notice must be widely distributed to all students, parents of elementary and secondary students, employees, applicants for admission and employment, and other relevant persons. OCR recommends that the notice be prominently posted on school Web sites and at various

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<sup>16</sup> 34 C.F.R. § 106.9.

<sup>17</sup> *Id.* § 106.8(a).

<sup>18</sup> *Id.* § 106.8(b).

<sup>19</sup> *Id.* § 106.9(a).

locations throughout the school or campus and published in electronic and printed publications of general distribution that provide information to students and employees about the school's services and policies. The notice should be available and easily accessible on an ongoing basis.

Title IX does not require a recipient to adopt a policy specifically prohibiting sexual harassment or sexual violence. As noted in the *2001 Guidance*, however, a recipient's general policy prohibiting sex discrimination will not be considered effective and would violate Title IX if, because of the lack of a specific policy, students are unaware of what kind of conduct constitutes sexual harassment, including sexual violence, or that such conduct is prohibited sex discrimination. OCR therefore recommends that a recipient's nondiscrimination policy state that prohibited sex discrimination covers sexual harassment, including sexual violence, and that the policy include examples of the types of conduct that it covers.

(B) Title IX Coordinator

The Title IX regulations require a recipient to notify all students and employees of the name or title and contact information of the person designated to coordinate the recipient's compliance with Title IX.<sup>20</sup> The coordinator's responsibilities include overseeing all Title IX complaints and identifying and addressing any patterns or systemic problems that arise during the review of such complaints. The Title IX coordinator or designee should be available to meet with students as needed. If a recipient designates more than one Title IX coordinator, the notice should describe each coordinator's responsibilities (*e.g.*, who will handle complaints by students, faculty, and other employees). The recipient should designate one coordinator as having ultimate oversight responsibility, and the other coordinators should have titles clearly showing that they are in a deputy or supporting role to the senior coordinator. The Title IX coordinators should not have other job responsibilities that may create a conflict of interest. For example, serving as the Title IX coordinator and a disciplinary hearing board member or general counsel may create a conflict of interest.

Recipients must ensure that employees designated to serve as Title IX coordinators have adequate training on what constitutes sexual harassment, including sexual violence, and that they understand how the recipient's grievance procedures operate. Because sexual violence complaints often are filed with the school's law enforcement unit, all school law enforcement unit employees should receive training on the school's Title IX grievance procedures and any other procedures used for investigating reports of sexual violence. In addition, these employees should receive copies of the school's Title IX policies. Schools should instruct law enforcement unit employees both to notify complainants of their right to file a Title IX sex discrimination complaint with the school in addition to filing a criminal complaint, and to report incidents of sexual violence to the Title IX coordinator if the complainant consents. The school's Title IX coordinator or designee should be available to provide assistance to school law enforcement unit employees regarding how to respond appropriately to reports of sexual violence. The Title IX coordinator also should be given access to school law enforcement unit investigation notes

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<sup>20</sup> *Id.* § 106.8(a).

and findings as necessary for the Title IX investigation, so long as it does not compromise the criminal investigation.

(C) Grievance Procedures

The Title IX regulations require all recipients to adopt and publish grievance procedures providing for the prompt and equitable resolution of sex discrimination complaints.<sup>21</sup> The grievance procedures must apply to sex discrimination complaints filed by students against school employees, other students, or third parties.

Title IX does not require a recipient to provide separate grievance procedures for sexual harassment and sexual violence complaints. Therefore, a recipient may use student disciplinary procedures or other separate procedures to resolve such complaints. Any procedures used to adjudicate complaints of sexual harassment or sexual violence, including disciplinary procedures, however, must meet the Title IX requirement of affording a complainant a prompt and equitable resolution.<sup>22</sup> These requirements are discussed in greater detail below. If the recipient relies on disciplinary procedures for Title IX compliance, the Title IX coordinator should review the recipient's disciplinary procedures to ensure that the procedures comply with the prompt and equitable requirements of Title IX.<sup>23</sup>

Grievance procedures generally may include voluntary informal mechanisms (e.g., mediation) for resolving some types of sexual harassment complaints. OCR has frequently advised recipients, however, that it is improper for a student who complains of harassment to be required to work out the problem directly with the alleged perpetrator, and certainly not without appropriate involvement by the school (e.g., participation by a trained counselor, a trained mediator, or, if appropriate, a teacher or administrator). In addition, as stated in the *2001 Guidance*, the complainant must be notified of the right to end the informal process at any time and begin the formal stage of the complaint process. Moreover, in cases involving allegations of sexual assault, mediation is not appropriate even on a voluntary basis. OCR recommends that recipients clarify in their grievance procedures that mediation will not be used to resolve sexual assault complaints.

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<sup>21</sup> *Id.* § 106.8(b). Title IX also requires recipients to adopt and publish grievance procedures for employee complaints of sex discrimination.

<sup>22</sup> These procedures must apply to all students, including athletes. If a complaint of sexual violence involves a student athlete, the school must follow its standard procedures for resolving sexual violence complaints. Such complaints must not be addressed solely by athletics department procedures. Additionally, if an alleged perpetrator is an elementary or secondary student with a disability, schools must follow the procedural safeguards in the Individuals with Disabilities Education Act (at 20 U.S.C. § 1415 and 34 C.F.R. §§ 300.500-300.519, 300.530-300.537) as well as the requirements of Section 504 of the Rehabilitation Act of 1973 (at 34 C.F.R. §§ 104.35-104.36) when conducting the investigation and hearing.

<sup>23</sup> A school may not absolve itself of its Title IX obligations to investigate and resolve complaints of sexual harassment or violence by delegating, whether through express contractual agreement or other less formal arrangement, the responsibility to administer school discipline to school resource officers or "contract" law enforcement officers. See 34 C.F.R. § 106.4.

Prompt and Equitable Requirements

As stated in the *2001 Guidance*, OCR has identified a number of elements in evaluating whether a school's grievance procedures provide for prompt and equitable resolution of sexual harassment complaints. These elements also apply to sexual violence complaints because, as explained above, sexual violence is a form of sexual harassment. OCR will review all aspects of a school's grievance procedures, including the following elements that are critical to achieve compliance with Title IX:

- Notice to students, parents of elementary and secondary students, and employees of the grievance procedures, including where complaints may be filed;
- Application of the procedures to complaints alleging harassment carried out by employees, other students, or third parties;
- Adequate, reliable, and impartial investigation of complaints, including the opportunity for both parties to present witnesses and other evidence;
- Designated and reasonably prompt time frames for the major stages of the complaint process;
- Notice to parties of the outcome of the complaint;<sup>24</sup> and
- An assurance that the school will take steps to prevent recurrence of any harassment and to correct its discriminatory effects on the complainant and others, if appropriate.

As noted in the *2001 Guidance*, procedures adopted by schools will vary in detail, specificity, and components, reflecting differences in the age of students, school sizes and administrative structures, State or local legal requirements, and past experiences. Although OCR examines whether all applicable elements are addressed when investigating sexual harassment complaints, this letter focuses on those elements where our work indicates that more clarification and explanation are needed, including:

(A) Notice of the grievance procedures

The procedures for resolving complaints of sex discrimination, including sexual harassment, should be written in language appropriate to the age of the school's students, easily understood, easily located, and widely distributed. OCR recommends that the grievance procedures be prominently posted on school Web sites; sent electronically to all members of the school community; available at various locations throughout the school or campus; and summarized in or attached to major publications issued by the school, such as handbooks, codes of conduct, and catalogs for students, parents of elementary and secondary students, faculty, and staff.

(B) Adequate, Reliable, and Impartial Investigation of Complaints

OCR's work indicates that a number of issues related to an adequate, reliable, and impartial investigation arise in sexual harassment and violence complaints. In some cases, the conduct

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<sup>24</sup> "Outcome" does not refer to information about disciplinary sanctions unless otherwise noted. Notice of the outcome is discussed in greater detail in Section D below.

may constitute both sexual harassment under Title IX and criminal activity. Police investigations may be useful for fact-gathering; but because the standards for criminal investigations are different, police investigations or reports are not determinative of whether sexual harassment or violence violates Title IX. Conduct may constitute unlawful sexual harassment under Title IX even if the police do not have sufficient evidence of a criminal violation. In addition, a criminal investigation into allegations of sexual violence does not relieve the school of its duty under Title IX to resolve complaints promptly and equitably.

A school should notify a complainant of the right to file a criminal complaint, and should not dissuade a victim from doing so either during or after the school's internal Title IX investigation. For instance, if a complainant wants to file a police report, the school should not tell the complainant that it is working toward a solution and instruct, or ask, the complainant to wait to file the report.

Schools should not wait for the conclusion of a criminal investigation or criminal proceeding to begin their own Title IX investigation and, if needed, must take immediate steps to protect the student in the educational setting. For example, a school should not delay conducting its own investigation or taking steps to protect the complainant because it wants to see whether the alleged perpetrator will be found guilty of a crime. Any agreement or Memorandum of Understanding (MOU) with a local police department must allow the school to meet its Title IX obligation to resolve complaints promptly and equitably. Although a school may need to delay temporarily the fact-finding portion of a Title IX investigation while the police are gathering evidence, once notified that the police department has completed its gathering of evidence (not the ultimate outcome of the investigation or the filing of any charges), the school must promptly resume and complete its fact-finding for the Title IX investigation.<sup>25</sup> Moreover, nothing in an MOU or the criminal investigation itself should prevent a school from notifying complainants of their Title IX rights and the school's grievance procedures, or from taking interim steps to ensure the safety and well-being of the complainant and the school community while the law enforcement agency's fact-gathering is in progress. OCR also recommends that a school's MOU include clear policies on when a school will refer a matter to local law enforcement.

As noted above, the Title IX regulation requires schools to provide equitable grievance procedures. As part of these procedures, schools generally conduct investigations and hearings to determine whether sexual harassment or violence occurred. In addressing complaints filed with OCR under Title IX, OCR reviews a school's procedures to determine whether the school is using a preponderance of the evidence standard to evaluate complaints. The Supreme Court has applied a preponderance of the evidence standard in civil litigation involving discrimination under Title VII of the Civil Rights Act of 1964 (Title VII), 42 U.S.C. §§ 2000e *et seq.* Like Title IX,

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<sup>25</sup> In one recent OCR sexual violence case, the prosecutor's office informed OCR that the police department's evidence gathering stage typically takes three to ten calendar days, although the delay in the school's investigation may be longer in certain instances.

Title VII prohibits discrimination on the basis of sex.<sup>26</sup> OCR also uses a preponderance of the evidence standard when it resolves complaints against recipients. For instance, OCR's Case Processing Manual requires that a noncompliance determination be supported by the preponderance of the evidence when resolving allegations of discrimination under all the statutes enforced by OCR, including Title IX.<sup>27</sup> OCR also uses a preponderance of the evidence standard in its fund termination administrative hearings.<sup>28</sup> Thus, in order for a school's grievance procedures to be consistent with Title IX standards, the school must use a preponderance of the evidence standard (*i.e.*, it is more likely than not that sexual harassment or violence occurred). The "clear and convincing" standard (*i.e.*, it is highly probable or reasonably certain that the sexual harassment or violence occurred), currently used by some schools, is a higher standard of proof. Grievance procedures that use this higher standard are inconsistent with the standard of proof established for violations of the civil rights laws, and are thus not equitable under Title IX. Therefore, preponderance of the evidence is the appropriate standard for investigating allegations of sexual harassment or violence.

Throughout a school's Title IX investigation, including at any hearing, the parties must have an equal opportunity to present relevant witnesses and other evidence. The complainant and the alleged perpetrator must be afforded similar and timely access to any information that will be used at the hearing.<sup>29</sup> For example, a school should not conduct a pre-hearing meeting during which only the alleged perpetrator is present and given an opportunity to present his or her side of the story, unless a similar meeting takes place with the complainant; a hearing officer or disciplinary board should not allow only the alleged perpetrator to present character witnesses at a hearing; and a school should not allow the alleged perpetrator to review the complainant's

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<sup>26</sup> See, e.g., *Desert Palace, Inc. v. Costa*, 539 U.S. 90, 99 (2003) (noting that under the "conventional rule of civil litigation," the preponderance of the evidence standard generally applies in cases under Title VII); *Price Waterhouse v. Hopkins*, 490 U.S. 228, 252-55 (1989) (approving preponderance standard in Title VII sex discrimination case) (plurality opinion); *id.* at 260 (White, J., concurring in the judgment); *id.* at 261 (O'Connor, J., concurring in the judgment). The 2001 *Guidance* noted (on page vi) that "[w]hile *Gebser* and *Davis* made clear that Title VII agency principles do not apply in determining liability for money damages under Title IX, the *Davis* Court also indicated, through its specific references to Title VII caselaw, that Title VII remains relevant in determining what constitutes hostile environment sexual harassment under Title IX." See also *Jennings v. Univ. of N.C.*, 482 F.3d 686, 695 (4th Cir. 2007) ("We look to case law interpreting Title VII of the Civil Rights Act of 1964 for guidance in evaluating a claim brought under Title IX.").

<sup>27</sup> OCR's Case Processing Manual is available on the Department's Web site, at <http://www2.ed.gov/about/offices/list/ocr/docs/ocrcpm.html>.

<sup>28</sup> The Title IX regulations adopt the procedural provisions applicable to Title VI of the Civil Rights Act of 1964. See 34 C.F.R. § 106.71 ("The procedural provisions applicable to Title VI of the Civil Rights Act of 1964 are hereby adopted and incorporated herein by reference."). The Title VI regulations apply the Administrative Procedure Act to administrative hearings required prior to termination of Federal financial assistance and require that termination decisions be "supported by and in accordance with the reliable, probative and substantial evidence." 5 U.S.C. § 556(d). The Supreme Court has interpreted "reliable, probative and substantial evidence" as a direction to use the preponderance standard. See *Steadman v. SEC*, 450 U.S. 91, 98-102 (1981).

<sup>29</sup> Access to this information must be provided consistent with FERPA. For example, if a school introduces an alleged perpetrator's prior disciplinary records to support a tougher disciplinary penalty, the complainant would not be allowed access to those records. Additionally, access should not be given to privileged or confidential information. For example, the alleged perpetrator should not be given access to communications between the complainant and a counselor or information regarding the complainant's sexual history.

statement without also allowing the complainant to review the alleged perpetrator's statement.

While OCR does not require schools to permit parties to have lawyers at any stage of the proceedings, if a school chooses to allow the parties to have their lawyers participate in the proceedings, it must do so equally for both parties. Additionally, any school-imposed restrictions on the ability of lawyers to speak or otherwise participate in the proceedings should apply equally. OCR strongly discourages schools from allowing the parties personally to question or cross-examine each other during the hearing. Allowing an alleged perpetrator to question an alleged victim directly may be traumatic or intimidating, thereby possibly escalating or perpetuating a hostile environment. OCR also recommends that schools provide an appeals process. If a school provides for appeal of the findings or remedy, it must do so for both parties. Schools must maintain documentation of all proceedings, which may include written findings of facts, transcripts, or audio recordings.

All persons involved in implementing a recipient's grievance procedures (*e.g.*, Title IX coordinators, investigators, and adjudicators) must have training or experience in handling complaints of sexual harassment and sexual violence, and in the recipient's grievance procedures. The training also should include applicable confidentiality requirements. In sexual violence cases, the fact-finder and decision-maker also should have adequate training or knowledge regarding sexual violence.<sup>30</sup> Additionally, a school's investigation and hearing processes cannot be equitable unless they are impartial. Therefore, any real or perceived conflicts of interest between the fact-finder or decision-maker and the parties should be disclosed.

Public and state-supported schools must provide due process to the alleged perpetrator. However, schools should ensure that steps taken to accord due process rights to the alleged perpetrator do not restrict or unnecessarily delay the Title IX protections for the complainant.

*(C) Designated and Reasonably Prompt Time Frames*

OCR will evaluate whether a school's grievance procedures specify the time frames for all major stages of the procedures, as well as the process for extending timelines. Grievance procedures should specify the time frame within which: (1) the school will conduct a full investigation of the complaint; (2) both parties receive a response regarding the outcome of the complaint; and (3) the parties may file an appeal, if applicable. Both parties should be given periodic status updates. Based on OCR experience, a typical investigation takes approximately 60 calendar days following receipt of the complaint. Whether OCR considers complaint resolutions to be timely, however, will vary depending on the complexity of the investigation and the severity and extent of the harassment. For example, the resolution of a complaint involving multiple incidents with multiple complainants likely would take longer than one involving a single incident that

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<sup>30</sup> For instance, if an investigation or hearing involves forensic evidence, that evidence should be reviewed by a trained forensic examiner.

occurred in a classroom during school hours with a single complainant.

(D) Notice of Outcome

Both parties must be notified, in writing, about the outcome of both the complaint and any appeal,<sup>31</sup> *i.e.*, whether harassment was found to have occurred. OCR recommends that schools provide the written determination of the final outcome to the complainant and the alleged perpetrator concurrently. Title IX does not require the school to notify the alleged perpetrator of the outcome before it notifies the complainant.

Due to the intersection of Title IX and FERPA requirements, OCR recognizes that there may be confusion regarding what information a school may disclose to the complainant.<sup>32</sup> FERPA generally prohibits the nonconsensual disclosure of personally identifiable information from a student's "education record." However, as stated in the *2001 Guidance*, FERPA permits a school to disclose to the harassed student information about the sanction imposed upon a student who was found to have engaged in harassment when the sanction directly relates to the harassed student. This includes an order that the harasser stay away from the harassed student, or that the harasser is prohibited from attending school for a period of time, or transferred to other classes or another residence hall.<sup>33</sup> Disclosure of other information in the student's "education record," including information about sanctions that do not relate to the harassed student, may result in a violation of FERPA.

Further, when the conduct involves a crime of violence or a non-forcible sex offense,<sup>34</sup> FERPA permits a postsecondary institution to disclose to the alleged victim the final results of a

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<sup>31</sup> As noted previously, "outcome" does not refer to information about disciplinary sanctions unless otherwise noted.

<sup>32</sup> In 1994, Congress amended the General Education Provisions Act (GEPA), of which FERPA is a part, to state that nothing in GEPA "shall be construed to affect the applicability of title VI of the Civil Rights Act of 1964, title IX of Education Amendments of 1972, title V of the Rehabilitation Act of 1973, the Age Discrimination Act, or other statutes prohibiting discrimination, to any applicable program." 20 U.S.C. § 1221(d). The Department interprets this provision to mean that FERPA continues to apply in the context of Title IX enforcement, but if there is a direct conflict between the requirements of FERPA and the requirements of Title IX, such that enforcement of FERPA would interfere with the primary purpose of Title IX to eliminate sex-based discrimination in schools, the requirements of Title IX override any conflicting FERPA provisions. *See 2001 Guidance* at vii.

<sup>33</sup> This information directly relates to the complainant and is particularly important in sexual harassment cases because it affects whether a hostile environment has been eliminated. Because seeing the perpetrator may be traumatic, a complainant in a sexual harassment case may continue to be subject to a hostile environment if he or she does not know when the perpetrator will return to school or whether he or she will continue to share classes or a residence hall with the perpetrator. This information also directly affects a complainant's decision regarding how to work with the school to eliminate the hostile environment and prevent its recurrence. For instance, if a complainant knows that the perpetrator will not be at school or will be transferred to other classes or another residence hall for the rest of the year, the complainant may be less likely to want to transfer to another school or change classes, but if the perpetrator will be returning to school after a few days or weeks, or remaining in the complainant's classes or residence hall, the complainant may want to transfer schools or change classes to avoid contact. Thus, the complainant cannot make an informed decision about how best to respond without this information.

<sup>34</sup> Under the FERPA regulations, crimes of violence include arson; assault offenses (aggravated assault, simple assault, intimidation); burglary; criminal homicide (manslaughter by negligence); criminal homicide (murder and

disciplinary proceeding against the alleged perpetrator, regardless of whether the institution concluded that a violation was committed.<sup>35</sup> Additionally, a postsecondary institution may disclose to anyone—not just the alleged victim—the final results of a disciplinary proceeding if it determines that the student is an alleged perpetrator of a crime of violence or a non-forcible sex offense, and, with respect to the allegation made, the student has committed a violation of the institution’s rules or policies.<sup>36</sup>

Postsecondary institutions also are subject to additional rules under the Clery Act. This law, which applies to postsecondary institutions that participate in Federal student financial aid programs, requires that “both the accuser and the accused must be informed of the outcome<sup>37</sup> of any institutional disciplinary proceeding brought alleging a sex offense.”<sup>38</sup> Compliance with this requirement does not constitute a violation of FERPA. Furthermore, the FERPA limitations on redisclosure of information do not apply to information that postsecondary institutions are required to disclose under the Clery Act.<sup>39</sup> Accordingly, postsecondary institutions may not require a complainant to abide by a nondisclosure agreement, in writing or otherwise, that would prevent the redisclosure of this information.

### **Steps to Prevent Sexual Harassment and Sexual Violence and Correct its Discriminatory Effects on the Complainant and Others**

#### **Education and Prevention**

In addition to ensuring full compliance with Title IX, schools should take proactive measures to prevent sexual harassment and violence. OCR recommends that all schools implement preventive education programs and make victim resources, including comprehensive victim services, available. Schools may want to include these education programs in their (1) orientation programs for new students, faculty, staff, and employees; (2) training for students who serve as advisors in residence halls; (3) training for student athletes and coaches; and (4) school assemblies and “back to school nights.” These programs should include a

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non-negligent manslaughter); destruction, damage or vandalism of property; kidnapping/abduction; robbery; and forcible sex offenses. Forcible sex offenses are defined as any sexual act directed against another person forcibly or against that person’s will, or not forcibly or against the person’s will where the victim is incapable of giving consent. Forcible sex offenses include rape, sodomy, sexual assault with an object, and forcible fondling. Non-forcible sex offenses are incest and statutory rape. 34 C.F.R. Part 99, App. A.

<sup>35</sup> 34 C.F.R. § 99.31(a)(13). For purposes of 34 C.F.R. §§ 99.31(a)(13)-(14), disclosure of “final results” is limited to the name of the alleged perpetrator, any violation found to have been committed, and any sanction imposed against the perpetrator by the school. 34 C.F.R. § 99.39.

<sup>36</sup> 34 C.F.R. § 99.31(a)(14).

<sup>37</sup> For purposes of the Clery Act, “outcome” means the institution’s final determination with respect to the alleged sex offense and any sanctions imposed against the accused. 34 C.F.R. § 668.46(b)(11)(vi)(B).

<sup>38</sup> 34 C.F.R. § 668.46(b)(11)(vi)(B). Under the Clery Act, forcible sex offenses are defined as any sexual act directed against another person forcibly or against that person’s will, or not forcibly or against the person’s will where the person is incapable of giving consent. Forcible sex offenses include forcible rape, forcible sodomy, sexual assault with an object, and forcible fondling. Non-forcible sex offenses include incest and statutory rape. 34 C.F.R. Part 668, Subpt. D, App. A.

<sup>39</sup> 34 C.F.R. § 99.33(c).

discussion of what constitutes sexual harassment and sexual violence, the school's policies and disciplinary procedures, and the consequences of violating these policies.

The education programs also should include information aimed at encouraging students to report incidents of sexual violence to the appropriate school and law enforcement authorities. Schools should be aware that victims or third parties may be deterred from reporting incidents if alcohol, drugs, or other violations of school or campus rules were involved.<sup>40</sup> As a result, schools should consider whether their disciplinary policies have a chilling effect on victims' or other students' reporting of sexual violence offenses. For example, OCR recommends that schools inform students that the schools' primary concern is student safety, that any other rules violations will be addressed separately from the sexual violence allegation, and that use of alcohol or drugs never makes the victim at fault for sexual violence.

OCR also recommends that schools develop specific sexual violence materials that include the schools' policies, rules, and resources for students, faculty, coaches, and administrators. Schools also should include such information in their employee handbook and any handbooks that student athletes and members of student activity groups receive. These materials should include where and to whom students should go if they are victims of sexual violence. These materials also should tell students and school employees what to do if they learn of an incident of sexual violence. Schools also should assess student activities regularly to ensure that the practices and behavior of students do not violate the schools' policies against sexual harassment and sexual violence.

### **Remedies and Enforcement**

As discussed above, if a school determines that sexual harassment that creates a hostile environment has occurred, it must take immediate action to eliminate the hostile environment, prevent its recurrence, and address its effects. In addition to counseling or taking disciplinary action against the harasser, effective corrective action may require remedies for the complainant, as well as changes to the school's overall services or policies. Examples of these actions are discussed in greater detail below.

Title IX requires a school to take steps to protect the complainant as necessary, including taking interim steps before the final outcome of the investigation. The school should undertake these steps promptly once it has notice of a sexual harassment or violence allegation. The school should notify the complainant of his or her options to avoid contact with the alleged perpetrator and allow students to change academic or living situations as appropriate. For instance, the school may prohibit the alleged perpetrator from having any contact with the complainant pending the results of the school's investigation. When taking steps to separate the complainant and alleged perpetrator, a school should minimize the burden on the

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<sup>40</sup> The Department's Higher Education Center for Alcohol, Drug Abuse, and Violence Prevention (HEC) helps campuses and communities address problems of alcohol, other drugs, and violence by identifying effective strategies and programs based upon the best prevention science. Information on HEC resources and technical assistance can be found at [www.higheredcenter.org](http://www.higheredcenter.org).

complainant, and thus should not, as a matter of course, remove complainants from classes or housing while allowing alleged perpetrators to remain. In addition, schools should ensure that complainants are aware of their Title IX rights and any available resources, such as counseling, health, and mental health services, and their right to file a complaint with local law enforcement.<sup>41</sup>

Schools should be aware that complaints of sexual harassment or violence may be followed by retaliation by the alleged perpetrator or his or her associates. For instance, friends of the alleged perpetrator may subject the complainant to name-calling and taunting. As part of their Title IX obligations, schools must have policies and procedures in place to protect against retaliatory harassment. At a minimum, schools must ensure that complainants and their parents, if appropriate, know how to report any subsequent problems, and should follow-up with complainants to determine whether any retaliation or new incidents of harassment have occurred.

When OCR finds that a school has not taken prompt and effective steps to respond to sexual harassment or violence, OCR will seek appropriate remedies for both the complainant and the broader student population. When conducting Title IX enforcement activities, OCR seeks to obtain voluntary compliance from recipients. When a recipient does not come into compliance voluntarily, OCR may initiate proceedings to withdraw Federal funding by the Department or refer the case to the U.S. Department of Justice for litigation.

Schools should proactively consider the following remedies when determining how to respond to sexual harassment or violence. These are the same types of remedies that OCR would seek in its cases.

Depending on the specific nature of the problem, remedies for the complainant might include, but are not limited to:<sup>42</sup>

- providing an escort to ensure that the complainant can move safely between classes and activities;
- ensuring that the complainant and alleged perpetrator do not attend the same classes;
- moving the complainant or alleged perpetrator to a different residence hall or, in the case of an elementary or secondary school student, to another school within the district;
- providing counseling services;
- providing medical services;
- providing academic support services, such as tutoring;

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<sup>41</sup> The Clery Act requires postsecondary institutions to develop and distribute a statement of policy that informs students of their options to notify proper law enforcement authorities, including campus and local police, and the option to be assisted by campus personnel in notifying such authorities. The policy also must notify students of existing counseling, mental health, or other student services for victims of sexual assault, both on campus and in the community. 20 U.S.C. §§ 1092(f)(8)(B)(v)-(vi).

<sup>42</sup> Some of these remedies also can be used as interim measures before the school's investigation is complete.

- arranging for the complainant to re-take a course or withdraw from a class without penalty, including ensuring that any changes do not adversely affect the complainant's academic record; and
- reviewing any disciplinary actions taken against the complainant to see if there is a causal connection between the harassment and the misconduct that may have resulted in the complainant being disciplined.<sup>43</sup>

Remedies for the broader student population might include, but are not limited to:

*Counseling and Training*

- offering counseling, health, mental health, or other holistic and comprehensive victim services to all students affected by sexual harassment or sexual violence, and notifying students of campus and community counseling, health, mental health, and other student services;
- designating an individual from the school's counseling center to be "on call" to assist victims of sexual harassment or violence whenever needed;
- training the Title IX coordinator and any other employees who are involved in processing, investigating, or resolving complaints of sexual harassment or sexual violence, including providing training on:
  - the school's Title IX responsibilities to address allegations of sexual harassment or violence
  - how to conduct Title IX investigations
  - information on the link between alcohol and drug abuse and sexual harassment or violence and best practices to address that link;
- training all school law enforcement unit personnel on the school's Title IX responsibilities and handling of sexual harassment or violence complaints;
- training all employees who interact with students regularly on recognizing and appropriately addressing allegations of sexual harassment or violence under Title IX; and
- informing students of their options to notify proper law enforcement authorities, including school and local police, and the option to be assisted by school employees in notifying those authorities.

*Development of Materials and Implementation of Policies and Procedures*

- developing materials on sexual harassment and violence, which should be distributed to students during orientation and upon receipt of complaints, as well as widely posted throughout school buildings and residence halls, and which should include:
  - what constitutes sexual harassment or violence
  - what to do if a student has been the victim of sexual harassment or violence
  - contact information for counseling and victim services on and off school grounds
  - how to file a complaint with the school
  - how to contact the school's Title IX coordinator

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<sup>43</sup> For example, if the complainant was disciplined for skipping a class in which the harasser was enrolled, the school should review the incident to determine if the complainant skipped the class to avoid contact with the harasser.

- what the school will do to respond to allegations of sexual harassment or violence, including the interim measures that can be taken
- requiring the Title IX coordinator to communicate regularly with the school’s law enforcement unit investigating cases and to provide information to law enforcement unit personnel regarding Title IX requirements;<sup>44</sup>
- requiring the Title IX coordinator to review all evidence in a sexual harassment or sexual violence case brought before the school’s disciplinary committee to determine whether the complainant is entitled to a remedy under Title IX that was not available through the disciplinary committee;<sup>45</sup>
- requiring the school to create a committee of students and school officials to identify strategies for ensuring that students:
  - know the school’s prohibition against sex discrimination, including sexual harassment and violence
  - recognize sex discrimination, sexual harassment, and sexual violence when they occur
  - understand how and to whom to report any incidents
  - know the connection between alcohol and drug abuse and sexual harassment or violence
  - feel comfortable that school officials will respond promptly and equitably to reports of sexual harassment or violence;
- issuing new policy statements or other steps that clearly communicate that the school does not tolerate sexual harassment and violence and will respond to any incidents and to any student who reports such incidents; and
- revising grievance procedures used to handle sexual harassment and violence complaints to ensure that they are prompt and equitable, as required by Title IX.

#### *School Investigations and Reports to OCR*

- conducting periodic assessments of student activities to ensure that the practices and behavior of students do not violate the school’s policies against sexual harassment and violence;
- investigating whether any other students also may have been subjected to sexual harassment or violence;
- investigating whether school employees with knowledge of allegations of sexual harassment or violence failed to carry out their duties in responding to those allegations;
- conducting, in conjunction with student leaders, a school or campus “climate check” to assess the effectiveness of efforts to ensure that the school is free from sexual harassment and violence, and using the resulting information to inform future proactive steps that will be taken by the school; and

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<sup>44</sup> Any personally identifiable information from a student’s education record that the Title IX coordinator provides to the school’s law enforcement unit is subject to FERPA’s nondisclosure requirements.

<sup>45</sup> For example, the disciplinary committee may lack the power to implement changes to the complainant’s class schedule or living situation so that he or she does not come in contact with the alleged perpetrator.

- submitting to OCR copies of all grievances filed by students alleging sexual harassment or violence, and providing OCR with documentation related to the investigation of each complaint, such as witness interviews, investigator notes, evidence submitted by the parties, investigative reports and summaries, any final disposition letters, disciplinary records, and documentation regarding any appeals.

### **Conclusion**

The Department is committed to ensuring that all students feel safe and have the opportunity to benefit fully from their schools' education programs and activities. As part of this commitment, OCR provides technical assistance to assist recipients in achieving voluntary compliance with Title IX.

If you need additional information about Title IX, have questions regarding OCR's policies, or seek technical assistance, please contact the OCR enforcement office that serves your state or territory. The list of offices is available at <http://wdcrobcolp01.ed.gov/CFAPPS/OCR/contactus.cfm>. Additional information about addressing sexual violence, including victim resources and information for schools, is available from the U.S. Department of Justice's Office on Violence Against Women (OVW) at <http://www.ovw.usdoj.gov/>.<sup>46</sup>

Thank you for your prompt attention to this matter. I look forward to continuing our work together to ensure that all students have an equal opportunity to learn in a safe and respectful school climate.

Sincerely,

/s/

Russlynn Ali  
Assistant Secretary for Civil Rights

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<sup>46</sup> OVW also administers the Grants to Reduce Domestic Violence, Dating Violence, Sexual Assault, and Stalking on Campus Program. This Federal funding is designed to encourage institutions of higher education to adopt comprehensive, coordinated responses to domestic violence, dating violence, sexual assault, and stalking. Under this competitive grant program, campuses, in partnership with community-based nonprofit victim advocacy organizations and local criminal justice or civil legal agencies, must adopt protocols and policies to treat these crimes as serious offenses and develop victim service programs and campus policies that ensure victim safety, offender accountability, and the prevention of such crimes. OVW recently released the first solicitation for the Services, Training, Education, and Policies to Reduce Domestic Violence, Dating Violence, Sexual Assault and Stalking in Secondary Schools Grant Program. This innovative grant program will support a broad range of activities, including training for school administrators, faculty, and staff; development of policies and procedures for responding to these crimes; holistic and appropriate victim services; development of effective prevention strategies; and collaborations with mentoring organizations to support middle and high school student victims.



UNIVERSITY OF  
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November 1, 2012

Dr. Martha Nell Smith  
Chair, University Senate  
3238 Tawes Hall  
College Park, MD 20742-8878

Dear Dr. Smith:

In December 2011, the University Senate approved the Student Conduct Committee's (SCC) report and recommendations on Senate Document #11-12-10, "Updates to Procedural Requirements Pertaining to Sexual Harassment and Sexual Violence." Likewise, President Loh approved the report and recommendations on January 17, 2012. One of the approved recommendations included a request from the committee to be charged in Fall 2012 with revisiting the *Code of Student Conduct* regarding the changes made to comply with the directives in the Department of Education Office of Civil Rights' (OCR) "Dear Colleague Letter" of April 2011.

In order to bring the University into compliance with the directives outlined in the OCR letter, the committee recommended revising the burden of proof requirements in the *Code of Student Conduct* to include "preponderance of the evidence" (e.g., it is more likely than not that the sexual harassment or violence occurred) instead of "clear and convincing" (e.g., it is highly probably or reasonably certain that the sexual harassment or violence occurred) as the evidentiary standard in proceedings for complaints of sexual harassment and violence only. This change to the *Code* has been made. In doing so, however, the *Code* now has two different standards of evidence, depending on the type of case, which is uncommon for an institution of higher education. The committee would like to explore whether this situation is in the best interest of the Office of Student Conduct and the University.

The SCC respectfully requests to be charged by the SEC with performing this review as soon as possible.

Sincerely,

A handwritten signature in black ink, appearing to read "Jason Speck".

Jason Speck  
Chair, University Senate Student Conduct Committee

JS/cb

Cc: Reka Montfort, Director, University Senate  
Andrea Goodwin, Director, Office of Student Conduct



## University Senate CHARGE

<b>Date:</b>	November 16, 2012
<b>To:</b>	Jason Speck Chair, Student Conduct Committee
<b>From:</b>	Martha Nell Smith  Chair, University Senate
<b>Subject:</b>	Review of the Evidentiary Standards in the Code of Student Conduct
<b>Senate Document #:</b>	12-13-30
<b>Deadline:</b>	March 29, 2013

The Senate Executive Committee (SEC) requests that the Student Conduct Committee reexamine the evidentiary standards in order to guarantee consistency throughout the University of Maryland Code of Student Conduct (V-1.00(B)). The Senate and President Loh approved the committee's recommendation (Senate Doc. No. 11-12-10 - Approved December 2011) to amend the Code to comply with the directives in the Department of Education's Office of Civil Rights' (OCR) "Dear Colleague Letter." This recommendation revised the burden of proof requirements to include "preponderance of the evidence" as the evidentiary standard in proceedings for complaints of sexual harassment. However, this change has created two different standards of evidence depending on the type of case. Therefore, the SEC requests that the Student Conduct Committee consider whether this differentiation within the Code is in the best interest of the University.

Specifically, we ask that you:

1. Review the University of Maryland Code of Student Conduct V-1.00(B).
2. Consult with a representative from the University's Office of Student Conduct.
3. Consult with the Senate Student Affairs Committee regarding the potential impact that any changes to the code would have on students at the University.
4. Review the standards of evidence in codes of student conduct at our peer institutions.
5. Consult with the University's Office of Legal Affairs.
6. If appropriate, recommend whether the University of Maryland Code of Student Conduct V-1.00(B) should be revised to make the standard of evidence for all cases consistent.

We ask that you submit your report and recommendations to the Senate Office no later than March 29, 2013. If you have questions or need assistance, please contact Reka Montfort in the Senate Office, extension 5-5804.



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March 5, 2013

Dr. Martha Nell Smith  
Chair, University Senate  
3238 Tawes Hall  
College Park, MD 20742-8878

Dear Dr. Smith:

I am writing on behalf of the Senate Student Conduct Committee (SCC) in regard to our charge for the "Review of the Evidentiary Standards in the *Code of Student Conduct*" (Senate Doc #12-13-30). The SCC was charged by the Senate Executive Committee (SEC) with this review in November 2012, following the committee's request to be charged as a result of the passage of Senate Doc #11-12-10 "Updates to Procedural Requirements Pertaining to Sexual Harassment and Sexual Violence" last December. The deadline for our charge is March 29, 2013. I am writing to respectfully request an extension for the committee's review of this complex topic.

As you know, one of the approved recommendations of the "Updates to Procedural Requirements Pertaining to Sexual Harassment and Sexual Violence" was a wish from the committee to be charged with revisiting the *Code of Student Conduct* regarding the changes made to comply with the directives in the Department of Education Office of Civil Rights' (OCR) "Dear Colleague Letter" of April 2011. In order to bring the University into compliance with the directives outlined in the OCR letter, the SCC had recommended revising the burden of proof requirements in the *Code* to include "preponderance of the evidence" (e.g., it is more likely than not that the sexual harassment or violence occurred) instead of "clear and convincing" (e.g., it is highly probably or reasonably certain that the sexual harassment or violence occurred) as the evidentiary standard in proceedings for complaints of sexual harassment and violence only. In making this change, however, the *Code* now has two different standards of evidence, depending on the type of case, which is uncommon for an institution of higher education.

Because of other pressing charges, including the "Expansion of Promoting Responsible Action in Medical Emergencies" and the "*Code of Student Conduct* Expansion of Jurisdiction," the SCC has not been able to conduct a thorough review of the evidentiary standards in the *Code* this year. The committee would like more time to explore whether the current situation is in the best interest of the Office of Student Conduct and the University.

We respectfully request an extension until December 13, 2013. Thank you for your consideration of this request.

Sincerely,

A handwritten signature in black ink, appearing to read "Jason Speck".

Jason Speck  
Chair, University Senate Student Conduct Committee

Enclosure(s): Charge from SEC, November 16, 2012

Cc: Reka Montfort, Director, University Senate  
Andrea Goodwin, Director, Office of Student Conduct

## Big Ten Peer Institution Research

Institution	Standard of Evidence
Michigan State University	Preponderance of the Evidence
University of Minnesota	Preponderance of the Evidence
The Ohio State University	Preponderance of the Evidence
University of Nebraska	Preponderance of the Evidence
Purdue University	Preponderance of the Evidence
Penn State University	Preponderance of the Evidence
University of Illinois at Urbana-Champaign	Preponderance of the Evidence
University of Iowa	Preponderance of the Evidence
Northwestern University	Preponderance of the Evidence
Rutgers University	Clear & Convincing for academic integrity cases. Preponderance of the Evidence for conduct cases.
Indiana University	Preponderance of the Evidence for Title IX & VAWA cases. Clear & Convincing Evidence for all other cases.
University of Wisconsin	Preponderance of the Evidence for all sexual assault, dating violence, stalking and any non-academic misconduct case resulting in disciplinary probation or a lesser sanction. Clear and Convincing Evidence for suspension & expulsion cases.
University of Michigan	Preponderance of the evidence for sexual misconduct cases. Clear & Convincing Evidence for all other cases.



## University Senate TRANSMITTAL FORM

<b>Senate Document #:</b>	13-14-10
<b>PCC ID #:</b>	N/A
<b>Title:</b>	Nominations Committee Slate 2013-2014
<b>Presenter:</b>	Donald Webster, Chair of the 2013-2014 Committee on Committees
<b>Date of SEC Review:</b>	November 25, 2013
<b>Date of Senate Review:</b>	February 5, 2014
<b>Voting (highlight one):</b>	<ol style="list-style-type: none"> <li>1. On resolutions or recommendations one by one, or</li> <li>2. In a single vote</li> <li>3. To endorse entire report</li> </ol>
<b>Statement of Issue:</b>	<p>The University Senate Bylaws state, "By no later than the scheduled December meeting of the Senate, the Committee on Committees shall present to the Senate at least eight nominees from among outgoing Senate members to serve on the Nominations Committee. The nominees shall include four faculty members, one exempt staff member, one non-exempt staff member, one graduate student, and one undergraduate student. Further nominations shall be accepted from the floor of the Senate. The Senate, as a body, shall elect four faculty members, one exempt staff member, one non-exempt staff member, one graduate student, and one undergraduate to serve as the Nominations Committee."</p>
<b>Relevant Policy # &amp; URL:</b>	N/A
<b>Recommendation:</b>	To approve the slate as presented.
<b>Committee Work:</b>	<p>The Committee on Committees met on October 17, 2013, to discuss a process for soliciting nominations for the Senate Nominations Committee. The Senate Office had previously emailed the Outgoing Senators regarding the opportunity to serve on the Nominations Committee and received a few volunteers. The Committee on Committees discussed the volunteers at the meeting. Additional recruitment tasks were assigned. As required by the Bylaws, the committee assembled at least eight nominees from amongst the Outgoing Senators to present to the Senate. The Committee on Committees voted to approve the attached slate on Friday, November 15, 2013.</p>
<b>Alternatives:</b>	To not approve the slate or to hold an election following any additional nominations received from the floor of the Senate.
<b>Risks:</b>	There are no related risks.
<b>Financial Implications:</b>	There are no financial implications.
<b>Further Approvals Required:</b>	Senate Approval.

## 2013-2014 Senate Nominations Committee Slate

<u>Name/Constituency</u>	<u>Department/Unit</u>	<u>College</u>	<u>Term</u>
<b>Non-Voting Ex-Officio</b>			
Donald Webster	UME-Wye Rec/Senate Chair-Elect	AGNR	2014
<b>Faculty</b>			
Missy Meharg	Intercollegiate Athletics	PRES	2014
Jason Speck	University Libraries	LIBR	2014
Eric Uslaner	Government & Politics	BSOS	2014
William Walters	Chemistry & Biochemistry	CMNS	2014
<b>Exempt Staff</b>			
Barbara Hansborough	Astronomy	CMNS	2014
<b>Non-Exempt Staff</b>			
Daniel Simison	Transportation Services	VPSA	2014
<b>Graduate Student</b>			
Ravi Ranjan	Electrical & Computer Engineering	ENGR	2014
<b>Undergraduate Student</b>			
Nima Farshchi	Accounting & Operations Management	BMGT	2014



## University Senate TRANSMITTAL FORM

<b>Senate Document #:</b>	13-14-12
<b>PCC ID #:</b>	13018
<b>Title:</b>	Establish a New Upper-Division Certificate in Leadership Studies
<b>Presenter:</b>	Marilee Lindemann, Chair, Senate Programs, Curricula and Courses Committee
<b>Date of SEC Review:</b>	November 25, 2013
<b>Date of Senate Review:</b>	February 5, 2014
<b>Voting (highlight one):</b>	<ol style="list-style-type: none"> <li>1. On resolutions or recommendations one by one, or</li> <li>2. In a single vote</li> <li>3. To endorse entire report</li> </ol>
<b>Statement of Issue:</b>	<p>The College of Education and the Department of Counseling, Higher Education, and Special Education propose to offer a new upper-division certificate in Leadership Studies. An upper-division certificate is a formal award for undergraduate students that is recognized by the state of Maryland Higher Education Commission. An upper-division certificate requires at least 12 credits at the junior or senior level. The Department of Counseling, Higher Education, and Special Education currently offers a minor in Leadership Studies, and proposes to add a 21-credit upper-division certificate for undergraduate students who wish to take more coursework in Leadership Studies than the minor program currently requires.</p> <p>Building on the current minor program, the upper-division certificate in Leadership Studies will prepare students to serve effectively in formal and informal leadership roles in campus, local, national, and global contexts. Students are exposed to diverse theories and perspectives on leadership and are encouraged to apply analytical skills to develop their own working philosophy of leadership that will serve them in organizational and career contexts. The upper-division certificate program will have the same requirements as the minor program, and will add two additional experiential-learning courses that will allow students to bring leadership and leadership theory into practice</p>

	<p>through the exploration of a social issue. These two additional courses, EDCP320 and EDCP321, will require students to research a social issue, develop a plan to utilize leadership theories to address the social issue, and implement and assess their efforts of engaging and creating social change. Should the upper-division certificate program be approved, the current minor will be reduced from 18 credits to 15 credits.</p> <p>This proposal received the unanimous support of the Senate Programs, Curricula, and Courses committee at its meeting on November 1, 2013.</p>
<b>Relevant Policy # &amp; URL:</b>	N/A
<b>Recommendation:</b>	The Senate Committee on Programs, Curricula, and Courses recommends that the Senate approve this new area of concentration.
<b>Committee Work:</b>	The committee considered this proposal at its meeting on November 1, 2013. Robert Lent, Noah Drezner, and Stephanie Chang of the Department of Counseling, Higher Education and Special Education presented the proposal. After discussion, the committee voted unanimously to recommend the proposal.
<b>Alternatives:</b>	The Senate could decline to approve this new upper-division certificate program.
<b>Risks:</b>	If the Senate declines to approve this new upper-division certificate program, the University will lose an opportunity to encourage interested undergraduates from across campus to engage in a more enriched and experiential leadership studies program.
<b>Financial Implications:</b>	There are no significant financial implications with this proposal.
<b>Further Approvals Required:</b>	If the Senate approves this proposal, it would require further approval by the President, the Chancellor, and the Maryland Higher Education Commission.

THE UNIVERSITY OF MARYLAND, COLLEGE PARK  
PROGRAM/CURRICULUM/UNIT PROPOSAL

- Please email the rest of the proposal as an MSWord attachment to [pcc-submissions@umd.edu](mailto:pcc-submissions@umd.edu).

PCC LOG NO.

13018

- Please submit the signed form to the Office of the Associate Provost for Academic Planning and Programs, 1119 Main Administration Building, Campus.

**College/School: College of Education**

Please also add College/School Unit Code-First 8 digits: 012031001310701

Unit Codes can be found at: [https://hypprod.umd.edu/Html\\_Reports/units.htm](https://hypprod.umd.edu/Html_Reports/units.htm)

**Department/Program:**

Please also add Department/Program Unit Code-Last 7 digits:

**Type of Action (choose one):**

- Curriculum change (including informal specializations)     *New academic degree/award program*  
 *Renaming of program or formal Area of Concentration*     New Professional Studies award iteration  
 *Addition/deletion of formal Area of Concentration*     New Minor  
 *Suspend/delete program*     Other

*Italics indicate that the proposed program action must be presented to the full University Senate for consideration.*

**Summary of Proposed Action:**

The Minor in Leadership Studies is proposing changes to (1) change the Minor in Leadership Studies to the name Leadership Studies; (2) reduce the Minor course requirements from 18 to 15 credit hours; (3) add a Certificate in Leadership Studies option that requires 21 credit hours; (4) add two new requires courses for the Certificate requirement to enhance the study and practice of leadership theories and models with social change and action.

APPROVAL SIGNATURES - Please print name, sign, and date. Use additional lines for multi-unit programs.

1. Department Committee Chair Paul Maccini 8/28/13
2. Department Chair [Signature] 8/28/13
3. College/School PCC Chair Denis J Sullivan SULLIVAN 9/19/13
4. Dean [Signature] 8/28/13
5. Dean of the Graduate School (if required) \_\_\_\_\_
6. Chair, Senate PCC [Signature] 11/1/13
7. University Senate Chair (if required) \_\_\_\_\_
8. Senior Vice President and Provost \_\_\_\_\_

**Departmental Approval Form  
(DAF)**

Department of Counseling, Higher Education, and  
Special Education Programs

**Directions:** As noted in the *PCC Review Process within CHSE*, step 4 involves the preparation of materials for submission to the College PCC. The College submission form requires the signatures of the Department Chair and one of the PCC representatives. The process within the Department involves preparing materials using the Campus PCC format for submission, as well as completing a Departmental Approval Form (DAF) that is signed by the Program Area Director to indicate approval at the Program level and by the Department Chair to indicate approval by the DAC. The final step is for one of the Departmental PCC representatives to sign both the DAF and the COE PCC Submission Form (provide at least 3 working days to obtain this signature). Signature by the Department PCC representative does not constitute another layer of "approval" but documents that Departmental procedures have been followed and that the proposal is sufficiently detailed to move forward for review by the COE PCC in which the representatives participate. The Departmental PCC reps may not think of everything that is important to assure that the College PCC does not see any issues within the College and that the proposal is ready for review by the Campus. However, the Departmental Reps can clarify any substantive changes requested by the COE PCC following the discussion of the College PCC. The completed DAF and completed materials will be submitted to the PCC Chair for review at the next College PCC meeting.

**I) Course or Programmatic Information:**

Course or Program Change: Minor in Leadership Studies Changes

Proposed by: Noah D Drezner

**II) Signatures of Approval:**

- Approved by Program Area:

Program Area Director (print name and sign):

Steve Klees **Steve Klees**  
x5-2212 / sklees@umd.edu Date: \_\_\_\_\_

- Approved by DAC:

Department Chair (signature) [Signature] Date: 8/28/13

- Department PCC Representative (need only one the representatives to sign):

Dept. PCC Chair/Co-Chair (signature) Paul Manis Date: Aug 2013

\* Note: The Department Chair and one of the Departmental PCC representatives sign the College of Education PCC Submission Form

## MEMORANDUM

Date: March 29, 2013

TO: PCC and VPAC  
Via Department and College Committees

FROM: Noah D. Drezner, Assistant Professor  
Higher Education, Student Affairs, and International Education  
Counseling, Higher Education, and Special Education Department

RE: **Minor in Leadership Studies Program Revisions**

This packet contains PCC and VPAC proposals to change the name and curriculum requirements of the Minor in Leadership Studies, add a Certificate in Leadership Studies, and add two additional leadership courses to the Leadership Studies course offerings.

**Rationale:** The Minor in Leadership Studies has successfully grown in demand and course offerings since its start in fall 2007. To respond to growing interests in leadership studies, the Minor wants to change from a Minor in Leadership Studies to a Leadership Studies program and offer both a Minor and Certificate in Leadership Studies to undergraduate students. By changing the Minor to a Minor and Certificate offering in Leadership Studies, students have greater flexibility in deciding to what degree they want to engage in an academic leadership program. Currently, the goal of the Minor is to prepare students to serve effectively in formal and informal leadership roles in campus, local, national, and global contexts. Students learn leadership theories and models that increases their sense of intrapersonal and interpersonal development and understanding of functioning and working in groups and organizations.

Although the current Minor in Leadership Studies provides Minor students a variety of contextual applications for using leadership theories and models in students' future aspirations, the program has a strong desire to enhance the application of leadership theories and models to practice. In particular, the program will add two additional courses to increase the opportunity students have to enact and engage leadership in the context of social change. The two additional courses will be a yearlong or two-sequential-semester-experience where students research a social issue, develop a plan to utilize leadership theories to address the social issue, and implement and assess their efforts of engaging and creating social change. Instead of increasing the academic requirements of the Minor and limiting students' options for enrollment in the Minor and Minor courses, this proposal is to change the Minor in Leadership Studies to a Minor and Certificate offering in a Leadership Studies program.

The option of a Minor or Certificate in Leadership Studies provides students with greater academic choice and flexibility and allows the program to expand without a concern of limiting or restricting student enrollment. Thus, this proposal seeks to reduce the current Minor in Leadership Studies requirement from 18 to 15 credit hours and add a Certificate in Leadership Studies that is achieved with 21 credit hours. The format of altering the Minor in Leadership Studies to a Leadership Studies Program that offers both a Minor and Certificate is most similar to the University's current LGBT Studies Program that offers undergraduates a certificate and minor.

**Packet:** This packet contains a cover memo, a grid noting current and proposed curriculum requirements including credit hours and titles. Also, comments and rationale on the proposed changes are included. A syllabus for the new two-semester seminar course is included for new course approval. Materials for advertising the Minor to prospective students are included. PCC and VPAC forms are also included.

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VPAC Regularize (ADD) Form, EDCP 320 (2 credits)	28
VPAC Regularize (ADD) Form, EDCP 321 (1 credit)	34

**Leadership Studies  
Curricular Program Requirement Changes**

<b>MINOR Requirement Changes</b>			
Course Credits	Current Course Title	Proposed Course	Comment
EDCP 217 (3)	Introduction to Student Leadership	EDCP 217 (3)	No change
EDCP 315 (3)	Student Leadership in Groups and Organizations	EDCP 315 (3)	No change
EDCP 318 (3)	Applied Contextual Leadership	EDCP 318 (3)	No change
EDCP 418 (3)	Special Topics in Leadership	EDCP 418 (3)	No change
EDCP 417 (3)	Advanced Leadership Seminar	EDCP 417 (3)	No change
One Elective Course from preapproved listing, online (3 credit hours)			Reduce from Two required electives to One (6 credits hours to 3 credit hours)
<b>CERTIFICATE Requirement Changes, includes all courses listed above plus the courses listed below</b>			
Two Elective Course from preapproved listing, online (6 credit hours)			Require Two elective courses (6 cred hours), taken from original Minor requirements (adds one additional elective from proposed Minor requirement)
<b>Add</b>			
EDCP 320 (2)	Social Action Seminar	EDCP 321 (2)	Add and Regularize as "Social Action Seminar"; new seminar course to research and develop a social action plan using leadership models and theories
EDCP 320 (1)	Advanced Social Action Seminar	EDCP 321 (1)	Add and Regularize as "Advanced Social Action Seminar"; new seminar course to implement and assess a social action plan using leadership models and theories

Current MINOR Course Requirement	Proposed MINOR Changes to Course Requirement
<p>The Minor in Leadership Studies consists of <b>18 credit hours</b>. No more than six credits can also be applied to a student's major, and no more than six credits may be taken at an institution other than the University of Maryland College Park. No course with an earned grade below C- may count towards the minor.</p> <p><u>Required Courses:</u></p> <ul style="list-style-type: none"> <li>• EDCP 217 - Introduction to Leadership (3 credits)</li> <li>• EDCP 315 - Leadership in Groups and Organizations (3 credits)</li> <li>• EDCP 318 - Applied Contextual Leadership OR EDCP 418 - Leadership and Identity (3 credits)</li> <li>• EDCP 417 - Advanced Leadership Seminar (3 credits)</li> <li>• Two elective course, from a pre-approved elective list found online (total 6 credits) (See Addendum B)</li> </ul>	<p>The Minor in Leadership Studies consists of <b>15 credit hours</b>. No more than six credits can also be applied to a student's major, and no more than six credits may be taken at an institution other than the University of Maryland College Park. No course with an earned grade below C- may count towards the minor.</p> <p><u>Required Courses:</u></p> <ul style="list-style-type: none"> <li>• EDCP 217 - Introduction to Leadership (3 credits)</li> <li>• EDCP 315 - Leadership in Groups and Organizations (3 credits)</li> <li>• EDCP 318 - Applied Contextual Leadership OR EDCP 418 - Leadership and Identity (3 credits)</li> <li>• EDCP 417 - Advanced Leadership Seminar (3 credits)</li> <li>• <b>ONE</b> elective course, from a pre-approved elective list found online (total 3 credits) (See Addendum B)</li> </ul>

**Current MINOR Course Requirement**

The Minor in Leadership Studies consists of **18 credit hours**. No more than six credits can also be applied to a student's major, and no more than six credits may be taken at an institution other than the University of Maryland College Park. No course with an earned grade below C- may count towards the minor.

Required Courses:

- EDCP 217 - Introduction to Leadership (3 credits)
- EDCP 315 - Leadership in Groups and Organizations (3 credits)
- EDCP 318 - Applied Contextual Leadership OR EDCP 418 - Leadership and Identity (3 credits)
- EDCP 417 - Advanced Leadership Seminar (3 credits)
- Two elective course, from a pre-approved elective list found online (total 6 credits) (See Addendum B)

**Proposed CERTIFICATE Course Requirement**

The Certificate in Leadership Studies consists of **21 credit hours**. No more than six credits can also be applied to a student's major, and no more than six credits may be taken at an institution other than the University of Maryland College Park. No course with an earned grade below C- may count towards the minor.

Required Courses:

- EDCP 217 - Introduction to Leadership (3 credits)
- EDCP 315 - Leadership in Groups and Organizations (3 credits)
- EDCP 318 - Applied Contextual Leadership OR EDCP 418 - Leadership and Identity (3 credits)
- EDCP 417 - Advanced Leadership Seminar (3 credits)
- **EDCP 320 – Social Action Seminar (2 credits)**
- **EDCP 321 – Advanced Social Action Seminar (1 credit)**
- **TWO** elective course, from a pre-approved elective list found online (total 6 credits) (See Addendum B)

***CURRENT* Minor in Leadership Studies**  
**Department of Counseling, Higher Education, and Special Education**

**Description**

The EDCP Minor in Leadership Studies promotes college student leadership development by educating undergraduate students *for* and *about* leadership in a complex world. The goal of the minor is to prepare students to serve effectively in formal and informal leadership roles in campus, local, national, and global contexts. Faculty and students in the minor are dedicated to advancing the field of leadership studies by building upon and critically evaluating existing theoretical, research-based, and practical knowledge. Core courses in the minor are sequenced to meet increasingly complex sets of learning outcomes across cognitive, personal development, and group/organizational domains. Students in the minor are exposed to diverse theories and perspectives on leadership and are encouraged to apply analytical skills to develop their own working philosophy of leadership that will serve them in organizational and career contexts. Civic engagement and multicultural competence are viewed as necessary requirements for leadership.

**Eligibility**

In order to apply for the minor in Leadership Studies, students must have:

1. Completed at least 30 credit hours prior to application to the program.
2. Be in good academic standing.
3. Completed EDCP 217 with a C- or better.
4. Been admitted into the Minor prior to the completion of the final 9 credits of Minor coursework and no later than one full academic year before the expected date of graduation.

The EDCP Minor in Leadership Studies consists of **18 credit hours**. No more than six credits can also be applied to a student's major, and no more than six credits may be taken at an institution other than the University of Maryland College Park. No course with an earned grade below C may count towards the minor.

**Application Process**

Applications are made available as an online form, during select times each semester, for a period of two weeks. The application will ask eligible students to identify demographic information, a list of (on and off-campus) involvements (if any), and respond to three short-essay questions. Applicants must also provide a resume and an unofficial University transcript. The online form will be made available on the following days:

- Fall 2013 :
  - opening Friday, September 20th at 12:00 p.m.
  - closing Friday, October 4th at 11:59 p.m.

After the closing application date, applications will be reviewed and applicants will be notified within two to three weeks by email.

**Selection Criteria:**

- Demonstrates a commitment or experience in leadership, either in studying or practicing leadership
- Increases the diversity of students in the Minor

- Illustrates capacity to utilize leadership theories and skills
- Exhibits a commitment to intrapersonal and interpersonal growth and development through the study of leadership

### **Required Courses**

- EDCP 217 - Introduction to Leadership
- EDCP 315 - Leadership in Groups and Organizations
- EDCP 318 - Applied Contextual Leadership  
OR
- EDCP 418 - Leadership and Identity
- EDCP 417 - Advanced Leadership Seminar

### **Elective Courses**

Students must choose two 3-credit courses; at least one of the courses must be at the 300 level or higher, from an approved list of electives.

#### *Pre-Approved Elective Courses*

African-American Studies Department (AASD), Asian American Studies (AASST), College Park Scholars Program (CPSP), East Asian Studies, Latin American Studies (LASC), Lesbian, Gay, Bisexual, and Transgender Studies Program (LGBT), Women's Studies (WMST).

#### **EDCP courses**

Courses in education and counseling expose students to theories of influence, attribution, individual and collective efficacy, interaction and social learning theories, all which shape student leadership development.

- EDCP 220 - Introduction to Human Diversity in Social Institutions
- EDCP 310 - Peer Counseling Theory and Skills
- EDCP312 - Multi Ethnic Peer Counseling
- EDCP318 - Applied Contextual Leadership
- EDCP 386 - Experiential Learning\*\*
- EDCP418 - Special Topics in Leadership
- EDCP 420 - Advanced Topics in Human Diversity and Advocacy
- EDCP 470 - Introduction to Student Personnel
- EDCP 489 - Field Experiences in Counseling and Personnel Services\*\*
- EDCP 498 - Special Problems in Counseling and Personnel Services

#### **\*\*subject for approval**

#### **Agriculture & Natural Resources**

Colleges of agriculture/extension have long been a home for youth leadership education. Courses focus on developing leadership in youth and contemporary issues in leadership.

- AGNR 323 - Developing Youth Leadership Programs

## **Behavioral and Social Sciences**

Courses from the behavioral and social sciences focus on the processes of leadership - the behaviors, skills, and styles that are useful in accomplishing tasks and developing people.

\*BSOS 301 - Leadership in a Multicultural Society

## **Business and Management**

The functions of leadership and management are overlapping - both processes involve influencing a group of individuals toward goal attainment. Courses such as entrepreneurship address the role of vision and change in leadership processes.

\*BMGT 361 - Entrepreneurship

\*BMGT 364 - Management and Organization Theory

## **Communication**

Leadership is often referred to as a special form of communication that modifies the attitudes and behaviors of others in order to meet shared group goals and needs (Hackman & Johnson, 2004). By studying intrapersonal and organizational communication, students learn to analyze processes of influence essential to leadership.

COMM 330 - Argument and Public Policy

COMM 420 - Theories of Group Discussion

COMM 424 - Communication in Complex Organizations

COMM 461 - Voices of Public Leadership in the Twentieth Century

COMM 469 - The Discourse of Social Movements

## **Higher Education, Student Affairs, and International Education**

EDHI 338 Teaching and Learning about Cultural Diversity through Intergroup Dialogue (Note: This is usually a 1-credit course. If you take this course as an elective for the Minor you will still need at least 2 additional credits at the 300/400 level to fulfill one elective course.)

## **Gemstone**

\*GEMS 208 - Special Topics in Leadership and Team Development

## **Journalism**

The investigation of ethics is critical when focusing on leadership. Issues such as the moral development of individuals, the influence of role models, values-driven leadership, and creating ethical organizations all must be addressed. Examining the application of ethics in a particular discipline, field, or context is essential to answering the question of "leadership for what purpose?"

\*JOUR300 - Journalism Ethics

## **Psychology**

The study of psychology and psychodynamics sheds insight into individual motives for leadership as well as how leadership occurs in groups and organizations. The pathology of leadership has also been examined.

PSYCH221 - Social Psychology

PSYC334 - Psychology of Interpersonal Relationships

PSYC361 - Survey of Industrial and Organizational Psychology

**Public Policy**

Courses in public policy address political theories of leadership, conflict and coalition-building, and systems of governance.

\*PUAF 201 - Leadership for the Common Good

\*PUAF 202 - Contemporary Issues in Leadership and Public Policy

PUAF 359C - Contemporary Issues in Political Leadership and Participation: Advocacy in the American Political System

PUAF 359R - Contemporary Issues in Political Leadership and Participation: African American Leadership

PUAF 359W - Contemporary Issues in Political Leadership and Participation: Women in Leadership

**Women's Studies**

WMST 250 - Introduction to Women's Studies

**Current Summary of Credit Hours Required In the Minor**

Total Credit Hours Required	
Required Core Courses	12
Electives	6
<hr/>	
TOTAL CREDIT HOURS	18

**Sample Schedule for Incoming MINOR in Leadership Studies Student, 15 credit hours**

Academic Term	Course Number
Starting Second Year/Sophomore Year - Second Semester	
Fall #1	EDCP 217
Spring #1	Apply to the Minor and EDCP 315
Fall #2	EDCP 318 or 418
Spring #2	Elective #1
Fall #3	EDCP 417

Academic Term	Course Number
Starting Second Year/Sophomore Year - Second Semester	
Spring #1	EDCP 217
Fall #1	Apply to the Minor
Spring #2	EDCP 315 and EDCP 320
Fall #2	EDCP 318 or 418 and EDCP 321
Spring #3	EDCP 417

The proposed EDCP 320 and EDCP 321 sequence totals 3 credit hours and may count as the 1 elective requirement in the proposed Minor curriculum.

**Sample Schedule for Incoming CERTIFICATE in Leadership Studies Student, 21 credit hours**

Academic Year: Freshman Year - First Semester	
Fall #1	EDCP 217
Spring #1	Apply to the Minor and EDCP 315
Fall #2	EDCP 318 or 418 and EDCP 320
Spring #2	Elective #1 and EDCP 321
Fall #3	Elective #2
Fall #3	EDCP 417

Academic Year: Sophomore Year - Second Semester	
Spring #1	EDCP 217
Fall #1	Apply to the Minor and Elective #1
Spring #2	EDCP 315 and EDCP 320
Fall #2	EDCP 318 or 418 and EDCP 321
Spring #3	Elective #2 and EDCP 417

The proposed EDCP 320 and EDCP 321 sequence totals 3 credit hours. The semester after enrollment in the Leadership Studies program students will be encouraged to enroll in the Social Action or EDCP 320 and EDCP 321 sequence, to ensure that EDCP 320 and 321 are taken in consecutive semesters.

## Proposed Minor in Leadership Studies Changes

### **Background:**

The EDCP Minor in Leadership Studies was approved in May of 2007 and began accepting students during the fall of that year. The Minor promotes college student leadership development by educating undergraduate students *for* and *about* leadership in a complex world. The goal of the minor is to prepare students to serve effectively in formal and informal leadership roles in campus, local, national, and global contexts. Faculty and students in the minor are dedicated to advancing the field of leadership studies by building upon and critically evaluating existing theoretical, research-based, and practical knowledge. Core courses in the minor are sequenced to meet increasingly complex sets of learning outcomes across cognitive, personal development, and group/organizational domains. Students in the minor are exposed to diverse theories and perspectives on leadership and are encouraged to apply analytical skills to develop their own working philosophy of leadership that will serve them in organizational and career contexts. Civic engagement and multicultural competence are viewed as necessary requirements for leadership.

More information on the Minor in Leadership Studies can be found at:

[http://www.education.umd.edu/CHSE/academics/degree\\_programs/MinorLeadershipStudies.html](http://www.education.umd.edu/CHSE/academics/degree_programs/MinorLeadershipStudies.html)

### **Abstract of Request:**

The current Minor in Leadership curriculum requires Minor students successfully complete 9 courses for a total of 18 credit hours. Instead of increasing the credit hour requirement of the Minor, this proposal is to reduce the Minor requirement from 18 to 15 credit hours and add a Certificate in Leadership Studies. The Certificate in Leadership Studies will require Leadership Studies students to successfully complete 21 credit hours; which increases the original Minor requirement by 3 credit hours. The additional 3 credit hours for the Certificate will come from two new seminar courses that bridge leadership to practice or social action and change.

The two-semester seminar course focuses on bringing leadership and leadership theory into practice through the exploration of a social issue. Students will (1) identify a current and compelling social issue; (2) explore the historical, social, and political aspects of social issues; (3) identify and select applicable leadership theories to confront the social issue; (4) create and develop a plan that integrates leadership theories and the social issue; and (5) implement and evaluate the overall social action project. This course spans two consecutive semesters with students registering for two academic credits in the first semester and one academic credit in the second semester. During the first semester, students will explore, identify, and plan their social action project through a series of readings and assignments. With the development of a social action plan, over the course of the second semester, students will continue to work collaboratively to implement their plans. The two-semester sequence provides students time and opportunity to craft and implement their understanding of leadership and leadership theories in the context of a social issue (see Addendum A for complete syllabus); which is difficult to accomplish in one regular academic semester. This new two-semester seminar course relates to the core values of the Leadership Studies program; which promotes leadership theories in multiple contexts and seeks students to embrace leadership for the purpose of social change and civic engagement. The two new courses are also only made available to students in Leadership Studies.

### **Impact of Changes:**

The proposed changes will not impact any current students enrolled in the Minor. The proposed changes, if approved before fall 2013, will be advertised and implemented for all newly enrolled fall 2013 and future applicants. The application process, that was approved fall 2012, will remain the same. However, instead of applying the Minor in Leadership Studies, students will apply to a Leadership Studies program and self-select if they want to complete the Minor or Certificate option.

Changing the existing Minor requirement, without adding a Certificate, may limit and restrict the number of students interested or able to complete the Minor. Thus, offering a Minor and Certificate increases the ways Leadership Studies students engage with the Program and still allows the Leadership Studies program to offer the two additional social action courses without concern of decreasing student enrollment.

In addition, the option of moving from a Minor that requires 18 credit hours to 15 credit hours better meets the needs of students who may struggle to meet 18 credit hours due to traveling abroad or other course requirements of their major and academic course plan. For students who may travel abroad, the Certificate option may prove to be more difficult since the EDCP 320 and EDCP 321 (two-semester Social Action Seminar) must be completed in consecutive semesters. However, traveling abroad will not impede students from engaging in the program. This demonstrates that a Minor and Certificate option in Leadership Studies only expands students' options and opportunities of graduating with a Minor or Certificate in Leadership Studies.

All current Minor in Leadership Studies eligibility requirements and application processes will remain the same. The current eligibility requirements are the following:

In order to apply for the minor in Leadership Studies, students must have:

1. Completed at least 30 credit hours prior to application to the program.
2. Be in good academic standing.
3. Completed EDCP 217 with a C- or better.
4. Been admitted into the Minor prior to the completion of the final 9 credits of Minor coursework and no later than one full academic year before the expected date of graduation.

After admission in the Leadership Studies program students must indicate if they are interested in the Minor or Certificate track, but students can change their decision while enrolled as a Leadership Studies student. In addition, in the event a student fails a course in the Leadership Studies program, the student is still bound by the program requirement of completing requirements with at C- or better. That is, no course with an earned grade below C- may count towards the certificate or minor. Students must also have a 2.0 GPA in all courses used to meet the requirements for the certificate program.

**ADDENDUM A:  
Social Action Seminar & Advanced Social Action Seminar Syllabi**

**EDCP 320: Social Action Seminar  
and EDCP 321 Advanced Social Action Seminar**

**COURSE OVERVIEW**

**Course Description**

The purpose of these courses is to use leadership theories to inform the practice of addressing social issues in society, on campus, or within the surrounding community. Through this course, students will (1) identify a current and compelling social issue; (2) explore the historical, social, and political aspects of social issues; (3) identify and select applicable leadership theories to confront the social issue; (4) create and develop a plan that integrates leadership theories and the social issue; and (5) implement and evaluate the overall social action project. Students will begin their investigation of social issues by reviewing theories and models of leadership that promote social action and change. Using models of social change, students will work collaboratively in small teams to navigate the process of putting theory into action. Students will spend a significant amount of time outside-of-class investigating their selected social issue, developing a social action plan, implementing their plan, and assessing their overall project.

This course spans two semesters with students registering for two academic credits in the first semester and one academic credit in the second semester. During the first semester, students will explore, identify, and plan their social action project through a series of readings and assignments. With the development of a social action plan, over the course of the second semester, students will continue to work collaboratively to implement their plans. The two-semester sequence provides students the time and opportunity to both craft and implement their understanding of leadership and leadership theories in the context of a social issue.

**Course Instructor (Office Hours by Appointment)**

Daniel Ostick, Ph.D.

Coordinator for Leadership Curriculum Development and Academic Partnerships

Adele H. Stamp Student Union-Center for Campus Life

0110 Stamp Student Union

301-314-1347 (office)

[dostick@umd.edu](mailto:dostick@umd.edu)

**Course Materials** (instructors will supply students with all required text):

Additional readings will be available via Canvas ([umd.instructure.com](http://umd.instructure.com))

**Course Learning Objectives**

Through active participation in this class, students will:

- Develop an understanding of social action and the relationship between social action and leadership
- Explore the relevance of addressing social issues, problems, and topics
- Foster a sustained commitment towards a social issue that can lead to enhanced awareness around other causes
- Identify and apply leadership theories that can inform and guide the experience of addressing a social issue
- Develop and identify challenges in integrating theory into practice
- Acquire program evaluation and assessment skills through evaluating the limitations and successes of the project
- Gain an understanding around the differences and similarities with leading, participating, and evaluating a long-term project
- Clarify one's leadership self-efficacy, values, and ability to work collaboratively in groups and teams
- Identify and reaffirm a leadership philosophy and lifelong commitment towards leadership

## COURSE POLICIES & PROCEDURES

### Class Seminar

Our learning community will engage in active learning. We will work together to raise the collective level of meaning of the class content. We will all have the responsibility to advance our understanding of the material in its application to your internships and the world. The class will be based on case study methodology, peer-to-peer knowledge dissemination, teamwork, lectures, and group discussions.

### Code of Academic Integrity:

Students will conduct themselves with the highest standards of academic integrity. The UMCP Code of Academic Integrity defines academic dishonesty as “cheating,” “plagiarism,” “fabrication,” or “facilitating academic dishonest.” Academic dishonesty is a serious offense, which will not be tolerated in this class and may result in suspension or expulsion from the University. For more information, see p.43-46 of the University Catalogue; contact the Office of Student Judicial Programs and Student Ethical Development at 301-314-8204; or visit their website at [www.inform.umd.edu/jpo/code\\_acinteg.html](http://www.inform.umd.edu/jpo/code_acinteg.html). Students are asked to submit the following honor pledge on all papers, assignments, and tests:

**I pledge on my honor that I have not given or received any unauthorized assistance on any assignment or examination. – Sign your name**

### Religious Observations:

Because we are a diverse community and enroll students with many spiritual beliefs, we will be sensitive to students’ requests for excused absences and make-up requests due to reasons of religious observances. Be mindful that it is the student’s responsibility to inform instructors of any intended absences for religious observances in advance. Notice should be provided as soon as possible.

### Course Cancellations/Delays:

Please check with 301-405-SNOW or the university website ([www.umd.edu](http://www.umd.edu)) for any cancellations or delays due to inclement weather or emergencies. You may also sign up for the free university text messaging system, UMD Alerts, and receive text messages with alerts such as cancellations or delays. ([www.alert.umd.edu](http://www.alert.umd.edu)). This course will comply with any university cancellations or delays accordingly.

### Students with Disabilities:

Students with disabilities are encouraged to contact the instructors so reasonable accommodations can be made to assist learning and evaluation in the class. In addition, students should contact the Office of Disability Support Services (DSS) to document their disability and identify appropriate accommodations. DSS (301-314-7682) provides a variety of services to students with disabilities; staff are available to consult with students at any time. ([www.counseling.umd.edu/DSS](http://www.counseling.umd.edu/DSS)). It is the student’s responsibility to notify the instructor at the beginning of the semester of any documented disabilities.

### Students in Need of Assistance:

The University of Maryland offers a variety of services for students in need of either educational or psychological assistance. **Learning Assistance Services (LAS)** offers services and programs on writing skills, English as a second language, study and time management skills, math skills, and issues for students over 25 years of age. They also offer a range of handouts, available on-line. If you need other educational services or support, please contact your instructor for additional resources.

If you are experiencing personal stress that is interfering with your ability to succeed, please consider contacting the **Counseling Center** or the **Mental Health Service at the University Health Center** for an appointment. The Counseling Center also offers on-line resources on a series of topics.

Learning Assistance Services (LAS)  
2201 Shoemaker Hall  
Email – [LAS-CC@umd.edu](mailto:LAS-CC@umd.edu)  
Phone – 301-314-7693

Counseling Center  
Shoemaker Hall  
Phone – 301-314-7651  
Website – [www.counseling.umd.edu](http://www.counseling.umd.edu)

Website – [www.counseling.umd.edu/LAS](http://www.counseling.umd.edu/LAS)

University Health Center, Mental Health Service  
2<sup>nd</sup> Floor, University Health Center (across from The Stamp Student Union)  
Phone – 301-314-8106  
Website - [www.health.umd.edu/services/mentalhealth.html](http://www.health.umd.edu/services/mentalhealth.html)

### Participation and Attendance:

Your participation grade is based on several factors:

1. Attendance – your attendance is vital to your class participation grade. If you are more than ten minutes late for a class period, your attendance for that class will not count. Attendance is approximately half of your class participation grade and will suffer as a result of unexcused absences or tardiness.
2. Reading – in order to participate fully in class, all assigned readings must be completed. Failure to complete the readings will be obvious during class discussions and will cause your class participation grade to suffer.
3. Raising and answering questions
4. Sharing ideas, observations, and personal experiences
5. Relating and synthesizing ideas of others
6. Pointing out relationships to earlier discussions
7. Helping others develop their views and ideas
8. Successfully completing non-graded assignments for class.
9. Meeting one on one with your instructor(s) during the semester.
10. Working collaboratively with others in your social action project teams.

You are not expected to have all the “right” answers in every class, nor should you dominate every in-class discussion. You are, however, required to be prepared and contribute regularly to our class discussion. The quality of the discussion in class will depend on how well prepared you are, and how willing you are to share the results of your preparation with the class. Thus, your participation can be based on contributions to in-class discussions, sharing your ideas and work experiences, asking questions of the instructors and other students, and directing the instructors and class to new and relevant material.

Attendance at all class sessions is expected. Unexcused absences from class sessions will impact your participation grade. Absences from a portion of a class session (i.e., late arrivals or early departures) will also be factored into your participation grade. Excused absences will only be provided on a limited basis for illness (self or dependant), religious observations, participation in university activities at the request of university authorities, or compelling circumstance beyond the student’s control. Absences will only be excused with prior notice, in writing, except in case of emergency. For both excused and unexcused absences, students are still responsible for course work missed and turning in assignments on time.

The university has instituted a new attendance policy related to medically necessitated absences (available at <http://www.president.umd.edu/policies/docs/V-100G.pdf>). The general attendance policy is available at <http://www.testudo.umd.edu/soc/atedasse.html>.

Usage of electronic and multimedia devices (e.g., cell phones, iPods, laptops) is not permitted during class time, unless permission was obtained from the instructors.

### Course Evaluations

While we hope to create a learning environment in this course that allows students to provide timely feedback to instructors, there are more formal ways we will engage in evaluation as a class. One of these is the university’s campus-wide online course evaluation system, CourseEvalUM. Your participation in this system will make a real contribution to our academic program. We value this student feedback, and other students will benefit from having evaluation data for all courses readily available. CourseEvalUM will be open for students to complete their evaluations at the end of the semester and can go directly to the website ([www.courseevalum.umd.edu](http://www.courseevalum.umd.edu)) to do so. Students will be alerted via their official University e-mail account when the website is active for this semester. Students who complete evaluations for all of their courses in the previous semester (excluding summer), can access the posted results via Testudo's CourseEvalUM

Reporting link for any course on campus that has at least a 70% response rate. More information regarding this system is available at [www.irpa.umd.edu/Assessment/CourseEval/stdt\\_faq.shtml](http://www.irpa.umd.edu/Assessment/CourseEval/stdt_faq.shtml).

### Expectations of Instructors

Students can expect their instructors will arrive on time and be prepared for class, respond in a timely fashion to student work, and take students' interests and experiences into consideration when preparing for class. Instructors will be available to students outside the class period. Students are encouraged to make extensive use of instructors in and outside class sessions.

## **COURSE ASSIGNMENTS**

### **FIRST SEMESTER ASSIGNMENTS**

#### **Social Action Brief: (15 points)**

You will identify readings and resources that assist you with understanding and defining the term "social issue" and/or "social action". Create a 1-2 page executive briefing on how you conceptualize what constitutes social issue, social action, and a social action project. This executive brief ought to be clear, concise, and succinct. You will share your briefing with your classmates to identify similarities and differences in understanding and defining the term "social issue" and/or "social action".

#### **Individual Annotated Bibliography: (30 points)**

Create an annotated bibliography on a selected social issue. Research and review existing literature on your topic to gain a breadth and depth of understanding around the social issue you will address and investigate throughout this two-semester seminar. This annotated bibliography must include at least 5-8 scholarly readings. For each individual reading, you will provide a brief summary of the article, identify central points, and describe how the social issue or topic is addressed in your reading. You will also generate a list of campus and community organizations that engage in social change related to your topic. In your listing of organizations, you will want to describe and identify how the organization does or does not address your topic. Remember, your individual annotated bibliography is intended to help you explore your selected social issue in more breadth and depth. So, to achieve this outcome, you may choose to identify additional points of interest in your readings beyond what is recommended here.

#### **Identify Leadership Theories: (30 points)**

Using resources from past leadership courses and additional research on leadership theories or conceptual frameworks, identify leadership theories or conceptual frameworks that are specifically applicable to your group's social action project. The selected theories and conceptual frameworks will inform and guide your project. As a group, you will create a 4-5 page summary of selected theories or conceptual frameworks and identify how they are applicable to your social action project. This summary should convey (1) a clear description of the selected theories or frameworks; (2) examples of how the theory is used in other forms of practice, action or research; and (3) how will you use the selected theories as a guide to inform your project.

#### **Preliminary Plan: (30 points)**

Your group will create a 2 -3 page social action plan (single-spaced). This plan needs to address the following questions: (1) what is the social issue your group is addressing and why; (2) what leadership theory (or theories) will your group use to inform and guide your plan; (3) what do you hope to accomplish; (4) how will your group implement a plan; (5) how will you assess the effectiveness of the plan; and finally (6) what are the challenges and limitations of the overall plan. This plan must include a timeline that indicates when and what your group will be doing with the project throughout the year. This is not a traditional research paper – it should be in the format of a report/plan.

#### **Potential Partner Interviews: (20 points)**

After identifying a social issue and drafting a preliminary plan, your group will identify an organization or department who addresses an issue closely aligned with your group's issue. Each group member will interview individuals who work with the organization and ideally participate or volunteer with the organization's services in some way. The objective of this immersion experience is to explore how an existing organization addresses either the same or a similar social issue.

This will help your group enhance the preliminary social action plan. Be prepared to share reflections of this experience during class.

**Revised Plan: (15 points)**

Based on instructor and peer feedback and the immersion experience, revise your preliminary social action plan. This revised plan must demonstrate an integration of ongoing feedback and experiences that will improve and enhance your group's ability to implement your social action project.

**Journal Entries: (20 points)**

Throughout the courses, individually, you will maintain a journal and provide ongoing reflections on the process of leading and participating in the social action project. These journal entries must reflect your group's ongoing progress and challenges and successes of working with your group members and on the project itself. To provide structure, you may choose to follow the following format:

**What** did you do over the past few weeks to enact Social Action Plan? (this section should be relatively short, just enough so that we know what it is that you have done)

**So What?** What did you learn from those experiences? Are these activities helping you to achieve your goals? How does it relate to class discussions and/or readings? You do not receive a grade based on what you did, but rather for what you learned.

**Now What?** What is next in the implementation of your plan? What might you do in the future (both this semester and beyond) to further your global leadership development?

**SECOND SEMESTER ASSIGNMENTS**

**Digital Images Storyboard Outline: (25 points)**

As a group, you will develop a storyboard or outline for presenting your social action project. You will receive feedback about the structure, technology, and reflective learning components from others.

**Continue Journal Entries: (20 points)**

Throughout the courses, individually, you will maintain a journal and provide ongoing reflections on the process of leading and participating in the social action project. These journal entries must reflect your group's ongoing progress and challenges and successes of working with your group members and on the project itself. To provide structure, you may choose to follow the following format:

**What** did you do over the past few weeks to enact Social Action Plan? (this section should be relatively short, just enough so that we know what it is that you have done)

**So What?** What did you learn from those experiences? Are these activities helping you to achieve your goals? How does it relate to class discussions and/or readings? You do not receive a grade based on what you did, but rather for what you learned.

**Now What?** What is next in the implementation of your plan? What might you do in the future (both this semester and beyond) to further your global leadership development?

**Impact Interviews: (25 points)**

Each group member will interview and engage with people affected by your social action project. Individually, create a 2-3 page reflection paper on how your group's social action project is influencing and affecting others. This reflection should follow the format of a journal entry, but with more clarity and focus on what you learned from other people.

**Presentation on Project Update and Beginning of Digital Story : (30 points)**

Your group will create a presentation that provides updates on the overall social action project. Updates will include: (1) overview of accomplishments, (2) challenges thus far with the project, (3) applicability of selected leadership theories, (4) a summary of interviews and engagement with others on how the social action project influences them, (5) any proposed adjustments, and (6) review unfinished elements of the project. The presentation will also include the beginning work on the final digital story presentation.

### **Digital Story: (50 points)**

Your group will develop a short digital story that documents your social action project. This short film (5-7 minutes) will document your work over the past semester and year on your group's social action project. The film tells us the story of your group project, the importance of the social issue, and how leadership theories can inform a social action project.

### **Public Showcase**

The showcase is a chance to share your experiences with other Minor students, the campus community, and any community agencies with which your group worked for the social action project.

Specifics about this project will be discussed throughout the semester. Additional formal expectations and a grading rubric will be provided.

## **GRADING & ASSESSMENT**

**Format:** Written assignments should be submitted in person during class. Papers should be written double-spaced in 12pt Times New Roman font with one-inch margins unless noted otherwise (NOTE: MS Word does not automatically set 1-inch margins, so please check to be sure that your margins are correct).

**Citations:** Although much of the work you do for this class will be self-reflective in nature, at times you will find it necessary to consult our text book, readings, or other outside sources of information in completing an assignment. When you do so, it is essential that you properly quote, paraphrase, and give credit to the material that you have consulted. Although APA style is preferred for citations, you may also use MLA or Chicago style if you are more comfortable with one of those styles. Regardless of what style you use, you **MUST** use a recognized style and you **MUST** properly cite any material used that is not your own. Failure to do so may be considered a violation of the honor code. If you need assistance in properly citing sources, please visit the Writing Center for help.

**Due dates and late assignments:** Assignments turned in late will result in the loss of 10% of the total points for the assignment, plus an additional 10% for each subsequent 24-hour period after the due date time. **If you anticipate having trouble turning an assignment in on time, please make arrangements with your instructors in advance.** Computer and printing problems are **not** acceptable excuses for late papers.

### **Grading Criteria:**

All assignments will be graded with the following criteria:

#### **Content:**

The degree to which the student responds to all the specific items in the assignment. The degree to which a student indicates his or her recall and understanding of the material and concepts covered in the course.

#### **Introspection, Elaboration and Synthesis:**

The degree to which a student is insightful, thoughtful, innovative and self-aware in the application of course concepts to his or her individual experiences. The degree to which a student provides detail, depth and development in written work. Instructors will be looking for the student's ability to reason and provide rationales for conclusions, the extent of critical thinking, the development of examples and analogies, and the application of leadership concepts. The degree to which the student "brings it all together" and incorporates leadership theory in the creation of new insights, unique products and/or creative solutions.

#### **Form:**

The care and clarity with which a student completes papers and presentations. Written assignments should be of very high quality. Grammar, syntax, punctuation and structure of assignments should support and enhance the concepts that the student intends to convey. The organization, clarity and polish of the group presentation should do the same.

In addition to these graded assignments, you may also be given several non-graded assignments which will count towards your participation grade. These are provided to flesh out the material or to prepare you for a class discussion.

### **Fall Semester**

Social Action Brief	15 points
Individual Annotated Bibliography	30 points
Identify Leadership Theories	30 points
Preliminary Plan	30 points
Partner Interviews	20 points
Revised Plan	15 points
Participation Points	50 points
Journal Entries	20 points (2@ 10 points each)
<b>Total Points</b>	<b>210 points</b>

**Spring Semester**

Digital Images Story Board Outline	25 points
Journal Entries	20 points (2 @ 10 points each)
Impact Interviews	25 points
Plan Update	30 points
Digital Story	50 points
Participation	50 points
<b>Total Points</b>	<b>200 points</b>

97 – 100% = A+
94 – 96.99% = A
90 – 93.99% = A-
87 – 89.99 = B+
84 – 86.99% = B
80 – 83.99% = B-
77 – 79.99% = C+
74 – 76.99% = C
70 – 73.99% = C-
67 – 69.99% = D+
64 – 66.99% = D
60 – 63.99% = D-
59.99% and below = F

*Please note that this syllabus is subject to change at any time during this course. All students will be notified if any changes occur.*

**COURSE CALENDAR – SEMESTER ONE, meeting once a week for 2hours**

<b>Class</b>	<b>Topic</b>	<b>Readings/Assignments</b>
Week 1	Introductions Overview of Syllabus Introduction to Social Action	
Week 2	Review and Define Social Action/Change/Justice	<i>Leadership for Better World</i> , Chapter 1 <i>Leadership for Better World</i> , Chapter 12 Astin, H. S. (1996). Leadership for Social Change. <i>About Campus</i> , 1(3), 4-10.  DUE: Social Action Brief
Week 3	Explore Social Issues Get into Groups	<i>Johnson</i> , Chapter 9 <i>Reading for Diversity and Social Justice</i> , Chapter 3 & 4
Week 4	Identify Social Issues	Hackman, H. W. (2005). Five essential components for social justice education. <i>Equity &amp; Excellence in Education</i> , 38(2), 103-109.  Shields, C. M. (2004). Dialogic leadership for social justice: Overcoming pathologies of silence. <i>Educational Administration Quarterly</i> , 40(1), 109-132
Week 5	Review Leadership Theories, Part I	Avolio, B. J., Walumbwa, F. O., & Weber, T. J. (2009). Leadership: Current theories, research, and future directions. <i>Annual review of psychology</i> , 60, 421-449.  DUE: Individual Annotated Bibliography
Week 6	Review Leadership Theories , Part II	van Knippenberg, D., van Knippenberg, B., De Cremer, D., & Hogg, M. A. (2004). Leadership, self, and identity: A review and research agenda. <i>The Leadership Quarterly</i> , 15(6), 825-856.
Week 7	Social Action Constituents	King, B. (2008). A social movement perspective of stakeholder collective action and influence. <i>Business &amp; Society</i> , 47(1), 21-49.  DUE: Leadership Theories
Week 8	Social Action Influence (in surrounding communities)	DUE: Preliminary Plan
Week 9	Explore Social Change	<i>Leadership for a Better World</i> , Chapter 4 <i>The Heart of Change</i> , Chapter 1
Week 10	Present Preliminary Plan & Implementing Social Action	DUE: Journal #1
Week 11	Challenges and Limitations with Social Action	
Week 12	Report on Partner Interviews	DUE: Partner Interviews
Week 13	Assessing Social Action	<i>Leadership for the Common Good</i> , Chapter 11
Week 14	Present on Revised Plan	DUE: Journal #2 & Revisited Plan

**COURSE CALENDAR – SEMESTER TWO, meeting once every other week for 1 hour**

<b>Class</b>	<b>Topic</b>	<b>Readings/Assignments</b>
Session 1	Doing Social Action Project Address Digital Storyboarding	
Session 2	Types of Change & Maintaining Action (individual, community, institutional, cultural, and systemic)	<i>The Heart of Change</i> , Chapter 8 & Conclusion  DUE: Digital Storyboard
Session 3	Personal Narratives in Social Action	Nash, R. J. (2008). A personal reflection on educating for meaning. <i>About Campus</i> , 13(2), 17-24.  DUE: Journal #3
Session 4	Social Action – Reciprocity?	<i>The Dance of Change</i> , section VII  DUE: Impact Papers
Session 5	Presentations & Peer Feedback	DUE: Plan Updates Presentations
Session 6	Sustaining Social Action & Leaving a Legacy	DUE: Journal #4
Session 7	Wrap-Up	DUE: Digital Story
Date? Time?	Public Showcase	



**Department of Counseling, Higher  
Education, and Special Education  
College of Education**



**University Career Center and The  
President's Promise**

This course has been developed through the collaboration and partnership of the Department of Counseling, Higher Education, and Special Education within the College of Education, The Adele H. Stamp Student Union - Center for Campus Life, and the University Career Center and The President's Promise.

## Readings

- Adams, M., Hackman, H. W., Peters, M. L., & Zúñiga, X. (2000). *Readings for diversity and social justice*. W. J. Blumenfeld, & R. Castañeda (Eds.). New York, NY: Routledge.
- Astin, H. S. (1996). Leadership for Social Change. *About Campus*, 1(3), 4-10.
- Avolio, B. J., Walumbwa, F. O., & Weber, T. J. (2009). Leadership: Current theories, research, and future directions. *Annual review of psychology*, 60, 421-449.
- Bryson, J. M., & Crosby, B. C. (1992). *Leadership for the common good*. San Francisco, CA: Jossey-Bass.
- Hackman, H. W. (2005). Five essential components for social justice education. *Equity & Excellence in Education*, 38(2), 103-109.
- Johnson, A. G. (2006). *Privilege, power, and difference*. Boston, MA: McGraw-Hill.
- King, B. (2008). A social movement perspective of stakeholder collective action and influence. *Business & Society*, 47(1), 21-49.
- Komives, S. R., & Wagner, W. (2012). *Leadership for a better world: Understanding the social change model of leadership development*. Jossey-Bass.
- Kotter, J. P., & Cohen, D. S. (2002) *The Heart of change: Real-life stories of how people change their organizations*. Boston, MA: Harvard Business School Press.
- Nash, R. J. (2008). A personal reflection on educating for meaning. *About Campus*, 13(2), 17-24.
- Senge, P., Kleiner, A., Roberts, C., Ross, R., Roth, G., & Smith, B. (1999). *The Dance of change: The Challenge to sustaining momentum in learning organizations*. New York, NY: Doubleday.
- Shields, C. M. (2004). Dialogic leadership for social justice: Overcoming pathologies of silence. *Educational Administration Quarterly*, 40(1), 109-132
- van Knippenberg, D., van Knippenberg, B., De Cremer, D., & Hogg, M. A. (2004). Leadership, self, and identity: A review and research agenda. *The Leadership Quarterly*, 15(6), 825-856.

## **ADDENDUM B: ELECTIVE COURSES**

Students must choose two 3-credit courses; at least one of the courses must be at the 300 level or higher, from an approved list of electives.

### *Pre-Approved Elective Courses*

African-American Studies Department (AASD), Asian American Studies (AAS), College Park Scholars Program (CPSP), East Asian Studies, Latin American Studies (LASC), Lesbian, Gay, Bisexual, and Transgender Studies Program (LGBT), Women's Studies (WMST).

### **EDCP courses**

Courses in education and counseling expose students to theories of influence, attribution, individual and collective efficacy, interaction and social learning theories, all which shape student leadership development.

EDCP 220 - Introduction to Human Diversity in Social Institutions

EDCP 310 - Peer Counseling Theory and Skills

EDCP312 - Multi Ethnic Peer Counseling

EDCP318 - Applied Contextual Leadership

EDCP 386 - Experiential Learning\*\*

EDCP418 - Special Topics in Leadership

EDCP 420 - Advanced Topics in Human Diversity and Advocacy

EDCP 470 - Introduction to Student Personnel

EDCP 489 - Field Experiences in Counseling and Personnel Services\*\*

EDCP 498 - Special Problems in Counseling and Personnel Services

### **\*\*subject for approval**

### **Agriculture & Natural Resources**

Colleges of agriculture/extension have long been a home for youth leadership education. Courses focus on developing leadership in youth and contemporary issues in leadership.

AGNR 323 - Developing Youth Leadership Programs

### **Behavioral and Social Sciences**

Courses from the behavioral and social sciences focus on the processes of leadership - the behaviors, skills, and styles that are useful in accomplishing tasks and developing people.

\*BSOS 301 - Leadership in a Multicultural Society

### **Business and Management**

The functions of leadership and management are overlapping - both processes involve

influencing a group of individuals toward goal attainment. Courses such as entrepreneurship address the role of vision and change in leadership processes.

\*BMGT 361 - Entrepreneurship

\*BMGT 364 - Management and Organization Theory

### **Communication**

Leadership is often referred to as a special form of communication that modifies the attitudes and behaviors of others in order to meet shared group goals and needs (Hackman & Johnson, 2004). By studying intrapersonal and organizational communication, students learn to analyze processes of influence essential to leadership.

COMM 330 - Argument and Public Policy

COMM 420 - Theories of Group Discussion

COMM 424 - Communication in Complex Organizations

COMM 461 - Voices of Public Leadership in the Twentieth Century

COMM 469 - The Discourse of Social Movements

### **Higher Education, Student Affairs, and International Education**

EDHI 338 Teaching and Learning about Cultural Diversity through Intergroup Dialogue (Note: This is usually a 1-credit course. If you take this course as an elective for the Minor you will still need at least 2 additional credits at the 300/400 level to fulfill one elective course.)

### **Gemstone**

\*GEMS 208 - Special Topics in Leadership and Team Development

### **Journalism**

The investigation of ethics is critical when focusing on leadership. Issues such as the moral development of individuals, the influence of role models, values-driven leadership, and creating ethical organizations all must be addressed. Examining the application of ethics in a particular discipline, field, or context is essential to answering the question of "leadership for what purpose?"

\*JOUR300 - Journalism Ethics

### **Psychology**

The study of psychology and psychodynamics sheds insight into individual motives for leadership as well as how leadership occurs in groups and organizations. The pathology of leadership has also been examined.

PSYCH221 - Social Psychology

PSYC334 - Psychology of Interpersonal Relationships

PSYC361 - Survey of Industrial and Organizational Psychology

**Public Policy**

Courses in public policy address political theories of leadership, conflict and coalition-building, and systems of governance.

\*PUAF 201 - Leadership for the Common Good

\*PUAF 202 - Contemporary Issues in Leadership and Public Policy

PUAF 359C - Contemporary Issues in Political Leadership and Participation: Advocacy in the American Political System

PUAF 359R - Contemporary Issues in Political Leadership and Participation: African American Leadership

PUAF 359W - Contemporary Issues in Political Leadership and Participation: Women in Leadership

**Women's Studies**

WMST 250 - Introduction to Women's Studies



[VPAC Main Page](#)

### **Add Course Proposal Data Entry Form**

Required fields are marked by an asterisk. **Please be sure to complete all required information to avoid a delay in processing. New courses must be accompanied by a syllabus.**

Testudo and the Student Information System (SIS) are both good sources for information on existing courses. In particular, the following SIS screens may be helpful: Approved Course (APCRS); Approved Course Notes (APNOTES); Course (CRS).

**Action:** *Add Course* General Course Information

- (\* ) College: **College of Education**
- (\* ) Department: **Counseling, Higher Education, and Special Education**
- (\* ) Course Prefix and Number: **EDCP 320**
- (\* ) Proposed Effective Term: **FALL 2013**
- (\* ) Course Title: **Social Action Seminar**
- (\* ) Transcript Title: **Social Action Seminar**

### **Credit Information**

- (\* ) Credits: Minimum Credits: **2** Maximum Credits: **2**
- (\* ) Repeatable to a maximum of 0 hours if content differs.

### **ATTENTION:**

Repeatable courses must use a course number that ends in "8" or "9", e.g., FMST 498. Please consider the appearance of a student's transcript upon graduation when setting the repeatable credit maximum.

(\* ) Hour commitment per week:

Please see Course Policies page for more information on "contact hours" requirements.

Lecture: Internship: Discussion: Laboratory: Seminar: **2 hours**

**AP and CORE**

(\* Can Advanced Placement (AP) or International Baccalaurate (IB) be attributed to this course?

Please see the [CORE website](#) for information on CORE approval. Proposal forms may be obtained through the Faculty Affairs section of [ARES](#).

Yes  No

(\* Has this course been approved to fulfill a CORE distributive requirement?

Yes  No

**PCC**

(\* Will this change affect the requirements of an academic degree program?

Contact Academic Planning & Programs for more information 301-405-5626

Yes  No

If so, has a PCC proposal been submitted?

Yes  No

**Specific Course Information**

(\* Grading Method:

Please see Course Policies page for more information

**Regular/Audit (R/A)**

Prerequisite(s):

Please use specific course numbers if possible

**EDCP 217**

Corequisite(s):

Recommended course(s): N/A

Restrictions:

For example: "For BIOE majors only," "Junior standing" or "Not open to students who have completed MATH 220"

**Limited to Minor in Leadership Studies students only**

Formerly: N/A

Crosslisted with: N/A

Shared with: N/A

Credit will be given for only one of the following courses: N/A

Will this course be offered at another location or through an alternate delivery method? If so, please describe briefly in the comments section.

For example: offered at Shady Grove, online, or in an accelerated format (excepting standard Winter and Summer formats)

Yes  No

### **Description and Comments**

(\* Catalog description:

Keep descriptions short and do not begin with "This course will..." Do not include pre/co-requisite information or title. Sample description (for HIST 344: Revolutionary Russia): An exploration of the roots, dynamics, and consequences of the Russian Revolution of 1917. Major interpretations of the fall of tsarism, social and political forces at play, Leninism and Stalinism.

**The purpose of these courses is to use leadership theories to inform the practice of addressing social issues in society, on campus, or within the surrounding community. Throughout this course provide students will (1) identify a current and compelling social issue; (2) explore the historical, social, and political aspects of social issues; (3) identify and select applicable leadership theories to confront the social issue; (4) create and develop a plan that integrates leadership theories and the social issue; and (5) implement and evaluate the overall social action project.**

Reason for proposal/comments:

**This proposal is to add Social Action Seminar as a required course in the Minor in Leadership Studies curriculum.**

Learning outcomes

Outcomes Statement:

A statement of the learning outcomes and related objectives for the course, including the kinds of skills and/or knowledge the students are to take away from the course.

**The learning outcomes for this course include developing and fostering a practice for bridging leadership theories and models into action in the context of social issues. Students will explore and identify social issues and create a social action plan to select social issues.**

Through active participation in this class, students will:

- Develop an understanding of what is social action and the relationship between social action and leadership
- Explore the relevance of addressing social issues, problems, and topics
- Foster a sustained commitment towards a social issue that can lead into enhanced awareness around other causes
- Identify and apply leadership theories that can inform and guide the experience of addressing a social issue
- Develop and identify challenges in integrating theory into practice
- Acquire program evaluation and assessment skills through evaluating the limitations and successes of the project
- Gain an understanding around the differences and similarities with leading, participating, and evaluating a long-term project
- Clarify one's leadership self-efficacy, values, and ability to work collaboratively in groups and teams
- Identify and reaffirm a leadership philosophy and lifelong commitment towards leadership

#### Assessment

##### Assessment Policy:

How will student grades be determined? Assessment policies (including the policy on religious observance) should be explicitly stated, including the attendance policy, if applicable, and the final examination plans for the course.

**Evaluation and assessment of students' work in the course will utilize the following criteria: ability to incorporate individual ideas; soundness of arguments and use of evidence (i.e., theories, literature, examples, and empirical research) to justify claims; and writing style (i.e., organization, coherence, transitions, clarity, engagingness, use of headers, logical flow, word choice, free from grammatical and spelling errors).**

**In accordance with University's policy on attendance, students are required to provide appropriate documentation for illness (of the student or dependent), religious observance, participation in University activities at the request of University authority, and compelling circumstances beyond the students' control. Documentation should align with the date(s) of the absences. Absences without appropriate documentation will affect students' participation grade for the course since a significant part of the course relies on in-class participation. Additionally, students must attempt to notify the instructor as soon as possible that they will be absent from class with a rationale and plans to show the instructor documentation.**

#### Texts/Resources Materials

##### Provide Examples:

Examples of text, readings, or other resource materials that will be used. (It is understood that the specific texts are subject to change. Examples should, however, provide a representative sample.)

- Adams, M., Hackman, H. W., Peters, M. L., & Zúñiga, X. (2000). *Readings for diversity and social justice*. W. J. Blumenfeld, & R. Castañeda (Eds.). New York, NY: Routledge.
- Astin, H. S. (1996). Leadership for Social Change. *About Campus*, 1(3), 4-10.
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- Bryson, J. M., & Crosby, B. C. (1992). *Leadership for the common good*. San Francisco, CA: Jossey-Bass.
- Hackman, H. W. (2005). Five essential components for social justice education. *Equity & Excellence in Education*, 38(2), 103-109.
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- Nash, R. J. (2008). A personal reflection on educating for meaning. *About Campus*, 13(2), 17-24.
- Senge, P., Kleiner, A., Roberts, C., Ross, R., Roth, G., & Smith, B. (1999). *The Dance of change: The Challenge to sustaining momentum in learning organizations*. New York, NY: Doubleday.
- Shields, C. M. (2004). Dialogic leadership for social justice: Overcoming pathologies of silence. *Educational Administration Quarterly*, 40(1), 109-132
- van Knippenberg, D., van Knippenberg, B., De Cremer, D., & Hogg, M. A. (2004). Leadership, self, and identity: A review and research agenda. *The Leadership Quarterly*, 15(6), 825-856.

#### Course Pedagogy and Format

##### Provide Overview:

An overview of the course structure, format, and pedagogies. For example, would the course involve lecture; discussion; laboratories; student presentations; written examinations; oral examinations; papers; homework assignments; or use of the Internet or other IT resources for research, chat rooms, or listservs. A week-by-week schedule would be appropriate.

**The premise of this course is to understand and learn about the use of leadership theories and models in promoting and addressing social issues. Knowledge for this course is a joint venture between the instructor and students. The plan for the course is divided into multiple parts. One part is to review and select a leadership theory or model that is applicable to addressing a social issue. Another part is to define and identify relevant social issues where students can use their knowledge of leadership theories and models as a conceptual roadmap and framework for taking action. A third part of the seminar will be to draft a social change plan of action.**

**For assignments in the course, students will complete written reflections and papers, and develop in-class presentations.**

**Week 1: Introductions, Overview of Syllabus, Introduction to Social Action**

**Week 2: Review and Define Social Action/Change/Justice**

**Week 3: Explore Social Issues, Get into Groups**

**Week 4: Identify Social Issues**

**Week 5: Review Leadership Theories, part I**

**Week 6: Review Leadership Theories, part II**

**Week 7: Social Action Constitutents**

**Week 8: Social Action Influence**

**Week 9: Explore Social Change**

**Week 10: Present Preliminary Plan & Implementing Social Action**

**Week 11: Challenges and Limitations with Social Action**

**Week 12: Report on Partner Interviews**

**Week 13: Assessing Social Action**

**Week 14: Present Revised Plan**

Other Policies:

The University of Maryland has a range of policies pertaining to academic courses. It is the responsibility of the academic Unit offering a course to ensure that these policies are followed. Please check off the boxes below to indicate that the unit understands and will enforce the relevant policies:

Early Warning Grades? X

Procedures for inclement weather? X

Academic Integrity, including the Honor Pledge X

Accommodations for students with disabilities X



[VPAC Main Page](#)

### **Add Course Proposal Data Entry Form**

Required fields are marked by an asterisk. **Please be sure to complete all required information to avoid a delay in processing. New courses must be accompanied by a syllabus.**

Testudo and the Student Information System (SIS) are both good sources for information on existing courses. In particular, the following SIS screens may be helpful: Approved Course (APCRS); Approved Course Notes (APNOTES); Course (CRS).

**Action:** *Add Course* General Course Information

- (\* ) College: **College of Education**
- (\* ) Department: **Counseling, Higher Education, and Special Education**
- (\* ) Course Prefix and Number: **EDCP 321**
- (\* ) Proposed Effective Term: **FALL 2013**
- (\* ) Course Title: **Advanced Social Action Seminar**
- (\* ) Transcript Title: **Adv. Social Action Seminar**

### **Credit Information**

- (\* ) Credits: Minimum Credits: **1** Maximum Credits: **1**
- (\* ) Repeatable to a maximum of **0** hours if content differs.

### **ATTENTION:**

Repeatable courses must use a course number that ends in "8" or "9", e.g., FMST 498. Please consider the appearance of a student's transcript upon graduation when setting the repeatable credit maximum.

(\* ) Hour commitment per week:

Please see Course Policies page for more information on "contact hours" requirements.

Lecture: Internship: Discussion: Laboratory: Seminar: **1 hours**

**AP and CORE**

(\* Can Advanced Placement (AP) or International Baccalaurate (IB) be attributed to this course?

Please see the CORE website for information on CORE approval. Proposal forms may be obtained through the Faculty Affairs section of ARES.

Yes  No

(\* Has this course been approved to fulfill a CORE distributive requirement?

Yes  No

**PCC**

(\* Will this change affect the requirements of an academic degree program?

Contact Academic Planning & Programs for more information 301-405-5626

Yes  No

If so, has a PCC proposal been submitted?

Yes  No

**Specific Course Information**

(\* Grading Method:

Please see Course Policies page for more information

**Regular/Audit (R/A)**

Prerequisite(s):

Please use specific course numbers if possible

**EDCP 217 and EDCP XXX**

Corequisite(s):

Recommended course(s): N/A

Restrictions:

For example: "For BIOE majors only," "Junior standing" or "Not open to students who have completed MATH 220"

**Limited to Minor in Leadership Studies students only**

Formerly: N/A

Crosslisted with: N/A

Shared with: N/A

Credit will be given for only one of the following courses: N/A

Will this course be offered at another location or through an alternate delivery method? If so, please describe briefly in the comments section.

For example: offered at Shady Grove, online, or in an accelerated format (excepting standard Winter and Summer formats)

Yes  No

### **Description and Comments**

(\*) Catalog description:

Keep descriptions short and do not begin with "This course will..." Do not include pre/co-requisite information or title. Sample description (for HIST 344: Revolutionary Russia): An exploration of the roots, dynamics, and consequences of the Russian Revolution of 1917. Major interpretations of the fall of tsarism, social and political forces at play, Leninism and Stalinism.

**The purpose of these courses is to use leadership theories to inform the practice of addressing social issues in society, on campus, or within the surrounding community. Throughout this course provide students will (1) identify a current and compelling social issue; (2) explore the historical, social, and political aspects of social issues; (3) identify and select applicable leadership theories to confront the social issue; (4) create and develop a plan that integrates leadership theories and the social issue; and (5) implement and evaluate the overall social action project. This advanced seminar course mainly focuses on executing, implementing, and assessing a social action project in small groups and teams.**

Reason for proposal/comments:

**This proposal is to add Advanced Social Action Seminar as a required course in the Minor in Leadership Studies curriculum.**

Learning outcomes

Outcomes Statement:

A statement of the learning outcomes and related objectives for the course, including the kinds of skills and/or knowledge the students are to take away from the course.

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- Develop and identify challenges in integrating theory into practice
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#### Texts/Resources Materials

##### Provide Examples:

Examples of text, readings, or other resource materials that will be used. (It is understood that the specific texts are subject to change. Examples should, however, provide a representative sample.)

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- Nash, R. J. (2008). A personal reflection on educating for meaning. *About Campus*, 13(2), 17-24.
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- Shields, C. M. (2004). Dialogic leadership for social justice: Overcoming pathologies of silence. *Educational Administration Quarterly*, 40(1), 109-132
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**The premise of this course is to understand and learn about the use of leadership theories and models in promoting and addressing social issues. Knowledge for this course is a joint venture between the instructor and students. The plan for the course is divided into multiple parts. The first part is executing and implementing a social action plan in small groups and teams. The second part is to evaluate their social action project. The third part is to develop a digital story to present and speak about their overall social action experiences.**

**For assignments in the course, students will complete written reflections and papers, and develop in-class presentations.**

**Session 1: Doing Social Action Projecti and Address Digital Storyboarding**

**Session 2: Types of Change and Maintaining Action**

**Session 3: Personal Narratives in Social Action**

**Session 4: Social Action – Reciprocity**

**Session 5: Presentations and Peer Feedback**

**Session 6: Sustaining Social Action and Leaving a Legacy**

**Session 7: Wrap Up**

Other Policies:

The University of Maryland has a range of policies pertaining to academic courses. It is the responsibility of the academic Unit offering a course to ensure that these policies are followed. Please check off the boxes below to indicate that the unit understands and will enforce the relevant policies:

Early Warning Grades? X

Procedures for inclement weather? X

Academic Integrity, including the Honor Pledge X

Accommodations for students with disabilities X

**EDCP 320: Social Action Seminar  
and EDCP 321 Advanced Social Action Seminar**

**COURSE OVERVIEW**

**Course Description**

The purpose of these courses is to use leadership theories to inform the practice of addressing social issues in society, on campus, or within the surrounding community. Through this course, students will (1) identify a current and compelling social issue; (2) explore the historical, social, and political aspects of social issues; (3) identify and select applicable leadership theories to confront the social issue; (4) create and develop a plan that integrates leadership theories and the social issue; and (5) implement and evaluate the overall social action project. Students will begin their investigation of social issues by reviewing theories and models of leadership that promote social action and change. Using models of social change, students will work collaboratively in small teams to navigate the process of putting theory into action. Students will spend a significant amount of time outside-of-class investigating their selected social issue, developing a social action plan, implementing their plan, and assessing their overall project.

This course spans two semesters with students registering for two academic credits in the first semester and one academic credit in the second semester. During the first semester, students will explore, identify, and plan their social action project through a series of readings and assignments. With the development of a social action plan, over the course of the second semester, students will continue to work collaboratively to implement their plans. The two-semester sequence provides students the time and opportunity to both craft and implement their understanding of leadership and leadership theories in the context of a social issue.

**Course Instructor (Office Hours by Appointment)**

Daniel Ostick, Ph.D.

Coordinator for Leadership Curriculum Development and Academic Partnerships

Adele H. Stamp Student Union-Center for Campus Life

0110 Stamp Student Union

301-314-1347 (office)

[dostick@umd.edu](mailto:dostick@umd.edu)

**Course Materials** (instructors will supply students with all required text):

Additional readings will be available via Canvas ([umd.instructure.com](http://umd.instructure.com))

**Course Learning Objectives**

Through active participation in this class, students will:

- Develop an understanding of social action and the relationship between social action and leadership
- Explore the relevance of addressing social issues, problems, and topics
- Foster a sustained commitment towards a social issue that can lead to enhanced awareness around other causes
- Identify and apply leadership theories that can inform and guide the experience of addressing a social issue
- Develop and identify challenges in integrating theory into practice
- Acquire program evaluation and assessment skills through evaluating the limitations and successes of the project

- Gain an understanding around the differences and similarities with leading, participating, and evaluating a long-term project
- Clarify one's leadership self-efficacy, values, and ability to work collaboratively in groups and teams
- Identify and reaffirm a leadership philosophy and lifelong commitment towards leadership

## **COURSE POLICIES & PROCEDURES**

### Class Seminar

Our learning community will engage in active learning. We will work together to raise the collective level of meaning of the class content. We will all have the responsibility to advance our understanding of the material in its application to your internships and the world. The class will be based on case study methodology, peer-to-peer knowledge dissemination, teamwork, lectures, and group discussions.

### Code of Academic Integrity:

Students will conduct themselves with the highest standards of academic integrity. The UMCP Code of Academic Integrity defines academic dishonesty as "cheating," "plagiarism," "fabrication," or "facilitating academic dishonest." Academic dishonesty is a serious offense, which will not be tolerated in this class and may result in suspension or expulsion from the University. For more information, see p.43-46 of the University Catalogue; contact the Office of Student Judicial Programs and Student Ethical Development at 301-314-8204; or visit their website at [www.inform.umd.edu/jpo/code\\_acinteg.html](http://www.inform.umd.edu/jpo/code_acinteg.html). Students are asked to submit the following honor pledge on all papers, assignments, and tests:

**I pledge on my honor that I have not given or received any unauthorized assistance on any assignment or examination. – Sign your name**

### Religious Observations:

Because we are a diverse community and enroll students with many spiritual beliefs, we will be sensitive to students' requests for excused absences and make-up requests due to reasons of religious observances. Be mindful that it is the student's responsibility to inform instructors of any intended absences for religious observances in advance. Notice should be provided as soon as possible.

### Course Cancellations/Delays:

Please check with 301-405-SNOW or the university website ([www.umd.edu](http://www.umd.edu)) for any cancellations or delays due to inclement weather or emergencies. You may also sign up for the free university text messaging system, UMD Alerts, and receive text messages with alerts such as cancellations or delays. ([www.alert.umd.edu](http://www.alert.umd.edu)). This course will comply with any university cancellations or delays accordingly.

### Students with Disabilities:

Students with disabilities are encouraged to contact the instructors so reasonable accommodations can be made to assist learning and evaluation in the class. In addition, students should contact the Office of Disability Support Services (DSS) to document their disability and identify appropriate accommodations. DSS (301-314-7682) provides a variety of services to students with disabilities; staff are available to consult with students at any time. ([www.counseling.umd.edu/DSS](http://www.counseling.umd.edu/DSS)). It is the student's responsibility to notify the instructor at the beginning of the semester of any documented disabilities.

### Students in Need of Assistance:

The University of Maryland offers a variety of services for students in need of either educational or psychological assistance. **Learning Assistance Services (LAS)** offers services and programs on writing skills, English as a second language, study and time management skills, math skills, and issues for

students over 25 years of age. They also offer a range of handouts, available on-line. If you need other educational services or support, please contact your instructor for additional resources.

If you are experiencing personal stress that is interfering with your ability to succeed, please consider contacting the **Counseling Center** or the **Mental Health Service at the University Health Center** for an appointment. The Counseling Center also offers on-line resources on a series of topics.

Learning Assistance Services (LAS)  
2201 Shoemaker Hall  
Email – [LAS-CC@umd.edu](mailto:LAS-CC@umd.edu)  
Phone – 301-314-7693  
Website – [www.counseling.umd.edu/LAS](http://www.counseling.umd.edu/LAS)

Counseling Center  
Shoemaker Hall  
Phone – 301-314-7651  
Website – [www.counseling.umd.edu](http://www.counseling.umd.edu)

University Health Center, Mental Health Service  
2<sup>nd</sup> Floor, University Health Center (across from The Stamp Student Union)  
Phone – 301-314-8106  
Website - [www.health.umd.edu/services/mentalhealth.html](http://www.health.umd.edu/services/mentalhealth.html)

#### Participation and Attendance:

Your participation grade is based on several factors:

11. Attendance – your attendance is vital to your class participation grade. If you are more than ten minutes late for a class period, your attendance for that class will not count. Attendance is approximately half of your class participation grade and will suffer as a result of unexcused absences or tardiness.
12. Reading – in order to participate fully in class, all assigned readings must be completed. Failure to complete the readings will be obvious during class discussions and will cause your class participation grade to suffer.
13. Raising and answering questions
14. Sharing ideas, observations, and personal experiences
15. Relating and synthesizing ideas of others
16. Pointing out relationships to earlier discussions
17. Helping others develop their views and ideas
18. Successfully completing non-graded assignments for class.
19. Meeting one on one with your instructor(s) during the semester.
20. Working collaboratively with others in your social action project teams.

You are not expected to have all the “right” answers in every class, nor should you dominate every in-class discussion. You are, however, required to be prepared and contribute regularly to our class discussion. The quality of the discussion in class will depend on how well prepared you are, and how willing you are to share the results of your preparation with the class. Thus, your participation can be based on contributions to in-class discussions, sharing your ideas and work experiences, asking questions of the instructors and other students, and directing the instructors and class to new and relevant material.

Attendance at all class sessions is expected. Unexcused absences from class sessions will impact your participation grade. Absences from a portion of a class session (i.e., late arrivals or early departures) will also be factored into your participation grade. Excused absences will only be provided on a limited basis for illness (self or dependant), religious observations, participation in university activities at the request of university authorities, or compelling circumstance beyond the student’s control. Absences will only be excused with prior notice, in writing, except in case of emergency. For both excused and unexcused absences, students are still responsible for course work missed and turning in assignments on time.

The university has instituted a new attendance policy related to medically necessitated absences (available at <http://www.president.umd.edu/policies/docs/V-100G.pdf>). The general attendance policy is available at <http://www.testudo.umd.edu/soc/atedasse.html>.

Usage of electronic and multimedia devices (e.g., cell phones, iPods, laptops) is not permitted during class time, unless permission was obtained from the instructors.

### Course Evaluations

While we hope to create a learning environment in this course that allows students to provide timely feedback to instructors, there are more formal ways we will engage in evaluation as a class. One of these is the university's campus-wide online course evaluation system, CourseEvalUM. Your participation in this system will make a real contribution to our academic program. We value this student feedback, and other students will benefit from having evaluation data for all courses readily available. CourseEvalUM will be open for students to complete their evaluations at the end of the semester and can go directly to the website ([www.courseevalum.umd.edu](http://www.courseevalum.umd.edu)) to do so. Students will be alerted via their official University e-mail account when the website is active for this semester. Students who complete evaluations for all of their courses in the previous semester (excluding summer), can access the posted results via Testudo's CourseEvalUM Reporting link for any course on campus that has at least a 70% response rate. More information regarding this system is available at [www.irpa.umd.edu/Assessment/CourseEval/stdt\\_faq.shtml](http://www.irpa.umd.edu/Assessment/CourseEval/stdt_faq.shtml).

### Expectations of Instructors

Students can expect their instructors will arrive on time and be prepared for class, respond in a timely fashion to student work, and take students' interests and experiences into consideration when preparing for class. Instructors will be available to students outside the class period. Students are encouraged to make extensive use of instructors in and outside class sessions.

## **COURSE ASSIGNMENTS**

### **FIRST SEMESTER ASSIGNMENTS**

#### **Social Action Brief: (15 points)**

You will identify readings and resources that assist you with understanding and defining the term "social issue" and/or "social action". Create a 1-2 page executive briefing on how you conceptualize what constitutes social issue, social action, and a social action project. This executive brief ought to be clear, concise, and succinct. You will share your briefing with your classmates to identify similarities and differences in understanding and defining the term "social issue" and/or "social action".

#### **Individual Annotated Bibliography: (30 points)**

Create an annotated bibliography on a selected social issue. Research and review existing literature on your topic to gain a breadth and depth of understanding around the social issue you will address and investigate throughout this two-semester seminar. This annotated bibliography must include at least 5-8 scholarly readings. For each individual reading, you will provide a brief summary of the article, identify central points, and describe how the social issue or topic is addressed in your reading. You will also generate a list of campus and community organizations that engage in social change related to your topic. In your listing of organizations, you will want to describe and identify how the organization does or does not address your topic. Remember, your individual annotated bibliography is intended to help you explore

your selected social issue in more breadth and depth. So, to achieve this outcome, you may choose to identify additional points of interest in your readings beyond what is recommended here.

**Identify Leadership Theories: (30 points)**

Using resources from past leadership courses and additional research on leadership theories or conceptual frameworks, identify leadership theories or conceptual frameworks that are specifically applicable to your group's social action project. The selected theories and conceptual frameworks will inform and guide your project. As a group, you will create a 4-5 page summary of selected theories or conceptual frameworks and identify how they are applicable to your social action project. This summary should convey (1) a clear description of the selected theories or frameworks; (2) examples of how the theory is used in other forms of practice, action or research; and (3) how will you use the selected theories as a guide to inform your project.

**Preliminary Plan: (30 points)**

Your group will create a 2 -3 page social action plan (single-spaced). This plan needs to address the following questions: (1) what is the social issue your group is addressing and why; (2) what leadership theory (or theories) will your group use to inform and guide your plan; (3) what do you hope to accomplish; (4) how will your group implement a plan; (5) how will you assess the effectiveness of the plan; and finally (6) what are the challenges and limitations of the overall plan. This plan must include a timeline that indicates when and what your group will be doing with the project throughout the year. This is not a traditional research paper – it should be in the format of a report/plan.

**Potential Partner Interviews: (20 points)**

After identifying a social issue and drafting a preliminary plan, your group will identify an organization or department who addresses an issue closely aligned with your group's issue. Each group member will interview individuals who work with the organization and ideally participate or volunteer with the organization's services in some way. The objective of this immersion experience is to explore how an existing organization addresses either the same or a similar social issue. This will help your group enhance the preliminary social action plan. Be prepared to share reflections of this experience during class.

**Revised Plan: (15 points)**

Based on instructor and peer feedback and the immersion experience, revise your preliminary social action plan. This revised plan must demonstrate an integration of ongoing feedback and experiences that will improve and enhance your group's ability to implement your social action project.

**Journal Entries: (20 points)**

Throughout the courses, individually, you will maintain a journal and provide ongoing reflections on the process of leading and participating in the social action project. These journal entries must reflect your group's ongoing progress and challenges and successes of working with your group members and on the project itself. To provide structure, you may choose to follow the following format:

**What** did you do over the past few weeks to enact Social Action Plan? (this section should be relatively short, just enough so that we know what it is that you have done)

**So What?** What did you learn from those experiences? Are these activities helping you to achieve your goals? How does it relate to class discussions and/or readings? You do not receive a grade based on what you did, but rather for what you learned.

**Now What?** What is next in the implementation of your plan? What might you do in the future (both this semester and beyond) to further your global leadership development?

## **SECOND SEMESTER ASSIGNMENTS**

### **Digital Images Storyboard Outline: (25 points)**

As a group, you will develop a storyboard or outline for presenting your social action project. You will receive feedback about the structure, technology, and reflective learning components from others.

### **Continue Journal Entries: (20 points)**

Throughout the courses, individually, you will maintain a journal and provide ongoing reflections on the process of leading and participating in the social action project. These journal entries must reflect your group's ongoing progress and challenges and successes of working with your group members and on the project itself. To provide structure, you may choose to follow the following format:

**What** did you do over the past few weeks to enact Social Action Plan? (this section should be relatively short, just enough so that we know what it is that you have done)

**So What?** What did you learn from those experiences? Are these activities helping you to achieve your goals? How does it relate to class discussions and/or readings? You do not receive a grade based on what you did, but rather for what you learned.

**Now What?** What is next in the implementation of your plan? What might you do in the future (both this semester and beyond) to further your global leadership development?

### **Impact Interviews: (25 points)**

Each group member will interview and engage with people affected by your social action project. Individually, create a 2-3 page reflection paper on how your group's social action project is influencing and affecting others. This reflection should follow the format of a journal entry, but with more clarity and focus on what you learned from other people.

### **Presentation on Project Update and Beginning of Digital Story : (30 points)**

Your group will create a presentation that provides updates on the overall social action project. Updates will include: (1) overview of accomplishments, (2) challenges thus far with the project, (3) applicability of selected leadership theories, (4) a summary of interviews and engagement with others on how the social action project influences them, (5) any proposed adjustments, and (6) review unfinished elements of the project. The presentation will also include the beginning work on the final digital story presentation.

### **Digital Story: (50 points)**

Your group will develop a short digital story that documents your social action project. This short film (5-7 minutes) will document your work over the past semester and year on your group's social action project. The film tells us the story of your group project, the importance of the social issue, and how leadership theories can inform a social action project.

### **Public Showcase**

The showcase is a chance to share your experiences with other Minor students, the campus community, and any community agencies with which your group worked for the social action project.

Specifics about this project will be discussed throughout the semester. Additional formal expectations and a grading rubric will be provided.

## GRADING & ASSESSMENT

**Format:** Written assignments should be submitted in person during class. Papers should be written double-spaced in 12pt Times New Roman font with one-inch margins unless noted otherwise (NOTE: MS Word does not automatically set 1-inch margins, so please check to be sure that your margins are correct).

**Citations:** Although much of the work you do for this class will be self-reflective in nature, at times you will find it necessary to consult our text book, readings, or other outside sources of information in completing an assignment. When you do so, it is essential that you properly quote, paraphrase, and give credit to the material that you have consulted. Although APA style is preferred for citations, you may also use MLA or Chicago style if you are more comfortable with one of those styles. Regardless of what style you use, you **MUST** use a recognized style and you **MUST** properly cite any material used that is not your own. Failure to do so may be considered a violation of the honor code. If you need assistance in properly citing sources, please visit the Writing Center for help.

**Due dates and late assignments:** Assignments turned in late will result in the loss of 10% of the total points for the assignment, plus an additional 10% for each subsequent 24-hour period after the due date time. **If you anticipate having trouble turning an assignment in on time, please make arrangements with your instructors in advance.** Computer and printing problems are **not** acceptable excuses for late papers.

### Grading Criteria:

All assignments will be graded with the following criteria:

#### **Content:**

The degree to which the student responds to all the specific items in the assignment. The degree to which a student indicates his or her recall and understanding of the material and concepts covered in the course.

#### **Introspection, Elaboration and Synthesis:**

The degree to which a student is insightful, thoughtful, innovative and self-aware in the application of course concepts to his or her individual experiences. The degree to which a student provides detail, depth and development in written work. Instructors will be looking for the student's ability to reason and provide rationales for conclusions, the extent of critical thinking, the development of examples and analogies, and the application of leadership concepts. The degree to which the student "brings it all together" and incorporates leadership theory in the creation of new insights, unique products and/or creative solutions.

#### **Form:**

The care and clarity with which a student completes papers and presentations. Written assignments should be of very high quality. Grammar, syntax, punctuation and structure of assignments should support and enhance the concepts that the student intends to convey. The organization, clarity and polish of the group presentation should do the same.

In addition to these graded assignments, you may also be given several non-graded assignments which will count towards your participation grade. These are provided to flesh out the material or to prepare you for a class discussion.

**Fall Semester**

Social Action Brief	15 points
Individual Annotated Bibliography	30 points
Identify Leadership Theories	30 points
Preliminary Plan	30 points
Partner Interviews	20 points
Revised Plan	15 points
Participation Points	50 points
Journal Entries	20 points (2@ 10 points each)
<b>Total Points</b>	<b>210 points</b>

**Spring Semester**

Digital Images Story Board Outline	25 points
Journal Entries	20 points (2 @ 10 points each)
Impact Interviews	25 points
Plan Update	30 points
Digital Story	50 points
Participation	50 points
<b>Total Points</b>	<b>200 points</b>

97 – 100% = A+
94 – 96.99% = A
90 – 93.99% = A-
87 – 89.99 = B+
84 – 86.99% = B
80 – 83.99% = B-
77 – 79.99% = C+
74 – 76.99% = C
70 – 73.99% = C-
67 – 69.99% = D+
64 – 66.99% = D
60 – 63.99% = D-
59.99% and below = F

*Please note that this syllabus is subject to change at any time during this course. All students will be notified if any changes occur.*

**COURSE CALENDAR – SEMESTER ONE, meeting once a week for 2hours**

Class	Topic	Readings/Assignments
Week 1	Introductions Overview of Syllabus Introduction to Social Action	
Week 2	Review and Define Social Action/Change/Justice	<i>Leadership for Better World</i> , Chapter 1 <i>Leadership for Better World</i> , Chapter 12 Astin, H. S. (1996). Leadership for Social Change. <i>About Campus</i> , 1(3), 4-10.  DUE: Social Action Brief
Week 3	Explore Social Issues Get into Groups	<i>Johnson</i> , Chapter 9 <i>Reading for Diversity and Social Justice</i> , Chapter 3 & 4
Week 4	Identify Social Issues	Hackman, H. W. (2005). Five essential components for social justice education. <i>Equity &amp; Excellence in Education</i> , 38(2), 103-109.  Shields, C. M. (2004). Dialogic leadership for social justice: Overcoming pathologies of silence. <i>Educational Administration Quarterly</i> , 40(1), 109-132
Week 5	Review Leadership Theories, Part I	Avolio, B. J., Walumbwa, F. O., & Weber, T. J. (2009). Leadership: Current theories, research, and future directions. <i>Annual review of psychology</i> , 60, 421-449.  DUE: Individual Annotated Bibliography
Week 6	Review Leadership Theories , Part II	van Knippenberg, D., van Knippenberg, B., De Cremer, D., & Hogg, M. A. (2004). Leadership, self, and identity: A review and research agenda. <i>The Leadership Quarterly</i> , 15(6), 825-856.
Week 7	Social Action Constituents	King, B. (2008). A social movement perspective of stakeholder collective action and influence. <i>Business &amp; Society</i> , 47(1), 21-49.  DUE: Leadership Theories
Week 8	Social Action Influence (in surrounding communities)	DUE: Preliminary Plan
Week 9	Explore Social Change	<i>Leadership for a Better World</i> , Chapter 4 <i>The Heart of Change</i> , Chapter 1
Week 10	Present Preliminary Plan & Implementing Social Action	DUE: Journal #1
Week 11	Challenges and Limitations with Social Action	
Week 12	Report on Partner Interviews	DUE: Partner Interviews
Week 13	Assessing Social Action	<i>Leadership for the Common Good</i> , Chapter 11
Week 14	Present on Revised Plan	DUE: Journal #2 & Revisited Plan

**COURSE CALENDAR – SEMESTER TWO, meeting once every other week for 1 hour**

<b>Class</b>	<b>Topic</b>	<b>Readings/Assignments</b>
Session 1	Doing Social Action Project Address Digital Storyboarding	
Session 2	Types of Change & Maintaining Action (individual, community, institutional, cultural, and systemic)	<i>The Heart of Change</i> , Chapter 8 & Conclusion  DUE: Digital Storyboard
Session 3	Personal Narratives in Social Action	Nash, R. J. (2008). A personal reflection on educating for meaning. <i>About Campus</i> , 13(2), 17-24.  DUE: Journal #3
Session 4	Social Action – Reciprocity?	<i>The Dance of Change</i> , section VII  DUE: Impact Papers
Session 5	Presentations & Peer Feedback	DUE: Plan Updates Presentations
Session 6	Sustaining Social Action & Leaving a Legacy	DUE: Journal #4
Session 7	Wrap-Up	DUE: Digital Story
Date? Time?	Public Showcase	



**Department of Counseling, Higher  
Education, and Special Education  
College of Education**



**University Career Center and The  
President's Promise**

This course has been developed through the collaboration and partnership of the Department of Counseling, Higher Education, and Special Education within the College of Education, The Adele H. Stamp Student Union - Center for Campus Life, and the University Career Center and The President's Promise.

## Readings

- Adams, M., Hackman, H. W., Peters, M. L., & Zúñiga, X. (2000). *Readings for diversity and social justice*. W. J. Blumenfeld, & R. Castañeda (Eds.). New York, NY: Routledge.
- Astin, H. S. (1996). Leadership for Social Change. *About Campus*, 1(3), 4-10.
- Avolio, B. J., Walumbwa, F. O., & Weber, T. J. (2009). Leadership: Current theories, research, and future directions. *Annual review of psychology*, 60, 421-449.
- Bryson, J. M., & Crosby, B. C. (1992). *Leadership for the common good*. San Francisco, CA: Jossey-Bass.
- Hackman, H. W. (2005). Five essential components for social justice education. *Equity & Excellence in Education*, 38(2), 103-109.
- Johnson, A. G. (2006). *Privilege, power, and difference*. Boston, MA: McGraw-Hill.
- King, B. (2008). A social movement perspective of stakeholder collective action and influence. *Business & Society*, 47(1), 21-49.
- Komives, S. R., & Wagner, W. (2012). *Leadership for a better world: Understanding the social change model of leadership development*. Jossey-Bass.
- Kotter, J. P., & Cohen, D. S. (2002) *The Heart of change: Real-life stories of how people change their organizations*. Boston, MA: Harvard Business School Press.
- Nash, R. J. (2008). A personal reflection on educating for meaning. *About Campus*, 13(2), 17-24.
- Senge, P., Kleiner, A., Roberts, C., Ross, R., Roth, G., & Smith, B. (1999). *The Dance of change: The Challenge to sustaining momentum in learning organizations*. New York, NY: Doubleday.
- Shields, C. M. (2004). Dialogic leadership for social justice: Overcoming pathologies of silence. *Educational Administration Quarterly*, 40(1), 109-132
- van Knippenberg, D., van Knippenberg, B., De Cremer, D., & Hogg, M. A. (2004). Leadership, self, and identity: A review and research agenda. *The Leadership Quarterly*, 15(6), 825-856.



**University Senate  
TRANSMITTAL FORM**

<b>Senate Document #:</b>	13-14-19
<b>PCC ID #:</b>	13026
<b>Title:</b>	Establish a Bachelor's Program in Early Childhood Education and Early Childhood Special Education
<b>Presenter:</b>	Marilee Lindemann, Chair, Senate Programs, Curricula and Courses Committee
<b>Date of SEC Review:</b>	January 24, 2014
<b>Date of Senate Review:</b>	February 5, 2014
<b>Voting (highlight one):</b>	<ol style="list-style-type: none"> <li>1. On resolutions or recommendations one by one, or</li> <li>2. In a single vote</li> <li>3. To endorse entire report</li> </ol>
<b>Statement of Issue:</b>	<p>The College of Education, the Department of Counseling, Higher Education and Special Education, and the Department of Human Development and Quantitative Methodology propose to establish a new bachelor of science program in Early Childhood Education (ECE) and Early Childhood Special Education (ECSE). This new degree program merges the currently existing undergraduate programs in Early Childhood Education and Early Childhood Special Education. UM students who graduate from the new program will be eligible for Maryland certification in both Early Childhood Education and Early Childhood Special Education, which will allow them to teach children with and without disabilities.</p> <p>Nationally, there has been an increase in inclusive classrooms where students with and without disabilities learn together. This new program will provide students with the skills to ensure access, participation and supports for all the children in their classrooms. Also, in the state of Maryland, there has been a critical shortage of teachers certified to teach children with disabilities in the infant/primary area. Merging the two programs will increase the number of graduates certified to teach in Special Education three-fold while maintaining the number of ECE graduates certified in ECE. Key stakeholders in early childhood education and early childhood special education, including the</p>

	<p>Maryland State Department of Education and Anne Arundel, Howard, Montgomery, and Prince George’s County public schools, support the need for this new dual certification program. The curriculum for the new program reflects content from ECE and ECSE and fulfills all applicable state and national standards. Some content will be sustained in its original format, whereas other content will be integrated into new and/or existing courses.</p> <p>If approved by the Senate, this proposal will be submitted to the Maryland Higher Education Commission and the University System of Maryland for approval. As a matter of process, the proposal will be submitted as a request to substantially modify and rename the undergraduate program in Early Childhood Education.</p> <p>This proposal was approved by the by the Senate Programs, Curricula, and Courses committee at its meeting on December 6, 2013.</p>
<b>Relevant Policy # &amp; URL:</b>	N/A
<b>Recommendation:</b>	The Senate Committee on Programs, Curricula, and Courses recommends that the Senate approve this program merger.
<b>Committee Work:</b>	The committee considered this proposal at its meeting on December 6, 2013. Christy Tirrell-Corbin from Human Development and Quantitative Methodology, Joan Lieber from Counseling, Higher Education, and Special Education, and Kathy Angeletti from the College of Education were in attendance to present and respond to questions about the proposal. After discussion, the committee unanimously voted to recommend the proposal.
<b>Alternatives:</b>	The Senate could decline to approve the merger of these two programs.
<b>Risks:</b>	If the Senate declines to approve this program merger, the University will lose an opportunity to provide the nation and the state of Maryland with an increased number of graduates certified to teach young children with and without disabilities.
<b>Financial Implications:</b>	There are no significant financial implications with this proposal.
<b>Further Approvals Required:</b>	If the Senate approves this proposal, it would still require further approval by the President, the Chancellor, and the Maryland Higher Education Commission.

**THE UNIVERSITY OF MARYLAND, COLLEGE PARK  
PROGRAM/CURRICULUM/UNIT PROPOSAL**

- Please email the rest of the proposal as an MSWord attachment to [pcc-submissions@umd.edu](mailto:pcc-submissions@umd.edu).

PCC LOG NO.

13026

- Please submit the signed form to the Office of the Associate Provost for Academic Planning and Programs, 1119 Main Administration Building, Campus.

**College/School: Education (EDUC)**

Please also add College/School Unit Code-First 8 digits: 01203100

Unit Codes can be found at: [https://hypprod.umd.edu/Html\\_Reports/units.htm](https://hypprod.umd.edu/Html_Reports/units.htm)

**Department/Program:** Counseling, Higher Education, and Special Education (CHSE) and Human Development and Quantitative Methodology (HDQM)

Please also add Department/Program Unit Code-Last 7 digits: **1312301**

**Type of Action (choose one):**

- |   |  |
|---|--|
| <input type="checkbox"/> Curriculum change (including informal specializations)     | <input type="checkbox"/> <i>New academic degree/award program</i>                        |
| <input type="checkbox"/> Curriculum change for an LEP Program                       | <input type="checkbox"/> New Professional Studies award iteration                        |
| <input type="checkbox"/> <i>Renaming of program or formal Area of Concentration</i> | <input type="checkbox"/> New Minor   |
| <input type="checkbox"/> <i>Addition/deletion of formal Area of Concentration</i>   | <input checked="" type="checkbox"/> Other – substantial modification to existing program |
| <input type="checkbox"/> <i>Suspend/delete program</i>                              |  |

*Italics indicate that the proposed program action must be presented to the full University Senate for consideration.*

**Summary of Proposed Action:**

The Bachelor of Science Degree in Early Childhood (Pre-K-3<sup>rd</sup>) & Early Childhood Special Education (birth through age 8) (EC/ECSE) is an intensive, cross-departmental (Departments of Counseling, Higher Education and Special Education and Human Development and Quantitative Methodology) teacher education program, grounded in research for individuals who are interested in teaching young children with and without disabilities.

The new EC/ECSE program will replace the current 5-year integrated ECSE (B.S./MEd. Program leading to Early Childhood Special Education certification) and the ECE program (B.S. leading to ECE certification) in favor an undergraduate, 4-year program in EC/ECSE that results in eligibility for dual certification (ECE and ECSE).

**Departmental/Unit Contact Person for Proposal:** Joan Lieber

**APPROVAL SIGNATURES - Please print name, sign, and date. Use additional lines for multi-unit programs.**

1. Department Committee Chair Paul Maccini Ann A. Butler 11/19/13
2. Department Chair [Signature] [Signature] 11/18/13
3. College/School PCC Chair DENIS SULLIVAN Denis Sulley 11/21/13
4. Dean Margaret J. McLaughlin 11/18/13
5. Dean of the Graduate School (if required) \_\_\_\_\_
6. Chair, Senate PCC [Signature] 12/6/13
7. University Senate Chair (if required) \_\_\_\_\_
8. Senior Vice President and Provost \_\_\_\_\_

PROPOSAL FOR  
SUBSTANTIAL MODIFICATION TO AN INSTRUCTIONAL PROGRAM  
UNIVERSITY OF MARYLAND AT COLLEGE PARK, MARYLAND

Bachelor of Science  
Early Childhood and Early Childhood Special Education (EC/ECSE)

Departments of  
Counseling, Higher Education and Special Education (CHSE)  
&  
Human Development and Quantitative Methodology (HDQM)

COLLEGE OF **Education**

DEAN **Donna Wiseman**

## I. OVERVIEW AND RATIONALE

The Bachelor of Science Degree in Early Childhood (Pre-K-3<sup>rd</sup>) & Early Childhood Special Education (birth through age 8) (EC/ECSE) is an intensive, cross-departmental (Departments of Counseling, Higher Education and Special Education and Human Development and Quantitative Methodology) teacher education program for individuals who are interested in teaching young children with and without disabilities (as defined by the *Individuals with Disabilities Act/IDEA*). This EC/ECSE program will be evidence-based, building on the research emanating from its two sponsoring departments, on development, learning, pedagogy, and disabilities. In addition to the growing numbers of young children with recognized disabilities, a unique focus of the program is an emphasis on preparing teachers to work with young children who are culturally and linguistically diverse and at environmental risk due to poverty, immigrant status, and other contextual factors. Such factors add an additional set of challenges to narrowing the achievement gap among young children.

The EC/ECSE program is a full-time, undergraduate program leading to a Bachelor of Science degree, as well as eligibility for Maryland State Department of Education (MSDE) ECE and ECSE certification, which has been designed to meet the requirements of the:

- Council for Exceptional Children (CEC),
- National Association for the Education of Young Children (NAEYC),
- The Interstate Teacher Assessment and Support Consortium (InTASC)
- Council for the Accreditation of Educator Preparation (CAEP),
- Maryland Teacher Technology Standards (MTTS),
- Common Core State Standards (CCSS),
- Universal Design for Learning (UDL) Principles,
- Maryland Institutional Performance Criteria based on The Redesign of Teacher Education,
- MSDE Division of Special Education/Early Intervention Services strategic imperatives:
  - *Early childhood service delivery systems must be aligned and all providers must be highly effective and qualified.*
  - *Teacher/service provider training programs need to be designed to prepare all teachers/service providers to teach students with disabilities.*

The new EC/ECSE program will replace the current 5-year integrated ECSE (B.S./MEd. Program leading to Early Childhood Special Education certification) and the ECE program (B.S. leading to ECE certification) in favor of an undergraduate, 4-year program in EC/ECSE that results in eligibility for dual certification (ECE and ECSE).

The goal of the proposed EC/ECSE program is to graduate 35 students each year who will be eligible for dual certification (conferred by the Maryland State Department of Education). This number represents a significant increase in the number of graduates who have been prepared at UMD in the area of early childhood special education and maintains the target number for the ECE program. Since 2008, we have graduated an average of 11 ECSE teachers each year (range 10-12). Overall, the new program will provide an important new resource within the State for teachers who are fully prepared and dually certified to teach young children with and without disabilities. In Maryland, the number of young children with disabilities has increased, and the resulting need for teachers with special education certification has been identified as a “critical shortage” on the Maryland Staffing Report for 5 or more years.

## Market Demand

### National Need

**Children with Disabilities.** According to the 30<sup>th</sup> Annual Report to Congress on the Implementation of the Individual with Disabilities Education Act, 2008 (released January 13, 2012), from 1997 through 2006, there has been an increase in the percentage of infants, toddlers, and preschoolers with disabilities. Specifically under IDEA Part C, the total number of infants and toddlers served rose from 197,376 to 304,510; an increase of 54.3 percent of the 1997 child count. Under IDEA Part B, the number of children served from 3 to 5 years rose from 571,049 to 714,384 or a 25.1 percent growth in the number of children served. Teacher candidates who will be dually certified in this program also are qualified to work with children with and without disabilities ages 6-8. Because national data for students with disabilities who are older than 5 are aggregated for students 6-21, it is not possible to report growth in the number of students with disabilities in the 6-8 age range at a national level.

**Where Children with Disabilities are Served.** For infants and toddlers, in 2006 more than 80% received their early intervention services in *the home* (85.5 percent). The next most common setting was *other setting* (9.2 percent), which included hospital, clinic and early intervention center/classes for children with disabilities. Finally, 5.3 percent of infants and toddlers were served in *community-based settings*, which are settings in which children without disabilities are usually found.

For children 3 to 5, 44.5 percent were served in a regular early childhood program at least 80% of the time. These programs include Head Start, Kindergarten, reverse mainstream classrooms, private preschools, and pre-kindergarten classrooms. In Maryland, 30.8% of these children also had limited English proficiency. For students 6 to 21, 53.7% were in the regular education classroom at least 80% of the school day.

**Need for Teachers to Work with Children with and Without Disabilities.** As these data show at the national level, there are an increasing number of children with and without disabilities who are educated in inclusive classrooms. According to the Joint Position Statement of the Division for Early Childhood (DEC) and the National Association for the Education of Young Children (NAEYC), high quality inclusive programs for children birth to 8 have defining features that include “access, participation, and supports” (2009, p. 2). Teachers who work effectively with children with and without disabilities provide “access” through modifications such as Universal Design for Learning (UDL) (Lieber, Horn, Palmer, & Fleming, 2008); increase “participation through embedded, routines-based teaching to more explicit interventions” (DEC/NAEYC, 2009, p. 2); and provide “supports to acquire the knowledge, skills, and dispositions...to implement effective inclusive practices” (DEC/NAEYC, 2009, p. 2). Teachers who are dually certified in ECE and ECSE will have the skills to ensure access, participation, and supports for all the children in their classrooms.

Moreover, President Obama has challenged states to improve their Early Childhood initiatives so children enter Kindergarten fully prepared to learn. In addition, the President’s Early Childhood initiatives brought increased attention and funding to the field, which is also likely to result in an increased demand for those with degrees and certification in ECE. Further, the

proposed EC/ECSE program specifically responds to Secretary of Education Duncan's mandate that teacher candidates be prepared to work with diverse groups of children in urban environments and his policies promoting equity in the schools for poor and minority students. Lastly, the advocacy focus of this program uniquely responds to element 3 of NAEYC standard 6, which states that teachers should be advocates for children, families and the profession.

***Need for Teacher Preparation Focused on Children with Disabilities who are also At Risk.***

Providing effective services to young children with disabilities, who are also at environmental risk, and their families has remained an elusive goal (Harry, 2008). This challenge has grown with changing demographic patterns. According to the National Center on Children in Poverty, as many as 41% of children under the age of 6 in the United States experience one or two risk factors for health and educational achievement, such as poverty or living in households without English speakers, and 20% experience three or more risk factors (National Center on Children in Poverty, 2011). The 28<sup>th</sup> Annual Report to Congress (OSEP, 2006) found that 42% of the general population of children from birth to three and 39% of children served under Part C of IDEA were ethnic minorities. The Hispanic population is the fastest growing segment of the population; 22% of the general population of children from birth to three and 19.6% served under Part C are Hispanic.

These population shifts have critical implications for the preparation of teachers who need to learn how to work effectively with children and their families. For example, one in seven children from Central America come from families in which parents are not literate in their native language, and over half do not have a high school diploma (Davy, 2006). Seven out of ten immigrants from El Salvador have limited English proficiency and more than half have not graduated from high school (Terrazas, 2010). Responding effectively requires an intensive effort to provide teacher candidates with more information and experience about the cultural and social factors that influence the children and families with whom they work (Harry, 2008). Teacher candidates need to be aware of how a range of issues (e.g., meaning of disability, parenting beliefs, migrant family structure) are influenced by culture and be prepared to adapt their approaches accordingly (Barrera & Corso, 2002; Hanson & Lynch, 2004; Sandall, Hemmeter, Smith, & McLean, 2005).

**Need in Maryland**

***Children with Disabilities.*** As early as 1980, Maryland served infants and toddlers with disabilities in the public schools. With the implementation of Part C, Maryland expanded its eligibility criteria and strengthened its emphasis on interagency collaboration. This expanded commitment has exacerbated the need for personnel with the skills to appropriately serve this population. In part, this need derives from the number of children who are currently receiving services and the dramatic increases that have resulted from the expanded definition. The most recent data provided by the Maryland Special Education/Early Intervention Services Census Data and Related Tables (October 26, 2012), indicate 15,049 infants and toddlers received early intervention services in the preceding year, up from 13,801 in 2008. In addition, the number of children from three to eight years of age receiving special education services was 30,631. Because of these increasing numbers, according to the Maryland Teacher Staffing Report (2012- 2014), there is a critical need for teachers who are certified to teach children with

disabilities in the infant/primary area. This area has been on the critical shortage list for 5 years or more.

***Culturally and Linguistically Diverse Children.*** The need to work effectively with children from culturally and linguistically diverse families is especially important in Maryland, where the annual growth rate of ethnic minorities is anticipated to be ten times the growth rate of Caucasians between 1995 and 2025. In recent years, there has been a dramatic influx of immigrants from Central America (particularly El Salvador and Guatemala). Currently over 300,000 Latinos live in Maryland and some counties are experiencing a 5% annual growth rate in that population – a trend that is expected to continue over the next few years. Although this demographic shift is affecting nearly all counties in Maryland, its impact is most acute in the counties near UMD - Howard, Prince Georges, and Montgomery Counties. Between 1990 and 2008 the number of Hispanics in Montgomery County, Prince Georges County and Howard County have tripled, representing an 81%, 102%, and 90% change respectively (Pew Hispanic Center, 2010).

***Early Childhood General Education.*** The 2006 Maryland General Assembly convened a Task Force (with a UM ECE faculty member as the University System of Maryland Representative) to study the Implementation of Universal Preschool throughout the state. In 2008 the Task Force report and Work Group Business Plan were accepted by the Maryland State Board of Education with an endorsement to implement the initiative as soon as economically feasible. Once implemented all Pre-K programs will be under the auspices of county school systems, therefore only certified teachers will be allowed to teach in Pre-K classrooms. Although a small percentage of MD school systems currently have Pre-K and Head Start classrooms, the majority of preschool classrooms are outside the public school system and regulated under Child Care licensing standards, which do not require college degrees or certification to teach in non-public school settings. According to Dr. Rolf Grafwallner, Assistant State Superintendent, Early Childhood Development, MSDE, the demand for ECE certified teachers will significantly increase with the implementation of Universal Pre-K, which will result in ECE being placed on the list of critical shortage areas in MD. Consequently, implementation of Universal Preschool will dramatically increase the statewide demand for teachers certified in ECE, which the UM and other institutions have been asked to address.

***State Task Force on Early Childhood Teacher Education.*** Dr. Lillian Lowery, State Superintendent of Schools, recently convened a *Task Force on Teacher Education in Early Childhood Education* (with a UM ECE faculty member as the University System of Maryland Representative). The task force has been charged with developing plans to implement: (1) a new degree program, Birth to Five, through a blended curriculum of early childhood special education and regular early childhood education and (2) strategies to expand the number of programs offering teacher education in early childhood education.

***Responding to the Needs.*** The Early Childhood Education Teacher Preparation program at UMD has a long-standing collaborative relationship through its Professional Development School (PDS) Network with partnering schools with large populations of primary grade children at risk. The program implements a curriculum, which is designed to help teacher candidates develop the knowledge, skills, and attitudes to work effectively with culturally and linguistically diverse children and families. The Early Childhood Special Education Teacher Preparation

program, through its PDS Network, has a history of preparing teacher candidates to teach in classrooms that include typically developing children as well as young children with a range of disabilities. Additionally, teacher candidates in ECSE have experience working in home-based settings with infants and toddlers. Together, the Early Childhood Education program and the Early Childhood Special Education program at UMD merge their respective expertise in the new blended program. We will prepare teachers who will successfully work in inclusive classrooms and other settings to support the whole range children with and without disabilities in order to narrow the achievement gap in the State.

***Need in the Counties Surrounding UMD.*** Teacher candidates in both ECE and ECSE have internship experiences and typically get hired in the counties surrounding UMD (Anne Arundel, Howard, Montgomery, and Prince George’s County). According to the Maryland Special Education/Early Intervention Services Census Data and Related Tables (October 26, 2012), many 3-5 year old children with disabilities (as defined by IDEA) receive their education in regular early childhood programs for at least 10 hours per week.

**Table 1: Percent of Preschool Students with Disabilities**

County	3 Year Olds	4 Year Olds	5 Year Olds
Anne Arundel	12.08%	12.01%	6.18%
Howard	7.63%	8.89%	7.04%
Montgomery	4.87%	9.37%	5.41%
Prince George’s	9.07%	9.73%	6.21%

Because the prevalence of young children with disabilities who are included in programs with their typically developing peers is increasing, it is imperative that the teachers who work with these children are prepared to work both with typically developing children and those with disabilities.

The need for dually certified teachers was confirmed during a focus group organized by faculty in ECE and ECSE and held at UMD on February 27, 2013. We asked our school district partners from Anne Arundel, Howard, Montgomery and Prince George’s County to join us in a meeting to discuss the following issues:

- Is there a need for dually certified teachers in your school district?
- Are there jobs/positions for teachers with this preparation in your school district?
- What are the skills and competencies that these teachers would need to be effective?

At the focus group meeting there were 11 attendees representing Anne Arundel, Howard, Montgomery and Prince George’s county public schools, as well as the University of Maryland. The attendees responded to the aforementioned questions and unanimously endorsed the need for dually certified teachers with knowledge and skills in the following areas:

- co-teaching,
- curricular content,
- cultural proficiency and sensitivity,
- parent involvement, and
- teaching children with social communication and behavior challenges

### **IDEA Discretionary State Grant competition for the State of Maryland**

Based on the critical shortage in the State of Maryland for early childhood teachers who are certified to work with young children with disabilities, and the needs expressed by our focus group attendees from the school districts surrounding the University of Maryland, one ECSE and two ECE faculty members applied for and were awarded an IDEA Discretionary State Grant from the Maryland State Department of Education (MSDE) to develop a dual certification program in EC/ECSE.

(See Appendix A, Letters of Support from: Dr. Jeanne Satterfield, MSDE, Dr. Allan Arbogast, Acting Deputy Superintendent, Prince George's County Public Schools, and Dr. Janine Bacquie, Director, Division of Early Childhood Programs and Services, Montgomery County Public Schools).

### **Program Composition**

The program is an intensive undergraduate teacher education program for individuals who wish to be dually certified in Early Childhood (general) Education and Early Childhood Special Education. The program will utilize a cohort model with the goal of graduating 35 students per year. During the junior year students will choose between one of two tracks, which allow them to specialize EC/ECSE Birth through age 5 programs or EC/ECSE Preschool through Grade 3 programs. Courses during the senior year will be held off-site, in a Professional Development School, to allow for the integration of in-service teachers/specialists into course delivery.

## **II. CURRICULUM**

### **Description for Undergraduate Catalog**

The Bachelor of Science Degree in Early Childhood Education (Pre-K-3<sup>rd</sup>) & Early Childhood Special Education (birth through age 8) (EC/ECSE) is a full-time, intensive, cross-departmental teacher education program for individuals who are interested in teaching young children with and without disabilities. A unique focus of the program is an emphasis on preparing teachers to work with young children who are culturally and linguistically diverse and at environmental risk due to poverty, immigrant status, and other contextual factors.

### **Description of the Proposed Program**

The Bachelor of Science Degree in Early Childhood Education (Pre-K-3<sup>rd</sup>) & Early Childhood Special Education (birth through age 8) (EC/ECSE) is a full-time, intensive, cross-departmental teacher education program for individuals who are interested in teaching young children with and without disabilities. The program is grounded in the research on development, learning, pedagogy, and disabilities, which are areas studied by various faculty in the two sponsoring departments. A unique focus of the program is an emphasis on preparing teachers to work with young children with and without disabilities, who are culturally and linguistically diverse and at

environmental risk due to poverty, immigrant status, and other factors that add an additional set of challenges for narrowing the achievement gap among young children.

### **Mission of the Proposed Program**

The mission of the Early Childhood & Early Childhood Special Education program is to prepare knowledgeable and skilled teachers who utilize theory, research and pedagogy, to respectfully and responsively teach and positively affect the lives of children, with and without disabilities, who are diverse in culture and socioeconomic status.

### **Rationale for the Program**

Based upon strong departmental research agendas, as well as national and state standards for Early Childhood and Early Childhood Special Education teacher education programs, the EC/ECSE curriculum has been developed around 6 core themes:

- Child Development, (typically developing and atypically developing), Learning and Intervention
- Children in the context of families and communities
- Assessment (developmental and classroom-based)
- Integrated content courses focused on *Common Core State Standards*
- Culturally responsive and differentiated pedagogy
- Inquiry and reflection

### **Theoretical Framework**

The theoretical framework for the program is a combination of Socio-cultural Theory (Vygotsky), Developmental Stage Theory (Piaget) and the Bio-Ecological Systems Theory (Bronfenbrenner), which considers the development and learning of the young child in the context of his family, community and greater society. Further, the program is informed by the current research on development, learning, pedagogy, and disabilities. Teacher candidates' learning outcomes are guided by the standards of the Council for Exceptional Children (CEC), National Association for the Education of Young Children (NAEYC), Council for the Accreditation of Educator Preparation (CAEP), as well as the Initial certification requirements of the Maryland State Department of Education and the UM College of Education Conceptual Framework.

In addition to content based methods and child development courses, as well as an action research course, students will complete a number of courses focused on special education and learning of young children at individual and environmental risk. It should be noted that although some courses focus solely on issues related to young children with disabilities (e.g., assessment for special education eligibility), most courses include strategies for enhancing the participation and learning of young children with disabilities (e.g., Universal Design for Learning).

Application of knowledge and skill development will occur during three semesters of early field experiences followed by internships in culturally diverse, Title I Professional Development School (PDS) in an urban community or Early Learning Centers (for infants and toddlers with special needs). To facilitate their application of knowledge about typical development and early childhood education in general, students will also have field experiences in the campus

preschool, the Center for Young Children.

### **Prerequisites**

A transcript analysis will be undertaken by the Office of Student Services to ensure applicants have the two required courses in college level mathematics, one being Geometry and one being the equivalent of Elements of Numbers and Operations or a higher level mathematics class, as well as a Biological lab science, and a Physical lab science (with the combined minimum GPA of 2.7 for the 4 courses and no individual grade below “C-”).

### **Courses**

Table 2 articulates the program of pre-professional and professional courses required for the Baccalaureate degree program in Early Childhood and Early Childhood Special Education and eligibility for ECE and ECSE certification by MSDE. Students will explore the program as pre-professional students (sophomore), apply for admission to the professional program as rising juniors, choose their program Track (e.g., Birth through age 5 OR Preschool through 3<sup>rd</sup> grade) during their junior year and complete the program after the senior internship. The proposed set of courses reflects content from the early childhood education and early childhood special education curriculum. Some content will be sustained in its original course format, whereas other content will be integrated into new and/or existing courses.

### **Admission Policy**

In addition to the prerequisites in mathematics and lab science (with the combined minimum GPA of 2.7 for the 4 courses with no individual grade below “C-”), students must:

- have received a score of C- or higher in EDSP210 and EDHD210;
- received a score of B- or higher in EDHD220 and passing practicum evaluations;
- have a minimum undergraduate GPA of 2.75\*;
- receive individual passing scores on PRAXIS I in reading, writing and mathematics;
- submit 3 strong letters of recommendation (with at least one from a higher education faculty member);
- submit a personal statement;
- have a strong interview or strong EDHD220 early field placement evaluations; and  
\*the minimum GPA will be raised to a 3.0 once the Council for the Accreditation of Educator Preparation (CAEP) standards are fully implemented for educator preparation programs.

## **III. STUDENT LEARNING OUTCOMES AND ASSESSMENT**

Teacher candidate learning outcomes are driven by the standards of the Council for Exceptional Children (CEC), National Association for the Education of Young Children (NAEYC), Council for the Accreditation of Educator Preparation (CAEP), as well as the initial certification requirements of the Maryland State Department of Education and the UM College of Education Conceptual Framework. Table 2 articulates the NAEYC and CEC standards, as well as the College of Education Conceptual Framework, sample assessments and assessment points throughout the program.

A sub-set of these assessments is used for the annual student learning outcomes assessment review process in the College of Education. For the purposes of Middle States reporting, the College of Education has identified five common learning outcomes and corresponding assessments for all initial teacher preparation programs. The program-specific learning outcomes and assessments that pertain to the Early Childhood and Early Childhood Special Education (EC/ECSE) program are listed below.

### **Bachelor of Science: Early Childhood and Early Childhood Special Education (EC/ECSE)**

1. EC/ECSE teacher candidates have in-depth knowledge of the subject matter that they teach as described in professional (National Association for the Education of Young Children – NAEYC; Council for Exceptional Children - CEC), state (MSDE), and institutional standards. They demonstrate their knowledge through inquiry, critical analysis, and synthesis of the subject.
2. EC/ECSE teacher candidates can effectively plan classroom-based instruction or activities for their roles as early childhood educators. Candidates' knowledge, skills, and dispositions are applied effectively in practice.
3. EC/ECSE teacher candidates accurately assess and analyze student learning, make appropriate adjustments to instruction, monitor student learning, and have a positive effect on learning for all students.
4. EC/ECSE teacher candidates are able to work with students, families, and communities in ways that reflect the dispositions expected of professional educators as delineated in professional (NAEYC and CEC), state (MSDE), and institutional standards.
5. EC/ECSE teacher candidates demonstrate fluency in each of the seven *Maryland Teacher Technology Standards* (<http://www.mttsonline.org/standards/>).

### **EC/ECSE Program Student Learning Outcomes Assessments**

A multiple measures approach will be used to measure student learning for the five learning outcomes mentioned above. Key assessments will include the Praxis II, Performance Based Assessment Instrument (PBAI), Foundational Competencies, Teacher Performance Assessment (edTPA), and the Maryland Teacher Technology Standards (MTTS) Portfolio.

The purpose and organization of Table 2 is to describe the general requirements for the degree, including the total number of credits, and their distribution across years and within tracks.

**Table 2: Early Childhood/Early Childhood Special Education (EC/ECSE) Undergraduate Curriculum**

	Pre-Professional	Fall Junior Year	Spring Junior Year	Fall Senior Year	Spring Senior Year
<b>Courses</b>	<p>EDSP211: Introduction to Special Education (3cr.)</p> <p>EDHD210: Foundations of Early Childhood Education (3cr.)</p> <p>EDHD220 Exploring Teaching in EC/ECSE* (3cr.)</p>	<p>EDSP420/EDHD419: Child Development** from Birth to 3 Years (3cr.)</p> <p>EDHD425: Language Development and Reading Acquisition (3cr.)</p> <p>EDHD314 Reading in the Early Childhood Classroom (3cr.)</p> <p>Gen Ed Course</p> <p>Gen Ed Course</p>	<p>EDHD431: Child Development &amp; Learning, 3 to 8 Years (3cr.)</p> <p>EDSP423: Special Education Assessment and Instruction (3cr.)</p> <p>EDSP315: Inclusive Instruction: Reading Methods (3cr.)</p> <p><u>Track I (Birth -5 yrs.)</u></p> <p>EDSP430: Intervention for Infants &amp; Toddlers with Disabilities (3cr.)</p> <p>EDSP433: Families and Culture in Early Intervention (Birth to 5 Years) (3cr.)</p> <p style="text-align: center;">OR</p> <p><u>Track II (PreK-3<sup>rd</sup>)</u></p> <p>EDHD415: Promoting the Social-Emotional Competence of Young Children in Inclusive Classrooms (3cr.)</p> <p>EDHD424: Culture, School &amp; Community: Contexts for Learning (PreK-3<sup>rd</sup>) (3cr.)</p>	<p>EDSP321: The Young Child as Scientist (3cr.)</p> <p>EDHD322: The Young Child as Mathematician (3cr.)</p> <p>EDHD323: Children Study their World (3cr.)</p> <p>EDSP417: Reading Diagnosis and Assessment (3cr.)</p> <p>EDHD441: Data Driven Decision Making in EC/ECSE (1 cr.)</p> <p>EDHD442: Interventions for Children with Behavioral Challenges (1 cr.)</p> <p>EDHD443: Interventions for Children with Social Communication Challenges (1 cr.)</p> <p>EDHD444: Action Research in EC/ECSE (1 cr.)</p>	<p>EDHD437: EC/ECSE Teachers as Researchers and Reflective Practitioners (3 cr.)</p> <p>EDHD432: Internship in EC/ECSE (12 cr.)</p>
<b>Field Experiences</b>	<p>* ½ day placement, 6 weeks in a special education setting and 6 weeks in a general education setting</p>	<p>**2-1/2 day placements per week (Infant/Toddler)</p> <p>6 weeks in a special education setting and 6 weeks in a general education setting</p> <p style="text-align: center;">OR</p> <p>12 weeks in an inclusive classroom</p>	<p>2-1/2 day placements per week, plus 1 immersion week (PreK).</p> <p>6 weeks in a special education setting and 6 weeks in a general education setting (Track I: 6 weeks w/Infant/Toddlers)</p> <p style="text-align: center;">OR</p> <p>12 weeks in an inclusive classroom</p>	<p>Phase I of yearlong internship (2 full days per week plus 2 immersion weeks):</p> <p>Track I: PreK/K with general educator.</p> <p>Track II: PreK/K or Grade 1,2,3 placement with general or special educator</p>	<p>Part II of yearlong internship: 5 days per week: Track I: Infant/Toddler placement with SPED. Track II: Pre-K/K or Grade 1,2,3 placement with general or special educator (must be opposite grade level and mentor from Phase I)</p>
	Credits: 9	Credits: 9	Credits: 15	Credits: 16	Credits: 15

The purpose of Table 3 is to present an outline of sample course assessments as they align with required learning outcomes.

**Table 3: Learning Outcomes and Assessments for the EC/ECSE program**

CEC Standards	NAEYC Standards/Learning Outcomes	COE Conceptual Framework Alignment	Sample Assessments
<p><b>1. Learner Development and Individual Learning Differences:</b> Beginning special education professionals must understand how exceptionalities interact with development and learning and use this knowledge to provide meaningful and challenging learning experiences for exceptionalities.</p>	<p><b>1. Promoting child development and learning</b> Students prepared in early childhood degree programs are grounded in a child development knowledge base. They use their understanding of young children's characteristics and needs and of the multiple interacting influences on children's development and learning to create environments that are healthy, respectful, supportive, and challenging for each child.</p>	<ul style="list-style-type: none"> <li>• Knowledge of learners</li> <li>• Diversity</li> </ul>	<ul style="list-style-type: none"> <li>• <b>EDHD210</b> students examine the basic tenets of Developmentally Appropriate Practice and explore the implications of DAP for creating learning environments that meet the needs of all young children. They demonstrate this knowledge on a mid-term and final examination which require the application of DAP to hypothetical situations including presenting the benefits of DAP to parents and fellow teachers. They evaluate an early childhood education program based on tenets of DAP.</li> <li>• <b>EDHD314, EDSP315</b> students learn the best practices in reading instruction for children in preschool through grade 3, with an emphasis on differentiated instruction. Class periods are spent on the research on teaching reading, on the practice of teaching reading, and on assessing reading development. Student learning in these courses is assessed through exams, case studies assessing children's literacy skills, reflection papers integrating research and observation, and panel presentations on classroom practices and lesson plans.</li> <li>• <b>EDHD415</b>, students examine the social competence and behavioral functioning of children in their classroom through observation of a child with behavioral challenges, videotaped recording of the classroom, and reflections on how to intervene to promote social emotional competence in all children in their classrooms.</li> <li>• <b>EDHD419/EDSP420</b>, students will complete a case</li> </ul>

CEC Standards	NAEYC Standards/Learning Outcomes	COE Conceptual Framework Alignment	Sample Assessments
			<p>study of a toddler based on several structured and unstructured observations of the target child's development across domains, which will include an analysis of the child's development in the context of developmental theory, research, and knowledge.</p> <ul style="list-style-type: none"> <li>• <b>EDHD431</b>, students complete a case study of a preschooler based on several structured and unstructured observations of the target child's development across domains, which will include an analysis of the child's development in the context of developmental theory, research, and knowledge.</li> <li>• <b>EDHD424</b>, students research familial issues that influence development, learning, and social interactions including family variables (ethnicity, religion, family composition, culture, disabilities, home language, and socio-economic status) and socio-cultural variables (poverty, child care, violence, and parenting).</li> <li>• <b>EDHD425</b> students study language development and the relationship between language and reading acquisition. Learning will be assessed through exams, observations of children's language usage and a research paper, which integrates observations and research.</li> <li>• <b>EDHD432</b>, students must receive passing scores on the PBA, notably for Std. 1.</li> <li>• <b>EDSP211</b> students read a book or watch a movie about an individual with disabilities to describe how effective the book/movie is in portraying an individual with disabilities and possible teaching applications for</li> </ul>

CEC Standards	NAEYC Standards/Learning Outcomes	COE Conceptual Framework Alignment	Sample Assessments
			<p>that individual. Additionally, students work in a group to gather, summarize and present information about children with one of the disabilities described in IDEA.</p> <ul style="list-style-type: none"> <li>• <b>EDHD437</b> students utilize action research to improve pedagogy and/or interactions and the overall experiences of children in classroom contexts.</li> </ul>
<p><b>7. Collaboration:</b> Beginning special education professionals collaborate with families, other educators, related service providers, individuals with exceptionalities, and personnel from community agencies in culturally responsive ways to address the needs of individuals with exceptionalities across a range of learning experiences.</p>	<p><b>2. Building family and community relationships</b> Students prepared in early childhood degree programs understand that successful early childhood education depends on partnerships with children’s families and communities. They know about, understand, and value the importance and complex characteristics of children’s families and communities. They use this understanding to create respectful, reciprocal relationships that support and empower families and to involve all families in their children’s development and learning.</p>	<ul style="list-style-type: none"> <li>• Knowledge of Social and Cultural Contexts</li> <li>• Knowledge of Learners</li> <li>• Diversity</li> </ul>	<ul style="list-style-type: none"> <li>• <b>EDHD220</b>, students complete a series of weekly journal reflections in which they respond to questions related to their field placement experiences, including an examination of the use of multi-cultural materials in the classroom, the role of families and communities in young children’s education, and ways in which the classroom appreciates and supports individual differences and is an inclusive environment for all children.</li> <li>• <b>EDSP315</b>, students write a reflection paper on what they have learned regarding research and practices for accommodating diverse learners in the classroom, integrating their own classroom experiences on the topic.</li> <li>• <b>EDHD323</b>, students participate in a community engagement activity designed to help them understand and develop an appreciation for children’s families and communities. They reflect on this experience through an on-line discussion forum and respond to the reflections of their colleagues (other students).</li> <li>• <b>EDHD424</b>, students develop skills to actively engage culturally and linguistically diverse families in their</li> </ul>

CEC Standards	NAEYC Standards/Learning Outcomes	COE Conceptual Framework Alignment	Sample Assessments
			<p>experiences. They also explore the role and effect of communities on the child's ability to develop and learn (community schools, supports and activities)</p> <ul style="list-style-type: none"> <li>• <b>EDHD432</b>, students plan, deliver and assess a culturally respectful instructional activity completed in the home environment to promote family involvement and student achievement. Students must receive passing scores on the PBA, notably for NAEYC Std. 2 and CEC Std. 7.</li> <li>• <b>EDHD441</b>, students utilize assessment data as the basis of individualized planning, instruction and differentiation within the early childhood classroom (notably learning that extends into the family environment).</li> <li>• <b>EDSP433</b>, students conduct two interviews with a family of a young child who has a disability. They are expected to select a family who comes from a culture that is different from their own. In the General Interview students focus on learning about the family's cultural background and structure, the child's disability, the family's experiences with service providers, and how the family has been affected by factors and multiple levels of the service system. In the second interview, students conduct a routine's based interview with the family. This interview is one of the accepted strategies for understanding family strengths and needs in the Early Intervention system and will provide the basis for identifying family priorities and concerns for the IFSP. Students also complete an on-</li> </ul>

CEC Standards	NAEYC Standards/Learning Outcomes	COE Conceptual Framework Alignment	Sample Assessments
			<p>line IFSP assignment where they learn ways to collaborate with families in completing the IFSP process.</p> <ul style="list-style-type: none"> <li>• <b>EDHD437</b>, students utilize reflective practices to identify strengths and limitations of their interpersonal interactions with children, families and staff members.</li> </ul>
<p><b>4. Assessment:</b> Beginning special education professionals use multiple methods of assessment and data-sources in making educational decisions.</p>	<p><b>3. Observing, documenting, and assessing</b> Students prepared in early childhood degree programs understand that child observation, documentation, and other forms of assessment are central to the practice of all early childhood professionals. They know about and understand the goals, benefits, and uses of assessment. They know about and use systematic observations, documentation, and other effective assessment strategies in a responsible way, in partnership with families and other professionals, to positively influence the</p>	<ul style="list-style-type: none"> <li>• Knowledge of Educational Goals and Assessment</li> <li>• Research and Inquiry</li> <li>• Technology</li> </ul>	<ul style="list-style-type: none"> <li>• <b>EDHD210</b>, students begin the process of developing lesson plans, including designing performance assessments that are aligned with lesson plan objectives.</li> <li>• <b>EDHD314</b>, students assess 1 child’s early literacy skills by administering three different types of literacy assessments with the child. They then compile the information and write a case study paper discussing the child’s strengths and weaknesses in three areas of literacy (phonological awareness, vocabulary, print concepts, decoding, etc.)</li> <li>• <b>EDSP321, EDHD322, &amp; EDHD323</b>, students plan lessons that assess children on content area objectives, implement those content assessments as they teach, and evaluate the progress children are making in the content areas</li> <li>• <b>EDHD419/EDSP420 &amp; EDHD431</b>, students observe the development of young children across domains and use informal assessment approaches to determine children’s developmental functioning, which will culminate in the completion of a case study based on these observations and informal assessments.</li> <li>• <b>EDHD432</b>, students utilize aggregate and disaggregate data to provide the rationale for all formal</li> </ul>

CEC Standards	NAEYC Standards/Learning Outcomes	COE Conceptual Framework Alignment	Sample Assessments
	development of every child.		<p>observations by mentors and university supervisors. Students must receive passing scores on the PBA, notably for NAEYC Std.3 &amp; CEC Std. 4.</p> <ul style="list-style-type: none"> <li>• <b>EDSP417</b>, students administer a curriculum-based measure to a student over an 8-week period and interpret the results. Students will also present those results in class. Students will also write a report to determine a child's eligibility for special education based on data provided.</li> <li>• <b>EDSP423</b> students demonstrate the ability to do formal assessments by screening a child to determine if s/he needs further assessment and administering a developmental assessment to the same child. Students write up the results of each individual assessment as well as an integrated assessment report.</li> <li>• <b>EDSP430</b>, Early Intervention and Early Childhood Education, students conduct a motor observation with a young child who has a disability. This observation is intended to help prospective teachers identify children who have problems with gross and/or fine motor development in order to plan future interventions.</li> <li>• <b>EDHD441</b>, course students utilize assessment data as the basis of individualized planning, instruction and differentiation within the early childhood classroom (notably learning that extends into the family environment).</li> <li>• <b>EDSP433</b>, students complete a routines based family interview. This interview is intended to help identify a child's needs during daily and week-end routines as</li> </ul>

CEC Standards	NAEYC Standards/Learning Outcomes	COE Conceptual Framework Alignment	Sample Assessments
			perceived by parents
<p><b>2: Learning Environments:</b> Beginning special education professionals create safe, inclusive, culturally responsive learning environments so that individuals with exceptionalities become active and effective learners and develop emotional well-being, positive social interactions, and self-determination.</p> <p><b>5. Instructional Planning and Strategies:</b> Beginning special education professionals select, adapt, and use a repertoire of evidence-based instructional strategies to advance learning of individuals with exceptionalities.</p>	<p><b>4. Using developmentally effective approaches to connect with children and families</b> Students prepared in early childhood degree programs understand that teaching and learning with young children is a complex enterprise</p>	<ul style="list-style-type: none"> <li>• Knowledge of Pedagogy</li> <li>• Knowledge of Learners</li> <li>• Knowledge of Educational Goals</li> <li>• Technology</li> </ul>	<ul style="list-style-type: none"> <li>• <b>EDHD210</b>, students observe and evaluate a current early childhood classroom for components of a developmentally appropriate learning environment, and develop plans for creating a new learning environment using principles of developmentally appropriate practice.</li> <li>• <b>EDHD314</b>, the students learn about different social/cultural backgrounds of students and how these different early environments can affect children's skills when they arrive in preschool or grade school. Students discuss how to set up the learning environment so that everyone feels valued, and students incorporate this knowledge into lesson plan assignments.</li> <li>• <b>EDSP321</b>, students adapt a science lesson for children with disabilities using UDL and describe high tech and low tech assistive devices for students with disabilities</li> <li>• <b>EDSP321, EDHD322, &amp; EDHD323</b>, students include elements of Universal Design for Learning in their lessons and evaluate the success of those lessons for children with disabilities</li> <li>• <b>EDHD415</b>, students perform an analysis of the classrooms in which they are placed and how the teacher and environment promote the social competence of children.</li> <li>• <b>EDHD432</b>, students complete an internship in a PDS/Early Learning Center (Track I) during which time they will gradually assume full</li> </ul>

CEC Standards	NAEYC Standards/Learning Outcomes	COE Conceptual Framework Alignment	Sample Assessments
			<p>responsibility for the planning, delivery and assessment of instruction on a full-time basis. Students will demonstrate their teaching effectiveness through observations, use of data as the basis of planning, a portfolio and scores on the Performance Based Assessment (PBA).</p> <ul style="list-style-type: none"> <li>• <b>EDSP423</b> students implement a task analysis identifying a target skill, identifying prerequisite tasks for that skill, determining a learner’s baseline/present level of performance, identifying the steps to teaching the task, teaching the task, and reflecting on the success of the intervention.</li> <li>• <b>EDSP430</b>, students read current literature and identify published studies documenting a variety of evidence-based practices that have been shown to be effective with young children with disabilities.</li> <li>• <b>EDHD444</b>, students explore the research literature on topics related to School Improvement Plans or Individual Family Learning Plans as the basis of developing and action research proposal for their final internship.</li> <li>• <b>EDHD437</b>, course students utilize action research to improve pedagogy and/or interactions and the overall experiences of children in classroom contexts.</li> </ul> <p><b>Please see sample assessments under CEC Standard 7 and NAEYC Standard 2 that directly relate to families.</b></p>
<p><b>3: Curricular Content Knowledge.</b> Beginning</p>	<p><b>5. Using content knowledge to build</b></p>	<ul style="list-style-type: none"> <li>• Knowledge of Subject</li> </ul>	<ul style="list-style-type: none"> <li>• <b>EDHD314 &amp; EDSP315</b>, 1 week in each course is spent explicitly discussing differentiated instruction, RTI,</li> </ul>

CEC Standards	NAEYC Standards/Learning Outcomes	COE Conceptual Framework Alignment	Sample Assessments
<p>special education professionals use knowledge of general and specialized curricula to individualize learning for individuals with exceptionalities.</p>	<p><b>meaningful curriculum.</b> Students prepared in early childhood degree programs use their knowledge of academic disciplines to design</p>	<p>Matter</p> <ul style="list-style-type: none"> <li>• Knowledge of Social and Cultural Context</li> <li>• Knowledge of Learners</li> <li>• Technology</li> <li>• Diversity</li> </ul>	<p>diverse learners, and working with families. In both courses students develop lesson plans in groups on 1 topic during the semester (e.g., vocabulary, fluency) and present to the class. For these lesson plans students address issues relevant to diverse learners.</p> <ul style="list-style-type: none"> <li>• <b>EDSP321, EDHD322, &amp; EDHD323</b>, students plan, implement, and critique mentors' lessons in each of the content areas. They also plan, implement, and critique lessons they have designed in each of the content areas, plan with a partner an integrated lesson plan that includes mathematics, science and social studies, and present that lesson plan in class</li> <li>• <b>EDHD432</b>, students must receive passing scores on the PBA, notably for CEC Std. 3 and NAEYC Std. 5</li> <li>• Transcript analysis of content courses and overall undergraduate GPA of 3.0 or higher, as well as successful completion of the math and science requirements.</li> <li>• Passing scores on individual PRAXIS I exams.</li> </ul>
<p><b>6: Professional Learning and Ethical Practice.</b> Beginning special education professionals use foundational knowledge of the field and the their professional Ethical Principles and Practice Standards to inform special education</p>	<p><b>6. Becoming a professional</b> Students prepared in early childhood degree programs identify and conduct themselves as members of the early childhood profession. They know and use ethical guidelines and other professional standards related to early childhood</p>	<ul style="list-style-type: none"> <li>• Collaboration</li> <li>• Research and Inquiry</li> </ul>	<ul style="list-style-type: none"> <li>• <b>EDHD210</b>, students engage in personal reflection about their philosophy of teaching and its implications for early childhood education as well as their professional development as a teacher.</li> <li>• <b>EDHD220</b>, students complete a paper in which they reflect on the importance of technology for teaching in early childhood education, and summarize a review of developmentally appropriate technology for young children.</li> <li>• <b>EDHD424</b>, students examine the impact of federal,</li> </ul>

CEC Standards	NAEYC Standards/Learning Outcomes	COE Conceptual Framework Alignment	Sample Assessments
<p>practice, to engage in lifelong learning, and to advance the profession.</p>	<p>practice. They are continuous collaborative learners who demonstrate knowledgeable, reflective and critical perspectives on their work, making informed decisions that integrate knowledge from a variety of sources. They are informed advocates for sound educational practices and policies.</p>		<p>state (to include child care licensing), and school system policies on children, families, childcare and schools. They also engage in self-exploration and growth in order to understand how one’s personal experiences, self-concept, values and attitudes affect one’s teaching style and interactions with children and families.</p> <ul style="list-style-type: none"> <li>• <b>EDHD432</b>, students successfully complete the edTPA to demonstrate their competency with CEC, NAEYC and MTTS standards, as well as their growth over time. Additionally, students must receive a passing scores on the PBA, notably for Std. 6 and Maryland Teacher Technology Standards.</li> <li>• <b>EDSP417</b>, students interview a teacher or administer about screening, multi-tiered instruction, progress monitoring and how RTI works in their school.</li> <li>• <b>EDSP430</b>, students use the information they have obtained in the family interviews (conducted in Families and Culture in Early Intervention) to develop an IFSP which related to family priorities, concerns and needs, and learn how to conduct a Routines Based family interview and use it to identify family priorities and concerns as required by the IFSP.</li> <li>• <b>EDHD444</b>, students explore the research literature on topics related to School Improvement Plans or Individual Family Learning Plans as the basis of developing an action research proposal for their final internship.</li> <li>• <b>EDHD437</b>, course students utilize reflective</li> </ul>

<b>CEC Standards</b>	<b>NAEYC Standards/Learning Outcomes</b>	<b>COE Conceptual Framework Alignment</b>	<b>Sample Assessments</b>
			<p>own planning, delivery and assessment of instruction in home and/or school-based settings.</p> <ul style="list-style-type: none"> <li>• Passing score on both PRAXIS II tests for ECE and SpED.</li> </ul>

## **Exit Requirements**

In order to successfully complete the EC/ECSE degree program teacher candidates will:

- Maintain a GPA of 2.75 or higher.
- Complete all required courses receiving no lower than a grade of “C-” in any class/internship.
- Demonstrate competence through the College of Education Foundational Competencies.
- Demonstrate growth and competence through the PBAI.
- Demonstrate competence through either the edTPA for ECE or ECSE.
- Design and implement an Action Research Project (Students will learn research methods appropriate to the school/community context, followed by the design and implementation of their own research project).
- Successfully pass Praxis II: 0022-Early Childhood Content Knowledge (minimum score for certification=160), and 0521-Early Childhood Principals of Learning and Teaching (minimum score for certification= 169) and Special Education PRAXIS II exams: 0354 (paper/pencil or 5354 for computer based): Special Education Content Knowledge and Applications.

## **Reaction from School Districts to Proposed Program**

In September 2013, we convened another focus group of personnel from three counties: Prince George’s, Montgomery and Howard. We provided them, in advance, our course sequence and a description of course content for their feedback. Their reaction to the course sequence and content was uniformly positive and is provided in Appendix B.

## **IV. FACULTY AND ORGANIZATION**

The program will be housed in two academic units in the College of Education, the Departments of Counseling, Higher Education and Special Education and the Department of Human Development and Quantitative Methodology. The EC/ECSE faculty (N=5) has the responsibility for curriculum and programmatic decisions. Academic direction and oversight of the EC/ECSE program will be provided by the EC/ECSE Program Director (currently the ECE Program Director). Advising will be the responsibility of the College of Education, Office of Student Services and administrative responsibilities will be the responsibility of CHSE/HDQM. We anticipate being able to staff almost all of the courses with our existing CHSE/HDQM tenured and clinical faculty, all of whom hold PhDs.

**Dr. Paula Beckman** is a professor in CHSE. She specializes in Early Intervention and Early Childhood Special Education with a particular focus on providing support to families and working in culturally diverse communities. She has 30 years of experience developing, implementing and evaluating projects related to infancy and early childhood, with particular expertise in establishing programs for young children and their families in community settings. She has written two books, over 80 articles and chapters, and has edited a series of booklets on this topic. She currently directs a federally funded program to prepare teachers at the master’s degree level to work with children with disabilities and their families who are from diverse backgrounds. She was a principal investigator on the Early Childhood Research Institute on Inclusion, a large, federally funded institute involving five major universities across the United

States. For eight years, she directed Project Assist, a program designed to provide social support to families of infants and toddlers who had or were at risk for disabilities.

**Dr. Brenda Jones Harden**, associate professor in HDQM has worked for 35 years as a practitioner and researcher, on the promotion of optimal developmental outcomes for children from low socioeconomic (SES) backgrounds who are at risk for school failure. These children often require curricular adaptations as they enter preschool without the skills possessed by their counterparts from middle-income families. She is currently leading two evaluations of early education initiatives for children from birth through age five, one home-based intervention serving low SES rural families (Early Steps to School Success) and one center-based intervention serving low SES urban families (Educare DC). A particular focus of her research is the mental health of very young children, and how early childhood education programs can address social-emotional difficulties in this population. She has conducted numerous studies which examine familial and programmatic mechanisms which lead to more positive developmental outcomes for high-risk children, specifically the influence of parenting and the home environment, as well as the role of Early Head Start, Head Start, and home visiting programs in promoting children's outcomes

**Dr. Elisa L. Klein** is an associate professor in HDQM where she teaches graduate and undergraduate courses in child development and early childhood education, and conducts research in child policy, teacher education and young children's understanding of their early school experiences. Dr. Klein was a Society for Research in Child Development and American Association for the Advancement of Science Policy and Executive Branch Fellow in the Office of Behavioral and Social Sciences Research in the Office of the Director at the National Institutes of Health, from 2009-2010. Prior to that, she was a Visiting Scientist and Child Development Research Fellow in the Research, Demonstration and Evaluation Branch of the Administration on Children and Families in the U.S. Department of Health and Human Services during an earlier leave from her academic position. Dr. Klein was the founding director of the University of Maryland's first childcare research and demonstration program, the Center for Young Children. Prior to her positions at Maryland, she was a faculty member at The Ohio State University, Columbus. She has worked extensively with the Maryland State Department of Education in the development of early childhood policies including service as a member of the Maryland Task Force on Universal Preschool Education, and has been a consultant to many local, non-profit, and governmental agencies such as Head Start, The Children's Defense Fund and the National Science Foundation, on a variety of issues related to culturally and socioeconomically diverse young children's development and education. Dr. Klein's research on a variety of early childhood education, social policy and teacher preparation issues has been presented at over 70 national and international conferences, and she has edited, authored or co-authored 4 books as well as multiple book chapters and research articles.

**Dr. Joan Lieber**, professor of Special Education in the Department of Counseling, Higher Education and Special Education (CHSE) has been at UMD since 1986 as a researcher and teacher educator. She has participated in research that pertains directly to preparing teachers to work in inclusive classrooms as well as preparing teachers to address access to the general education curriculum for children who have disabilities or who are at-risk for school failure.

From 1994-1999, Dr. Lieber was part of the Early Childhood Research Institute on Inclusion, funded by the U.S. Department of Education, Office of Special Education Programs. As part of this grant, the researchers explored facilitators and barriers to including preschool children with disabilities into Head Start, Pre-K, and community-based child care programs. One of the outcomes of this grant was the publication of *Building blocks for teaching preschoolers with special needs* (2<sup>nd</sup> Ed., 2008), a practical handbook providing guidance for teachers on how to develop curriculum modifications, and embedded learning opportunities for children's IEP goals and objectives, so that children could participate successfully in general education classrooms. Most recently Dr. Lieber has been working with other researchers on Children's School Success Plus (CSS+), a project funded by the Institute for Education Sciences. The purpose of CSS+ is to modify, refine, and improve the initial integrated curriculum that was developed and tested in Children's School Success (CSS) by ensuring that every activity explicitly addresses the 3 key principles of UDL, provides specific strategies for teacher implementation of instructional individualizations, and outlines strategies for teachers to monitor child progress with links to the currently used progress monitoring tool adopted by the program (e.g., Work Sampling System) for the assessment of child outcomes.

**Dr. Christy Tirrell-Corbin** is a clinical associate professor in the Department of Human Development and Quantitative Methodology (HDQM), and the director of the UMD Early Childhood Education Program for the past ten years. Her extensive work with professional development efforts in PDS partner schools with Title 1 status involved an ongoing series of inquiry groups for school personnel on increasing family involvement in settings with high FARMS rates (over 74%). Following a significant increase in family involvement, Dr. Tirrell-Corbin has facilitated additional inquiry group explorations of race and culture in these settings. Her research on these efforts, supported by grants from MHEC, has resulted in presentations at multiple professional research conferences. She has also conducted research on teacher candidates' beliefs about race, culture and community; these results have been presented at national research conferences. Dr. Tirrell-Corbin is also a program reviewer and national team leader for the National Council for the Accreditation of Teacher Education, which requires a scholarly evaluation of ECE teacher education programs across the country relative to NAEYC and NCATE standards.

## **V. OFF CAMPUS PROGRAMS**

Not applicable

## **VI. OTHER ISSUES**

Although the undergraduate ECE program currently has a Professional Development School Network with MCPS and the Special Education Program has a PDS Network with HCPS, the EC/ECSE faculty intends to establish a new PDS Network with schools, across the neighboring counties that model best practices in ECE and ECSE. The EC/ECSE Director and PDS Coordinator will work with county PDS Coordinators, as well as principals of Title I schools, to identify the highest quality mentor teachers for the student internships.

The program will seek "recognition" from the Council for Exceptional Children and the National Association for the Education of Young Children and accreditation from NCATE/MSDE. The program has been developed around the standards of CEC, NAEYC, NCATE, MSDE and the

Maryland Teaching with Technology Standards (MTTS) to ensure all graduates are eligible for ECE and ECSE state.

## **VII. COMMITMENT TO DIVERSITY**

Recruitment for the EC/ECSE program will focus on UM students across the campus with particular attention to those not usually represented in the ECE and ECSE teaching populations. Recruitment of career changers will be throughout the culturally diverse, metropolitan area of Baltimore and Washington, DC.

Students in the program will complete their yearlong internships in local Title I schools that are diverse in culture, race and language, thereby, preparing them to work with the increasingly diverse students found in public education throughout the state and the U.S.

## **VIII. REQUIRED PHYSICAL RESOURCES**

The EC/ECSE program represents the integration of two existing programs (Early Childhood Education in the Department of Human Development and Quantitative Methodology and Early Childhood Special Education in the Department of Counseling, Higher Education and Special Education). This new dual certification program will produce approximately the same number of graduates eligible for Early Childhood (general) Education certification as in recent years (N=32) but increase the number of Early Childhood Special Education graduates approximately three-fold. Nonetheless the merging of the two programs will reduce two programs into one, thereby decreasing the need for classrooms, advising, University (field) supervisors and PDS partnerships. Moreover, this program will not require any additional campus, technological or library resources beyond that of the existing ECE and ECSE programs. In fact, the goal is to offer the fall, senior year methods courses onsite in PDSs, which not only reduces the need for UM classroom space but allows teacher candidates to see theory in practice and develop their teaching skills under the mentorship of university and school-based faculty alike.

The Bachelor's Degree Program in Early Childhood/Early Childhood Special Education will require library and other information sources largely in the form of peer-reviewed journals and reference texts, which are already in the collection and predominantly available online. The current holdings of the University of Maryland system are, therefore, adequate.

## **IX. RESOURCE NEEDS AND SOURCES**

The resource needs for the dual certification program include the following:

- EDHD and EDSP faculty to teach courses in the dual certification program
- Funding for one Professional Development School (PDS) Coordinator
- Funding for supervision for 35 students for year-long internship

Currently there is a PDS Coordinator in HDQM and a PDS Coordinator in CHSE. Because only one PDS Coordinator will be needed for the dual certification program each department will contribute to that individual's salary, which over time may result in savings for each department. CHSE and HDQM will also share the costs associated with internship supervision during the yearlong internship. The merging of ECSE and ECE allows all course offerings to be covered by full-time faculty in the two departments. We anticipate a number of potential revenue streams

as the result of the cross-departmental collaborations, for example, once the dual certification program has been implemented, faculty plan to offer graduate certificate programs in autism, and working with children with behavior challenges through Outreach (See Appendix C, Letter of Support for program from Nathan Fox, Chair, HDQM and Robert Lent, Chair, CHSE).

Table 4 shows the alignment of current Early Childhood Special Education (ECSE) and Early Childhood (General) Education (ECE) Courses with Courses in the newly proposed Early Childhood/Early Childhood Special Education Program.

**Table 4: Alignment of Current Early Childhood Special Education (ECSE) and Early Childhood (General) Education (ECE) Courses with Courses in the Early Childhood/Early Childhood Special Education Program**

Current ECSE Courses	Current ECE Courses	Courses in New EC/ECSE Program
EDSP210 Introduction to Special Education (3 cr.)	EDSP470 Introduction to Special Education (3 cr.)	EDSP211 Introduction to Special Education (3 cr.)
	EDHD210 Foundations of Early Childhood Education (3 cr.)	EDHD210 Foundations of Early Childhood Education (3 cr.)
	EDHD220 Exploring Teaching in Early Childhood Education (3 cr.)	EDHD220 Exploring Teaching in Early Childhood/Early Childhood Special Education (3 cr.)
EDHD419/EDSP420 Characteristics of Infants & Young Children (3 cr.)	EDHD419A Human Development and Learning in School Settings (Birth to Three)	EDHD419/EDSP420 Child Development, Birth to Three Years (3 cr.)
	EDHD419B Human Development and Learning in School Settings (Preschool through School-Age 8) (3 cr.)	EDHD431 Child Development & Learning, Three to Eight Years (3 cr.)
EDHD425 Language Development and Reading Acquisition (3 cr.)	EDHD425 Language Development and Reading Acquisition (3 cr.)	EDHD425 Language Development and Reading Acquisition (3 cr.)
EDSP416 Reading and Writing Instruction in Special Education (3 cr.)	EDHD314 Reading in the Early Childhood Classroom- (3 cr.) EDHD222 Children's Literature (3 cr.)	EDHD314: Reading in the Early Childhood Classroom (3cr.)
EDSP484 Reading and Writing Instruction in Special Education II (3 cr.)	EDHD315 Reading in the Early Childhood Classroom- Part II (3 cr.) EDHD222 Children's Literature (3 cr.)	EDSP315: Inclusive Instruction: Reading Methods (3cr.)
EDSP415 Assessment in Special Education (3 cr.)	EDCI464 Reading Instruction and Diagnosis Across Content Areas (3 cr.) EDHD427 Constructing and Integrating the Early Childhood Curriculum (3 cr.)	EDSP417: Reading Diagnosis and Assessment (3 cr.)
EDSP627 Curriculum & Instruction: Early Childhood Special Education (3 cr.)	EDHD321 The Young Child as Scientist (2 cr.) EDHD313 Creative Experiences for the Young Child (3 cr.)	EDSP321 The Young Child as Scientist (3 cr.)
	EDHD322 The Young Child as Mathematician (3 cr.) EDHD313 Creative Experiences for the Young Child (3 cr.)	EDHD322 The Young Child as Mathematician (3 cr.)
	EDHD323 Children Study Their World (2 cr.) EDHD313 Creative Experiences for the Young Child (3 cr.)	EDHD323 Children Study their World (3 cr.)
	EDHD435 Effective Components of Early Childhood Classrooms (3 cr.)	EDHD442: Interventions for Children with Behavioral Challenges (1 cr.) EDHD441: Data Driven Decision Making In EC/ECSE (1 cr.)

Current ECSE Courses	Current ECE Courses	Courses in New EC/ECSE Program
<b>EDSP694</b> Internship: Early Childhood Special Education (11 cr.)	<b>EDHD432</b> Student Teaching: Pre-K through 3 <sup>rd</sup> grade (12 cr.)	<b>EDHD432</b> Internship in EC/ECSE (12 cr.)
<b>EDSP423</b> Assessment in Early Childhood Special Education (3 cr.) and <b>EDSP400</b> Functional Assessment and Instruction in Special Education (3 cr.)	<b>EDHD427</b> Constructing and Integrating the Early Childhood Curriculum (3 cr.)	<b>EDSP423</b> Special Education Assessment and Instruction (3 cr.)
<b>EDSP430</b> Early Intervention: Early Childhood Special Education (3 cr.)	<b>EDHD427</b> Constructing and Integrating the Early Childhood Curriculum (3 cr.)	<b>Track I-- EDSP430</b> Intervention for Infants and Toddlers with Disabilities (3 cr.)
<b>EDSP487</b> Family Partnerships in Special Education (3 cr.)		<b>Track I—EDSP433:</b> Families and Culture in Early Intervention (0-5) (3 cr.)
	<b>EDHD424</b> Culture and Community Perspectives: The Diverse World of the Child (3 cr.)	<b>Track II--EDHD424</b> Culture, School & Community: Contexts for Learning (PreK-3 <sup>rd</sup> ) (3 cr.)
<b>EDSP413</b> Behavior and Classroom Management (3 cr.)	<b>EDHD415</b> Social Competence in Young Children (3cr.)	<b>Track II-- EDHD415:</b> Promoting the Social-Emotional Competence of Young Children in Inclusive Classrooms (3cr.)
<b>EDSP604</b> Education of Students with Autism (3 cr.)*		<b>EDHD443</b> Interventions for Children with Social Communication Challenges (1 cr.)
<b>EDSP690</b> Research Seminar in Special Education (3 cr.)		<b>EDHD444</b> Action Research in EC/ECSE (1 cr.)
		<b>EDHD437:</b> EC/ECSE Teachers as Researchers and Reflective Practitioners (3 cr.)
<b>EDSP499D</b> Universal Design for Learning (UDL) (3 cr.)**		
<b>EDSP400</b> Functional Assessment and Instruction in Special Education (3 cr.)*		
<b>EDSP403</b> Physical Disabilities (3 cr.)*		
<b>EDSP421</b> Field Placement I (4 cr.)	***	****
<b>EDSP424</b> Field Placement II (4 cr.)		
<b>EDSP691</b> Field Placement III (4 cr.)		

\* EDSP400, EDSP403, and EDSP604 are required for the Severe Disabilities certification, not a component of the EC/ECSE program

\*\* EDSP499D--UDL content embedded in EDSP211, EDHD210 and all content methods courses.

\*\*\* All early field placements in ECE were embedded in courses and identified as Labs

\*\*\*\* All early field placements in proposed EC/ECSE are embedded in courses and will be identified as Labs

## Early Childhood/Early Childhood Special Education Curriculum/Course Overview

### Pre-Professional (freshman/sophomore)

**EDSP211: Introduction to Special Education** (3cr.) Restricted to EC/ECSE pre-professional students. Co-requisite with EDHD210. This course provides an introduction to the field of special education. Students examine the field's historical foundations, including legislation; review components necessary for effective service delivery; and develop an understanding of the role of collaboration and consultation with parents, school personnel and other professionals. In addition, students are introduced to the nature and characteristics of various disabilities and review current issues in the field including overrepresentation of minority students in special education, inclusion, and federal and state assessment mandates. Current topics are addressed including evidence-based practices, universal design for learning, and individualization and differentiation of instruction.

**EDHD210: Foundations of Early Childhood Education** (3cr.) Restricted to EC/ECSE pre-professional students. Co-requisite with EDSP211. Students explore historical and current research in early childhood education, primary models of curriculum and pedagogy in the field, and the relationship between critical aspects of young children's development and the creation of inclusive learning opportunities for all children, including children at risk. The concept of developmentally appropriate practice and its application across different developmental levels and early childhood classrooms will be introduced and connected with discussion in EDHD220 and EDSP211. Students examine issues in developing and implementing high quality early childhood education experiences for young children with and without disabilities, including the influence of family, culture, and community, the needs of children at risk (e.g., poverty, immigrant status, English Language Learners), and the role of assessment in early learning. Students are introduced to the fundamentals of lesson planning in joint assignments with EDSP211.

**EDHD220: Exploring Teaching in Early Childhood/Early Childhood Special Education** (3cr.) Restricted to EC/ECSE pre-professional students. The purpose of this course is to provide students who are considering a career in education with information about the teaching profession. Students reflect on their personal strengths, identify areas of growth, and examine their predisposition to work with young children with and without disabilities. They will discuss the nature of teaching, the moral and philosophic underpinnings that influenced their decision to enter into the teaching profession, as well as the roles and responsibilities of teachers and the characteristics and qualities for effective teachers (teaching styles and teacher's primary role in the classroom). Through field experiences and classroom discussion, students will observe, then discuss the "why" behind classroom schedules, classroom arrangements, and positive and consistent classroom management. In addition, students will observe and analyze the interactions and communication among children and teachers; the questioning (scaffolding) style of their mentor teachers; and become familiar with NAEYC and CEC professional standards. Field experiences: ½ day placement each week, 6 weeks in a special education setting and 6 weeks in a general education setting.

**Notes:** EDHD210 & EDSP211 will be co-requisites in order to allow for integrated course sessions.

## Professional Courses by Semester

### Notes:

- Students will apply for either the Infancy to 5 years Track (I) or Pre-K through 3<sup>rd</sup> Grade Track (II) in the fall of their junior year. Enrollment in Track I will be limited to a maximum of 15 students due the limited availability of Infants/Toddler placements for children with special needs. If more than 15 students apply for Track I, student applications will be reviewed by the EC/ECSE faculty who will choose 15 students based upon the quality of the application materials (e.g., GPA, past experiences with Infants/Toddlers and the student's goal statement).
- EDSP433 and EDHD424 will be taught concurrently (same day/time slot) to allow for integrated class sessions for EC/ECSE students in both Track I & II
- Track I students will have the 1<sup>st</sup>, 6 week placement with Infants/Toddlers

### Semester I - Fall Junior Year

**EDSP420/EDHD419: Child Development, Birth to Three Years** (3cr.) Restricted to EC/ECSE students.

Co-requisite with EDHD425, EDHD314. This course is designed to provide students with an understanding of child development theory and research, as well as knowledge about typical and atypical development of children from birth to three years of age. The course emphasizes learning for children with and without disabilities, and for children who are at risk due to poverty and other environmental factors. The course will introduce how children develop and the challenges they face within the domains of physical, cognitive, language, social, and emotional development, with particular attention paid to the impact of risk factors on development. Students will become familiar with delays and differences in development that may occur as the result of disability. Finally, students will learn the effects of cultural and linguistic differences on growth and development. Information about theory and research in child development for children with and without disabilities will be enhanced through a series of observational experiences, which will build upon concepts addressed during class. Field experiences: 2-1/2 day placements per week in an Infant/Toddler setting. 6 weeks in a special education setting and 6 weeks in a general education setting OR 12 weeks in an inclusive classroom

**EDHD425: Language Development and Reading Acquisition** (3cr.) Co-requisite with EDHD419/EDSP420, EDHD314. This course focuses on young children's language development and the relationship between language and reading acquisition. Students learn about concepts central to language development; language achievements at different ages; concepts of emergent literacy; models of reading acquisition and skilled reading. Includes field experiences.

**EDHD314: Reading in the Early Childhood Classroom** (3cr) Restricted to EC/ECSE students. Co-requisite with EDHD419/EDSP420, EDHD425 This course introduces early childhood students to current research and methods on teaching language arts. The focus is on the development of linguistic and cognitive processes in emergent literacy and beginning reading and writing as well as application in models for the instruction and

assessment of reading and writing in young preschool aged children. It also includes material on classroom-based interventions for young children at risk of reading failure because of learning difficulties. Includes field experiences.

## **Semester II - Spring Junior Year**

**EDHD431: *Child Development and Learning, Three to Eight Years*** (3cr.) Restricted to EC/ECSE students. Prerequisite: EDHD314, EDSP420 or EDHD419, EDHD425. Co-requisite with EDSP423, EDSP315; and (Track 1): EDSP430, EDSP433 or (Track 2): EDHD415, EDHD424. This course is designed to provide the student with a basic understanding of child development theory and research, as well as specific knowledge about the development of children during the early and middle childhood “stages”, specifically from ages 3 years to 8 years. A major emphasis will be the application of theory and research from the field of educational psychology to an understanding of how young children learn and achieve academically. Because the course will address the developmental and academic functioning of children with and without disabilities, a particular focus will be on individualization (i.e., the individual developmental and learning needs of each student). Students are expected to acquire knowledge regarding a wide spectrum of behavior with an emphasis on cognition and learning. The instructor will present overview material and additional material will be read and discussed by the class. The course will introduce the accomplishments and challenges which children, who are typically and atypically developing, face within the domains of Physical, Cognitive, Language, Social, and Emotional Development. Knowledge of theory and research in child development and educational psychology will be enhanced through a series of observational experiences in inclusive settings, which will build upon concepts addressed during class periods. Students will complete assignments in a school-based placement, thereby bridging theory and practice. Field experiences: 2-1/2 day placements per week, plus 1 immersion week in PreK. 6 weeks in a special education setting and 6 weeks in a general education setting, OR 12 weeks in an inclusive classroom.

**EDSP423: *Special Education Assessment and Instruction*** (3cr.) Restricted to EC/ECSE students. Co-requisite with EDHD431, EDSP315; and (Track 1): EDSP430, EDSP433 or (Track 2): EDHD415, EDHD424. Prerequisite: EDHD314, EDSP420 or EDHD419, EDHD425. This course focuses on assessment procedures to identify infants, toddlers and preschool children with disabilities. The course includes information about screening, determining eligibility to receive special education services, and progress monitoring; as well as specialized assessment instruments for particular developmental domains including language, motor and social emotional development. The course is intended to familiarize students with a wide range of assessment approaches and to provide information about the role of assessment in evaluating children’s progress in IFSP and IEP goals as well as in instruction. An additional focus of this course is on specific instructional procedures for young children with disabilities including: writing behavioral objectives, task analysis, instructional prompts and error correction procedures, chaining, and time delay. Includes field experiences.

**EDSP315: *Inclusive Instruction: Reading Methods*** (3cr.) Restricted to EC/ECSE students. Co-requisite with EDHD431, EDSP423; and (Track 1): EDHD430, EDSP433 or (Track 2): EDHD415, EDHD424. Prerequisite: EDHD314, EDSP420 or EDHD419, EDHD425. The focus of this course is on current research and methods of teaching reading in the primary grades. This course will examine how to develop a balanced literacy program for children of all reading

levels in inclusive early childhood classrooms. Students will learn to select and use a variety of evidence-based reading strategies and assessment tools for reading and writing instruction. Includes field experiences.

#### **Track I (Birth - 5 yrs.)**

**EDSP430: *Intervention for Infants and Toddlers with Disabilities*** (3cr.) Restricted to EC/ECSE students. Co-requisite with EDHD431, EDSP423, EDSP315; EDSP433. Prerequisite: EDHD314, EDSP420 or EDHD419, EDHD425. In this course, students learn about family systems theory and the role of the family in early intervention including family interactions as the primary context for early intervention services. Students also learn to select, adapt and use instructional strategies and materials that are appropriate for infants and toddlers in early intervention and which approaches respect family, cultural, and linguistic diversity. Students develop and evaluate Individualized Family Service Plans and Individualized Education Plans. In addition students learn about team building, problem solving and conflict resolution in the context of early intervention services. Includes field experiences.

#### **Track I (Birth -5 yrs.)**

**EDSP433: *Families and Culture in Early Intervention (Birth-5)*** (3cr.) Restricted to EC/ECSE students. Co-requisite with EDHD431, EDSP423, EDSP315; EDSP430. Prerequisite: EDHD314, EDSP420 or EDHD419, EDHD425. The purpose of this course is to provide students with the skills and information they need to work effectively with families of young children (birth to age 5) who have or are at risk for disabilities in early childhood or early intervention programs. Students will review current local, state and federal policies establishing the rights of families of infants and young children with disabilities to participate in decision making for their child. We will discuss relevant theoretical and research literature as well as the cultural and contextual issues involved in working with families of very young children. Students will become aware of the issues facing families as their children are being evaluated and diagnosed as well as what happens as they begin to navigate the service system. The course will focus on practical strategies they can use to support families, provide "family-centered" early intervention services, and effectively manage potential conflicts. They will also learn to interview families so they can gather the information they need to identify family priorities and concerns, provide service coordination, develop IFSPs and participate in IEP and IFSP meetings. Includes field experiences.

#### **Track II (PreK -3rd Grade)**

**EDHD415: *Promoting the Social-Emotional Competence of Young Children in Inclusive Classrooms*** (3cr.) Restricted to EC/ECSE students. Co-requisite with EDHD431, EDSP423, EDSP315; EDHD424. Prerequisite: EDHD314, EDSP420 or EDHD419, EDHD425. Beyond delivering instructional material, teachers must have knowledge and skill regarding how to appropriately manage the classroom so that all children, including those with and without disabilities, will be able to learn from their school experiences. Classroom management extends beyond responding to student misbehavior to include a comprehensive approach to addressing the social/emotional competence of typically and atypically developing children. This is particularly important for early childhood teachers, who in many ways establish the children's school trajectories. Thus, the overarching goal of this course is to prepare early childhood teachers who are able to sensitively, responsively, and effectively manage a classroom of young students who are typically developing and those who have disabilities. Includes field experience.

#### **Track II (PreK -3<sup>rd</sup> Grade)**

**EDHD424: *Culture, School and Community: Contexts for Learning (PreK-3<sup>rd</sup> Grade)*** (3cr.)

Restricted to EC/ECSE students. Co-requisite with EDHD431, EDSP423, ED315; EDHD415. Prerequisite: EDHD314, EDSP420 or EDHD419, EDHD425. This course explores the development of the young child (with and without disabilities, as well as those at environmental risk) in the context of the family and community, with particular emphasis on the impact of state, federal and school system policy on the child's world. Based on the foundation of the ecological theory of development and current research, the course will consider issues within the family, and the wider socio-cultural ecology that relate to the child's ability to develop and learn. In addition, students will develop strategies for respectful and culturally responses approaches to actively engage families in their children's development and learning.

### **Semester III-Fall Senior Year**

***EDSP321: The Young Child as Scientist*** (3cr.) Restricted to EC/ECSE students. Co-requisite with EDHD322, EDHD323, EDSP417, EDHD441, EDHD442, EDHD443, EDHD444. Prerequisites: EDHD431, EDSP423, EDSP315, Track I Prerequisites: EDSP430, EDSP433, Track II Prerequisites: EDHD415, EDHD424. This course provides a theoretical and pedagogical framework for science instruction in inclusive early childhood/ classrooms. Students examine the principles of inquiry based science learning and develop strategies for helping children acquire fundamental problem-solving skills that may be applied to understanding a wide array of science content. Particular attention will be paid to opportunities for integrating science content with other classroom content. Assessment strategies for evaluating the achievement of science objectives, and the use of data driven instruction to support the achievement for all children will be addressed. Child-initiated and directed science experiences, use of community resources for exploring science, understanding diverse opportunities for science related activities, and the contributions and use of technology in scientific understanding will be emphasized. Field experience: Phase I of yearlong internship (2 full days per week plus 2 immersion weeks): Track I: PreK/K with general educator; Track II: PreK/K or Grade 1,2,3 placement with general or special educator

***EDHD322: The Young Child as Mathematician*** (3cr.) Restricted to EC/ECSE students. Co-requisite with EDSP321, EDHD323, EDSP417, EDHD441, EDHD442, EDHD443, EDHD444. Prerequisites: EDHD431, EDSP423, EDSP315, Track I Prerequisites: EDSP430, EDSP433, Track II Prerequisites: EDHD415, EDHD424. This course provides a theoretical and instructional framework for mathematics instruction in early childhood classrooms. The fundamental goals of this course are to develop an understanding of early childhood mathematics that emphasizes how young children learn mathematics and how to create an environment that helps young children develop rigorous mathematical reasoning and understanding. The course will reflect current thinking about both content and instructional strategies for the mathematics curriculum, and will include identification and review of extant standards and expectations for learning outcomes for all children. The relationship of mathematics to other content areas will be explored, and strategies for integrating content to create a rich, meaningful curriculum will be emphasized. Assessment strategies for evaluating the achievement of mathematics objectives, and the use of data driven instruction to support the achievement for all children will be addressed. Students will observe children's understanding of mathematics within their field placements and will have opportunities to explore these understandings through a variety of practical applications of course objectives. Includes Phase 1 field experience.

***EDHD323: Children Study their World*** (3cr.) Restricted to EC/ECSE students. Co-requisite with EDSP321, EDHD322, EDSP417, EDHD441, EDHD442, EDHD443, EDHD444. Prerequisites: EDHD431, EDSP423, EDSP315, Track I Prerequisites: EDSP430, EDSP433, Track

II Prerequisites: EDHD415, EDHD424. This course provides a theoretical and instructional framework for social studies instruction in inclusive early childhood classrooms. The course will reflect current thinking about both content and instructional strategies for the social studies curriculum, and will include identification and review of extant standards and expectations for learning outcomes for all children. The relationship of social studies to other content areas will be explored, and strategies for integrating content to create a rich, meaningful curriculum will be emphasized. Assessment strategies for evaluating the achievement of social studies objectives, and the use of data driven instruction to support the achievement for all children will be addressed. The importance of social, economic, and cultural contexts for development and education will be a primary focus of this course. Students will observe children's understanding of their social world within their field placements and will have opportunities to explore these understandings through interviews with children and the implementation of social studies activities. Includes Phase 1 field experience.

**EDSP417: Reading Diagnosis and Assessment (3cr.)** Restricted to EC/ECSE students. Co-requisite with EDSP321, EDHD322, EDHD323, EDHD441, EDHD442, EDHD443, EDHD444. Prerequisites: EDHD431, EDSP423, EDSP315, Track I Prerequisites: EDSP430, EDSP433, Track II Prerequisites: EDHD415, EDHD424. Reading Diagnosis and Assessment prepares teacher candidates to assess children in general and special early childhood education settings in the areas of reading and writing in order to plan for instruction. The course will focus on diagnostic, screening, progress monitoring, and outcome assessments in early and beginning literacy. The course is designed to provide participants with the knowledge and skills necessary to collect and use a wide range of assessment data in general education and special education settings. Includes Phase 1 field experience.

**EDHD441: Data Driven Decision Making in EC/ECSE (1 cr.)** Restricted to EC/ECSE students. Co-requisite with EDSP321, EDHD322, EDSP323, EDSP417, EDHD442, EDHD443, EDHD444. Prerequisites: EDHD431, EDSP423, EDSP315, Track I Prerequisites: EDSP430, EDSP433, Track II Prerequisites: EDHD415, EDHD424. This purpose of this course is to expose student to formative (e.g., classroom based, ongoing) and summative (e.g., standardized testing) assessments. Students will collect and analyze formative assessment data from their internship classrooms as the basis of planning and delivering instruction to meet the diverse needs of all learners. They will also analyze standardized assessment data to gain an understanding of measures used to determine cross-school and cross-teacher effectiveness. Includes Phase I field experience.

**EDHD442: Interventions for Children with Behavioral Challenges (1 cr.)** Restricted to EC/ECSE students. Co-requisite with EDSP321, EDHD322, EDHD323, EDSP417, EDHD441, EDHD443, EDHD444. Prerequisites: EDHD431, EDSP423, EDSP315, Track I Prerequisites: EDSP430, EDSP433, Track II Prerequisites: EDHD415, EDHD424. This course is intended to expand students' knowledge of and develop skills to address challenging behaviors in inclusive early childhood classrooms. Students examine the causes underlying challenging behaviors during the early childhood years, and identify appropriate resources and support services for working with families to develop a unified approach when responding to behavioral challenges. Includes Phase 1 field experience.

**EDHD443: Interventions for Children with Social Communication Challenges (1 cr.)** Restricted to EC/ECSE students. Co-requisite with EDSP321, EDHD322, EDHD323, EDSP417, EDHD441, EDHD442, EDHD444. Prerequisites: EDHD431, EDSP423, EDSP315,

Track I Prerequisites: EDSP430, EDSP433, Track II Prerequisites: EDHD415, EDHD424. The overarching goal of this course is to equip students with the knowledge and skills to meet the needs of this group of children in the early childhood classroom. Specifically, students will learn about the characteristics of children with autism spectrum disorder, pervasive developmental disorder, social communication disorder, and other related challenges. The utilization of Universal Design for Learning (UDL), Response to Intervention (RTI) and other early childhood special education approaches, as they apply to this specific group of children, will be addressed. Interventions designed to improve the functioning of children with autism spectrum disorders and related disorders will be reviewed, such as Applied Behavioral Analysis, relationship approaches, language therapies, and social skills interventions. Includes Phase 1 field experience.

**EDHD444: Action Research in EC/ECSE (1 cr.) Restricted to EC/ECSE students.** Co-requisite with EDSP321, EDHD322, EDHD323, EDSP417, EDHD441. EDHD442, EDHD443. Prerequisites: EDHD431, EDSP423, EDSP315, Track I Prerequisites: EDSP430, EDSP433, Track II Prerequisites: EDHD415, EDHD424. The purpose of this course is to familiarize students with the EC/ECSE research process and literature, as well as how teachers use action research to improve pedagogy and the overall experiences of children in classroom or home-based contexts. Students will utilize this knowledge, as well as either a goal in an Individualized Education Plan (IEP) or Individualized Family Service Plan (IFSP) or School Improvement Plan (SIP), to develop an action research study commenced during the following semester. Includes Phase 1 field experience.

**Notes:**

- With the exception of EDHD322, courses will be taught onsite in a school with inclusive classrooms.
- The Science and Social Studies methods courses will be scheduled for the same day of the week to allow for integrated class sessions.
- MTTs will be integrated into the content methods courses with a joint session on assistive technology

**Semester IV -Spring Senior Year**

**EDHD437: EC/ECSE Teachers as Researchers and Reflective Practitioners (3 cr.)** Restricted to EC/ECSE students. Co-requisite with EDHD432. Prerequisites: EDSP321, EDHD322, EDHD323, EDSP417, EDHD441, EDHD442, EDHD443, EDHD444. The purpose of this course is for students to use action research to improve instructional delivery or familial interactions in an effort to enhance the overall educational experiences/outcomes of children in classrooms or home-based contexts. Students will design and implement an action research project in an effort to meet a goal articulated in an applicable Individualized Education Plan (IEP) or Individualized Family Service Plan (IFSP) or School Improvement Plan (SIP) as the basis of their project. In addition, students will engage in reflective discourse around and analysis of their interactions with children, families and staff members, as well as their own planning, delivery and assessment of their own instruction in EC/ECSE settings.

**EDHD432: Internship in EC/ECSE (12 cr.)** Restricted to EC/ECSE students. Co-requisite with EDHD437. Prerequisites: EDSP321, EDHD322, EDHD323, EDSP417, EDHD441, EDHD442, EDHD443, EDHD444. Interns spend five days per week in the classroom/home-based setting

(under the mentorship of a certified teacher) where they gradually assume full responsibility for the planning, delivery and assessment of instruction or an intervention. Track I students will have an Infant/Toddler placement with special educator, Track II students will be in a Pre-K/K or Grade 1,2,3 classroom with general or special educator (must be opposite grade level and mentor from Phase I/fall of the senior year).

## **Appendix A - Letters of Support**



Lillian M. Lowery, Ed.D.  
State Superintendent of Schools

200 West Baltimore Street • Baltimore, MD 21201 • 410-767-0100 • 410-333-6442 TTY/TDD

November 4, 2013

Dr. Kathy Angeletti, Assistant Dean and Executive Director of Teacher Education  
College of Education  
3119 Benjamin Building  
University of Maryland  
College Park, Maryland 20742

Dear Dr. Angeletti:

I am happy to offer my endorsement for the College of Education proposed undergraduate degree program in Early Childhood/Early Childhood Special Education (EC/ECSE). The need for the teachers of our youngest students to be able to differentiate and to understand the impact of developmental delays on learning is critical. A blended program in EC/ECSE responds to the ongoing request of local school systems for dually certified teachers working in inclusive early childhood settings. This program will better prepare graduates to meet the diverse needs of young learners. Therefore, I fully endorse and recognize the importance and potential of this collaborative program.

I would like to acknowledge the faculty for designing a program that meets the requirements of:

- Council for Exceptional Children (CEC)
- National Association for the Education of Young Children (NAEYC)
- The Interstate Teacher Assessment and Support Consortium (InTASC)
- Council for the Accreditation of Educator Preparation (CAEP)
- Maryland Teacher Technology Standards (MTTS)
- Common Core State Standards (CCSS)
- Universal Design for Learning (UDL) Principles
- Maryland Institutional Performance Criteria based on *The Redesign of Teacher Education*
- MSDE Division of Special Education/Early Intervention Services strategic imperatives:
  - D *Early childhood service delivery systems must be aligned and all providers must be highly effective and qualified.*
  - D *Teacher/service provider training programs need to be designed to prepare all teachers/service providers to teach students with disabilities.*

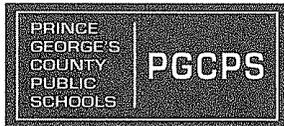
Dr. Kathy Angeletti  
November 4, 2013  
Page Two

Given that Special Education is an identified shortage area in Maryland, I am especially pleased that the number of graduates eligible for Early Childhood/Special Education certification is expected to increase three-fold, while the number of students eligible for Early Childhood Education (general) certification will remain constant. I offer my support for the proposed EC/ECSE teacher education program and look forward to continuing work with the College of Education to meet the needs of Maryland schools.

Sincerely,

Jean E. Satterfield  
Assistant State Superintendent  
Division of Educator Effectiveness

Cc: Lillian M. Lowery, Ed.D., State Superintendent of Schools  
Penelope Thornton Talley, Esq., Chief Performance Officer  
Maggie Madden, Ph.D., Program Approval Specialist



June 6, 2013

**A. Duane Arbogast, Ed.D.**  
*Acting Deputy Superintendent for Academics*

Christy Tirrell-Corbin  
Director,  
Early Childhood Education  
University of Maryland  
3304 Benjamin Building  
College Park, MD 20742

Dear Dr. Tirrell-Corbin:

Prince George's County Public Schools is pleased to support the proposal, *A Dual Certification Program in Early Childhood (EC) and Early Childhood Special Education (ECSE): Development of a Blended Teacher Preparation Program with an Emphasis on Children at Risk*, to be submitted to the IDEA Discretionary State Grant competition for the State of Maryland, by faculty in the Departments of Counseling, Higher Education and Special Education, and Human Development and Quantitative Methodologies at the University of Maryland, College Park. This program will meet an identified need in the Prince George's County Public School system: early childhood educators who are prepared to meet the needs of young children at high risk with and without disabilities.

As you know we have long advocated for the development of dual certification programs in Early Childhood and Early Childhood Special Education at the University of Maryland. We believe coursework and field experiences in EC and ECSE will better prepare teachers to meet the varied needs of the children entering our schools, most notably those with social-emotional challenges and those with Autism Spectrum Disorders. Therefore, we enthusiastically support the development of the blended program and are eager to work with you as you plan this innovative new program.

Sincerely,

A handwritten signature in black ink, appearing to read "Allan D. Arbogast", written in a cursive style.

Allan D. Arbogast  
Acting Deputy Superintendent

Division of Early Childhood Programs and Services  
MONTGOMERY COUNTY PUBLIC SCHOOLS  
Rockville, Maryland

June 5, 2013

Dr. Elisa L. Klein  
Department of Human Development and Quantitative Methodology  
3304 Benjamin Building  
University of Maryland  
College Park, Maryland 20742

Dear Dr. Klein:

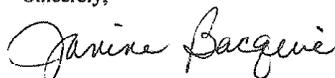
Montgomery County Public Schools Division of Early Childhood Programs and Services is pleased to support the idea of a Dual Certification Program in Early Childhood and Early Childhood Special Education: Development of a Blended Teacher Preparation Program with an Emphasis on Children at Risk, supported by faculty in the Departments of Counseling, Higher Education and Special Education, and Human Development and Quantitative Methodologies at the University of Maryland, College Park. If funded, this program will meet an identified need in the Montgomery County Public School system: early childhood educators who are better prepared to meet the needs of young highly impacted children with and without disabilities.

As you know from our interest and participation in an exploratory focus group you held a few months ago, we have noted an increase in the number of infants, toddlers and primary grade children who need additional supports in order to narrow the achievement gap they often face as they enter school.

Recently published Maryland Model for School Readiness data indicates that 80% of Montgomery County's children entering kindergarten are deemed "fully school-ready", whereas the subgroup data for children with disabilities indicates that only 52% enter "fully-school ready". A teacher preparation program that qualifies teachers in both Early Childhood Special Education and Early Childhood Education will provide skills that are necessary to meet the needs of these young children and their families.

I am eager to discuss further and collaborate with you as you plan this innovative new program. Please be assured that the Montgomery Public Schools supports this endeavor, should it be funded. If you have further questions, please feel free to contact me at 301-230-0691 or via email at [Janine\\_G\\_Bacquie@mcpsmd.org](mailto:Janine_G_Bacquie@mcpsmd.org).

Sincerely,



Janine Bacquie  
Director, Division of Early Childhood Programs and  
Services

## Appendix B – Notes from September Focus Group Meeting

Wednesday, September 25, 2013

### Early Childhood/ Early Childhood Special Education Undergraduate Curriculum Focus Group

Attendees: Duane Arbogast (Chief Academic Officer, PGCPS),  
Paula Beckman (Professor, SPED/UM),  
Mary Rose Catena (Instructional Specialist, MCPS),  
Elisa Klein (Associate Professor, ECE/UM),  
Sarah Krandle (2<sup>nd</sup> grade teacher in an inclusive classroom, dually  
certified in ECE & ECSE, MCPS),  
Joan Lieber (Professor, SPED/UM),  
Kim Nwosu (Instructional Specialist, HCPS),  
Christy Tirrell-Corbin (Director ECE, UM) and  
Diedra Tramel (Principal, Frances Fuchs Early Childhood Center,  
PGCPS)(via email communication)

Joan Lieber presented a recap of the previous focus group meeting.

Christy Tirrell-Corbin presented the EC/ECSE Undergraduate Curriculum.

The discussion below followed the presentations:

- Diedra Tramel                    In reviewing the DRAFT degree plan for the new dual certification program, I was pleased to see the emphasis on not only teacher preparedness but teacher reflection on professional practice.  
The continuum of proposed course offerings combined with the field placements appear balanced, rigorous and inclusive of research based practices. It was particularly good to see the focus on data driven instruction, introduction to ASD, inclusive practices, and appropriate interventions for children with behavioral challenges!  
You are to be commended for the extensive scope of your work thus far and going forward, I look forward to continued opportunities to provide forums for partnering and discussion. Our children are entitled to have qualified, *highly effective* teachers. Thank you again for the work that you are doing.
- Duane Arbogast:                The people who decide to go into early childhood, when do they know that early childhood.... I'm looking at the pre-professional; this is a very specialized program, so is this the person who always wanted to be a kindergarten teacher? I guess my question is , is there are a wide variety of choices, and I'm wondering about the pre-professional sequence and does that give you the scope of what the game is all about? Or have they already self-selected early childhood?
- Christy Tirrell-Corbin:        In general, early education program is similarly structured now, so they do have three pre-professional courses. We market those as an opportunity to explore the field. Most students choose to go that route, but some choose not to.
- Duane Arbogast:                Do they decide to drop out of the program in the school of education?

- Elisa Klein: We have had a few people who have come into it and decide that's not what they want to do, so it does begin to separate them out.
- Duane Arbogast: And tell me about people who decide to go to social work. There is a social work component that is pretty strong. How do you tap, who are those people? What majors are they in? And how do they get tapped in the pre-professional?
- Elisa Klein: I don't think we have knowingly tapped into that yet, but that may be something we will be thinking about. My own personal experience is that they go into social work at the master level. We will sometimes get a few people who have declared majors in psychology, sociology, or family science. Some people double major, I would say it's probably less than 5%, the vast majority go in knowing that's what they want to do.
- Duane Arbogast: There is a very strong diagnostic, prescribing treatments to kids, and that is really clear in this curriculum. Is that what young people who are interested in special education are thinking about when they think about certification in special education?
- Joan Lieber: I think they are thinking about wanting to help people and they have had previous experience with working with people with disabilities.
- Kim Nwosu: What I was getting so excited about from my position, and working with new teachers in the county, everything that my regular education teachers that are working in an inclusive classroom have, it is there. And everything my special education teachers are missing, it's there. I like that they are getting a strong foundation in curriculum as a special educator and a strong foundation in data and testing and how to administer testing and analyze data. And the family engagement specialist piece is a huge part for both of them; there is not enough of that in either existing program.
- Duane Arbogast: So I guess that my point is that you may be able to attract a student that never thought about this as a teacher, well people who never thought about themselves as teachers will be attracted to the way you've laid this out, like people who are interested in social justice, change, and social work.
- We are really very invested in your students who are at the school of engineering and school of business because they never thought of themselves as teachers, yet they can be some of our best teachers. This is a very analytical skill; the person who goes through this program will have a very analytical skill that puts them in a different category I think. And it might be people who are very interested in this kind of perspective opposed to the ones who have a loose notion of what a teacher is. And this is not a loose notion of what a teacher is.
- Elisa Klein: I can only speak for myself. We don't want to say if you love children you shouldn't come into the program, but we say that's great, but it's not enough. We want them to know before they get into it.
- Kim Nwosu: It is also the art of teaching and the science of teaching. A lot of people have the art, but not the science, and a lot of people have the science, but not the art. It really is a marry and a merge.
- Christy Tirrell-Corbin: Most of our students do not come into this university intending to be early childhood majors. There are a few who come in, declaring this right after high school. Your point is a really good one; in terms of campus recruiting we can be doing this in a different way. This is going to be rigorous; there is no doubt about it.
- Christy Tirrell-Corbin: *Looking at the sequence of courses and the course descriptions, do you think our teachers will be well-prepared to work in your program?*
- Duane Arbogast: So the reading component is very strong, but I'm becoming increasingly concerned about the teachers' mathematics background. Math is relatively light in this, and yet it is a very mathematic and analytical program. The math content is light and that would be one problem I may have.

- Joan Lieber: In SPED we currently have one week on math; one week on science, so having an entire 3-credit course is a huge jump for us.
- MaryRose Catena: We were just recently having a discussion; Dr. Pastor said special educators have not come out of school with a lot of content knowledge. Sometimes with general education teachers feel like they have to refer a child to special education and then they get referred and here is this special education teacher that doesn't know how to teach reading very well. These general education teachers are stronger at knowing how to teach content. When I saw all the content in her I was just so excited because I think that has been a piece that has been missing. I do agree I think the math has become such a larger focus.
- Christy Tirrell-Corbin: There are university (college-level) math courses that they take before this, which are not listed on the EC/ECSE chart.
- Duane Arbogast: So it is becoming increasingly more apparent to me that the what early childhood knows about math nobody else knows. There is all this stuff that has to be locked early, our culture doesn't support math the way it supports literacy.
- Joan Lieber: Teachers do a lot of numbers and operations, and they don't do a lot of the other math.
- Duane Arbogast: The flipside is I don't think it's up to the college to teach them everything they need to know.
- Duane Arbogast: Your content is so full; I don't even know where you can increase it.
- Joan Lieber: But the other nice thing, how we have conceived content classes, social studies, science, and math, they will all be on the same day and we will meet together as a group.
- Christy Tirrell-Corbin: We want to teach these courses onsite where we can bring teachers in and disperse the students, and utilize a fishbowl approach, which is a very different experience form what we are delivering now.
- Elisa Klein: We would have blocks where we would be together teaching or focus more on certain components on math; it will give us a lot of flexibly. The other thing I would say is that some of the skills they need as people who are teaching math is that their comfort level and understanding needs to be high. There are a lot of analytic components across all of the courses so they will know how to do some statistical things in some of the other courses.
- Sarah Krandle: I like the idea of having content classes on the same day. And really getting interns to work harder and not smarter. With all students especially special education students, the more repetitive and the more practice, the more they see these concepts going up they will be able to incorporate the different subjects, its nicer.
- Sarah Krandle: In my own classroom we have the ESL teacher plugged in, in the afternoon and we are doing science and reading together. Getting them to think less of a subject in a block of hour and more about their overall learning experience.
- I didn't take special education courses as a requirement, I just took it on the whim, and it was a spark, a passion. I think it naturally weeds out those who aren't intrinsically motivated about it and you know, for me I loved the legislature part about it and learning about the history. I know other people who were totally turned off by it. And now I even notice on my team there are teachers that are really interested in it and teachers that want no part in it.
- Kim Nwosu: I can piggyback off that as well, I spent my teaching years in an inclusive classroom as well and fully included co-teaching model. Special education was required and it sparked an interest in me as well and it just so happens that my placement was in a classroom that was inclusive. There are people that jump into it feet first and then there are people that are like "no, no, no I don't want to deal with all of that." This program would definitely have those who don't want to deal with that, they will have the tools to do it.
- Sarah Krandle: And I think too it makes a more well-rounded-- even if an intern goes into this program and they decide they want to work in a general education classroom, the skills that they will have

will affect every child. It gives you more avenues professionally too, to decide. I also like the emphasis on culture, and our CLE students with special needs, that's such a huge combo platter especially in my own classroom I know those students, it's extremely difficult to problem solve.

- Kim Nwosu: Socio-emotional is such a big piece and understanding how important it is. A lot of kids get referred when they haven't been in a learning environment that isn't beneficial for them, their behavior is based on the type of environment they need and they don't need to be referred they just need someone to look at the environment they are in.
- MaryRose Catena: That's why so many children with disabilities don't make it in general education classes, it's not the academics, it's often the behavior. So that piece is excellent.
- Sarah Krandle: I've looked at special education structure as quality teaching across the board; it is a more tailored program for all of the children in your classroom. And there is so much there, especially the socio-emotional piece, it's not just academics.
- Duane Arbogast: This idea of understanding disability and the treatment for disability is a rare skill indeed and I think special educators many times can't even do that. They can't distinguish communication disorders or they don't know the treatment. It's more than just being a teacher, it's also about diagnosis. And I see that in your spring junior year track 1, that course seems to bring out- I can't really tell if fall junior year the third course, I'm thinking it's that other course that gets them closer to those behaviors that it's really hard to label. Should we call them developmentally delayed, on the autism spectrum? That's what every kindergarten teacher is dealing with.
- Kim Nwosu: And the data driven decision-making is really what teachers need. You base what you are instructing on, on the data you are collecting in your classroom.
- Elisa Klein: This is something we are making more and more apparent to them where they have to develop rationale based on the data. This idea of how you pair your assessment with the objective and what you do with that information. We are really trying to make that visible and every year we think about that and add some things on.
- Duane Arbogast: The ability to write a good bit on Functional Behavioral Assessment, I'm assuming that's coming in fall senior year.
- MaryRose Catena: The one thing I am really excited to see, but it's in the introduction to special education was the Universal Design for Learning (UDL) component, that's a big component now. In Montgomery Country it's a huge project for us, we have a department focused on that and it's rolling out, we were just talking the other day about what's happening in higher education to prepare teachers for this. So I was excited to see that there, but I was wondering..? It's a big deal for all kids.
- Christy Tirrell-Corbin: It's a higher education mandate, teachers have to prepare for it by 2014, and everyone should be doing it.  
*Any gaps or concerns?*
- Sarah Krandle: My concern is just that you all will be finding enough inclusive classrooms. I feel passionately about it, but for a lot of general education teachers it's scary. The idea of something new. I think they go into a mindset of you know, my job will not be successful. For example my classroom, I have a different setup, with all the students with resource hours placed in my room and then pulled out, so my class is heavy, but with the idea that I have certified special education. There aren't many other schools and environments that are like mine.
- Kim Nwosu: Your classroom sounds wonderful, but there are some inclusive classrooms that are not good examples. And so even though they are called cohort classrooms I wouldn't want any of my pre-service teachers to go in them. Also being very selective about the environment that you are putting them in. Because when you are running the risk of not having enough, that's something I think is going to be difficult.
- Christy Tirrell-Corbin: Our plan for this program is that it will be cross county. We have a lot of classrooms now that

are inclusive classrooms, but very few that have teachers that are dually certified.

- Sarah Krandle: In Montgomery County they are so- when it comes to confidentiality and IEPs they get very nervous about it. There has to be an understanding that the intern will now have access to this information and there needs to be conversations with these interns that this is confidential.
- MaryRose Catena: We have always been struggling in Montgomery County; in our pre-K classes too have inclusive settings. We struggled with that too because not having universal pre-K and the amount of children we have with disabilities and developmental delays, but we are continuing to expand that amount of our classes that are in regular education pre-k classrooms, so that we can have a collaboration model where the children are being taught by general education and special education teachers. We are going into buildings that have primarily general education classes so that we are moving away from self-contained classrooms.
- Kim Nwosu: Most of our classrooms are like that.
- Duane Arbogast: I think it's our problem too; our centers are so IEP heavy. It's a special education field, but not necessarily an early childhood field. So we are talking about creating new centers that are not special education based, but special education kids go there. Kind of flipping that idea. So where my head is that we need to create more places where I have a critical mass, it's nice to have a coordinator who manages the IEPs, not just the assistant principal. Creating child education centers that are not special education centered.
- Kim Nwosu: We have worked so hard to help our special education teachers follow up with a curriculum and working with the general educators and having co-teaching models in the classroom. I was at a school today and I couldn't tell who the special education teacher was and who the general education teacher was. And that's what you want to have.
- Duane Arbogast: You guys have done a nice job.
- Sarah Krandle: I did a similar certification program at GW and I think often the teachers would want answers and there isn't always a clear answer. Most kids with disabilities now it's not one disability, they try figure out if it's the CLD component or the special need component. And you won't always have that answer. I think getting them to think less about the disability and more about the services and more about the child.
- Christy Tirrell-Corbin: *Will your county be able to support this program based on our sequence of placements and the types of placements we need?*
- Kim Nwosu: There are lots of classrooms in pre-k and kindergarten that are working really well in Howard County. I don't think you will see the same thing in first, second, and third grade. There isn't much co-teaching.
- Paula Beckman: What do you think about the infant placement?
- Sarah Krandle: It seems to me that on the birth to five tracks there would be more opportunities in Montgomery Country.
- MaryRose Catena: We have a really developed infant toddler program; I would think across the 5 locations that we would be able to support this. The pre-k inclusive classrooms are growing. That collaboration model that we are expanding, those are growing. I would think that we would be able to. When you get into kindergarten to grade 3 we have a lot of locations that are considered home school model schools so they are keeping their own kids, how the model is in each school is a little different.
- Sarah Krandle: I know in my school there is a CAPS School; it's a collaborative autism pre-k program.
- Paula Beckman: My question about infant and toddler went to pre-k.
- MaryRose Catena: Each infant toddler classroom has different transition classrooms; they integrate parents into the model. Every one of five locations has those. Often they are not something that meet five days

a week, they meet 1 or 2 days a week. Every single one of them does those classrooms; there are different levels with mild and severe needs.

- Kim Nwosu: In Howard County we have the MINC program.
- Paula Beckman: The infant placement has been the hardest for us.
- Kim Nwosu: I think we do all home visits, I don't think that babies come into the classroom.
- Duane Arbogast: I'm actually thinking of the Judy Center and WIC centers with family engagement centers, those would be good places.
- MaryRose Catena: I would speak to Amy Cropp, she is the supervisor, and she will be able to speak better than I am about this. I will relay the message to her.
- Kim Nwosu: I will ask Anne Hickey.
- Christy Tirrell-Corbin: *Any closing comments?*
- Duane Arbogast: Yes, we really want to work with you on this!

## **Appendix C – Letter of Support from Chairs of HDQM and CHSE**



UNIVERSITY OF  
MARYLAND

COLLEGE OF EDUCATION  
DEAN'S OFFICE

3119 Benjamin Building  
College Park, Maryland 20742  
301.405.2334 TEL

November 5, 2013

Dean Donna Wiseman  
College of Education  
University of Maryland

Dear Dean Wiseman:

We endorse the establishment of a four-year, undergraduate dual certification program in early childhood and early childhood special education. The program will increase the production of graduates in special education, provide special education graduates with an additional certification in early childhood, and provide early childhood graduates with an additional certification in special education. Because of the critical shortage area of early childhood special education teachers in Maryland, the new program will be of great benefit to the State.

Because the program will be shared across two departments – HDQM and CHSE – we have agreed to the following:

First, the EC/ECSE program will be jointly governed by faculty in CHSE and HDQM. Responsibilities for program coordination and oversight for internships will currently be assumed by a clinical faculty member in HDQM; however, this leadership role could shift over time, depending on staffing conditions in both departments. All instructional responsibilities, including teaching and activities related to accreditation will be shared by faculty from both HDQM and CHSE. The EDSP program within CHSE will, at the present time and for the foreseeable future, be responsible for providing faculty to teach no fewer than 27 credits, while the EDHD program within HDQM will be responsible for no fewer than 52 credits. Faculty workload will be distributed according to courses taught.

Program governance and accountability will be shared by the EDSP and EDHD faculty. These activities will specifically include:

- Admissions
- All reporting (e.g., CAEP, MSDE, Title II)
- Developing and maintaining Professional Development School (PDS) partnerships

All costs associated with supervision will be shared equally by both programs as follows:

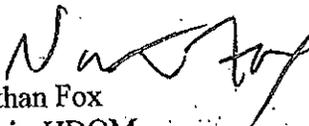
- Salary of one PDS coordinator will be split between programs (50/50)
- Additional costs related to supervision will be shared (50/50)

Costs associated with program coordination and administration will be split between EDSP and EDHD proportional to the number of course credits assigned to each faculty (66% EDHD; 34% EDSP). The portion of a Program Director's salary that is uniquely dedicated to program administration and coordination is determined to be 30%; this will be shared by EDHD and EDSP on a 66/34 basis. This proportional distribution of the Director's salary will be reviewed and renegotiated, as necessary, when and if there are changes in program leadership.

Finally, the degree program will reside within HDQM. Credit for enrollment and degrees produced may change as the University provides for splitting such credit.

In summary, this is an innovative program that will benefit the school systems in Maryland as well as both HDQM and CHSE. Benefits include at minimum the following:

- Each program will be responsible for fewer course offerings and faculty from both departments can teach a variety of courses in the new program
- There is reduced staffing; that is, there will be one PDS coordinator rather than two, resulting in cost savings for each department
- Cross-departmental collaboration
- Increased marketability of graduates, notably those in Early Childhood
- Increased number of Early Childhood Special education graduates
- Greater program support from State policy-makers and local education administrators



Nathan Fox  
Chair, HDQM



Robert Lent,  
Chair, CHSE

----- Original message-----

**From:** Janis Cornell-DeMoss  
**Date:** Wed, 11/27/2013 9:05 AM  
**To:** Kathleen Ann Angeletti;  
**Subject:**RE: RE: Campus PCC meeting on 12/6?

Hi Kathy,

Here's the answer to Mike's first question:

Yes, but they are not different from the Gen Ed requirements of the two old programs. The pre-professional course requirements that double count with Gen Ed for the blended program are:

NL (PL)  
NL (LL)  
PSYC100 -DSHS  
SOCY100 -DSHS  
HIST200 -DSHS  
Creative Arts Course (ARTT100, 110, THET120) -DSHU  
STAT100 -FSAR

In addition, here are the gateway courses:

EDHD220 -DSSP  
EDHD210 -DSHS  
EDSP211 (210A)  
MATH212  
MATH213

Let me know if you have questions.

Janis Cornell-DeMoss  
Director, Office of Student Services  
College of Education  
University of Maryland

**From:** Kathleen Ann Angeletti  
**Sent:** Tuesday, November 26, 2013 6:25 PM  
**To:** Janis Cornell-DeMoss; Kathleen Ann Angeletti  
**Subject:** Fw: RE: Campus PCC meeting on 12/6?

Janis,

Can you answer Mike's first question for me?

Thanks!

Kathy

Sent from my Verizon Wireless 4G LTE Smartphone

----- Original message-----

**From:** Michael D Colson

**Date:** Tue, 11/26/2013 5:55 PM  
**To:** Kathleen Ann Angeletti;  
**Subject:**RE: Campus PCC meeting on 12/6?

Hi Kathy,

I have two quick items to bring up in regard to this proposal. First, are there going to be any specific Gen Ed courses that will be required as there are for the pre-professional requirements in ECE and Special Ed?



**University Senate  
TRANSMITTAL FORM**

<b>Senate Document #:</b>	13-14-21
<b>PCC ID #:</b>	13030
<b>Title:</b>	Proposal to Establish a Master of Science in Accounting
<b>Presenter:</b>	Marilee Lindemann, Chair, Senate Programs, Curricula, and Courses Committee
<b>Date of SEC Review:</b>	January 31, 2014
<b>Date of Senate Review:</b>	February 5, 2014
<b>Voting (highlight one):</b>	<ol style="list-style-type: none"> <li>1. On resolutions or recommendations one by one, or</li> <li>2. In a single vote</li> <li>3. To endorse entire report</li> </ol>
<b>Statement of Issue:</b>	<p>The Robert H. Smith School of Business proposes to take its existing Master of Science in Business area of concentration in Accounting and reclassify it as its own, stand-alone degree program, the Master of Science in Accounting. The context of the Master of Science in Business is important for understanding this proposal. Designed to provide an alternative to the generalist approach of the Master of Business Administration, the Master of Science in Business was created in 1978 to allow students to specialize in an academic field within business and management. Consequently, the Master of Science in Business has a structure that is uncommon for campus degree programs that have areas of concentration. The Master of Science of Business does not have a set of core requirements that is shared by each area of concentration. The curriculum of each area of concentration focuses on its own content; thus, the curriculum of the Accounting area of concentration is comprised entirely of accounting courses. Last year, a proposal to convert the concentration in Finance to its own degree program was approved. This proposal is a continuation of the effort to separate some of the MS in Business concentrations into their own degree programs.</p> <p>In the past, the structure of the Master of Science in Business was sufficient for the purposes of the area of concentration in Accounting. In recent years, however, it has become apparent that this structure poses unnecessary limitations for students, staff and faculty. Currently, the diploma only indicates the Master of</p>

	<p>Science in Business, not the actual focus of the curriculum. The general degree name also puts the School of Business at a competitive disadvantage when trying to attract students who are strongly interested in a degree in Accounting. Students and alumni have overwhelmingly expressed their desire for the degree name to accurately represent the focus of their coursework.</p> <p>By having a separate program as opposed to a concentration, students will now be able to pursue multiple areas in business (i.e., they will be able to pursue two business MS degrees at UM because the program names will now be different). Furthermore, the tuition rate will no longer be tied to the tuition rate of the MS in Business, and can be lowered or raised depending on market demand.</p> <p>Other than reclassifying the area of concentration as its own degree program, there are no other changes proposed. The new degree program will continue to be administered in the same manner as the area of concentration had been in the past, with the same faculty responsible for oversight. The curriculum will also remain the same. Consequently, there is no need for additional resources as a result of the proposed action.</p> <p>The Graduate PCC committee approved the proposal on January 27, 2014. The Senate PCC committee approved the proposal at its meeting on December 6, 2013.</p>
<b>Relevant Policy # &amp; URL:</b>	N/A
<b>Recommendation:</b>	The Senate Committee on Programs, Curricula, and Courses recommends that the Senate approve this new degree program.
<b>Committee Work:</b>	The Committee considered the proposal at its meeting on December 6, 2013. Anil Gupta, Professor, Robert H. Smith School of Business, and Michael Marcellino, Assistant Dean, Robert H. Smith School of Business, presented the proposal. After discussion, the Committee voted unanimously to recommend the proposal.
<b>Alternatives:</b>	The Senate could decline to approve this new degree program.
<b>Risks:</b>	If the Senate does not approve reclassifying the area of concentration as a degree program, the program and the students will continue to be at a disadvantage because of the generic name of their degree program.
<b>Financial Implications:</b>	There are no significant financial implications with this proposal.
<b>Further Approvals Required:</b> <i>(*Important for PCC Items)</i>	If the Senate approves this proposal, it would still require further approval by the President, the Board of Regents, and the Maryland Higher Education Commission.

**THE UNIVERSITY OF MARYLAND, COLLEGE PARK  
PROGRAM/CURRICULUM/UNIT PROPOSAL**

- Please email the rest of the proposal as an MSWord attachment to [pcc-submissions@umd.edu](mailto:pcc-submissions@umd.edu).

PCC LOG NO.

13030

- Please submit the signed form to the Office of the Associate Provost for Academic Planning and Programs, 1119 Main Administration Building, Campus.

**College/School: Robert H. Smith School of Business**

Please also add College/School Unit Code-First 8 digits: 01202900

Unit Codes can be found at: [https://hypprod.umd.edu/Html\\_Reports/units.htm](https://hypprod.umd.edu/Html_Reports/units.htm)

**Department/Program: Robert H. Smith School of Business**

Please also add Department/Program Unit Code-Last 7 digits: 1290101

**Type of Action (choose one):**

- |   |   |
|---|---|
| <input type="checkbox"/> Curriculum change (including informal specializations)     | <input checked="" type="checkbox"/> <i>New academic degree/award program</i>        |
| <input type="checkbox"/> Curriculum change for an LEP Program                       | <input type="checkbox"/> New Professional Studies award iteration                   |
| <input type="checkbox"/> <i>Renaming of program or formal Area of Concentration</i> | <input type="checkbox"/> New Minor  |
| <input type="checkbox"/> <i>Addition/deletion of formal Area of Concentration</i>   | <input type="checkbox"/> Request to create an online version of an existing program |
| <input type="checkbox"/> <i>Suspend/delete program</i>                              |   |

*Italics indicate that the proposed program action must be presented to the full University Senate for consideration.*

**Summary of Proposed Action:**

Convert Master of Science in Business Management Accounting Concentration to a Master of Science in Accounting

**Departmental/Unit Contact Person for Proposal:** \_\_\_\_\_

=====

APPROVAL SIGNATURES - Please print name, sign, and date. Use additional lines for multi-unit programs.

1. Department Committee Chair \_\_\_\_\_

2. Department Chair \_\_\_\_\_

3. College/School PCC Chair \_\_\_\_\_

4. Dean \_\_\_\_\_

5. Dean of the Graduate School (if required) \_\_\_\_\_

6. Chair, Senate PCC Manice Fair 12/6/13

7. University Senate Chair (if required) \_\_\_\_\_

8. Senior Vice President and Provost \_\_\_\_\_

**THE UNIVERSITY OF MARYLAND, COLLEGE PARK  
PROGRAM/CURRICULUM/UNIT PROPOSAL**

- Please email the rest of the proposal as an MS Word attachment to [pcc-submissions@umd.edu](mailto:pcc-submissions@umd.edu).

PCC LOG NO.

**13030**

- Please submit the signed form to the Office of the Associate Provost for Academic Planning and Programs, 1119 Main Administration Building, Campus.

**College/School:**

Please also add College/School Unit Code-First 8 digits: **01202900**

Unit Codes can be found at: [https://hypprod.umd.edu/Htm-l\\_Reports/units.htm](https://hypprod.umd.edu/Htm-l_Reports/units.htm)

**Department/Program:**

Please also add Department/Program Unit Code-Last 7 digits:1291701

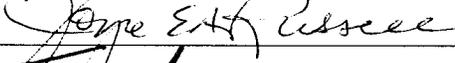
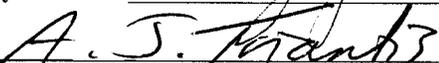
**Type of Action (choose one):**

- |  |   |
|--|---|
| <input type="checkbox"/> Curriculum change (including informal specializations)                | <input type="checkbox"/> <i>New academic degree/award program</i> |
| <input checked="" type="checkbox"/> <i>Renaming of program or formal Area of Concentration</i> | <input type="checkbox"/> New Professional Studies award iteration |
| <input type="checkbox"/> <i>Addition/deletion of formal Area of Concentration</i>              | <input type="checkbox"/> New Minor                                |
| <input type="checkbox"/> <i>Suspend/delete program</i>   | <input type="checkbox"/> Other                                    |

*Italics indicate that the proposed program action must be presented to the full University Senate for consideration.*

**Summary of Proposed Action:** The Robert H Smith School of Business (School) proposes launching a Master of Science in Accounting (MS in Acc) program designed to provide students with an understanding of accounting principles and techniques. The program will offer a vehicle for students to complete the 30 credits beyond the baccalaureate degree to qualify for the CPA examination in most states. The school currently offers a Master's of Science in Business and Management with a concentration in Accounting. Unfortunately, there is no distinction between the concentrations on the diplomas or transcripts and we are limited in our ability to treat the programs differently. The creation of this formal degree program will provide us with an opportunity to better reflect the degree being earned and provide us with the ability to align our administrative activities with the market demands.

APPROVAL SIGNATURES - Please print name, sign, and date. Use additional lines for multi-unit programs.

1. Department Committee Chair Stephen Loeb 
2. Department Chair Martin Loeb 
3. College/School PCC Chair Joyce Russell 
4. Dean Alexander Triantis 
5. Dean of the Graduate School (if required) \_\_\_\_\_
6. Chair, Senate PCC \_\_\_\_\_
7. University Senate Chair (if required) \_\_\_\_\_
8. Senior Vice President & Provost \_\_\_\_\_

To: Betsy Beise

From: Anil Gupta

Subject: Degree name changes for MS in Business and Management

Dear Betsy:

The Smith School currently offers multiple internationally competitive Master of Science in Business degrees, including concentrations in Accounting, Information Systems, Marketing Analytics, and Supply Chain Management. The attached proposals are being submitted to request that we change the name of our current MS degree with concentrations to individual Masters of Science degrees. Offering degrees with the specific titles will better articulate the credentials of graduating students on the diploma and make them more competitive in all markets. The adjustment of these degree names will also provide us with an opportunity to align our administrative activities with the market demands instead of treating them in a similar manner.

We are submitting these proposals as a package for administrative efficiency. We felt this might be a more convenient approach since many of the questions raised will likely be applied to all four programs. If this approach is undesirable, we are certainly prepared to discuss them individually as well.

Please let us know if you need additional information or have any questions.

Sincerely,

Dr. Anil K. Gupta

Michael D. Dingman Chair & Professor of Strategy, Globalization & Entrepreneurship  
Smith School of Business, The University of Maryland

Email: [agupta@rhsmith.umd.edu](mailto:agupta@rhsmith.umd.edu)

Office: 301.405.2221

**PROPOSAL FOR  
NEW INSTRUCTIONAL PROGRAM  
UNIVERSITY OF MARYLAND, COLLEGE PARK  
Master of Science in Accounting**

**ROBERT H. SMITH SCHOOL OF BUSINESS**

**DEAN ALEXANDER J. TRIANTIS**

**Master of Science in Accounting (MSA)**

Award to be offered Fall 2014

# Master of Science in Accounting (MSA)

## I. OVERVIEW AND RATIONALE

### A. Briefly describe the nature of the proposed program and explain why the institution should offer it.

#### Goal and Contribution to the Strategic Plan and Market Demand

The Robert H. Smith School of Business (School) proposes launching a Master of Science in Accounting (MSA) program designed to provide students with an understanding of accounting and auditing. There is a high demand for accounting graduates. We anticipate that this demand will continue. The program offers a vehicle for students to complete the 30 credits beyond the baccalaureate degree necessary for the CPA certification in most states. Please note that students will still need to review individual State regulations for specific other needed requirements to be eligible to take the CPA examination and for CPA licensure.

The strategic plan of the Robert H. Smith School of Business states as its first objective the goal of “Growing future leaders to address global issues.” The University of Maryland, College Park mission statement sets a goal to “continue to build a strong, university-wide culture of graduate and professional education” and to provide knowledge-based programs and services that are responsive to the needs of the citizens of the state and the nation.

The School currently offers a Masters of Science in Business and Management with a concentration in accounting. The new name has wider market recognition as it is similar to the names of degrees used by other institutions of higher education in the United States. The new degree name thus may be more attractive to potential applicants. The creation of this degree will also provide greater opportunities to be flexible within the Smith School’s portfolio of Masters of Science degrees to uniquely address issues within each discipline rather than pooling all of them under the same Masters of Science in Business and Management degree name that is currently offered.

The School currently offers a joint MBA-Masters of Science in Business and Management with a concentration in accounting program for students and we would also seek to offer students the opportunity to enroll in a joint MBA-MSA program. Such an opportunity enables our MBA students to further distinguish themselves in the MBA marketplace.

## **II. CURRICULUM**

### **A. Provide a full catalog description of the proposed program, including educational objectives and any areas of concentration.**

The Master of Science in Accounting (MSA) degree is a professional degree for students wishing to pursue careers in accounting and auditing.

The proposed MSA program offered by the Robert H. Smith School of Business will provide students with:

- a) comprehensive knowledge of foundational financial concepts, products, and financial market structure necessary for engaging in any form of financial analysis,
- b) in-depth understanding of estimating value creation on the part of private enterprises,
- c) the ability to measure and manage trade-offs between risk and return,
- d) analytical skills including detailed financial modeling, the ability to design and empirically estimate financial relationships, and the creation of financial statements and forecasts,
- e) knowledge of the legal and ethical issues related to financial management and an understanding of the role of all stakeholders when capital allocation decisions are made.
- f) an understanding of the regulatory structure of financial markets and the role that policymakers and regulators play in the efficient operation of financial markets.
- g) accounting and auditing skills that will endure beyond the next business cycle and that will enable institutions to endure and thrive, even during times of economic downturn, and

h) expertise in financial management that will make our students valuable contributors to a variety of employers and organizations in diverse communities.

**B. List the courses (number, title, semester credit hours) that would constitute the requirements and other components of the proposed program. Provide a catalog description for any courses that will be newly developed or substantially modified for the program.**

Students will enter the MSA program with a Bachelor's degree. The proposed MSA program requires 30 credit hours comprised of core courses (22 credits) and electives (8 credits) for students in the auditing track.

Students in other interests will have a core of 16 credits and 14 credits of electives. Completion of the degree is feasible within one calendar year, though many students may choose to spread their coursework over 16 months, and the part-time program at the Shady Grove (SG) campus will take 16 months.

### **Core Courses**

Course descriptions are provided below. We propose that a new prefix for the MSA be used.

**BUAC 765 Business Ethics for Accountants and Auditors (3):** This course considers all facets of business ethics issues within an accounting and auditing context. Ethical theory, corporate social responsibility, and individual decision-making are considered. Some of the applied topics that may be covered in this course include, but are not limited to, intellectual property issues, corporate downsizing, outsourcing, global ethics, crises management, and employment ethics.

**BUAC 780 Financial Statement Analysis for Accountants and Auditors (3):** This course provides a framework for using a firm's financial statements to perform a comprehensive analysis of the firm's operating performance, cash management, and financial position as well as to value the firm and to detect earnings management. It includes an overview of the accounting and auditing standard setting framework, and the

relevance of U.S. GAAP as well as International Financial Reporting Standards (IFRS) to accounting recognition, measurement, presentation, and disclosure. The course also identifies the analytical relevance of a selected set of more advanced accounting topics (e.g., consolidated financial statements and foreign currency issues).

**BUAC 782 Advanced Managerial Accounting and Control Systems (3):** This course focuses on topics that emphasize the role of managerial accounting in a firm's overall management planning and control structure. A key concern is to show how effective organizations ensure that the parts of the organization work together to create the whole, and how the sum of the parts, through synergy, can indeed be greater than the whole. This course has three specific objectives: (1) to ensure students' understanding of how planning and control systems can assist management in the attainment of the organization's strategic, as well as non-strategic, objectives; (2) to acquaint the student with the types of cost management systems typically required by management, and how the information is normally accumulated, reported and utilized; and (3) to explore the design of planning and control systems to facilitate effective decision-making. Through lectures, class discussions, and case studies, the course examines such topics as target costing, value chain analysis, activity-based costing, balanced-scorecard, accounting versus economic rate of return, and residual income (and its variant called economic value added).

**BUAC 784 Business Communications for Accountants and Auditors (2):** This course focuses on the art of communication and its effects on people, organizations, and other stakeholders. The course will focus on two aspects of business communications: persuasion and effective presentations. The objective for the persuasion sessions is to have students improve upon their day-to-day oral business communications skills. This will be accomplished as participants learn to tailor each communication to the person or people with whom they are speaking.

**BUAC 790 Information Security, Audit and Control (3):** This course builds on basic information technology (IT) courses, focusing on key issues including IT security, IT controls, and IT auditing. The course addresses issues

such as auditing a computer information system; assessing risks; identifying control objectives; identifying appropriate audit procedures; learning the concepts and basic features of audit software thereby providing the tools for choosing audit software; conducting an operational audit of basic controls over computer information systems; and developing world-class IT control frameworks. (Core for students in the internal auditing track).

**BUAC 792 Forensic Accounting/Auditing (3):** This course provides a theoretical background and practical application of fraud examinations and corporate investigations. The course includes fraud prevention, detection, investigation, and related matters such as courtroom procedures. Also considered are topics such as the Foreign Corrupt Practices Act and securities fraud. A wide variety of teaching tools are used.

**BUMO 794 Essentials of Negotiation (2):** This highly experiential course will improve students' negotiation skills and capacity to acquire and effectively use bargaining power. By using a variety of assessment tools, feedback sources, skill-building exercises, and exercise debriefings, the class will increase students' negotiating self-confidence and improve their capacity to claim value and achieve win-win solutions to individual, team, and organizational problems. The course is designed to enhance students' negotiating self-confidence and improve students' analytical and decision-making skills (e.g., understanding bargaining zones, knowing when an agreement can be made and when to walk away; learning how to prepare for negotiations), interpersonal skills, creativity (e.g., identifying creative solutions to conflict), and persuasive abilities.

**BUMO 796 Leadership and Human Resource Management for Accountants and Auditors (3):** This course develops the concepts, frameworks, and skills that are important to be effective leaders and to successfully manage human resources. Topics for discussion include: Creating a motivating and empowering environment; leadership attributes, power and effective influence; building effective decision-making; strategic management of human resources; specification of the skills and competencies requisite for job success; recruiting and selecting employees to fit the job and the organization; measuring, appraising and improving

job performance. All of the topics selected for discussion are critical ones that every professional needs to know, regardless of functional areas (not just HR professionals), and will help students become more effective consultants, managers and leaders. (Core for students in the internal auditing track).

## **Elective Courses**

**BUAC 786 Internal Auditing I: Conceptual and Institutional Framework (3):** This course provides students with an overview and basic understanding of internal auditing. Internal audit's role in internal control, risk management, business processes and risks, and Sarbanes-Oxley, Section 404 compliance efforts are considered. Internal auditing is presented as an integral part of effective corporate governance. Examples of assurance and consulting activities undertaken by the internal audit function, as well as the sourcing strategy (i.e., full in-sourcing, co-sourcing or full outsourcing models) are discussed. Students are introduced to internal control theory, test design concepts and internal auditing best practices.

**BUAC 787 Internal Auditing II: Internal Audit Application and Practice (3):** This advanced internal auditing course contains an in-depth coverage of the internal audit process. Students receive experience in planning and conducting internal audit assurance and consulting engagements. Also, students build on the theory and techniques introduced in Internal Auditing I, through practical, in-depth coverage of specific audit areas. Other matters covered include audit evidence, work papers, audit sampling, and communicating of engagement results. Internal auditing case studies are used to reinforce the learning process.

**Electives (2-8):** The Smith School will also provide students with a set of electives that are a reflection of demand and trends associated with the accounting area. Students can also choose to take electives outside the Smith School but only with the approval of the Program's Academic Director. The elective options will add flexibility to the program.

## Sample Student Schedule

Below are tables showing how a typical MSA student can complete the required coursework over a one-year period as a full-time student and over a two-year time period as a full-time or part-time student.

### Student Schedule for Full-time MSA (Master of Science in Accounting) completed in one year

Fall A	Fall B	Spring C	Spring D
BUAC 780* BUAC 782*	BUAC 784* BUAC 786	BUAC 790** BUMO 794*	BUMO 796** BUAC 787

Summer I	Summer II
BUAC 792* Elective(s)	BUAC 765*

\*Core MSA Course

\*\*Core for Auditing track

**Student Schedule for Full-time MSA (Master of Science in Accounting) completed in 16 months**

	Fall A	Fall B	Spring C	Spring D
<b>First Year</b>	<b>BUAC 780*</b> <b>BUAC 782*</b>	<b>BUAC 784*</b> <b>BUAC 786</b>	<b>BUAC 790**</b> <b>BUMO 794*</b>	<b>BUMO 796**</b> <b>BUAC 787</b>
<b>Second Year</b>	<b>BUAC 792*</b> <b>Elective(s)</b>	<b>BUAC 765*</b> <b>Elective(s)</b>		

\*Core MSA Course

\*\*Core for Auditing track

**Student Schedule for Part-time MSA (Master of Science in Accounting) completed in 16 months at the Shady Grove campus**

	Fall	Spring	Summer
<b>First Year</b>	<b>BUAC 780*</b> <b>BUAC 782*</b> <b>BUAC 784*</b>	<b>BUAC 786</b> <b>BUAC 790**</b> <b>BUMO 794*</b>	<b>BUAC 792*</b> <b>BUMO 796**</b>
<b>Second Year</b>	<b>BUAC 787</b> <b>BUAC 765*</b> <b>Elective(s)</b>		

\*Core MSA Course

\*\*Core for Auditing track

**C. Describe any selective admissions policy or special criteria for students selecting this field of study.**

Applicants to the MSA program must have completed all of the requirements for a baccalaureate degree prior to their acceptance into the program, with particular emphasis on the student having sufficient accounting background. All applicants must submit: Transcripts from all undergraduate and graduate institutions that have been previously attended; Graduate Record Examination (GRE) scores or the Graduate Management Admissions Test (GMAT) scores; a complete online application form that includes a written essay articulating qualifications and motivation for pursuing advanced education; two letters of recommendation from

supervisors or from professors competent to judge the applicant's probability of success in graduate school. Another standardized test in lieu of the GRE or GMAT can be substituted at the discretion of the Academic Director.

In addition, an admissions interview may be required. After initial screening, the Admissions Office may select candidates for interview which may be done in person, by telephone, or via the Internet (e.g., by Skype).

Proof of English language proficiency (TOEFL or IELTS official scores) is also required unless the applicant has received an undergraduate or graduate degree from a select list of countries. For international student needing an F1 visa, a completed certification of finance form and supporting financial documentation are required.

In addition to Graduate School requirements, admission decisions for the MSA program will be based on the quality of previous undergraduate and graduate coursework (if applicable), the strength of Graduate Record Examination scores, the Graduate Management Admissions Test scores, or another standardized test, the relevance of prior work and research experience, and the congruence of professional goals with those of the program. Students should submit application materials for the Fall semester by April 1. This program does not accept applications for Spring semester admission.

### **III. STUDENT LEARNING OUTCOMES AND ASSESSMENT**

#### **A. List the program's learning outcomes and explain how they will be measured.**

**Outcome 1:** Students will demonstrate proficiency in accounting and auditing concepts.

Measure: All core courses are required to include a final exam or final project that ensures mastery of required program content.

Criterion: Students must maintain a 3.0 GPA to remain in good academic standing. Failure to maintain a 3.0 jeopardizes continued enrollment in the program.

Assessment: Every semester, all students will be evaluated to determine that they are maintaining necessary academic qualifications to remain in the program.

**Outcome 2:** Students will attain skills that make them valuable contributors to employers and organizations.

Measure: Student placement three months and six months after graduation

Criterion: 65% of students will have full-time work within three months of receiving their degree and 90% will have full-time work within six months after graduation.

Assessment: 2017 and then every five years.

#### **IV. FACULTY AND ORGANIZATION**

**A. Who will provide academic direction and oversight for the program? [This might be a department, a departmental subgroup, a list of faculty members, or some other defined group.]**

Primary oversight of this program will be provided by a faculty member assigned as the academic director of the program. Program oversight would also include the chair of the Accounting and Information Assurance Area (AIA), an AIA area oversight committee and the Dean's office.

The accounting area of the Robert H. Smith School of Business currently has 18 FTE faculty. Sixteen of these are tenure/tenure track or Tyser Teaching Fellows (full-time lecturers). These sixteen full-time faculty have doctoral degrees in economics, accounting, information systems, or business. The adjunct faculty have the following degrees: MBA (4), MS (1), JD (1), and MAT (1) (B.S., CPA).

## **Accounting Faculty Expected to Teach in the Proposed MSA Program**

Progyan Basu, Ph.D., Tyser Teaching Fellow

Teaching / research focus: Financial Accounting and Accounting Education

Courses: BUAC 780 Financial Statement Analysis for Accountants and Auditors (3)

Stephen Brown, Ph.D., Tyser Teaching Fellow

Teaching / research focus: Financial Accounting

Courses: BUAC 780 Financial Statement Analysis for Accountants and Auditors (3)

Gary Bulmash, D.B.A., Distinguished Tyser Teaching Fellow

Teaching / research focus: Financial Accounting and Auditing

Courses: BUAC 780 Financial Statement Analysis for Accountants and Auditors (3)

Shijun Cheng, Ph.D., Associate Professor

Teaching / research focus: Managerial accounting issues in the framework of corporate governance

Courses: BUAC 782 Advanced Managerial Accounting and Control Systems (3)

Michael Finch, Ph.D., Tyser Teaching Fellow

Teaching / research focus: Ethical decision-making, information processing and uses of information, and outcomes assessment

Courses: BUAC 782 Advanced Managerial Accounting and Control Systems (3)

Elizabeth Folsom, MBA, Adjunct Lecturer

Teaching / research focus: Auditing

Courses: BUAC 786 Internal Auditing I: Conceptual and Institutional Framework (3)

BUAC 787 Internal Auditing II: Internal Audit Application and Practice (3)

Matt Gagnon, B.S., Adjunct Lecturer

Teaching / research focus: Internal Auditing

Courses: BUAC 786 Internal Auditing I: Conceptual and Institutional Framework (3)

BUAC 787 Internal Auditing II: Internal Audit Applications and Practice (3)

BUAC 790 Information Security, Audit and Control (3)

Lawrence Gordon, Ph.D., Ernst & Young Alumni Professor of Managerial Accounting

Teaching / research focus: Performance measures, economic aspects of information security, cost management systems, the interface between managerial accounting and information technology, and capital investments

Courses: BUAC 782 Advanced Managerial Accounting and Control Systems (3)

Rebecca Hann, Ph.D., Associate Professor and KPMG Faculty Fellow

Teaching / research focus: Financial reporting and disclosure, corporate governance, and corporate finance

Courses: BUAC 780 Financial Statement Analysis for Accountants and Auditors (3)

Jodell Johnson, M.A.T., CPA, Adjunct Lecturer

Teaching / research focus: Systems and Business Communications

Courses: BUAC 784 Business Communications for Accountants and Auditors (3)

Mary Keim, Ph. D. Tyser Teaching Fellow

Teaching focus: Financial accounting, auditing

Courses: BUAC 780 Financial Statement Analysis for Accountants and Auditors (3)

Oliver Kim, Ph.D., Professor of Accounting

Teaching / research focus: The role of accounting information in financial markets. He is especially well known for his work on trading volume. He is a leader in developing methods of using variables such as volume, bid-ask spreads, and analysts' earnings forecasts in addition to stock price in accounting research.

Courses: BUAC 780 Financial Statement Analysis for Accountants and Auditors (3)

Michael Kimbrough, Ph.D., Associate Professor

Teaching / research focus: Corporate financial reporting, with particular emphases on firms' voluntary disclosure practices and on accounting for intangible investment.

Courses: BUAC 780 Financial Statement Analysis for Accountants and Auditors (3)

James Lager, J.D., Adjunct Lecturer

Teaching / research focus: Ethics

Courses: BUAC 765 Business Ethics for Accountants and Auditors (3)

Hanna Lee, Ph.D., Assistant Professor

Teaching / research focus: Study of debt markets, default prediction, disclosure and financial reporting quality

Courses: BUAC 780 Financial Statement Analysis for Accountants and Auditors (3)

Martin Loeb, Ph.D., Chair, Professor and Deloitte & Touche LLP Faculty Fellow

Teaching / research focus: Early research was in economic mechanism design, incentive regulation, cost allocations, and cost-based procurement contracting. His current research (with Professor Lawrence Gordon) deals with economic aspects of information security and the interface between managerial accounting and information technology.

Courses: BUAC 782 Advanced Managerial Accounting and Control Systems (3)

Stephen Loeb, Ph.D., Ernst & Young Alumni Professor of Accounting and Business Ethics

Teaching / research focus: Accounting Ethics; Accounting History

Courses: BUAC 765 Business Ethics for Accountants and Auditors (3)

James McKinney, Ph.D., Tyser Teaching Fellow

Teaching / research focus: Auditing, financial accounting, business ethics, professional accounting research, accounting systems, and fraud accounting

Courses: BUAC 765 Business Ethics for Accountants and Auditors (3)

Ariel Ramirez, MBA, Adjunct Lecturer

Teaching / research focus: Forensic accounting and auditing

Courses: BUAC 792 Forensic Accounting/Auditing (3)

Nicholas Seybert, Ph.D., Assistant Professor

Teaching / research focus: Financial Accounting and Psychology

Courses: BUAC 780 Financial Statement Analysis for Accountants and Auditors (3)

Alan Siegfried, MBA, Adjunct Lecturer

Teaching / research focus: Internal Auditing

Courses: BUAC 786 Internal Auditing I: Conceptual and Institutional Framework (3)

BUAC 787 Internal Auditing II: Internal Audit Application and Practice (3)

BUAC 790 Information Security, Audit and Control (3)

David C. Sites, MBA, Adjunct Lecturer

Teaching / research focus: IT Security

Courses: BUAC 790 Information Security, Audit and Control (3)

Emanuel Zur, Ph. D. Assistant Professor,

Teaching / research focus: Financial Accounting, Management Accounting

Courses: BUAC 780 Financial Statement Analysis for Accountants and Auditors (3);

BUAC 782 Advanced Managerial Accounting and Control Systems (3)

James Staihar, Ph.D., J.D., Assistant Professor

Teaching / research focus: Accounting ethics and business ethics, concerning executive compensation, insider trading, tax shelters, whistleblowing, and independence in public accounting

Courses: BUAC 765 Business Ethics for Accountants and Auditors (3)

#### **Management & Organization (M&O) Faculty Expected to Teach in the Proposed MSA Program**

Rellie Derfler-Rozin, Ph.D., Assistant Professor

Teaching/research focus: Organizational Behavior, Social Interaction

Courses: BUMO 794 Essentials of Negotiation (2)

Vijaya Venkataramani, Ph.D., Assistant Professor

Teaching/research focus: Social networks

Courses: BUMO 794 Essentials of Negotiation (2)

**B. If the program is not to be housed and administered within a single academic unit, provide details of its administrative structure.**

Not applicable. All classes will be housed and administered within the Robert H. Smith School of Business.

## **V. OFF CAMPUS PROGRAMS**

**A. If the program is to be offered to students at an off-campus location, with instructors in classrooms and/or via distance education modalities, indicate how student access to the full range of services (including advising, financial aid, and career services) and facilities (including library and information facilities, and computer and laboratory facilities if needed) will be assured.**

In addition to holding classes on the UMCP campus, some sections of the program will meet at our Shady Grove location. That facility already contains classrooms, computer facilities, study rooms, and administrative space for academic advising, career advising, and student activity support.

**B. If the program is to be offered mostly or completely via distance education, you must describe in detail how the concerns in Principles and Guidelines for Online Programs are to be addressed.**

Not applicable. No part of the program will be offered via distance education.

## **VI. OTHER ISSUES**

**A. Describe any cooperative arrangements with other institutions or organizations that will be important for the success of this program.**

Not applicable. All aspects of the program from admissions to academic programming to career advising will be provided by the Robert H. Smith School of Business. While the program will reach out to local companies and institutions for guest speakers, internship opportunities, experiential learning projects, and job placement, no particular relationship is pivotal to the success of the program.

**B. Will the program require or seek accreditation? Is it intended to provide certification or licensure for its graduates? Are there academic or administrative constraints as a consequence?**

The University of Maryland's Robert H. Smith School of Business is already accredited by the AACSB (American Association of Collegiate Schools of Business). No additional accreditation is sought for this individual program.

**VII. COMMITMENT TO DIVERSITY**

**Identify specific actions and strategies that will be utilized to recruit and retain a diverse student body.**

The Robert H. Smith School of Business community is multifaceted at every level – students, staff and faculty represent the spectrum of diversity. With a large population of international students and a diverse blend of backgrounds, nationalities, ethnicities and experiences, Smith students have an opportunity to make connections with those who share their interests, and to grow and learn by making new friends and sharing new experiences.

The School engages in recruiting and outreach events across the globe to generate a diverse student body.

**VIII. REQUIRED PHYSICAL RESOURCES**

The proposed Master of Science in Accounting (MSA) replaces the existing Masters of Science in Business and Management with a concentration in accounting. The proposed program can be implemented in accordance with Section 11 206.1 in which programs developed under this provision can be implemented within existing resources of the campus. In proceeding with the submission of this program, the institution's president certifies that no new general funds will be required for the implementation of this master's-level program.

**A. Additional library and other information resources required to support the proposed program. You must include a formal evaluation by Library staff.**

No additional resource is needed because we are running the program now.

**B. Additional facilities, facility modifications, and equipment that will be required. This is to include faculty and staff office space, laboratories, special classrooms, computers, etc.**

We do not at this time anticipate growing the program beyond its current scale, no additional facilities (or facility modifications) are required. The School has adequate space in Van Munching Hall and in our SG location to house current faculty and students in the proposed program. No additional classrooms or computer laboratories are required.

**C. Impact, if any, on the use of existing facilities and equipment. Examples are laboratories, computer labs, specially equipped classrooms, and access to computer servers.**

See response to VIII.B above.

## **IX. RESOURCE NEEDS AND SOURCES**

**Describe the resources that are required to offer this program, and the source of these resources. Project this for five years. In particular:**

**A. List new courses to be taught and needed additional sections of existing courses. Describe the anticipated advising and administrative loads. Indicate the personnel resources (faculty, staff, and teaching assistants) that will be needed to cover all these responsibilities.**

As this proposed program replaces a current program and we do not at this time anticipate growing the program beyond its current scale, no additional courses or changes in advising or administrative workload is required.

**B. List new faculty, staff and teaching assistants needed for the responsibilities in A, and indicate the source of the resources for hiring them.**

Faculty resources of the Robert H. Smith School of Business and in particular the accounting area of the School (as described herein) are adequate to cover the size of the proposed MSA program. Approval of this proposal would not alter the responsibilities of the faculty beyond those already generated by the existing Masters of Science in Business and Management with a concentration in accounting program that this proposal seeks to replace.

**C. Some of these teaching, advising, and administrative duties may be covered by existing faculty and staff. Describe your expectations for this, and indicate how the current duties of these individuals will be covered, and the source of any needed resources.**

As described above, teaching, advising, and administrative duties will be handled by existing faculty members (who are already teaching and conducting research on accounting topics).

**D. Identify the source to pay for the required physical resources identified in Section VIII. above.**

No additional resources are required.

**E. List any other required resources and the anticipated source for them.**

Given that this MSA Program replaces a program already offered, there are no incremental revenues or expenses.

**F. Provide the information requested about peer programs. See Appendix 1 and Appendix 2.**

**Conclusion about peer accounting Masters programs**

Most programs appear to be general accounting & CPA orientation. We include some CPA orientation, but most courses differ from CPA preparation.

Some schools have various tracks in the program. Some schools have a large pool of electives.

**Appendix 1: Peer Comparisons - Degree Name of Accounting Program offered by MBA Ranked Peers**

<b>MBA Rank</b>	<b>University</b>	<b>Degree Name of Accounting Program</b>
7	University of California-Berkeley	Master of Professional Accountancy
13	University of Michigan-Ann Arbor	Master of Accounting
17	University of Texas at Austin	Master in Professional Accounting
19	University of North Carolina-Chapel Hill	Master of Accounting
21	University of Southern California	Master of Accounting
23	Indiana University-Bloomington	MS in Accounting
25	Ohio State University	Master of Accounting
30	University of Minnesota--Twin Cities	Master of Accountancy
37	University of Illinois-Urbana-Champaign	Master of Accounting Science Master of Science in Accountancy
37	University of Rochester	MS in Accountancy
44	Michigan State University	MS in Accounting
49	University of Iowa	Master of Accountancy
57	University of Georgia	Master of Accountancy
82	American University	Master of Science in Accounting
N/A	Georgia State University	Master of Professional Accountancy

**Appendix 2: Peer Comparisons - Curriculum Content Comparisons of Accounting Programs offered by MBA Ranked Peers**

University Degree MBA Ranking	Curriculum/ Required Classes	Prerequisites	Comments
<b>University of California- Berkeley Master of Professional Accountancy (self-supporting) #7</b>	<p><b>Description of and Reasons for Anticipated Action</b></p> <p>This program will fulfill the requirement adopted by the states wherein students seeking CPA certification are now required to have an additional 30 semester units of instruction over the traditional 120 hours required for an undergraduate education.</p> <p>The program will make students more attractive to big accounting firms and major corporations, give them access to higher starting salaries and compensation, put them in a faster career track, reduce work experience required for CPA certification to one year, and qualify them to work or practice in many states.</p>		Professional accounting and CPA orientation.

University Degree MBA Ranking	Curriculum/ Required Classes	Prerequisites	Comments
University of Texas at Austin <b>Master in Professional Accounting (MPA)</b> <b>#17</b>	<p><b>Credits required for the degree: 42</b></p> <p><b>Core Requirements:</b>            MPA Distinguished Speaker Lyceum            Financial Accounting            Managerial Accounting            Financial Management            Legal Environment of Business for MPAs            Information Technology for Accounting &amp; Control            Financial Accounting Standards &amp; Analysis (Intermediate)            Introduction to Assurance Services            Introduction to Taxation</p> <p><b>Managerial Accounting &amp; Control Track:</b>            Management Auditing &amp; Control            Strategic Control            Computer Audit/Systems Security (recommended) or graduate accounting elective            Graduate accounting elective            Two graduate business electives</p> <p><b>Financial Reporting &amp; Assurance Track:</b>            Financial Accounting Standards &amp; Analysis (Advanced)            Financial Statement Analysis            Auditing elective            Graduate accounting elective            Two graduate business electives</p> <p><b>Taxation Track:</b>            Tax Research Methodology            Taxation of Entities I (Corporations)            Taxation of Entities II (Partnerships)            Tax topic            Two graduate business electives</p> <p><b>Generalist Track:</b>            Four Graduate accounting electives            Two graduate business electives</p>	Principles of Macroeconomics Principles of Microeconomics Introduction to Statistics Introduction to Financial Accounting Computer spreadsheet proficiency Proficiency in English (if English is not your native language) Understanding of the basic tools of business calculus	Professional accounting and CPA orientation among various tracks.

University Degree MBA Ranking	Curriculum/ Required Classes	Prerequisites	Comments
<b>Indiana University— Bloomington Master of Science in Accounting #23</b>	<b>Credits required for the degree: 30</b>  <b>Required:</b> Financial Accounting Concepts Adv Financial Accounting Strategic Cost Management Taxes and Financial Statements Strategic Tax Planning Accounting Systems Career Success Skills Field Consulting Project Commercial Finance Law: Creditors’ Rights Corporate Finance Law and Business Planning Ethics, Negotiation & Managing Conflict	Financial Accounting I and II Managerial Accounting Auditing Tax Finance Business Law Business Information Systems	Some courses overlap with our program.

University Degree MBA Ranking	Curriculum/ Required Classes	Prerequisites	Comments
<b>Ohio State University</b> <b>Master of Accounting</b> <b>#25</b>	<b>Credits required for the degree: 31</b> <b>Core:</b> Management and Control Professional Research in Accounting Accounting Policy and Research Financial Reporting <b>Electives:</b> Financial Statement Analysis Assurance Services and Information Quality Fraud Examination: Misappropriation of Assets Fraud Examination: Fraudulent Financial Reporting Tax Planning for Managerial Decision Making Tax Accounting II Tax Accounting III Tax Research Financial Statement Analysis Accounting for Mergers and Acquisitions International Financial Reporting Standards Governmental and Nonprofit Accounting Managerial Accounting for Decision Making Data Mining for Business Intelligence Strategic Logistics Management Analytics: Matching Supply with Demand Corporate Finance I Corporate Finance II Financial Modeling Real Estate I Real Estate II History of Financial Thought Legal Business Issues Supply Chain Analytics: Matching Supply with Demand Manufacturing Planning and Control for Supply Chain Management Strategic Logistics Management Logistics Analytics	Principles of Financial Accounting Principles of Managerial Accounting Intermediate Financial Accounting I Intermediate Financial Accounting II Intermediate Managerial/Cost Accounting Microeconomics Statistics Calculus	Some courses overlap with our program. Large pool of electives.

University Degree MBA Ranking	Curriculum/ Required Classes	Prerequisites	Comments
<b>University of Minnesota -- Twin Cities Master of Accountancy #30</b>	<p><b>Supply Chain Management</b></p> <p><b>Credits required for the degree: 30 Required:</b>  Internal Control  Securities and Exchange Commission (SEC)  and Standard Setting  Accounting and Information System</p> <p><b>Electives:</b>  Advanced Auditing  International Accounting  Financial Statement Analysis  Accounting for Mergers and Acquisitions,  and Derivatives  Introduction to Taxation of Business  FAS 109 Computations and Analysis  Taxation of Property Transactions  Internal Audit  Transfer Pricing  Data Analysis and Statistics for Managers  Quality Management and Six Sigma  Project Management  Debt Markets, Interest Rates, and Hedging  Corporate Finance Analysis and Decisions  Advanced Corporate Finance Analysis and Decisions  World Economy  Derivatives, Futures, and Options  Financial Information Systems and Technology  Enterprise Systems  Knowledge Management  The Ethical Environment of Business  Managing Supply Chain Operations  International Financial Management  Financial Risk Management  Buyer Behavior  Distribution &amp; Supply Chain Systems  Persuasive Writing in Business</p>	For those students who do not have an accounting degree, the University of Minnesota, College of Continuing Education offers an Accounting Certificate program.	Some courses overlap with our program. Large pool of electives.

University Degree MBA Ranking	Curriculum/ Required Classes	Prerequisites	Comments
University of Illinois- Urbana-Champaign Master of Accounting Science #37	<b>Credits required for the degree: 32</b>  <b>Required:</b> Financial Reporting Standards Risk Measurement/Reporting I Risk Measurement/Reporting II	Only for ILLINOIS undergraduate major in accountancy or agricultural accounting	General accounting and CPA orientation.
Master of Science in Accountancy #37	<b>Credits required for the degree: 32</b>  <b>Required:</b> Accounting Analysis I Accounting Analysis II Managerial Accounting Auditing Federal Taxation	Two Accounting Principle courses One course in each of: Finance Marketing Management Statistics Microeconomics Macroeconomics	

University Degree MBA Ranking	Curriculum/ Required Classes	Prerequisites	Comments
University of Rochester MS in Accountancy #37	<b>Credits required for the degree: 36</b>  Financial Statement Analysis Auditing Positive Accounting Research Financial Reporting I Financial Reporting II Advanced Accounting Research Basic Federal Income Tax Accounting Auditing II - Auditing and Information Systems Basic Business Law Communicating Business Decisions (Modules I, II and III)	Financial Accounting Managerial Accounting Business Statistics Computer Science Economics Finance	General accounting and CPA orientation.

University Degree MBA Ranking	Curriculum/ Required Classes	Prerequisites	Comments
<p>Michigan State University MS in Accounting #44</p>	<p><b>Credits required for the degree: 30</b></p> <p><b>Financial Reporting and Assurance Services Option:</b>  Financial Statement Analysis  Contemporary Financial Reporting Decisions  Advanced Auditing  Management Accounting in Global Enterprises  Accounting for Multiunit Enterprises</p> <p><b>Information Systems Option:</b>  <b>MSU undergraduate accounting majors</b>  Analysis and Design of Enterprise Systems  Advanced Enterprise Database Systems  Governance and Control of Enterprise Systems  Object-Oriented Business Information Systems  Enterprise Information Systems</p> <p><b>Non-MSU undergraduate accounting majors</b>  Enterprise Database Systems  Analysis and Design of Enterprise Systems  Advanced Enterprise Database Systems  Governance and Control of Enterprise Systems  Object Oriented Business Information Systems  Enterprise Information Systems</p> <p><b>Management Accounting Option:</b>  Strategic Management Accounting  Operational Management Accounting  Management Accounting for Global Enterprises  Financial Statement Analysis  Contemporary Financial Reporting Decisions  Accounting for Multiunit Enterprises</p>	<p>Intermediate Financial Accounting  Survey of Calculus  Probability and Statistics for business majors</p>	<p>Variety of tracks.</p>

	<b>Taxation Option:</b> Tax Research Federal Income Taxation of Corporations and Shareholders Taxation of Gifts, Trusts, and Estates U.S. Taxation of Multinational Transactions Accounting for Multiunit Enterprises		
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University Degree MBA Ranking	Curriculum/ Required Classes	Prerequisites	Comments
University of Iowa Master of Accountancy #49	<b>Credits required for the degree: 30</b>  Financial Reporting: Theory and Practice Advanced Auditing Financial Information and Capital Markets Design and Use of Cost Management Systems Taxes and Business Strategy Tax Research One of the following: Visual Basic or Modeling with VBA Database Systems		Variety beyond basic accounting requirements.

University Degree MBA Ranking	Curriculum/ Required Classes	Prerequisites	Comments
University of Georgia Master of Accountancy #57	<b>Credits required for the degree: 30</b>  <b>Audit Specialization:</b> Advanced Accounting Tax II Audit II Accounting Policy & Research  <b>Taxation Specialization:</b> Advanced Accounting Tax Policy & Research Partnership Tax Estate & Gift Taxation Cross-Jurisdictional Taxation Corporate Tax	Principles of Accounting Intermediate Accounting Managerial I	Various tracks (specializations)

	<b>Audit Systems Specialization:</b> Advanced Accounting Tax II Audit II Systems II Accounting Policy & Research		
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University Degree MBA Ranking	Curriculum/ Required Classes	Prerequisites	Comments
<b>American University</b> <b>Master of Science in</b> <b>Accounting</b> <b>#82</b>	<b>Credits required for the degree: 30-37.5</b>  The program may be completed full-time within one calendar year or part-time within three years.  <b>Core Accounting Courses:</b> Business Law Contemporary Assurance and Audit Services Corporate Financial Reporting Cost Accounting for Strategic Management Seminar in Accounting Theory Tax Planning for Individuals and Business Enterprises  <b>Electives:</b> Accounting Information Systems Accounting Research and Communication Advanced Auditing and Professional Practice Advanced Business Law Advanced Financial Reporting Contemporary Issues in Financial Reporting Ethics in Business and Accounting Financial Statement Analysis Forensic Accounting: Fraud Examination & Litigation Support Governmental and Not-for Profit Accounting International Accounting Modern Management Control Systems Legislative and Judicial Foundations of	Financial Accounting Management Accounting Applied Managerial Statistics Financial Management Managerial Economics	Large pool of electives.

	Income Tax State and Local Tax Tax Research and Procedure Taxation of Corporations Taxation of Pass-Through Entities		
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University Degree MBA Ranking	Curriculum/ Required Classes	Prerequisites	Comments
<b>Georgia State University</b> <b>Master of Professional Accountancy</b> N/A	<b>Credits required for the degree: 30</b>  Strategic Communications Advanced Accounting Topics Seminar in Management Accounting Systems Seminar in Financial Accounting Theory and Policy Advanced Topics in Assurance Services Financial Statement and Business Analysis Seminar on Internal Auditing	Accounting Behavioral Science Visual BASIC or C/C++: required if Information Technology Auditing is taken as an elective Economics for Managers or both Macroeconomic Principles and Microeconomic Principles College Algebra and either Calculus or Discrete Math Statistical Business Analysis or Elementary Statistics Management Science Corporate Finance Principles	Professional accounting and CPA orientation.



**University Senate  
TRANSMITTAL FORM**

<b>Senate Document #:</b>	13-14-22
<b>PCC ID #:</b>	13031
<b>Title:</b>	Proposal to Establish a Master of Science in Information Systems
<b>Presenter:</b>	Marilee Lindemann, Chair, Senate Programs, Curricula, and Courses Committee
<b>Date of SEC Review:</b>	January 31, 2014
<b>Date of Senate Review:</b>	February 5, 2014
<b>Voting (highlight one):</b>	<ol style="list-style-type: none"> <li>1. On resolutions or recommendations one by one, or</li> <li>2. In a single vote</li> <li>3. To endorse entire report</li> </ol>
<b>Statement of Issue:</b>	<p>The Robert H. Smith School of Business proposes to take its existing Master of Science in Business area of concentration in Information Systems Management and reclassify it as its own, stand-alone degree program, the Master of Science in Information Systems. The context of the Master of Science in Business is important for understanding this proposal. Designed to provide an alternative to the generalist approach of the Master of Business Administration, the Master of Science in Business was created in 1978 to allow students to specialize in an academic field within business and management. Consequently, the Master of Science in Business has a structure that is uncommon for campus degree programs that have areas of concentration. The Master of Science of Business does not have a set of core requirements that is shared by each area of concentration. The curriculum of each area of concentration focuses on its own content; thus, the curriculum of the Information Systems Management area of concentration is comprised entirely of information systems courses. Last year, a proposal to convert the concentration in Finance to its own degree program was approved. This proposal is a continuation of the effort to separate some of the MS in Business concentrations into their own degree programs.</p> <p>In the past, the structure of the Master of Science in Business was sufficient for the purposes of the area of concentration in Information Systems. In recent years, however, it has become apparent that this structure poses unnecessary limitations for students, staff and faculty. Currently, the diploma only indicates</p>

	<p>the Master of Science in Business, not the actual focus of the curriculum. The general degree name also puts the School of Business at a competitive disadvantage when trying to attract students who are strongly interested in a degree in Information Systems. Students and alumni have overwhelmingly expressed their desire for the degree name to accurately represent the focus of their coursework.</p> <p>By having a separate program as opposed to a concentration, students will now be able to pursue multiple areas in business (i.e., they will be able to pursue two business MS degrees at UM because the program names will now be different). Furthermore, the tuition rate will no longer be tied to the tuition rate of the MS in Business, and can be lowered or raised depending on market demand.</p> <p>Other than reclassifying the area of concentration as its own degree program, there are no other changes proposed. The new degree program will continue to be administered in the same manner as the area of concentration had been in the past, with the same faculty responsible for oversight. The curriculum will also remain the same. Consequently, there is no need for additional resources as a result of the proposed action.</p> <p>The Graduate PCC Committee approved the proposal on January 27, 2014. The Senate PCC committee approved the proposal at its meeting on December 6, 2013.</p>
<b>Relevant Policy # &amp; URL:</b>	N/A
<b>Recommendation:</b>	The Senate Committee on Programs, Curricula, and Courses recommends that the Senate approve this new degree program.
<b>Committee Work:</b>	The Committee considered the proposal at its meeting on December 6, 2013. Anil Gupta, Professor, Robert H. Smith School of Business, and Michael Marcellino, Assistant Dean, Robert H. Smith School of Business, presented the proposal. After discussion, the Committee voted unanimously to recommend the proposal.
<b>Alternatives:</b>	The Senate could decline to approve this new degree program.
<b>Risks:</b>	If the Senate does not approve reclassifying the area of concentration as a degree program, the program and the students will continue to be at a disadvantage because of the generic name of their degree program.
<b>Financial Implications:</b>	There are no significant financial implications with this proposal.
<b>Further Approvals Required:</b> <i>(*Important for PCC Items)</i>	If the Senate approves this proposal, it would still require further approval by the President, the Board of Regents, and the Maryland Higher Education Commission.

**THE UNIVERSITY OF MARYLAND, COLLEGE PARK  
PROGRAM/CURRICULUM/UNIT PROPOSAL**

- Please email the rest of the proposal as an MSWord attachment to [pcc-submissions@umd.edu](mailto:pcc-submissions@umd.edu).

PCC LOG NO.

13031

- Please submit the signed form to the Office of the Associate Provost for Academic Planning and Programs, 1119 Main Administration Building, Campus.

**College/School: Robert H. Smith School of Business**

Please also add College/School Unit Code-First 8 digits: 01202900

Unit Codes can be found at: [https://hypprod.umd.edu/Html\\_Reports/units.htm](https://hypprod.umd.edu/Html_Reports/units.htm)

**Department/Program: Robert H. Smith School of Business**

Please also add Department/Program Unit Code-Last 7 digits: 1290101

**Type of Action (choose one):**

- |   |   |
|---|---|
| <input type="checkbox"/> Curriculum change (including informal specializations)     | <input checked="" type="checkbox"/> <i>New academic degree/award program</i>        |
| <input type="checkbox"/> Curriculum change for an LEP Program                       | <input type="checkbox"/> New Professional Studies award iteration                   |
| <input type="checkbox"/> <i>Renaming of program or formal Area of Concentration</i> | <input type="checkbox"/> New Minor  |
| <input type="checkbox"/> <i>Addition/deletion of formal Area of Concentration</i>   | <input type="checkbox"/> Request to create an online version of an existing program |
| <input type="checkbox"/> <i>Suspend/delete program</i>                              |   |

*Italics indicate that the proposed program action must be presented to the full University Senate for consideration.*

**Summary of Proposed Action:**

Convert Master of Science in Business and Management - Information Systems Concentration to a Master of Science in Information Systems

**Departmental/Unit Contact Person for Proposal:** \_\_\_\_\_

=====

APPROVAL SIGNATURES - *Please print name, sign, and date. Use additional lines for multi-unit programs.*

1. Department Committee Chair \_\_\_\_\_

2. Department Chair \_\_\_\_\_

3. College/School PCC Chair \_\_\_\_\_

4. Dean \_\_\_\_\_

5. Dean of the Graduate School (if required) \_\_\_\_\_

6. Chair, Senate PCC Manice Jaid 12/6/13

7. University Senate Chair (if required) \_\_\_\_\_

8. Senior Vice President and Provost \_\_\_\_\_

**THE UNIVERSITY OF MARYLAND, COLLEGE PARK  
PROGRAM/CURRICULUM/UNIT PROPOSAL**

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- Please email the rest of the proposal as an MS Word attachment to [pcc-submissions@umd.edu](mailto:pcc-submissions@umd.edu).

PCC LOG NO.

13031

- Please submit the signed form to the Office of the Associate Provost for Academic Planning and Programs, 1119 Main Administration Building, Campus.

**College/School:**

Please also add College/School Unit Code-First 8 digits: **01202900**

Unit Codes can be found at: <https://hypprod.umd.edu/Html/Reports/units.htm>

**Department/Program:**

Please also add Department/Program Unit Code-Last 7 digits: 1291101

**Type of Action (choose one):**

- |  |   |
|--|---|
| <input type="checkbox"/> Curriculum change (including informal specializations)                | <input type="checkbox"/> <i>New academic degree/award program</i> |
| <input checked="" type="checkbox"/> <i>Renaming of program or formal Area of Concentration</i> | <input type="checkbox"/> New Professional Studies award iteration |
| <input type="checkbox"/> <i>Addition/deletion of formal Area of Concentration</i>              | <input type="checkbox"/> New Minor                                |
| <input type="checkbox"/> <i>Suspend/delete program</i>   | <input type="checkbox"/> Other                                    |

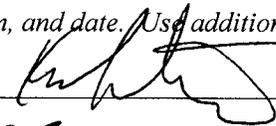
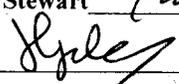
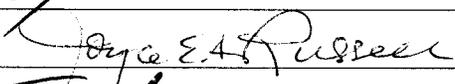
*Italics indicate that the proposed program action must be presented to the full University Senate for consideration.*

**Summary of Proposed Action:**

The Robert H Smith School of Business (School) proposes launching a Master of Science in Information Systems (MS in IS) program designed to provide students with a rigorous understanding of and the ability to apply core Information Systems principles and techniques. There is a growing need for individuals who have the expertise to use sophisticated tools to design systems and analyze data in meaningful ways. Students who complete the MSIS degree will possess the knowledge and skills necessary to address these challenges. The school currently offers a Master's of Science in Business and Management with a concentration in Information Systems. Unfortunately, there is no distinction between the concentrations on the diplomas or transcripts and we are limited in our ability to treat the programs differently. The creation of this formal degree program will provide us with an opportunity to better reflect the degree being earned and provide us with the ability to align our administrative activities with the market demands.

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APPROVAL SIGNATURES - Please print name, sign, and date. Use additional lines for multi-unit programs.

1. Department Committee Chair Katherine Stewart 
2. Department Chair Zhi-Long Chen 
3. College/School PCC Chair Joyce Russell 
4. Dean Alexander Triantis 
5. Dean of the Graduate School (if required) \_\_\_\_\_
6. Chair, Senate PCC \_\_\_\_\_
7. University Senate Chair (if required) \_\_\_\_\_
8. Senior Vice President & Provost \_\_\_\_\_

To: Betsy Beise

From: Anil Gupta

Subject: Degree name changes for MS in Business and Management

Dear Betsy:

The Smith School currently offers multiple internationally competitive Master of Science in Business degrees, including concentrations in Accounting, Information Systems, Marketing Analytics, and Supply Chain Management. The attached proposals are being submitted to request that we change the name of our current MS degree with concentrations to individual Masters of Science degrees. Offering degrees with the specific titles will better articulate the credentials of graduating students on the diploma and make them more competitive in all markets. The adjustment of these degree names will also provide us with an opportunity to align our administrative activities with the market demands instead of treating them in a similar manner.

We are submitting these proposals as a package for administrative efficiency. We felt this might be a more convenient approach since many of the questions raised will likely be applied to all four programs. If this approach is undesirable, we are certainly prepared to discuss them individually as well.

Please let us know if you need additional information or have any questions.

Sincerely,

Dr. Anil K. Gupta

Michael D. Dingman Chair & Professor of Strategy, Globalization & Entrepreneurship  
Smith School of Business, The University of Maryland

Email: [agupta@rhsmith.umd.edu](mailto:agupta@rhsmith.umd.edu)

Office: 301.405.2221

PROPOSAL FOR  
NEW INSTRUCTIONAL PROGRAM  
UNIVERSITY OF MARYLAND AT COLLEGE PARK, MARYLAND  
MASTER OF SCIENCE IN INFORMATION SYSTEMS (MSIS)

ROBERT H. SMITH SCHOOL OF BUSINESS

DEAN Alexander J. Triantis

**MASTER OF SCIENCE IN INFORMATION SYSTEMS**

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Award to be offered Fall 2014

## **I. OVERVIEW and RATIONALE**

**A. Briefly describe the nature of the proposed program and explain why the institution should offer it. [You may want to refer to student demand, market demand for graduates, institutional strengths, disciplinary trends, synergy with existing programs, and/or institutional strategic priorities.]**

### **Goal and Contribution to the Strategic Plan**

The Robert H. Smith School of Business proposes launching a Master of Science in Information Systems (MSIS) program designed to provide students with a rigorous understanding of and the ability to apply core Information Systems principles and techniques. Information is a strategic asset to any organization. How information is organized, managed, and made available to decision makers can be the key to an organization's success or failure. The proliferation of data and ever-increasing power of computing technologies drives a growing need for individuals who have the expertise to use sophisticated tools to design systems and analyze data in meaningful ways. Students who complete the MSIS degree will possess the knowledge and skills necessary to address these challenges.

The Robert H. Smith School of Business houses one of the strongest academic Information Systems departments in the world (consistently ranked in the top 10 by U.S. News and World Report) as well as two research centers focused on the application of information technology in healthcare (CHIDS) and the role of IT in spurring innovation and creating new business models (DIGITS). The department of decision, operations, and information technology (DO&IT) also includes renowned faculty in management science and statistics, which facilitates a strong quantitative focus in the MSIS degree. The research and experience of the faculty are particularly suited to attract some of the brightest students in the world who are seeking a more thorough understanding of information systems. Faculty and staff currently affiliated with the Robert H. Smith School of Business hold appropriate degrees in information systems and related disciplines that are relevant and necessary for the Master of Science in Information Systems degree.

The strategic plan of the Robert H. Smith School of Business states as its first objective the goal of "Growing future leaders to address global issues." The University of Maryland College Park mission statement sets a goal to "continue to build a strong, university-wide culture of graduate and professional education" and to provide knowledge-based programs and services that are responsive to the needs of the citizens of the state and the nation. Faculty and students in the Master of Science in Information Systems program will collaborate with institutions at the state, national, and international level to address challenging problems in information systems design, development, and application. Given the MSIS faculty's connections to many multinational corporations as well as government agencies and UMCP's location in one of the strongest IT regions in the United States, we are in a unique position to offer students opportunities unmatched by competitor institutions.

The School currently offers a Masters of Science in Business with a concentration in Information Systems (MSB/IS). However, the diploma does not state the phrase "Information Systems" on

it. This degree name will strengthen the recognition of the degree and increase its attractiveness to a worldwide applicant pool. Offering a degree with the word Information Systems in the title will clarify the content of the knowledge our students obtain. The creation of this degree will also provide greater opportunities to be flexible within our portfolio of Masters of Science degrees to uniquely address issues within each discipline rather than pooling all of them under the same Masters of Science in Business degree that is currently offered.

The School currently offers a joint MBA-MSB/IS program for students and we would also seek to offer students the opportunity to enroll in a joint MBA-MSIS program. Such an opportunity enables our MBA students to further distinguish themselves in the MBA marketplace and the fact that the joint program would likewise have the phrase "Information Systems" in it would improve our ability to market these students.

Similarly, the Smith School currently offers a Certificate in Cybersecurity Leadership program, and students who complete that program and successfully gain admission to the MSB/IS may count up to 9 credits toward the MSB degree. We would seek to offer this same opportunity for students seeking entrance to the MSIS program.

This program is also an ideal path for some of our students to pursue PhD programs in Information Systems. Two current MSB/IS students have expressed an interest in going on to PhD programs, and they have been working with the Academic Director to position themselves to apply for PhD programs. Having the program entitled Master of Science in Information Systems will likely improve the marketability of our students seeking to pursue a PhD specializing in Information Systems.

### **Market Demand for Graduates**

Graduates from this program will have strong quantitative skills and knowledge of information technology that will position them to meet the increasing need for employees trained in STEM (Science, Technology, Engineering, and Math) disciplines. While the need for technology skills among information systems professionals is obvious, the modern information systems graduate increasingly needs significant mathematical knowledge as well, e.g., to understand how to manage and analyze copious amounts of data available to business and government enterprises. A unique strength of the proposed MSIS program is that it is structured to provide both technical skills (through courses such as Database Management, Data Networks and Infrastructures, Business Process Analysis for Information Systems, IS Security), and also build quantitative skills through a set of courses focused on business analytics (e.g., Data Models, Data Mining, Computer Simulation, Decision Analytics).

The number of information systems management and professional opportunities has consistently increased faster than most other employment opportunities. The Bureau of Labor Statistics states: "Employment of computer and information systems managers is expected to grow 17 percent over the 2008-18 decade, which is faster than the average for all occupations. New applications of technology in the workplace will continue to drive demand for workers." *Forbes* magazine lists the Master's in Information Systems as the 4th best Master's degree to obtain (tied with Mathematics), projecting the mid-career median compensation to be \$95,500. *Forbes* also

projects the employment increase for jobs associated with this degree to be over 23% over the period from 2012 to 2023.

## **Student Demand**

Business schools are undergoing a significant shift in the applicant pool for Master's degree programs. Applications for traditional MBA programs that provide a general management focus have seen a sustained reduction nationwide. Contemporaneously, more students are seeking Master's degrees that specialize in a particular business field, including Information Systems. In addition to the MSB/IS program that we launched in 2011, several competing institutions including Carnegie Mellon University, Indiana University, and New York University are similarly offering Master's degree programs in Information Systems. Such degrees are becoming an increasingly common offering at peer and aspirational institutions.

Student demand for a Master's in Information Systems program is strong and growing. For the first cohort that entered in 2011, we received 105 applications. For the 2012 class, we received 265 applications, and as of Feb 1, 2013 we had already received 304 applications for the Fall 2013 class. Applicant statistics demonstrate the quality of students demanding this offering: thus far, applicants for Fall 2013 have an average GMAT of 683, an average GPA of 3.5, and an average of 1 year of work experience.

### **B. How big is the program expected to be? From what other programs serving current students, or from what new populations of potential students, onsite or offsite, are you expecting to draw?**

AY 2012/2013 enrollment in our MS Business with a concentration in Information Systems (MSB/IS) was 72 newly admitted students. For AY 2013/2014 we plan to limit enrollment to a maximum of 60 in order to better manage resource demands and the quality of the student experience. We anticipate that students enrolled in the MSB/IS program will all instead enroll in the MSIS program. Therefore, enrollment should remain at the current 60 student class size after creating the Master of Science in Information Systems degree. Given increasing demand, we may add another cohort beginning in AY 2014/2015 or later, increasing the entering class to 120 students.

Students take 30 credits in the program. Students typically complete the degree requirements within 2 years, allowing them to seek an internship opportunity after the first year. Students who desire to complete the program in one academic year may do so by taking a heavier course load.

Most of the students we attract to this program are international, primarily from Asia. The strategic plan for this program seeks to expand domestic enrollment, primarily by targeting students receiving Bachelor's degrees in quantitative or technical areas (e.g., engineering, computer science) who are looking for an opportunity to expand their knowledge of information systems to enhance their career prospects.

## **II. CURRICULUM**

**A. Provide a full catalog description of the proposed program, including educational objectives and any areas of concentration.**

The Masters of Science in Information Systems degree (MSIS) is a professional degree for students wishing to pursue careers in Information Systems design, development, consulting or related fields. Core courses focus on building technology and quantitative skills, providing excellent fundamental knowledge of information systems concepts and business analytics techniques. Students may select from a small number of targeted electives to deepen their knowledge of core areas. They will learn how to analyze and direct the information systems decisions of an organization, how to use advanced statistical techniques to analyze data to inform decision-making, and gain a fresh understanding and a deep appreciation for the theoretical foundations of Information Systems today.

The proposed MSIS program offered by the Robert H Smith School of Business will provide students with:

- a) Strong foundational understanding of information technology and quantitative approaches to decision-making.
- b) Comprehensive knowledge of concepts necessary for engaging in any information systems project.
- c) In-depth understanding of techniques to analyze organizational processes from a systems perspective.
- d) The ability to design and leverage database structures necessary for managing organizations' information.
- e) The project management skills and abilities to effectively plan and manage projects that meet their organization's business goals.
- f) Analytical skills including a strong understanding of statistics.
- g) Knowledge of the legal and ethical issues related to information systems management and an understanding of the role of all stakeholders when information systems decisions are made.
- h) Expertise in information systems and business analytics that will make our students valuable contributors to a variety of employers and organizations in diverse communities.

**B. List the courses (number, title, semester credit hours) that would constitute the requirements and other components of the proposed program. Provide a catalog description for any courses that will be newly developed or substantially modified for the program.**

Students will enter the MSIS program with a Bachelor's degree. The proposed MSIS program requires 30 credit hours comprised of core courses (21 credits) and electives (at least 9 credits). Completion of the degree will typically be achieved within 2 years, but is feasible within 1 or 1.5 academic years for students who wish to accelerate the program.

While not required, some students may pursue the option of writing a master's thesis as part of reaching their 30 credit hours requirement. Others may take advantage of experiential learning opportunities for course credit. In both cases, such credit would be limited to 6 credit hours, be

overseen by a faculty member, and follow the Graduate School's guidelines for the Master's degree.

### **Core Courses**

**BUSI 621 Strategic and Transformational IT (2 credits):** Introduces students to the key issues in managing information technology (IT) and provides an overview of how major IT applications in today's firms support strategic, operational, and tactical decisions. Topics include: synchronizing IT and business strategy; the transformational impacts of IT; evaluating and coping with new technologies; governing, managing, and organizing the IT function including outsourcing/offshoring considerations; assessing the business value of IT and justifying IT projects; and managing IT applications in functional areas to support strategy and business process.

**BUSI 622 Managing Digital Business Markets (2 credits):** Introduces students to the strategic and tactical issues involved in managing digital businesses and markets. Explores some of the characteristics of digital businesses and markets that make them unique to develop an understanding of how companies can best manage them.

**BUSI 785 Project Management in Dynamic Environments (2 credits):** Addresses project management skills that are required by successful managers in increasingly competitive and faster-moving environments. Examines fundamental concepts of successful project management, and the technical and managerial issues, methods, and techniques.

**BUDT 703 Business Process Analysis for Information Systems (3 credits):** Helps students gain a solid foundation in the concepts, processes, tools, and techniques needed in analyzing business processes and conducting information systems projects.

**BUDT 704 Database Management Systems (3 credits):** Introduction to the conceptual and logical design of relational database systems and their use in business environments. Topics include information modeling and optimization via normalization; Structured Query Language (SQL); Client/Server architectures; Concurrency & Recovery; Data Warehousing.

**BUDT 758 Data, Models, and Decisions (3 credits):** Analytical modeling of business decisions; uncertainty, risk and expected utility; regression modeling to infer relationships among variables.

**BUDT 705 Data Networks and Infrastructures (3 credits):** Technical and managerial aspects of business data communications, networking, and telecommunications with a particular emphasis on internet-based technologies and services. Content includes history and structure of the telecommunications industry, including key legislative, regulatory and legal milestones, and management of the technical and functional components of telecommunications and data communications technology.

**BUDT 758 Information Systems Project (3 credits):** Students apply concepts and techniques learned in core courses to complete a project fulfilling some real business requirements.

## Elective Courses

In addition to these information systems and business analytics electives, and upon approval of the academic advisor, students may take up to three credits in a related field. Students must select at least 2 electives from set 1.

### Set 1:

BUDT 758 Data Mining and Predictive Analytics (3 credits): Data mining techniques and their use in business decision making. A hands-on course that provides an understanding of the key methods of data visualization, exploration, classification, prediction, time series forecasting, and clustering.

BUDT 758 Decision Analytics (3 credits): Analytical modeling for managerial decisions using a spreadsheet environment. Includes linear and nonlinear optimization models, decision making under uncertainty and simulation models.

BUDT 758 Computer Simulation for Business Applications (3 credits): This course covers the basic techniques for computer simulation modeling and analysis of discrete-event systems. Course emphasis is on conceptualizing abstract models of real-world systems (for example, inventory or queuing systems), implementing simulations in special purpose software, planning simulation studies, and analyzing simulation output.

### Set 2:

BUDT 758 IS Security (3 credits): Provides students foundational knowledge of information systems security threats, risk assessment, and approaches to ensuring security.

BUDT 758 Data Processing in Python (3 credits): Covers core concepts and techniques in designing and building software programs to support business requirements.

BUDT 758 Special topics in Decision, Operations, and Information Technologies (credits may vary)

BUDT 759 Independent Study in Decision, Operations, and Information Technologies (credits may vary)

## Sample Student Schedules

Below are tables showing how a typical MSIS student can complete the required coursework over two, three, or four regular semesters.

### Sample Student Schedule for MSIS, completed in two semesters.

Fall	Spring
BUSI 621 Strategic and Transformational IT	BUDT 703 Business Process Analysis
BUSI 622 Managing Digital Business Markets	BUDT 758 Data Mining
BUSI 785 Project Management	BUDT 758 Decision Analytics

BUDT 704 Database Management BUDT 758 Data Models BUDT 705 Data Networks and Infrastructures	BUDT 758 IS Security BUDT 740 IS Projects
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**Sample Student Schedule for MSIS, completed in 3 semesters**

	Fall	Spring
First Year	BUSI 622 Managing Digital Business Markets BUDT 704 Database Management BUDT 758 Data Models BUDT 705 Data Networks and Infrastructures	BUDT 703 Business Process Analysis BUDT 758 Data Mining BUDT 758 Decision Analytics BUDT 758 IS Security
Second Year	BUSI 621 Strategic and Transformational IT BUSI 785 Project Management BUDT 740 IS Projects	

**Sample Student Schedule for MSIS, completed in 4 semesters**

	Fall	Spring
First Year	BUSI 622 Managing Digital Business Markets BUDT 704 Database Management BUDT 758 Data Models	BUDT 703 Business Process Analysis BUDT 758 Data Mining BUDT 758 Decision Analytics
Second Year	BUDT 705 Data Networks and Infrastructures BUSI 621 Strategic and Transformational IT BUSI 785 Project Management BUDT 758 Data Processing in Python	BUDT 740 IS Projects

**C. Describe any selective admissions policy or special criteria for students selecting this field of study.**

Applicants to the MSIS program must have completed all of the requirements for a baccalaureate degree prior to their acceptance into the program, with particular emphasis on the student having sufficient quantitative and technical background. All applicants must submit: Transcripts from all undergraduate and graduate institutions that have been previously attended, Graduate Record Examination (GRE) scores or the Graduate Management Admissions Test (GMAT) scores, a complete online application form that includes a written essay articulating qualifications and motivation for pursuing advanced education, two letters of recommendation from supervisors or from professors competent to judge the applicant's probability of success in graduate school.

In addition, an admissions interview may be required. After initial screening, the Admissions Office may select candidates for interviews which may be done in person or by telephone. Proof of English language proficiency (TOEFL or IELTS official scores) is also required unless the applicant has received an undergraduate or graduate degree from a select list of countries. For international student needing an F1 visa, a completed certification of finance form and supporting financial documentation are required.

In addition to Graduate School requirements, admission decisions for the MSIS program will be based on the quality of previous undergraduate and graduate course work (if applicable), the strength of Graduate Record Examination scores or the Graduate Management Admissions Test scores, the relevance of prior work and research experience, and the congruence of professional goals with those of the program. Students should submit application materials for the fall semester by April 1. This program does not accept applications for Spring semester admission.

### **III. STUDENT LEARNING OUTCOMES AND ASSESSMENT**

#### **List the program's learning outcomes and explain how they will be measured and assessed**

The Masters of Science in Information Systems degree is designed to provide students a solid foundation in information systems analysis, design, management, and application, with a focus on building quantitative analytical skills. This is reflected in the following learning outcomes.

**Learning Outcome 1** Students will demonstrate a clear understanding of the basic concepts of systems analysis and design, database management, information systems strategy, and technology-enabled business models.  
Measure: Students will be required to pass a core set of classes in these areas.  
Criterion: At least 90% of students will receive a rating of "Satisfactory" or better based on a review of their performance in the core classes. The Academic Director will advise students rated below "Satisfactory" to help improve their performance or determine their continued participation in the program.  
Assessment: Every Year, starting in the 2013-2014 academic year.

**Learning Outcome 2** Students will demonstrate critical reasoning and written communication skills through the analysis of information systems case studies.  
Measure: Students must take at least one class that uses the case study method.  
Criterion: At least 90% of students will receive a rating of "Satisfactory" or better from the course instructor.  
Assessment: Every Year, starting in the 2013-2014 academic year.

**Learning Outcome 3** Students will demonstrate oral communication skills through the presentation of an information systems case study.  
Measure: Students must make at least one presentation of a case study.  
Criterion: At least 90% of students will receive a rating of "Satisfactory" or better from the course instructor.

Assessment: Every Year, starting in the 2013-2014 academic year.

**Learning Outcome 4** Students will demonstrate their ability to work effectively with other members of a team in the preparation of a group project.

Measure: Students must prepare group projects as part of a class.

Criterion: At least 90% of students will receive a rating of “Satisfactory” or better from the course instructor.

Assessment: Every Year, starting in the 2013-2014 academic year.

**Learning Outcome 5** Students will demonstrate the ability to conduct complex data analysis tasks to inform managerial decisions.

Measure: Students will be required to pass a core set of business analytics classes.

Criterion: At least 90% of students will receive a rating of “Satisfactory” or better based on a review of their performance in the core classes. The Academic Director will advise students rated below “Satisfactory” to help improve their performance or determine their continued participation in the program..

Assessment: Every Year, starting in the 2013-2014 academic year.

#### **IV. FACULTY AND ORGANIZATION**

**A. Who will provide academic direction and oversight for the program? [This might be a department, a departmental subgroup, a list of faculty members, or some other defined group.]**

Primary oversight of this program will be provided by a faculty member assigned as the director of the program. A committee of faculty members has been created to address issues including admissions, academic policies, student activities, and internship / placement opportunities. The program would also be overseen by the chair of the Decision, Operations, and Information Technology (DO&IT) department and the Dean’s office.

The department of Decision, Operations, and Information Technologies at the Robert H Smith School of Business currently has 35 FTE faculty. Twenty-five of these are tenure/ tenure track. All faculty have doctoral degrees in information systems, computer science, statistics, or related areas.

#### **Faculty Expected to Teach in the Proposed MSIS Program**

Zhi-Long Chen, PhD, Professor of Operations Management, Department Chair  
Teaching/research focus: optimization, logistics, scheduling, supply chain management, and operations management

Course: To be determined

Sean Barnes, PhD, Assistant Professor of Operations Management  
Teaching/research focus: modeling, simulation, and complex systems

Courses: BUDT 758 Computer Simulation and BUDT 758 Data Processing in Python

Margret Bjarnadottir, PhD, Assistant Professor of Management Science and Statistics

Teaching/research focus: operations research methods using large scale data

Course: BUDT 758 Data Mining and Predictive Analytics

Barney Corwin, PhD, Tyser Teaching Fellow of Information Systems

Teaching/research focus: the application of project management methods, mindset, and techniques to business and organizational opportunities and problems and the innovative use of information systems in businesses and organizations

Course: BUDT 758 IS Projects and BUSU 785 Project Management

Anandasivam Gopal, PhD, Associate Professor of Information Systems

Teaching/research focus: empirical software engineering and software engineering economics

Course: BUSI 621 Strategic and Transformational IT

Hassan Ibrahim, D.Sc., Tyser Teaching Fellow of Information Systems

Teaching/research focus: management of technology; especially the strategic applications of information systems to supply chain management

Courses: BUDT 703 Business Process Analysis and BUDT 740 IS Projects

Kislaya Prasad, PhD, Director, Center for International Business Education and Research and Research Professor

Teaching/research focus: computability and complexity of individual decisions and economic equilibrium, innovation and diffusion of technology, and social influences on economic behavior

Courses: BUDT 758 Data Models and BUDT 758 Data Mining and Predictive Analytics

Raghu Raghavan, PhD, Professor of Management Science & Operations Management

Teaching/research focus: quantitative methods (in particular optimization models) for better decision making

Courses: BUDT 758 Data Models and BUDT 758 Decision Analytics

Louisa Raschid, PhD, Professor of Information Systems

Teaching/research focus: solving the challenges of data management, data integration, and performance for applications in the life sciences, Web data delivery, health information, financial information systems, humanitarian IT applications and Grid computing

Course: BUDT 704 Database Management

Donald Riley, PhD, Professor of Information Systems

Teaching/research focus: applications of interactive computer graphics and multimedia to computer-aided design and computer-aided manufacturing (CAD/CAM), knowledge-based systems for design and manufacturing, computer-aided mechanism analysis and design, application of CAD/CAM techniques to biomechanical and bioengineering problems, and the product development process

Courses: BUDT 705 Data Networks & Infrastructures and BUDT 758 IS Security

Katherine Stewart, PhD, Associate Professor of Information Systems  
Teaching/research focus: technology-mediated work and collaboration  
Course: BUDT 703 Business Process Analysis

Tunay Tunca, PhD, Associate Professor of Management Science and Operations Management  
Teaching/research focus: economics of operations and technology management, theoretical and empirical analysis of procurement contracts and processes, economics of security, and the role of information and forecasting in supply chains  
Course: BUDT 758 Data Models

Siva Viswanathan, PhD, Associate Professor of Information Systems and Co-director of Center for Electronic Markets and Enterprises  
Teaching/research focus: emerging issues related to online firms and markets, and on analyzing the competitive and strategic implications of new information and communication technologies  
Course: BUSI 622 Managing Digital Business Markets

**B. If the program is not to be housed and administered within a single academic unit, provide details of its administrative structure. This should include at least the following:**

Not applicable. All classes will be housed and administered within the Robert H Smith School of Business

## **V. OFF CAMPUS PROGRAMS**

**A. If the program is to be offered to students at an off-campus location, with instructors in classrooms and/or via distance education modalities, indicate how student access to the full range of services (including advising, financial aid, and career services) and facilities (including library and information facilities, and computer and laboratory facilities if needed) will be assured.**

In addition to holding classes on the UMCP campus, some sections of the program may meet at our DC location in the US Department of Commerce building, our Baltimore facility in the Baltimore BioPark, or our facility at the Universities of Shady Grove. Those facilities already contain adequate classrooms, computer facilities, study rooms, and administrative space for academic advising, career advising, and student activity support.

**B. If the program is to be offered mostly or completely via distance education, you must describe in detail how the concerns in Principles and Guidelines for Online Programs are to be addressed.**

Currently, the program is structured to be entirely delivered in a traditional classroom setting. Over time, we may evaluate online learning opportunities, but nothing is currently scheduled. Should we move towards some courses being offered online, all online courses would adhere to

the policies and concerns outlined in the University of Maryland document, Principles and Guidelines for Online Programs.

Program Development, Control and Implementation Would Be By Faculty - The faculty would have overall control over the design, development, and administration of any online academic instruction. Smith school technical support personnel would be available, as well as agreements with the off-campus sites for technical support during classroom hours. Support will be available to faculty during course development, as well as during the offering of the program.

## **VI. OTHER ISSUES**

### **A. Describe any cooperative arrangements with other institutions or organizations that will be important for the success of this program.**

Not applicable. All aspects of the program from admissions to academic programming to career advising will be provided by the Robert H Smith School of Business. While the program will reach out to local companies and institutions for guest speakers, internship opportunities, experiential learning projects, and job placement, no particular relationship is pivotal to the success of the program.

### **B. Will the program require or seek accreditation? Is it intended to provide certification or licensure for its graduates? Are there academic or administrative constraints as a consequence?**

The University of Maryland's Robert H. Smith School of Business is already accredited by the AACSB (American Association of Collegiate Schools of Business). No accreditation is sought for this individual program.

## **VII. COMMITMENT TO DIVERSITY**

### **Identify specific actions and strategies that will be utilized to recruit and retain a diverse student body.**

The Robert H. Smith School of Business community is multifaceted at every level – students, staff and faculty represent a diverse blend of backgrounds, nationalities, ethnicities and experiences. About a dozen Smith School and student clubs are focused on bringing members together who have similar interests in gender, nationality, religion, and sexual orientation.

To attract the most diverse population possible for the proposed Masters of Science in Information Systems program, Smith School recruiting staff will focus on domestic efforts. These efforts will be targeted at recruiting U.S. minorities and American women of all ethnicities.

Current efforts include:

- Representing Master programs in U.S. MBA and Master Fairs and Tours

- Representing Master programs in International MBA and Master Fairs and Tours
- Online Chats
- U.S. College Visits
- International College Visits
- GMASS-based Mailings
- GRE-based Mailings
- Direct Mail
- Email Campaigns
- Outreach to College and Campus Organizations and Clubs
- Participating in Career/Graduate Study Panels or Workshops
- Presentations at Professional Conferences
- Creation of "Leap Your Career Forward" for Current UMD Students Looking At MBA and Master Study Post-Undergraduate Studies (An Annual Event)
- Advertising in UMD Campus Newspapers
- Master Only Education Fairs (Fall And Spring) Throughout the U.S.
- Participation in a Masters-focused Business School Alliance
- Participant in Graduate Business Education Events Targeted for Underrepresented Populations, Particularly U.S. Minorities and Women

Future efforts include:

- Including Master's Level Programming in Marketing Content Targeted to U.S. Military/Veterans
- Outreach to College Organizations in the Washington, D.C. Area
- Enhancement of Website for All Master Programs
- Inclusion of Spotlight and Vignettes of Master Alumni and Current Students who Reflect Diversity
- Participation in Events Targeted for Women Seeking Graduate Study (General And Non-MBA Based Events)
- Social Media and Online Advertising within U.S. Markets
- Partnerships with Academic Testing Centers and Overseas Advisors For International Graduate Study
- Marketing Targeting Young UMD Alumni and Young University Of Maryland System Alumni

## **VIII. REQUIRED PHYSICAL RESOURCES**

The proposed Masters of Science in Information Systems (MSIS) program replaces the existing Master of Science in Business with a concentration in Information Systems (MSB/IS) degree currently offered. The proposed program can be implemented in accordance with Section 11

206.1 in which programs developed under this provision can be implemented within existing resources of the campus. In proceeding with the submission of this program, the institution's president certifies that no new general funds will be required for the implementation of this master's-level program.

**A. Additional library and other information resources required to support the proposed program. You must include a formal evaluation by Library staff.**

As this proposed program replaces a current program, no additional resources are required.

**B. Additional facilities, facility modifications, and equipment that will be required. This is to include faculty and staff office space, laboratories, special classrooms, computers, etc.**

As this proposed program replaces a current program, no additional facilities or facility modification is required. The School has adequate space in Van Munching Hall and in our satellite locations to house current faculty and students in the proposed program. No additional classrooms or computer laboratories are required.

**C. Impact, if any, on the use of existing facilities and equipment. Examples are laboratories, computer labs, specially equipped classrooms, and access to computer servers.**

See response to VIII.B above.

## **IX. RESOURCE NEEDS and SOURCES**

**Describe the resources that are required to offer this program, and the source of these resources. Project this for five years. In particular:**

**A. List new courses to be taught, and needed additional sections of existing courses. Describe the anticipated advising and administrative loads. Indicate the personnel resources (faculty, staff, and teaching assistants) that will be needed to cover all these responsibilities.**

As this proposed program replaces a current program, no additional courses or changes in advising or administrative workload is required.

**B. List new faculty, staff, and teaching assistants needed for the responsibilities in A, and indicate the source of the resources for hiring them.**

Faculty resources of the Robert H Smith School of Business and in particular the DO&IT department of the School (as described herein) are adequate to cover the size of the proposed MSIS program. Approval of this proposal would not alter the responsibilities of the faculty beyond those already generated by the MSB/IS program that this proposal seeks to replace.

**C. Some of these teaching, advising, and administrative duties may be covered by existing faculty and staff. Describe your expectations for this, and indicate how the current duties of these individuals will be covered, and the source of any needed resources.**

As described above, teaching, advising, and administrative duties will be handled by existing faculty members (who are already teaching and conducting research on related topics).

**D. Identify the source to pay the for the required physical resources identified in Section VIII. above.**

No additional resources are required.

**E. List any other required resources and the anticipated source for them.**

Not applicable.

**F. Provide the information requested in [Table 1](#) and [Table 2](#) (for Academic Affairs to include in the external proposal submitted to USM and MHEC).**

Given that this degree replaces a degree already offered, there are no incremental revenues or expenses.

**Appendix 1: Peer Comparisons –Information Systems Programs offered by MBA Ranked Peers**

<b>MBA Ranking BW / US News</b>	<b>University</b>	<b>Degree Name of Information Systems Program</b>
#11 / #19	Carnegie Mellon University	Master of Information Systems Management
#15 / #22	Indiana University	Master of Science in Information Systems
#16 / #10	New York University	Master of Science in Information Systems
#26 / #35	Texas A & M University	Master of Science in Management Information Systems
#37 / #23	University of Washington	Master of Science in Information Systems
#40 / #47	University of Illinois, Urbana- Champaign	Master of Science in Technology Management
#48 / #36	University of Florida	Master of Science with a major in Information Systems & Operations Management
#49 / #30	Arizona State University	Master of Science in Information Management
#50 / #37	University of Rochester	Master of Science in Information Systems Management
NC / #37	University of Texas, Dallas	Master of Science in Information Technology and Management
NR / #44	University of Arizona	Masters in Management Information Systems

## Appendix 2: Curriculum Comparisons

**Bold** = similar courses in our core. *Italics* = similar courses offered as electives.

University Degree MBA Ranking	Curriculum	Prerequisites	Comments
Carnegie Mellon University Master of Information Systems Management #11	<p><b>Core:</b>            Distributed Systems  <b>Database Management</b>  <b>Telecommunications Management</b>  <i>Object Oriented Programming in Java</i>  <b>Object Oriented Analysis and Design</b>  <b>Digital Transformation</b>            Organizational Design and Implementation            Economic Analysis            Financial Accounting            Principles of Finance  <b>Decision Making Under Uncertainty</b>  <b>Statistics for IT Managers</b>            Strategic Writing Skills            Professional Speaking</p>	<p>Object-oriented programming coursework            One-year track: At least three years of work experience</p>	<p>There is significant overlap in the core courses of this program and ours. Our program provides greater depth in analytics in core courses whereas the CMU program includes more general business courses in the core (i.e. Accounting and Finance).</p>
Indiana University Master of Science in Information Systems #15	<p><b>Required:</b>            IS Foundations Core            Practicum / Internship</p> <p><b>Electives:</b>  <b>Data Warehousing: Concepts &amp; Mgmt</b>  <b>IS Capstone Project</b>  <b>An Introduction to Data Mining</b>  <i>Advanced Topics in MSIS - Web Analytics</i>  <i>Organizational Info Systems Security</i>            Cybersecurity Law and Policy            Business Process Integration with ERP  <i>Supply Chain Management and Technologies</i>  <i>Strategic Sourcing</i>            Adv Web Applications Development: Service-Oriented Architecture  <i>Advanced Topics in MIS: Advanced IS Management</i>            Advanced Topics in MIS: Enterprise Business Application Software            Business Process Integration with ERP</p>	<p><b>Equivalent courses to:</b>            Introductory Programming            Database Management            Introduction to Financial Accounting Operations Management            Principles of Finance            Principles of Marketing            Principles of Management</p>	<p>Though many similar courses are offered, our program is more structured to provide a coherent core set of courses covering information technology and analytics topics.</p>

University Degree MBA Ranking	Curriculum	Prerequisites	Comments
	<p><b>Intro to Spreadsheet Modeling</b>            Business Process Design            Thinking Strategy: Game Theory/Business Strategy            Developing Strategic Capabilities            Power, Persuasion, Influence &amp; Negotiation            Management Consulting            Managing a Client Engagement</p>		
<p>New York University            Master of Science in Information Systems            #16</p>	<p>Managing Organizations  <b>Understanding Firms and Markets</b>  <b>Statistics &amp; Data Analysis</b>            Financial Accounting and Reporting            Global Business Environment: Trade and Investment            The Global Business Environment: International Macroeconomics and Finance            Marketing Concepts and Strategies            Foundations of Finance            Operations  <b>Managing the Digital Firm</b>            Designing &amp; Developing Web-based Systems  <b>Data Mining and Knowledge Systems</b>            Electronic Commerce            Financial Information Systems            Current Topics (Advanced Technology)            Fundamental Algorithms  <b>Data Communications and Networks</b>            Operating Systems  <b>Database Systems</b>  <b>The Information Technology Projects Course</b></p>	<p>At least 1.5 years of full-time work experience, indicating some business leadership ability            Programming ability with comprehension of data structures and simple CS algorithms and evidence of ability to excel in graduate courses in computer science            All Bs or better, with many As, in business, engineering and science courses;            lower grades may be acceptable from very prestigious schools</p>	<p>There is significant overlap in the courses of this program and ours. Our program provides greater depth in analytics whereas the NYU program includes more general business courses (i.e. Marketing and Finance).</p>
<p>Texas A &amp; M University            Master of Science in Management Information Systems            #26</p>	<p><b>Required Courses:</b>            Accounting Controls and Procedures            Introduction to Contemporary Manufacturing  <b>MIS Project Management and Implementation</b>  <b>Information Systems Design and Development</b>  <b>Advanced Systems Analysis and Design</b></p>	<p>A course in statistics            A course in programming (Java, C++, VB, etc.)            A database course            A course in systems analysis</p>	<p>This program is similar to ours in the technology courses, but does not include as much depth in Analytics.</p>

University Degree MBA Ranking	Curriculum	Prerequisites	Comments
	Data Warehousing Corporate Information Planning Information Systems Sourcing <b>Advanced Database Management</b> <i>Business Information Security</i> <b>Elective Courses:</b> Customer Relationship Management Technologies Business Process Design E-Services <b>Data Mining</b> Logistics and Distribution Management Professional Internship	and design A course in business data communications	
University of Washington Master of Science in Information Systems #37	<b>Required courses:</b> <b>Information Technology and            Organizational Strategy</b> <b>Business Data Analysis</b> <b>Operations and Business Process            Management</b> <b>Business Decision Models</b> <b>Introduction to Data Mining and            Analytics</b> <b>Digital Transformation of Organizations</b> <i>Information Security in a Networked            World</i> <b>Information Technology and Marketing            in the New Economy</b> <b>Advanced Business Data Mining</b> Compliance and Legal Issues in Information Technology <b>Managing Information Technology            Projects</b> Enterprise Systems and Integration  <b>Elective courses:</b> <i>Advanced and Unstructured Data Mining</i> Advanced Development Frameworks <b>Advanced Database Systems and Data            Warehouses</b> Managing Information Technology Resources Technology Entrepreneurship Information Systems Economies Contemporary Topics in Information	-	Structure of the UW program is similar to ours.

University Degree MBA Ranking	Curriculum	Prerequisites	Comments
	Systems		
Arizona State University Master of Science in Information Evening Program #49	<b>All required:</b> <b>Data &amp; Information Management Strategic Value of Information Technology Business Intelligence</b> <i>Information Security and Controls</i> <b>Business Process and Workflow Analysis</b> Emerging Technologies Managing Enterprise Systems <b>IT Services and Project Management</b> Knowledge Management and Text Analysis <b>Applied Project</b>	2-year related work experience Undergraduate degree in a related field Courses or equivalent experience in statistics, brief calculus and a programming language	Our program has a more defined focus on Analytics.
University of Rochester Master of Science in Information Systems Management #50	<b>Required:</b> Information Systems for Management The Economics of Information Management <b>Business Process Analysis and Design Framing and Analyzing Business Problems I and II</b> Communicating Business Decisions Operations Management Managerial Economics  <b>Electives:</b> Corporate Financial Accounting <b>Electronic Commerce Strategy</b> Financial Information Systems Capital Budgeting and Corporate Objectives <i>Supply Chain Management</i> Service Management International Manufacturing and Service Strategy The Economic Theory of Organizations	No specific prerequisites	This program is somewhat similar to ours but with a greater focus on general business courses (e.g. in finance, operations management)
University of Arizona Masters in Management Information Systems	<i>Healthcare Information Systems</i> Software Design and Integration Business Communications <b>Web Computing and Mining</b> Social and Ethical Issues of the Internet <b>Business Foundations for IT</b> <i>Information Security in Public and Private Sectors</i>	Experience in computer and Web programming Knowledge and experience with (1) Java and (2) JSP and Servlets, PHP or .NET/J2EE	Program is similar to ours.

University Degree MBA Ranking	Curriculum	Prerequisites	Comments
	Information Security Risk Management Systems Security Management Introduction to Enterprise Computing Environments Detection of Deception and Intent <b>Enterprise Data Management</b> <b>Analysis and Design of Service-Oriented Systems</b> <b>Business Data Communications &amp; Networking</b> <b>Data Mining for Business Intelligence</b> <i>Operations Management</i> Managing for Quality Improvement Production and Operations Management The Supply Chain and Logistics <b>Project Management</b> Financial Information Systems <b>Strategic Management of Information Systems</b> <b>Business Intelligence</b> Special Topics in MIS - Mobile Device Programming	Knowledge of database connectivity via ODBC or JDBC is recommended	



**University Senate  
TRANSMITTAL FORM**

<b>Senate Document #:</b>	13-14-23
<b>PCC ID #:</b>	13032
<b>Title:</b>	Proposal to Establish a Master of Science in Marketing Analytics
<b>Presenter:</b>	Marilee Lindemann, Chair, Senate Programs, Curricula, and Courses Committee
<b>Date of SEC Review:</b>	January 31, 2014
<b>Date of Senate Review:</b>	February 5, 2014
<b>Voting (highlight one):</b>	<ol style="list-style-type: none"> <li>1. On resolutions or recommendations one by one, or</li> <li>2. In a single vote</li> <li>3. To endorse entire report</li> </ol>
<b>Statement of Issue:</b>	<p>The Robert H. Smith School of Business proposes to take its existing Master of Science in Business area of concentration in Marketing and reclassify it as its own, stand-alone degree program, the Master of Science in Marketing Analytics. The context of the Master of Science in Business is important for understanding this proposal. Designed to provide an alternative to the generalist approach of the Master of Business Administration, the Master of Science in Business was created in 1978 to allow students to specialize in an academic field within business and management. Consequently, the Master of Science in Business has a structure that is uncommon for campus degree programs that have areas of concentration. The Master of Science of Business does not have a set of core requirements that is shared by each area of concentration. The curriculum of each area of concentration focuses on its own content; thus, the curriculum of the Marketing area of concentration is comprised entirely of marketing analytics courses. Last year, a proposal to convert the concentration in Finance to its own degree program was approved. This proposal is a continuation of the effort to separate some of the MS in Business concentrations into their own degree programs.</p> <p>In the past, the structure of the Master of Science in Business was sufficient for the purposes of the area of concentration in Marketing. In recent years, however, it has become apparent that this structure poses unnecessary limitations for students, staff and faculty. Currently, the diploma only indicates the Master of</p>

	<p>Science in Business, not the actual focus of the curriculum. The general degree name also puts the School of Business at a competitive disadvantage when trying to attract students who are strongly interested in a degree in Marketing Analytics. Students and alumni have overwhelmingly expressed their desire for the degree name to accurately represent the focus of their coursework.</p> <p>By having a separate program as opposed to a concentration, students will now be able to pursue multiple areas in business (i.e., they will be able to pursue two business MS degrees at UM because the program names will now be different). Furthermore, the tuition rate will no longer be tied to the tuition rate of the MS in Business, and can be lowered or raised depending on market demand.</p> <p>Other than reclassifying the area of concentration as its own degree program, there are no other changes proposed. The new degree program will continue to be administered in the same manner as the area of concentration had been in the past, with the same faculty responsible for oversight. The curriculum will also remain the same. Consequently, there is no need for additional resources as a result of the proposed action.</p> <p>The Graduate PCC committee approved the proposal on January 27, 2014. The Senate PCC committee approved the proposal at its meeting on December 6, 2013.</p>
<b>Relevant Policy # &amp; URL:</b>	N/A
<b>Recommendation:</b>	The Senate Committee on Programs, Curricula, and Courses recommends that the Senate approve this new degree program.
<b>Committee Work:</b>	The Committee considered the proposal at its meeting on December 6, 2013. Anil Gupta, Professor, Robert H. Smith School of Business, and Michael Marcellino, Assistant Dean, Robert H. Smith School of Business, presented the proposal. After discussion, the Committee voted unanimously to recommend the proposal.
<b>Alternatives:</b>	The Senate could decline to approve this new degree program.
<b>Risks:</b>	If the Senate does not approve reclassifying the area of concentration as a degree program, the program and the students will continue to be at a disadvantage because of the generic name of their degree program.
<b>Financial Implications:</b>	There are no significant financial implications with this proposal.
<b>Further Approvals Required:</b> <i>(*Important for PCC Items)</i>	If the Senate approves this proposal, it would still require further approval by the President, the Board of Regents, and the Maryland Higher Education Commission.

**THE UNIVERSITY OF MARYLAND, COLLEGE PARK  
PROGRAM/CURRICULUM/UNIT PROPOSAL**

- Please email the rest of the proposal as an MSWord attachment to [pcc-submissions@umd.edu](mailto:pcc-submissions@umd.edu).

PCC LOG NO.

13032

- Please submit the signed form to the Office of the Associate Provost for Academic Planning and Programs, 1119 Main Administration Building, Campus.

**College/School: Robert H. Smith School of Business**

Please also add College/School Unit Code-First 8 digits: 01202900

Unit Codes can be found at: [https://hypprod.umd.edu/Html\\_Reports/units.htm](https://hypprod.umd.edu/Html_Reports/units.htm)

**Department/Program: Robert H. Smith School of Business**

Please also add Department/Program Unit Code-Last 7 digits: 1290101

**Type of Action (choose one):**

- |   |   |
|---|---|
| <input type="checkbox"/> Curriculum change (including informal specializations)     | <input checked="" type="checkbox"/> <i>New academic degree/award program</i>        |
| <input type="checkbox"/> Curriculum change for an LEP Program                       | <input type="checkbox"/> New Professional Studies award iteration                   |
| <input type="checkbox"/> <i>Renaming of program or formal Area of Concentration</i> | <input type="checkbox"/> New Minor  |
| <input type="checkbox"/> <i>Addition/deletion of formal Area of Concentration</i>   | <input type="checkbox"/> Request to create an online version of an existing program |
| <input type="checkbox"/> <i>Suspend/delete program</i>                              |   |

*Italics indicate that the proposed program action must be presented to the full University Senate for consideration.*

**Summary of Proposed Action:**

Convert Master of Science in Business and Management - Marketing Analytics Concentration to a Master of Science in Marketing Analytics

**Departmental/Unit Contact Person for Proposal:** \_\_\_\_\_

APPROVAL SIGNATURES - *Please print name, sign, and date. Use additional lines for multi-unit programs.*

1. Department Committee Chair \_\_\_\_\_
2. Department Chair \_\_\_\_\_
3. College/School PCC Chair \_\_\_\_\_
4. Dean \_\_\_\_\_
5. Dean of the Graduate School (if required) \_\_\_\_\_
6. Chair, Senate PCC Manson for 12/6/13
7. University Senate Chair (if required) \_\_\_\_\_
8. Senior Vice President and Provost \_\_\_\_\_

**THE UNIVERSITY OF MARYLAND, COLLEGE PARK  
PROGRAM/CURRICULUM/UNIT PROPOSAL**

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- Please email the rest of the proposal as an MS Word attachment to [pcc-submissions@umd.edu](mailto:pcc-submissions@umd.edu).

PCC LOG NO.

13032

- Please submit the signed form to the Office of the Associate Provost for Academic Planning and Programs, 1119 Main Administration Building, Campus.

**College/School:**

Please also add College/School Unit Code-First 8 digits: **01202900**

Unit Codes can be found at: [https://hypprod.umd.edu/Htm-l\\_Reports/units.htm](https://hypprod.umd.edu/Htm-l_Reports/units.htm)

**Department/Program:**

Please also add Department/Program Unit Code-Last 7 digits: **1290901**

**Type of Action (choose one):**

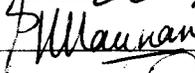
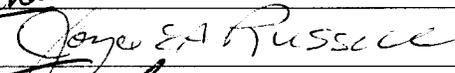
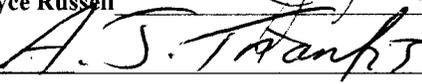
- |  |   |
|--|---|
| <input type="checkbox"/> Curriculum change (including informal specializations)                | <input type="checkbox"/> <i>New academic degree/award program</i> |
| <input checked="" type="checkbox"/> <i>Renaming of program or formal Area of Concentration</i> | <input type="checkbox"/> New Professional Studies award iteration |
| <input type="checkbox"/> <i>Addition/deletion of formal Area of Concentration</i>              | <input type="checkbox"/> New Minor                                |
| <input type="checkbox"/> <i>Suspend/delete program</i>   | <input type="checkbox"/> Other                                    |

*Italics indicate that the proposed program action must be presented to the full University Senate for consideration.*

**Summary of Proposed Action:** The Robert H Smith School of Business (School) proposes launching a Master of Science in Marketing Analytics (MS in MA) program designed to provide students with the cutting-edge knowledge and skills necessary to successfully apply marketing analytics in business practice. Today's business environment has become increasingly data orientated and this program will prepare students to analyze these data sets. The school currently offers a Master's of Science in Business and Management with a concentration in Marketing. Unfortunately, there is no distinction between the concentrations on the diplomas or transcripts and we are limited in our ability to treat the programs differently. The creation of this formal degree program will provide us with an opportunity to better reflect the degree being earned and provide us with the ability to align our administrative activities with the market demands.

---

APPROVAL SIGNATURES - Please print name, sign, and date. Use additional lines for multi-unit programs.

1. Department Committee Chair Wendy Moo 
2. Department Chair P.K. Kannan 
3. College/School PCC Chair Joyce Russell 
4. Dean Alexander Triantis 
5. Dean of the Graduate School (if required) \_\_\_\_\_
6. Chair, Senate PCC \_\_\_\_\_
7. University Senate Chair (if required) \_\_\_\_\_
8. Senior Vice President & Provost \_\_\_\_\_

To: Betsy Beise

From: Anil Gupta

Subject: Degree name changes for MS in Business and Management

Dear Betsy:

The Smith School currently offers multiple internationally competitive Master of Science in Business degrees, including concentrations in Accounting, Information Systems, Marketing Analytics, and Supply Chain Management. The attached proposals are being submitted to request that we change the name of our current MS degree with concentrations to individual Masters of Science degrees. Offering degrees with the specific titles will better articulate the credentials of graduating students on the diploma and make them more competitive in all markets. The adjustment of these degree names will also provide us with an opportunity to align our administrative activities with the market demands instead of treating them in a similar manner.

We are submitting these proposals as a package for administrative efficiency. We felt this might be a more convenient approach since many of the questions raised will likely be applied to all four programs. If this approach is undesirable, we are certainly prepared to discuss them individually as well.

Please let us know if you need additional information or have any questions.

Sincerely,

Dr. Anil K. Gupta

Michael D. Dingman Chair & Professor of Strategy, Globalization & Entrepreneurship  
Smith School of Business, The University of Maryland

Email: [agupta@rhsmith.umd.edu](mailto:agupta@rhsmith.umd.edu)

Office: 301.405.2221

PROPOSAL FOR  
NEW INSTRUCTIONAL PROGRAM  
UNIVERSITY OF MARYLAND AT COLLEGE PARK, MARYLAND  
MASTERS OF SCIENCE IN MARKETING ANALYTICS (MSMA)

ROBERT H. SMITH SCHOOL OF BUSINESS

DEAN Alexander J. Triantis

**MASTERS OF SCIENCE IN MARKETING ANALYTICS**

Award to be offered Fall 2014

## **I. OVERVIEW and RATIONALE**

**A. Briefly describe the nature of the proposed program and explain why the institution should offer it. [You may want to refer to student demand, market demand for graduates, institutional strengths, disciplinary trends, synergy with existing programs, and/or institutional strategic priorities.]**

### **Goal and Contribution to the Strategic Plan**

The Robert H. Smith School of Business proposes launching a Masters of Science in Marketing Analytics (MSMA) program designed to provide students with the cutting-edge knowledge and skills necessary to successfully apply marketing analytics in business practice. Today's business environment has become increasingly data oriented. Online environments, customer loyalty programs and other points of contact between businesses and their customers are generating large volumes of data that businesses are struggling to analyze. One of the biggest challenges facing these organizations is the lack of analytical talent available in the market. In other words, our educational system is not training enough students with the necessary analytical capabilities.

Consistently, organizations have expressed frustration in hiring new employees who have both analytical skills and business skills. In particular, there is a need for analytically oriented students who have a conceptual understanding of customer behavior and marketing strategy as bridging the gap between analytics and business strategy has been a challenge. Students who complete the MSMA degree will possess the knowledge and skills to fill this gap.

The Robert H. Smith School of Business houses one of the strongest academic marketing departments in the world as well as the Center for Excellence in Service (CES) and the Center for Complexity in Business (CCB). The research and experience of the faculty are particularly suited to attract some of the brightest students in the world who are seeking a more thorough understanding of marketing analytics. Faculty and staff currently affiliated with the Robert H. Smith School of Business hold appropriate degrees in marketing, computer science and psychology that are relevant and necessary for the Masters of Science in Marketing Analytics degree.

The strategic plan of the Robert H. Smith School of Business states as its first objective the goal of "Growing future leaders to address global issues." The University of Maryland College Park mission statement sets a goal to "continue to build a strong, university-wide culture of graduate and professional education" and to provide knowledge-based programs and services that are responsive to the needs of the citizens of the state and the nation. Faculty and students in the Masters of Science in Marketing Analytics program will collaborate with businesses, non-profit organizations and government agencies to address current issues related to marketing analytics.

The School currently offers a Masters of Science in Business with a concentration in Marketing Analytics (MSB-MA). However, the diploma does not state the words "marketing analytics" on it. This degree name will strengthen the recognition of the degree and increase its attractiveness to a worldwide applicant pool. Offering a degree with the words "marketing analytics" in the title will clarify the content of the knowledge our students obtain. The creation of this degree will also provide greater opportunities to be flexible within our portfolio of Masters of Science degrees to uniquely address issues within each discipline rather than pooling all of them under the same Masters of Science in Business degree that is currently offered. Should this proposal be approved, we would like to offer existing students the opportunity to have their degree called a

Masters of Science in Marketing Analytics even though they were admitted to the MSB-MA program.

The School currently offers a joint MBA-MSB program for students and we would also seek to offer students the opportunity to enroll in a joint MBA-MSMA program. Such an opportunity enables our MBA students to further distinguish themselves in the MBA marketplace and the fact that the joint program would likewise have the phrase “Information Systems” in it would improve our ability to market these students.

This program is also an ideal path for some of our students to pursue PhD programs in marketing. Having the program entitled Masters of Science in Marketing Analytics will again likely improve the marketability of our students seeking to pursue a PhD specializing in marketing.

### **Market Demand for Graduates**

In light of the growing amount of data available to organizations, employers are looking for marketing analytics specialists who have a thorough understanding of mathematical and statistical models and the ability to rigorously apply these methods to business problems, particularly those related to customer behavior and marketing strategy. McKinsey & Company states, “There will be a shortage of talent necessary for organizations to take advantage of big data. By 2018, the United States alone could face a shortage of 140,000 to 190,000 people with deep analytical skills as well as 1.5 million managers and analysts with the know-how to use the analysis of big data to make effective decisions.”<sup>1</sup>

### **Student Demand**

**B. How big is the program expected to be? From what other programs serving current students, or from what new populations of potential students, onsite or offsite, are you expecting to draw?**

The inaugural year of the program attracted over 200 applications for 40 openings. Students take 30 credits in the program and have the ability to complete the program within one academic year. Applicants for the inaugural Class of 2014 have been strong with an average GMAT score of over 700 and average GPA of 3.4.

Most of the students we attract to this program are international, primarily from East Asia. The strategic plan for this program seeks to expand domestic enrollment, primarily by targeting students receiving Bachelor’s degrees in mathematics, statistics, economics, engineering and other STEM fields who are looking for an opportunity to apply their skill set to business and marketing.

## **II. CURRICULUM**

**A. Provide a full catalog description of the proposed program, including educational objectives and any areas of concentration.**

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<sup>1</sup> Manyika, J., Chui, M., Brown, B., Bughin, J., Dobbs, R., Roxburgh, C., Hung Byers, A. (2011). Big data: The next frontier for innovation competition, and productivity. McKinsey Global Institute.

Participants in the Master of Science in Business – Marketing Analytics program gain the cutting-edge knowledge and skills necessary to succeed in applying marketing analytics in business practice. This program specializes in marketing analytics and helps students benefit from businesses' increasing focus on the analysis of customer data, a trend fueled by the rapidly growing number of data sets enabled by various new technologies. The program provides an in-depth understanding of the mathematical and statistical models and tools needed for such customer analysis in the context of marketing problems. It is suitable for students with a strong background in quantitative disciplines (e.g., mathematics, statistics, engineering, etc.) who wish to adapt and apply to their skills to business and marketing.

**B. List the courses (number, title, semester credit hours) that would constitute the requirements and other components of the proposed program. Provide a catalog description for any courses that will be newly developed or substantially modified for the program.**

Students will enter the MSMA program with a Bachelor's degree. The proposed MSMA program requires 30 credit hours comprised of core courses (22 credits), application courses (6 credits), and an action learning project (2 credits).

#### **Core Courses**

Course descriptions are provided below.

**Market-Based Management (3 Credits)** The purpose of this course is to introduce students to the fundamentals of marketing. This course combines lectures, readings, case analyses and a competitive simulation. A significant part of the course involves a competitive computer-based simulation in which student teams leverage marketing data and metrics to make marketing decisions for an organization that is competing in a market against other student teams in the class.

**Customer Analysis (3 Credits)** This course focuses on the analysis of customer decision-making and how marketing strategy can be used to influence those decisions. The framework used is the buyer behavior model, in which concepts from psychology, sociology, and economics are applied to individual and organizational purchase decisions. Marketing strategies of leading firms in consumer products, technology, and services (including internet services) are analyzed using a variety of case study formats.

**Advanced Marketing Analytics (3 Credits)** This course deals with the analysis of marketing data needed for profitable marketing decisions. It teaches students advanced methods of marketing analysis for marketing decisions, including choice and count data models, joint analysis of consumers' choice, quantity and timing decisions, mixture and mixture regression models, and conjoint analysis, all using data-based cases and SAS software. Applications are in the areas of strategic marketing, marketing segmentation, eye tracking for advertising effectiveness, new product development, sales promotion analysis, pricing, design of marketing mix, and direct marketing.

**Statistical Programming (3 Credits)** This course provides students with a foundation in probability and statistics with a focus on business applications. It also gives students a foundation for thinking in both likelihood and Bayesian frameworks. The course teaches students the basics of SAS, as well as its use in statistical analysis and statistical programming. Also addressed are

basic SAS language structure, data management, OLAP, enterprise miner, statistical analysis, writing procedures.

**Business Communications (2 Credits)** This course teaches students how to communicate quantitative information effectively. The course will focus on developing written, spoken and presentation skills.

**Business Ethics (2 Credits)** This course is a study of the standards of business conduct, morals and values as well as the role of business in society. Students will consider the sometimes conflicting interests of and claims on the firm and its objectives.

**Database Science (3 Credits)** This class provides an introduction to data science and the basic concepts of database management. The course also provides an overview of the various sources of in house data that are available to many organizations. Students will learn how to work with click stream, scanner panel and social media data. Geo-demographic datasets will be discussed and explored, and techniques for data-fusion will receive ample attention.

**Marketing Research and Analysis (3 Credits)** This course provides a review of primary data collection methods for marketing data. Students will learn how to design and implement effective confirmatory research. Both direct methods such as surveys and indirect methods such as experiments will be covered. In this hands-on course, students will design and conduct research with target customers, analyze the data, and then present their results to decision makers.

### **Application Courses**

All courses listed below are 2 credit courses. Students can elect any 3 to fulfill the 6 credit requirement.

**Customer Equity Management** This course focuses on managing customers of a business, whether in B2B or B2C space, as a portfolio of equity. It provides an understanding of the current and future value of customers to the business. Topics include selective acquisition, development, and retention of customers using latest developments in information technology.

**Market Forecasting** In this course, students will learn a number of market forecasting methods, each appropriate for different contexts. The majority of this course focuses on quantitative modeling techniques based on established statistical methods. We also cover non-statistical methods that are often used when empirical data is scarce. This is a very hands-on class where students will apply the forecasting methods learned to real data.

**Pricing Analytics and Strategies** The course will focus on the economic and behavioral aspects of pricing and the evaluation of innovative pricing practices such as price matching, customized pricing, bundle pricing and product line pricing. The course will cover both B2B, B2C, online and offline markets. Instruction will be through a mix of case studies, pricing simulation games, hands-on exercises, practitioner guest lectures and discussions.

**Retail Analytics** Planning and implementing retail marketing strategies often involve sophisticated analytics. This course will teach the analytical tools needed to develop retail strategies. Both store and non-store (catalog, Internet) retailing are discussed. Also, students will learn how to evaluate the impact of environmental trends in the consumer market, competition, the economy and technology on retail strategy in the U.S. and global market.

**Web Analytics** This course examines the process of developing, implementing and analyzing strategies for successfully marketing a variety of existing and potential products and services on the Internet. Special attention is devoted to the tools and techniques unique to the electronic media.

**Action Learning Project**

This is a 2 credit project based course where students will analyze marketing data, report their findings and provide appropriate recommendations.

**Sample Student Schedule**

Below is a table showing how a typical MSMA student can complete the required coursework over a one-year period as a full-time student.

**Student Schedule for Full-time MSMA, Masters of Science in Marketing Analytics**

Fall 1	Fall 2	Winter	Spring 1	Spring 2
Market-Based Management*		Business Communications*	Data Science*	
Customer Analysis*		Business Ethics*	Marketing Research and Analysis*	
Advanced Marketing Analytics*			Application 1	Application 3
Statistical Programming*			Application 2	Action Learning Project

\* Core Course

**C. Describe any selective admissions policy or special criteria for students selecting this field of study.**

Applicants to the MSMA program must have completed all of the requirements for a baccalaureate degree prior to their acceptance into the program, with particular emphasis on the students having a strong background in quantitative disciplines. All applicants must submit: Transcripts from all undergraduate and graduate institutions that have been previously attended, Graduate Record Examination (GRE) scores or the Graduate Management Admissions Test (GMAT) scores, a complete online application form that includes a written essay articulating qualifications and motivation for pursuing advanced education, two letters of recommendation, from supervisors or from professors competent to judge the applicant’s probability of success in graduate school, and two official transcripts from all educational institutions previously attended.

In addition, an admissions interview may be required. After initial screening, the Admissions Office may select candidates for interviews which may be done in person or by telephone. Proof of English language proficiency (TOEFL or IELTS official scores) is also required unless the applicant has received an undergraduate or graduate degree from a select list of countries. For international students needing an F1 visa, a completed certification of finance form and supporting financial documentation are required.

In addition to Graduate School requirements, admission decisions for the MSMA program will be based on the quality of previous undergraduate and graduate course work (if applicable), the strength of Graduate Record Examination scores or the Graduate Management Admissions Test scores, the relevance of prior work and research experience, and the congruence of professional goals with those of the program. Students should submit application materials for the fall semester by April 1. This program does not accept applications for Spring semester admission.

### **III. STUDENT LEARNING OUTCOMES AND ASSESSMENT**

#### **List the program's learning outcomes and explain how they will be measured and assessed**

<b>Learning Outcome 1</b>	Students will demonstrate a clear understanding of the basic concepts of Marketing Strategy, Consumer Behavior and Marketing Research and Analytics.
Measure:	Students will be required to pass a core set of classes in these areas.
Criterion:	At least 90% of students will receive a rating of "Satisfactory" or better from the Academic Director, who will review their performance in the core classes. The Academic Director will meet with students rated below "Satisfactory" to help improve their performance or determine their continued participation in the program.
Assessment:	Every Year, starting in the 2013-2014 academic year.
<b>Learning Outcome 2</b>	Students will demonstrate critical reasoning, written and oral communication skills.
Measure:	Students must take at least one class that focuses on developing their communications skills.
Criterion:	At least 90% of students will receive a rating of "Satisfactory" or better from the course instructor.
Assessment:	Every Year, starting in the 2013-2014 academic year.
<b>Learning Outcome 3</b>	Students will demonstrate an understanding of business ethics and the ethical issues associated with managing and analyzing data, with a particular focus on the ethics of data privacy.
Measure:	Students must take one business ethics course.

Criterion: At least 90% of students will receive a rating of “Satisfactory” or better from the course instructor.

Assessment: Every Year, starting in the 2013-2014 academic year.

**Learning Outcome 4** Students will demonstrate their ability to work effectively with other members of a team in the preparation of a group project.

Measure: Students must prepare group projects as part of a class.

Criterion: At least 90% of students will receive a rating of “Satisfactory” or better from the course instructor.

Assessment: Every Year, starting in the 2013-2014 academic year.

**Learning Outcome 5** Students will demonstrate an ability to analyze big data sets with a variety of computer programs, including SPSS, SAS, and R.

Measure: Students will be required to pass classes in which these packages are taught.

Criterion: At least 90% of students will receive a rating of “Satisfactory” or better from the Academic Director, who will review their performance in the core classes teaching these software packages.

Assessment: Every Year, starting in the 2013-2014 academic year.

The Master in Marketing Analytics degree is designed to be a lock-step program that introduces the students to the basic skills needed for marketing analytics, theoretical frameworks needed to understand marketing data and strategy and application areas in which marketing analytics is relevant.

#### **IV. FACULTY AND ORGANIZATION**

**A. Who will provide academic direction and oversight for the program? [This might be a department, a departmental subgroup, a list of faculty members, or some other defined group.]**

Primary oversight of this program will be provided by a faculty member assigned as the director of the program. A committee of faculty members has been created to address issues including admissions, academic policies, student activities, and internship / placement opportunities. The program would also be overseen by the chair of the marketing department and the Dean’s office.

The marketing department of the Robert H Smith School of Business currently has 23 FTE faculty. Nineteen of these are tenure/ tenure track. All of these nineteen faculty have doctoral degrees in marketing, psychology, or computer science. The four additional teaching faculty also have graduate degrees in related fields.

## **Marketing Faculty Expected to Teach in the Proposed MSMA Program**

**Wendy W. Moe**, PhD, Director of the MS in Marketing Analytics program and Associate Professor of Marketing.

Teaching / Research: Online Marketing, Web Analytics, Clickstream Analysis, and Social Media Intelligence.

Courses: Market Based Management, Business Communications, Forecasting

**Michel Wedel**, PhD, PepsiCo Professor of Consumer Science

Teaching / Research: Consumer Science, Eye Tracking Research, Advanced Statistical and Econometric models for marketing problems.

Courses: Marketing Research and Analysis

**P.K. Kannan**, PhD, Ralph J. Tyser Professor of Marketing Science, Chair of the Smith Marketing Department.

Teaching / Research: Online Attribution Models, Customer Relationship Management, Data-driven pricing and marketing models.

Courses: Statistical Programming

**Roland Rust**, PhD, Distinguished University Professor and David Bruce Smith Chair in Marketing.

Teaching / Research: Service Marketing, Customer Lifetime Value Analysis

Courses:

**Michael Trusov**, PhD, Assistant Professor of Marketing.

Teaching / Research: Internet Marketing, Search Data Analysis, Text Analysis, Data Mining

Courses: Web Analytics

**Yogesh Joshi**, PhD, Assistant Professor of Marketing.

Teaching / Research: Product & Brand Strategies, Customer centric innovation, New product development.

Courses: New Product Analytics

**Jie Zhang**, PhD, Associate Professor of Marketing and the Harvey Sanders Fellow of Retail Management.

Teaching / Research: Retail Management, Internet Marketing, Promotion Strategies, Loyalty Programs.

Courses:

**William Rand**, PhD, Assistant Professor of Marketing and Computer Science and Director of the Center for Complexity in Business.

Teaching / Research: Information Diffusion on Social Media, Machine Learning, Computational Modeling.

Courses: Database Marketing

**Rosellina Ferraro**, PhD, Associate Professor

Teaching / Research: Consumer Behavior, Information Processing.

Courses: Business Ethics I & II

**Rebecca Hamilton**, PhD, Associate Professor

Teaching / Research: Consumer decision making, Consumer Behavior, Brand Management, Research Methods.

Courses: Customer Analysis

**Liye Ma**, PhD, Assistant Professor

Teaching / Research: Internet & Social Media, Marketing Research Methods.

Courses: Database Marketing

**Joydeep Srivastava**, PhD, Ralph J. Tyser Professor of Marketing and Consumer Psychology

Teaching / Research: Managerial & Consumer Decision Making.

Courses: Marketing Data Collection

**B. If the program is not to be housed and administered within a single academic unit, provide details of its administrative structure. This should include at least the following:**

Not applicable. All classes will be housed and administered within the Robert H Smith School of Business

## **V. OFF CAMPUS PROGRAMS**

**A. If the program is to be offered to students at an off-campus location, with instructors in classrooms and/or via distance education modalities, indicate how student access to the full range of services (including advising, financial aid, and career services) and facilities (including library and information facilities, and computer and laboratory facilities if needed) will be assured.**

Classes will be held in our facility at the Universities of Shady Grove. Those facilities already contain adequate classrooms, computer facilities, study rooms, and administrative space for academic advising, career advising, and student activity support.

**B. If the program is to be offered mostly or completely via distance education, you must describe in detail how the concerns in Principles and Guidelines for Online Programs are to be addressed.**

Currently, the program is structured to be entirely delivered in a traditional classroom setting. Over time, we may evaluate online learning opportunities, but nothing is currently scheduled. Should we move towards some courses being offered online, all online courses would adhere to the policies and concerns outlined in the University of Maryland document, Principles and Guidelines for Online Programs.

Program Development, Control and Implementation Would Be By Faculty - The faculty would have overall control over the design, development, and will have the overall bulk of any online academic instruction. Smith school technical support personnel would be available, as well as agreements with the off-campus sites for technical support during classroom hours. Support will be available to faculty during course development, as well as during the offering of the program.

## **VI. OTHER ISSUES**

**A. Describe any cooperative arrangements with other institutions or organizations that will be important for the success of this program.**

Not applicable. All aspects of the program from admissions to academic programming to career advising will be provided by the Robert H Smith School of Business. While the program will reach out to local companies and institutions for guest speakers, internship opportunities, experiential learning projects, and job placement, no particular relationship is pivotal to the success of the program.

**B. Will the program require or seek accreditation? Is it intended to provide certification or licensure for its graduates? Are there academic or administrative constraints as a consequence?**

The University of Maryland's Robert H. Smith School of Business is already accredited by the AACSB (American Association of Collegiate Schools of Business). No accreditation is sought for this individual program.

## **VII. COMMITMENT TO DIVERSITY**

**Identify specific actions and strategies that will be utilized to recruit and retain a diverse student body.**

The Robert H. Smith School of Business community is multifaceted at every level – students, staff and faculty represent a diverse blend of backgrounds, nationalities, ethnicities and experiences. About a dozen Smith School and student clubs are focused on bringing members together who have similar interests in gender, nationality, religion, and sexual orientation.

To attract the most diverse population possible for the proposed Masters of Science in Marketing Analytics program, Smith School recruiting staff will focus on domestic efforts. These efforts will be targeted at recruiting U.S. minorities and American women of all ethnicities.

Current efforts include:

- Representing Masters programs in U.S. MBA and Masters Fairs and Tours
- Representing Masters programs in International MBA and Masters Fairs and Tours
- Online Chats
- U.S. College Visits
- International College Visits
- GMASS-based Mailings
- GRE-based Mailings
- Direct Mail
- Email Campaigns
- Outreach to College and Campus Organizations and Clubs
- Participating in Career/Graduate Study Panels or Workshops
- Presentations at Professional Conferences
- Creation of "Leap Your Career Forward" for Current UMD Students Looking At MBA and Masters Study Post-Undergraduate Studies (An Annual Event)
- Advertising in UMD Campus Newspapers
- Masters Only Education Fairs (Fall And Spring) Throughout the U.S.
- Participation in a Masters-focused Business School Alliance
- Participant in Graduate Business Education Events Targeted for Underrepresented Populations, Particularly U.S. Minorities and Women

Future efforts include:

- Including Master's Level Programming in Marketing Content Targeted to U.S. Military/Veterans
- Outreach to College Organizations in the Washington, D.C. Area
- Enhancement of Website for All Masters Programs
- Inclusion of Spotlight and Vignettes of Masters Alumni and Current Students who Reflect Diversity
- Participation in Events Targeted for Women Seeking Graduate Study (General And Non-MBA Based Events)
- Social Media and Online Advertising within U.S. Markets
- Partnerships with Academic Testing Centers and Overseas Advisors For International Graduate Study
- Marketing Targeting Young UMD Alumni and Young University Of Maryland System Alumni

## **VIII. REQUIRED PHYSICAL RESOURCES**

The proposed Masters of Science in Marketing Analytics (MSMA) program replaces the existing Masters of Science in Business with a concentration in Marketing Analytics (MSB-MA) degree currently offered. The proposed program can be implemented in accordance with Section 11 206.1 in which programs developed under this provision can be implemented within existing resources of the campus. In proceeding with the submission of this program, the institution's president certifies that no new general funds will be required for the implementation of this master's-level program.

### **A. Additional library and other information resources required to support the proposed program. You must include a formal evaluation by Library staff.**

The evaluation is attached.

### **B. Additional facilities, facility modifications, and equipment that will be required. This is to include faculty and staff office space, laboratories, special classrooms, computers, etc.**

As this proposed program replaces a current program and we do not at this time anticipate growing the program beyond its current scale, no additional facilities or facility modification is required. The School has adequate space in Van Munching Hall and in our Shady Grove location to house current faculty and students in the proposed program. No additional classrooms or computer laboratories are required.

### **C. Impact, if any, on the use of existing facilities and equipment. Examples are laboratories, computer labs, specially equipped classrooms, and access to computer servers.**

See response to VIII.B above.

## **IX. RESOURCE NEEDS and SOURCES**

**Describe the resources that are required to offer this program, and the source of these resources. Project this for five years. In particular:**

**A. List new courses to be taught, and needed additional sections of existing courses. Describe the anticipated advising and administrative loads. Indicate the personnel resources (faculty, staff, and teaching assistants) that will be needed to cover all these responsibilities.**

As this proposed program replaces a current program and we do not at this time anticipate growing the program beyond its current scale, no additional courses or changes in advising or administrative workload is required.

**B. List new faculty, staff, and teaching assistants needed for the responsibilities in A, and indicate the source of the resources for hiring them.**

Faculty resources of the Robert H Smith School of Business and in particular the marketing department of the School (as described herein) are adequate to cover the size of the proposed MSMA program. Approval of this proposal would not alter the responsibilities of the faculty beyond those already generated by the MSB-MA program that this proposal seeks to replace.

**C. Some of these teaching, advising, and administrative duties may be covered by existing faculty and staff. Describe your expectations for this, and indicate how the current duties of these individuals will be covered, and the source of any needed resources.**

As described above, teaching, advising, and administrative duties will be handled by existing faculty members (who are already teaching and conducting research on topics related to marketing analytics).

**D. Identify the source to pay the for the required physical resources identified in Section VIII. above.**

No additional resources are required.

**E. List any other required resources and the anticipated source for them.**

Not applicable.

**F. Provide the information requested in [Table 1](#) and [Table 2](#) (for Academic Affairs to include in the external proposal submitted to USM and MHEC).**

Given that this degree replaces a degree already offered, there are no incremental revenues or expenses.

**Appendix 1: Peer Comparisons – Degree Name of Marketing Analytics Program offered by MBA Ranked Peers**

<b>University</b>	<b>Degree Name of Marketing Analytics Program</b>
University of Georgia	Master of Marketing Research
DePaul University	M.S. in Marketing Analytics
University of Texas, Arlington	M.S. in Marketing Research
Tilburg University	MSc Marketing Research
University of Wisconsin	MBA in Marketing Research

**Appendix 2: Peer Comparisons – Curriculum Content Comparisons of MS Marketing Analytics and MS Marketing Research Programs**

<b>University Degree</b>	<b>Curriculum/Required Classes</b>
<b>University of Georgia Masters of Marketing Research</b>	<p>1 yr. program 39 Credit Hours Req.</p> <ul style="list-style-type: none"> <li>• Introduction to Statistics Methods</li> <li>• Data Collection Methods</li> <li>• Qualitative Research</li> <li>• Consumer Behavior</li> <li>• Introductory Econometrics</li> <li>• Applications of MR Techniques I &amp; II</li> <li>• Advertising &amp; Promotion Management</li> <li>• Marketing Strategy</li> <li>• Marketing Research Project I &amp; II</li> <li>• Applied Multivariate Methods</li> <li>• Discrete Choice and Conjoint Analysis</li> <li>• Database Marketing &amp; Customer Relationship Management</li> </ul>

University Degree	Curriculum/Required Classes
<p><b>DePaul University Masters of Science in Marketing Analytics</b></p>	<p><b>Require 12 courses to graduate. 7 core courses and 5 electives (2 from marketing concentration, 3 from analytical group)</b></p> <p><i>Core</i></p> <ul style="list-style-type: none"> <li>• Decisions in Marketing Management</li> <li>• Market Research</li> <li>• Advanced Market Research</li> <li>• Tools for Marketers</li> <li>• Marketing Strategies and Planning</li> <li>• Consumer Behavior</li> <li>• Behavior in Organizations</li> </ul> <p><i>Marketing Concentration</i></p> <ul style="list-style-type: none"> <li>• Qualitative Market Research</li> <li>• Precision Marketing</li> <li>• Principles of CRM (Customer Relationship Marketing)</li> <li>• Sales Strategy and Technology</li> <li>• Interactive/Internet Marketing</li> </ul> <p><i>Analytical Group</i></p> <ul style="list-style-type: none"> <li>• Data Analysis and Regression</li> <li>• Advanced Data Analysis</li> <li>• Time Series Analysis and Forecasting</li> <li>• Warehousing and Data Mining</li> <li>• Knowledge Discovery Technologies</li> <li>• Web Mining for Business Intelligence</li> </ul>

University Degree	Curriculum/Required Classes
<b>University of Texas, Arlington Masters of Science in Marketing Research</b>	<p><i>Foundation Courses (Req.)</i></p> <ul style="list-style-type: none"> <li>• Accounting Analysis I &amp; II</li> <li>• Econ. Analysis</li> <li>• Marketing</li> <li>• Management</li> <li>• Financial Management</li> <li>• Advanced Statistical Methods</li> </ul> <p><i>Advanced Courses</i></p> <ul style="list-style-type: none"> <li>• Buyer Behavior and Creative Problem Solving</li> <li>• Research for Marketing Decisions</li> <li>• Product Management</li> <li>• Marketing Information Management</li> <li>• Qualitative Research</li> <li>• Marketing Strategy</li> <li>• Advanced Research Analysis I &amp; II</li> <li>• Advanced Topics in Marketing Research</li> <li>• Marketing Models I</li> </ul>

University Degree	Curriculum/Required Classes
<p><b>Tilburg University</b>  <b>MSc Marketing</b>  <b>Research</b></p>	<p><b><i>Strategic MR Track</i></b></p> <ul style="list-style-type: none"> <li>• Intro to Research in Marketing</li> <li>• Brand Mgmt.</li> <li>• Marketing Channel Management</li> <li>• Marketing Communication</li> <li>• Strategic Marketing Management</li> <li>• Advanced Marketing Research (I &amp; II)</li> <li>• Research in Social Media</li> <li>• Market Assessment</li> <li>• Experimental Research</li> <li>• Marketing Information Mgmt.</li> <li>• Panel Data Analysis of Microeconomic Decisions</li> <li>• Simulation</li> <li>• Marketing Models</li> <li>• Microeconomics</li> <li>• International Marketing</li> </ul> <p><b><i>Quantitative MR Track</i></b>  <b>Required</b></p> <ul style="list-style-type: none"> <li>• Intro to Research in marketing</li> <li>• Market Assessment</li> <li>• Panel Data Analysis</li> </ul> <p><b>Electives</b></p> <ul style="list-style-type: none"> <li>• Advanced Marketing Research (I &amp; II)</li> <li>• Marketing Models</li> <li>• Simulation</li> <li>• Micro-economics</li> <li>• Structural equation models</li> <li>• Empirical Industrial organization</li> <li>• Survey methodology</li> <li>• Quantitative Models in Marketing</li> <li>• Marketing Information Management</li> </ul>

<b>University Degree</b>	<b>Curriculum/Required Classes</b>
<b>University of Wisconsin MBA in Marketing Research</b>	<ul style="list-style-type: none"><li>• Marketing Research</li><li>• Developing New Products</li><li>• Qualitatively-Based Marketing Insights</li><li>• Current Topics Seminar (3 required)</li><li>• Consumer Behavior</li><li>• Scaling, Factor &amp; Cluster Analysis</li><li>• Quantitative Models in Marketing</li></ul>



**University Senate  
TRANSMITTAL FORM**

<b>Senate Document #:</b>	13-14-24
<b>PCC ID #:</b>	13033
<b>Title:</b>	Proposal to Establish a Master of Science in Supply Chain Management
<b>Presenter:</b>	Marilee Lindemann, Chair, Senate Programs, Curricula, and Courses Committee
<b>Date of SEC Review:</b>	January 31, 2014
<b>Date of Senate Review:</b>	February 5, 2014
<b>Voting (highlight one):</b>	<ol style="list-style-type: none"> <li>1. On resolutions or recommendations one by one, or</li> <li>2. In a single vote</li> <li>3. To endorse entire report</li> </ol>
<b>Statement of Issue:</b>	<p>The Robert H. Smith School of Business proposes to take its existing Master of Science in Business area of concentration in Logistics and Transportation and reclassify it as its own, stand-alone degree program, the Master of Science in Supply Chain Management (as the study of logistics and transportation is now referred to in the field of business). The context of the Master of Science in Business is important for understanding this proposal. Designed to provide an alternative to the generalist approach of the Master of Business Administration, the Master of Science in Business was created in 1978 to allow students to specialize in an academic field within business and management. Consequently, the Master of Science in Business has a structure that is uncommon for campus degree programs that have areas of concentration. The Master of Science of Business does not have a set of core requirements that is shared by each area of concentration. The curriculum of each area of concentration focuses on its own content; thus, the curriculum of the Logistics and Transportation area of concentration is comprised entirely of courses in supply chain management. Last year, a proposal to convert the concentration in Finance to its own degree program was approved. This proposal is a continuation of the effort to separate some of the MS in Business concentrations into their own degree programs.</p> <p>In the past, the structure of the Master of Science in Business was sufficient for the purposes of this area of concentration. In recent years, however, it has become apparent that this structure poses</p>

	<p>unnecessary limitations for students, staff and faculty. Currently, the diploma only indicates the Master of Science in Business, not the actual focus of the curriculum. The general degree name also puts the School of Business at a competitive disadvantage when trying to attract students who are strongly interested in a degree in Supply Chain Management. Students and alumni have overwhelmingly expressed their desire for the degree name to accurately represent the focus of their coursework.</p> <p>By having a separate program as opposed to a concentration, students will now be able to pursue multiple areas in business (i.e., they will be able to pursue two business MS degrees at UM because the program names will now be different). Furthermore, the tuition rate will no longer be tied to the tuition rate of the MS in Business, and can be lowered or raised depending on market demand.</p> <p>Other than reclassifying the area of concentration as its own degree program, there are no other changes proposed. The new degree program will continue to be administered in the same manner as the area of concentration had been in the past, with the same faculty responsible for oversight. The curriculum will also remain the same. Consequently, there is no need for additional resources as a result of the proposed action.</p> <p>The Graduate PCC committee approved the proposal on January 27, 2014. The Senate PCC committee approved the proposal at its meeting on December 6, 2013.</p>
<b>Relevant Policy # &amp; URL:</b>	N/A
<b>Recommendation:</b>	The Senate Committee on Programs, Curricula, and Courses recommends that the Senate approve this new degree program.
<b>Committee Work:</b>	The Committee considered the proposal at its meeting on December 6, 2013. Anil Gupta, Professor, Robert H. Smith School of Business, and Michael Marcellino, Assistant Dean, Robert H. Smith School of Business, presented the proposal. After discussion, the Committee voted unanimously to recommend the proposal.
<b>Alternatives:</b>	The Senate could decline to approve this new degree program.
<b>Risks:</b>	If the Senate does not approve reclassifying the area of concentration as a degree program, the program and the students will continue to be at a disadvantage because of the generic name of their degree program.
<b>Financial Implications:</b>	There are no significant financial implications with this proposal.
<b>Further Approvals Required:</b> <i>(*Important for PCC Items)</i>	If the Senate approves this proposal, it would still require further approval by the President, the Board of Regents, and the Maryland Higher Education Commission.

**THE UNIVERSITY OF MARYLAND, COLLEGE PARK  
PROGRAM/CURRICULUM/UNIT PROPOSAL**

• Please email the rest of the proposal as an MSWord attachment to [pcc-submissions@umd.edu](mailto:pcc-submissions@umd.edu).

PCC LOG NO.

13033

• Please submit the signed form to the Office of the Associate Provost for Academic Planning and Programs, 1119 Main Administration Building, Campus.

**College/School: Robert H. Smith School of Business**

Please also add College/School Unit Code-First 8 digits: 01202900

Unit Codes can be found at: [https://hypprod.umd.edu/Html\\_Reports/units.htm](https://hypprod.umd.edu/Html_Reports/units.htm)

**Department/Program: Robert H. Smith School of Business**

Please also add Department/Program Unit Code-Last 7 digits: 1290101

**Type of Action (choose one):**

Curriculum change (including informal specializations)

Curriculum change for an LEP Program

*Renaming of program or formal Area of Concentration*

*Addition/deletion of formal Area of Concentration*

*Suspend/delete program*

*New academic degree/award program*

New Professional Studies award iteration

New Minor

Request to create an online version of an existing program

*Italics indicate that the proposed program action must be presented to the full University Senate for consideration.*

**Summary of Proposed Action:**

Convert Master of Science in Business and Management - Supply Chain Management Concentration to a Master of Science in Supply Chain Management

**Departmental/Unit Contact Person for Proposal:** \_\_\_\_\_

=====

APPROVAL SIGNATURES - Please print name, sign, and date. Use additional lines for multi-unit programs.

1. Department Committee Chair \_\_\_\_\_

2. Department Chair \_\_\_\_\_

3. College/School PCC Chair \_\_\_\_\_

4. Dean \_\_\_\_\_

5. Dean of the Graduate School (if required) \_\_\_\_\_

6. Chair, Senate PCC Manice J. [Signature] 12/6/13

7. University Senate Chair (if required) \_\_\_\_\_

8. Senior Vice President and Provost \_\_\_\_\_

**THE UNIVERSITY OF MARYLAND, COLLEGE PARK  
PROGRAM/CURRICULUM/UNIT PROPOSAL**

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- Please email the rest of the proposal as an MS Word attachment to [pcc-submissions@umd.edu](mailto:pcc-submissions@umd.edu).

PCC LOG NO.

13033

- Please submit the signed form to the Office of the Associate Provost for Academic Planning and Programs, 1119 Main Administration Building, Campus.

**College/School:**

Please also add College/School Unit Code-First 8 digits: **01202900**

Unit Codes can be found at: [https://hypprod.umd.edu/Htm-l\\_Reports/units.htm](https://hypprod.umd.edu/Htm-l_Reports/units.htm)

**Department/Program:**

Please also add Department/Program Unit Code-Last 7 digits: 1290701

**Type of Action (choose one):**

- |  |   |
|--|---|
| <input type="checkbox"/> Curriculum change (including informal specializations)                | <input type="checkbox"/> <i>New academic degree/award program</i> |
| <input checked="" type="checkbox"/> <i>Renaming of program or formal Area of Concentration</i> | <input type="checkbox"/> New Professional Studies award iteration |
| <input type="checkbox"/> <i>Addition/deletion of formal Area of Concentration</i>              | <input type="checkbox"/> New Minor                                |
| <input type="checkbox"/> <i>Suspend/delete program</i>   | <input type="checkbox"/> Other                                    |

*Italics indicate that the proposed program action must be presented to the full University Senate for consideration.*

**Summary of Proposed Action:** The Robert H Smith School of Business (School) proposes launching a Master of Science in Supply Chain Management (MS in SCM) program designed to provide students with a rigorous understanding of and the ability to apply core principles within the field of Supply Chain Management. Our program will provide our students with a thorough knowledge of this discipline and the execution of a sound supply chain strategy that are necessary in today's global economy. The school currently offers a Master's of Science in Business and Management with a concentration in Supply Chain Management. Unfortunately, there is no distinction between the concentrations on the diplomas or transcripts and we are limited in our ability to treat the programs differently. The creation of this formal degree program will provide us with an opportunity to better reflect the degree being earned and provide us with the ability to align our administrative activities with the market demands.

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APPROVAL SIGNATURES - Please print name, sign, and date. Use additional lines for multi-unit programs.

1. Department Committee Chair Thomas Corsi 
2. Department Chair Martin Dresner 
3. College/School PCC Chair Joyce Russell 
4. Dean Alexander Triantis 
5. Dean of the Graduate School (if required) \_\_\_\_\_
6. Chair, Senate PCC \_\_\_\_\_
7. University Senate Chair (if required) \_\_\_\_\_
8. Senior Vice President & Provost \_\_\_\_\_

To: Betsy Beise

From: Anil Gupta

Subject: Degree name changes for MS in Business and Management

Dear Betsy:

The Smith School currently offers multiple internationally competitive Master of Science in Business degrees, including concentrations in Accounting, Information Systems, Marketing Analytics, and Supply Chain Management. The attached proposals are being submitted to request that we change the name of our current MS degree with concentrations to individual Masters of Science degrees. Offering degrees with the specific titles will better articulate the credentials of graduating students on the diploma and make them more competitive in all markets. The adjustment of these degree names will also provide us with an opportunity to align our administrative activities with the market demands instead of treating them in a similar manner.

We are submitting these proposals as a package for administrative efficiency. We felt this might be a more convenient approach since many of the questions raised will likely be applied to all four programs. If this approach is undesirable, we are certainly prepared to discuss them individually as well.

Please let us know if you need additional information or have any questions.

Sincerely,

Dr. Anil K. Gupta

Michael D. Dingman Chair & Professor of Strategy, Globalization & Entrepreneurship  
Smith School of Business, The University of Maryland

Email: [agupta@rhsmith.umd.edu](mailto:agupta@rhsmith.umd.edu)

Office: 301.405.2221

**PROPOSAL FOR  
NEW INSTRUCTIONAL PROGRAM  
UNIVERSITY OF MARYLAND AT COLLEGE PARK, MARYLAND  
MASTER OF SCIENCE IN SUPPLY CHAIN MANAGEMENT (MS in  
SCM)**

**ROBERT H. SMITH SCHOOL OF BUSINESS**

**DEAN Alexander J. Triantis**

**MASTER OF SCIENCE IN SUPPLY CHAIN MANAGEMENT (MS in  
SCM)**

Classroom and Online tracks

Award to be offered Fall 2014

## **I. OVERVIEW and RATIONALE**

**A. Briefly describe the nature of the proposed program and explain why the institution should offer it. [You may want to refer to student demand, market demand for graduates, institutional strengths, disciplinary trends, synergy with existing programs, and/or institutional strategic priorities.]**

### **Goal and Contribution to the Strategic Plan**

The Robert H. Smith School of Business proposes launching a Master of Science in Supply Chain Management (MS in SCM) program designed to provide students with a rigorous understanding of and the ability to apply core principals within the field of Supply Chain Management. Today's supply chains are truly global. Effective supply chain management is crucial and solves many of the problems encountered by businesses today. A thorough knowledge of this discipline and the execution of a sound supply chain strategy are necessary in today's global economy to be competitive, efficient and maximize a firm's profitability. Supply chain professionals are sought after in all industries today, with new and growing opportunities in biotech, cyber-security – even disaster and famine logistics.

The Robert H. Smith School of Business houses one of the strongest academic supply chain departments in the world. *U.S. News and World Report* ranked the Smith School #8 in Supply Chain Management for the Undergraduate Program and #13 for the MBA program. The *International Journal of Physical Distribution & Logistics Management* ranked the Robert H. Smith School of Business #2 worldwide in supply chain management research. The Robert H. Smith School of Business is also home to the acclaimed Supply Chain Management Center, one of the first centers of its kind in academia. The research and experience of the faculty are particularly suited to attract some of the brightest students in the world who are seeking a more thorough understanding of supply chain management. Faculty and staff currently affiliated with the Robert H. Smith School of Business and the Supply Chain Center hold appropriate degrees in supply chain management, economics, and international business that are relevant and necessary for the Master of Science in Supply Chain Management (MS in SCM) degree.

The strategic plan of the Robert H. Smith School of Business states as its first objective the goal of "Growing future leaders to address global issues." The University of Maryland College Park mission statement sets a goal to "continue to build a strong, university-wide culture of graduate and professional education" and to provide knowledge-based programs and services that are responsive to the needs of the citizens of the state and the nation. Faculty and students in the Master of

Science in Supply Chain Management (MS in SCM) program will collaborate with supply chain executives and corporations to address current supply chain issues challenging firms in today's competitive marketplace. Given UMCP's close proximity to the nation's capital and the resulting presence of numerous government contractors in the area, we are in a unique position to offer students opportunities unmatched by competitor institutions.

The School currently offers a Masters of Science in Business with a concentration in Supply Chain Management (MSB-SCM). This is a classroom program taught exclusively at the College Park campus. However, the diploma does not state the words "supply chain management" on it. This new degree name will strengthen the recognition of the degree and increase its attractiveness to a worldwide applicant pool. Some of our MSB-SCM graduates have informed us of difficulty in getting recognition of their degree by foreign governments and institutions because it is viewed as a degree in business and not in supply chain management.

Offering a degree with the words "Supply Chain Management" in the title will clarify the content of the knowledge our students obtain in our program. The creation of this degree will also provide greater opportunities to be flexible within our portfolio of Masters of Science degrees to uniquely address issues within each discipline rather than pooling all of them under the same Masters of Science in Business degree that is currently offered (e.g., tuition independence between programs to match market levels for each degree; Finance, Marketing Analytics, Accounting, Information Systems, Supply Chain Management). Should this proposal be approved, we would like to offer students enrolled in the program at the time of approval the opportunity to have their degree called a "Master of Science in Supply Chain Management (MS in SCM)" even though they were admitted to the MSB-SCM program.

The School currently offers a joint MBA/MSB-SCM program for students and we would also seek to offer students the opportunity to enroll in a joint MBA/MS in SCM program. Such an opportunity enables our MBA students to further distinguish themselves in the MBA marketplace and the fact that the joint program would likewise have the words "supply chain management" in it would improve our ability to market these students.

This program is also an ideal path for some of our students to pursue PhD programs in supply chain management. One graduate from our MSB-SCM program is currently enrolled in our PhD program and our graduates have also placed into other PhD programs. Having the program entitled Master of Science in

Supply Chain Management will again likely improve the marketability of our students seeking to pursue a PhD specializing in supply chain management.

### **Traditional and Online Delivery Tracks**

This program will be offered in two learning modalities: the traditional classroom model, just as the current Masters of Science in Business with a concentration in Supply Chain Management (MSB-SCM); and a newly proposed online model that will meet all of the university requirements as detailed in Section V. B of this proposal.

Since the MS in SCM program is also an ideal choice for early to mid-career managers who have not had a formal education in supply chain management, and since this national target audience in recent years has been a constituency that prefers to work full time, the degree will also be offered in an online format, similar to those offered by Penn State and Arizona State.

### **Market Demand for Graduates**

In light of intense global competition and the need to maximize operating efficiency, employers are looking for supply chain specialists who have a thorough understanding of supply chain concepts, best practices and the ability to rigorously apply these within organizations. In particular, as international markets become more interdependent, multi-national companies and foreign countries have significant demand for students with the skill set that our current MSB-SCM program offers. We anticipate this demand to increase due to the increased international acceptance and recognition of Master of Science in Supply Chain Management (MS in SCM) programs relative to an MSB-SCM, as well as market-based pricing of the program (not strictly tied to our MBA program levels). Appendix 1 shows that the inclusion of the word “supply chain management” in the degree name is standard for this type of degree.

### **Student Demand**

Business schools are undergoing a significant shift in the applicant pool for Master’s degree programs. Applications for traditional MBA programs that provide a general management focus have seen a sustained decline nationwide. Coincidentally, more students are seeking Master’s degrees that specialize in various business fields, including supply chain management. In addition to the MSB-SCM program that was launched two years ago, competitor institutions such as Ohio State University, Arizona State University, Washington University, MIT,

Penn State University and Michigan State University have similarly launched Master's degree programs in supply chain management within the last five years. The programs offered by Penn State and Arizona State are online programs. Numerous institutions nationwide are planning to enter this market and launch their own Master of Science in Supply Chain Management programs, in traditional classroom and/or online distance learning formats. Such degrees are becoming an increasingly common offering at peer and aspirational institutions.

Student demand for a MS in SCM degree is extremely high. In our first year of the program, the 2011-2012 academic year, we received 113 applications. For the 2012-2013 academic year, we received 290 applications. Admitted student statistics demonstrate the quality of students demanding this offering:

	Fall 2013 (to date)	Fall 2012	Fall 2011
Average GMAT	690	673	661
Average GPA	3.60	3.40	3.37

**B. How big is the program expected to be? From what other programs serving current students, or from what new populations of potential students, onsite or offsite, are you expecting to draw?**

Current enrollment in the MSB-SCM program is approximately 90 newly admitted students per year. Students take 30 credits in the program. Students have the ability to complete the program within one academic year but many choose to stretch the program to one and one-half academic years. Such elongation provides students an opportunity to seek a summer internship. We anticipate that students enrolled in the MSB-SCM program will all instead enroll in the Master of Science in Supply Chain Management (MS in SCM) program. Therefore, we expect a consistent demand for our program in the coming years. There is also a nationwide demand from young, working professionals for a formal education in supply chain management and this will drive the online track for this program.

Most of the students that we have attracted to date to this program are international, primarily from East Asia. The strategic plan for this program seeks

to expand domestic enrollment, primarily by targeting students receiving Bachelor's degrees in engineering, economics and other business disciplines that are looking for an opportunity to apply their skill set to the supply chain management field. The ability to market-price our tuition will help build more domestic presence in our program in College Park.

Adding the online track will enable us to balance our population of students since we anticipate the vast majority of students enrolled in this track to be from the United States. Students will take one course at a time, with each being a 5-week module. This is the same as the Penn State model. The program can be completed in 16 months.

## **II. CURRICULUM**

### **A. Provide a full catalog description of the proposed program, including educational objectives and any areas of concentration.**

The Master of Science in Supply Chain Management (MS in SCM) degree is a professional degree for students wishing to pursue or advance their careers in supply chain management. This includes transportation, purchasing, distribution, inventory management, global trade, operations management, strategy and the numerous other sub-specialties in the field of supply chain management. Core courses provide excellent fundamentals in supply chain management. They will learn how to analyze and direct the supply chain decisions of an organization, and gain a fresh understanding and a deep appreciation for the theoretical foundations of supply chain management today.

As we enter into the third year of our MSB-SCM program, we have learned a great deal about our curriculum. We have evaluated results, listened to student feedback, reviewed the curriculums of competitive schools; and spoken with corporate supply chain executives who recruit our students. Based on the results of this discovery process, our oversight committee recommended a few changes to the current MSB-SCM curriculum. The current curriculum (see Appendix 3) is made up of primarily 2-credit courses and we plan to convert courses to 3-credits in core supply chain disciplines to provide students with a greater knowledge of these areas of study. There are a couple of courses that will be dropped in favor of courses that provide a deeper learning experience in supply chain best practices.

The proposed Master of Science in Supply Chain Management (MS in SCM) program offered by the Robert H Smith School of Business will provide students with:

- a) General knowledge of foundational supply chain concepts, disciplines, and best practices in the field of supply chain management.
- b) An understanding of global supply chains and their importance to the multi-national firm
- c) Foundational knowledge of supply chain risk and resilience
- d) A clear understanding of import/export management and international trade logistics
- e) Foundational understanding of Enterprise Resource Planning (ERP)
- f) A knowledge of best practices in in the areas of purchasing and inventory control, including production planning, materials requirements planning (MRP), distribution requirements planning
- g) A managerial approach to the formulation of an effective supply chain strategy
- h) Training on negotiation skills to help supply chain managers improve the effectiveness and efficiencies of their supply chains

**B. List the courses (number, title, semester credit hours) that would constitute the requirements and other components of the proposed program. Provide a catalog description for any courses that will be newly developed or substantially modified for the program.**

Students will enter the Master of Science in Supply Chain Management (MS in SCM) program with a minimum of a Bachelor's degree. The proposed Master of Science in Supply Chain Management (MS in SCM) program requires 30 credit hours, comprised of ten 3-credit courses. This is true for the traditional and online tracks. The curriculum is the same for both of these tracks.

For the traditional classroom program, completion of the degree is feasible within one academic year, though many students may choose to spread their coursework over one and one-half academic years to offer an opportunity to gain experience from an internship during the summer. For the online program, completion of the degree is feasible in 16 months.

## Curriculum

<b>BULM XXX</b>	<b>Global Supply Chain Management</b>  3 Credits	This is a more in-depth 3-credit version of BUSI672, our existing 2-credit course. Offers a practical blueprint for understanding, building, implementing, and sustaining supply chains in today's rapidly changing global supply chain environment. Provides a survey of the evolution of supply chain strategies, business models and technologies; current best practices in demand and supply management; and methodologies for conducting supply chain-wide diagnostic assessments and formulating process improvement plans.
<b>BUDT XXX</b>	<b>Operations Management</b>  3 Credits	This is a more in-depth 3-credit version of BUSI634, our existing 2-credit course. Concerned with efficient and effective design and operation of business processes for delivering products and/or services. Emphasis is given to process analysis and design, capacity management and bottlenecks, waiting lines and the impact of uncertainty in process performance, quality management, lean, six-sigma, and revenue management.
<b>BULM 744</b>	<b>Global Supply Chain Risk Management</b>  3 Credits	Explores analytical methods to build enterprise resilience from the perspectives of the supply chain planner and supply chain manager. Addresses concerns assessing strategic and operational risks, day to day uncertainties in demand and supply, and ensuring business continuity after low probability but high impact events such as a terrorist attack or earthquake.

<b>BULM XXX</b>	<b>Global Value Chain &amp; Trade Logistics</b>  3 Credits	Acquaints students with managerial issues and best practices in international marketing, global sourcing & distribution, and international logistics. Provides students with an understanding of issues related to import/export management.
<b>BULM XXX</b>	<b>Supply Chain Resources Planning &amp; Analytics</b>  3 Credits	Provides an understanding of how firms use an advanced supply chain planning (ASCP) application as an integral part of their materials management process - includes such activities as production planning, materials requirements planning, distribution requirements planning and inventory management.
<b>BULM 730</b>	<b>Transportation Management</b>  3 Credits	An overview of the transportation field with an emphasis on freight movements from the perspective of both providers of capacity and users of freight services. Examines the characteristics of the freight modes and the role of each mode as a major component of logistics and supply chain management.
<b>BULM XXX</b>	<b>Strategic Sourcing &amp; Procurement Management</b>  3 Credits	This course will focus on the important topic of strategic sourcing and purchasing management. Topics will include: make or buy (outsourcing), selection, supplier relationships, supplier performance evaluation, strategic cost management, product design and sourcing strategy, e-sourcing (auctions vs. relationships), and compliance issues.
<b>BULM XXX</b>	<b>Warehousing Design &amp; Distribution</b>  3 Credits	This course will focus on the important topic of optimizing the design of warehouses and utilizing analytics to identify best locations for a distribution center. Topics will include: Product storage, inbound operations, outbound operations, value-added processes and designing

		an efficient distribution network.
<b>BULM 758B</b>	<b>Supply Chain Strategy</b>  3 Credits	Students are required to undertake an assessment of the supply chain strategy of a firm. The major requirement is a documented report analyzing the various aspects of the firm's supply chain strategy, strengths and weaknesses, and recommendation for improvement.

<b>BULM XXX</b>	<b>Special Topics in Supply Chain Management</b>  3 Credits	This course will feature a specialized topic. This could include the use of technology in supply chain management, global supply chain mapping and quality control, negotiations in supply chain or another current topic in the growing field of supply chain management.
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### **SAMPLE Student Schedule – Traditional Classroom Model**

#### **Full-time MS in SCM - completed in 1 academic year**

##### **Fall Semester**

Global Supply Chain Management (3)  
Global Value Chain & Trade Logistics (3)  
Supply Chain Resources Planning & Analytics (3)  
Transportation Management (3)  
Warehousing Design & Distribution (3)

##### **Spring Semester**

Operations Management (3)  
Supply Chain Strategy (3)  
Global Supply Chain Risk Management (3)  
Strategic Sourcing & Procurement Management (3)  
Special Topics in Supply Chain Management (3)

## **SAMPLE Student Schedule – Traditional Classroom Model**

**Full-time MS in SCM - completed in 1-1/2 academic years**

### **Fall Semester**

Global Value Chain & Trade Logistics (3)  
Global Supply Chain Management (3)  
Supply Chain Resources Planning & Analytics (3)

### **Spring Semester**

Operations Management (3)  
Supply Chain Strategy (3)  
Global Supply Chain Risk Management (3)  
Strategic Sourcing & Procurement Management (3)  
Warehousing Design & Distribution (3)

### **Fall Semester**

Transportation Management (3)  
Special Topics in Supply Chain Management (3)

## **SAMPLE Student Schedule –Online Model for Working Professionals**

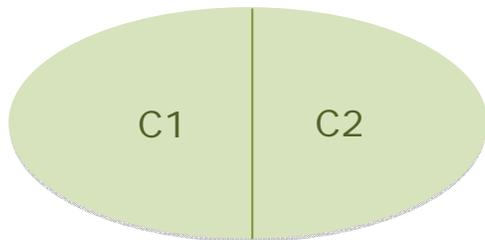
**Completed in 16 months. Courses are 5-weeks each, taken one at a time. There will be 4 intakes per year where each intake begins with two foundation courses, Global Supply Chain Management & Global Value Chain & Trade Logistics. Then the other courses will be delivered in a “carousel format. The model on the following page reflects the Carousel model for this 10-course, 30-credit program.**

**See the model on the following page.**

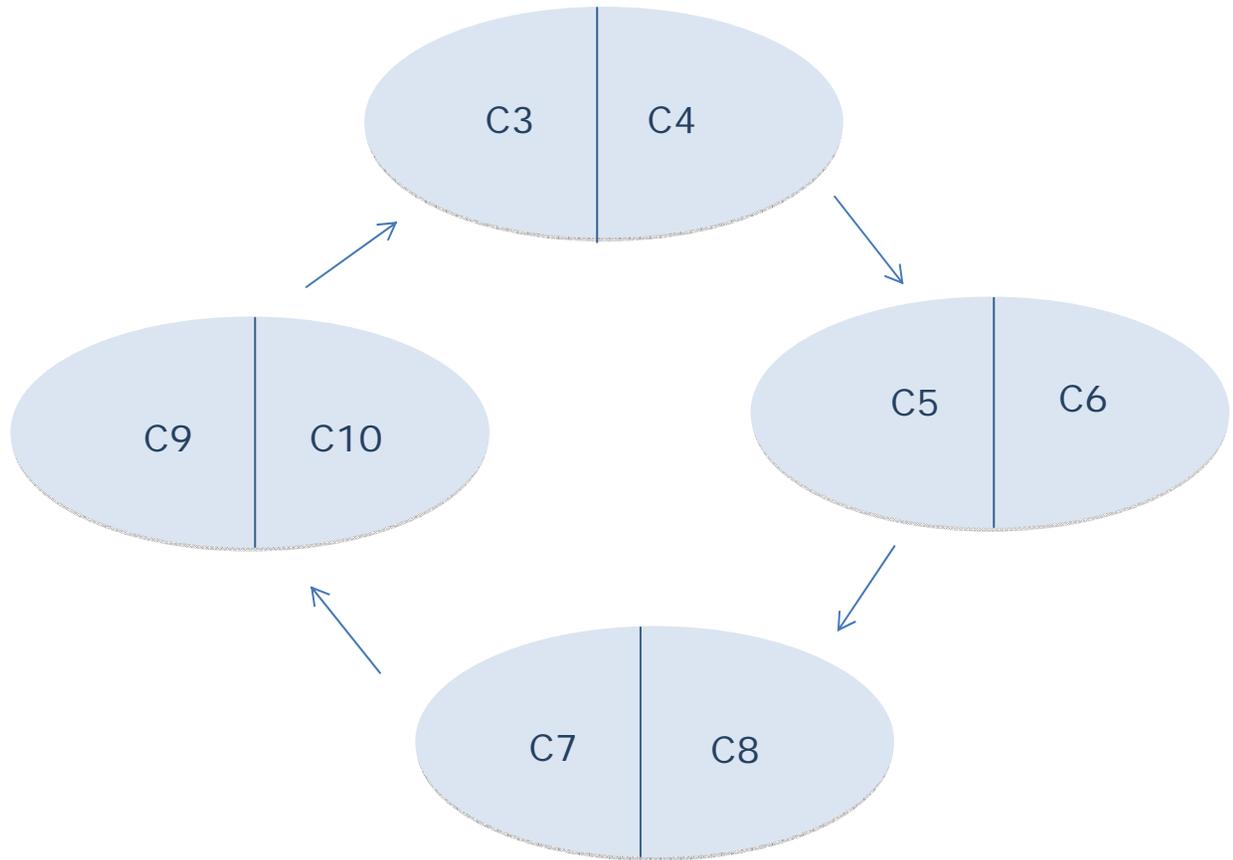
# Master of Science in Supply Chain Management Carousel Model

Carousel Model of Courses: 30 credit hours

Foundation Courses



Core Courses





### III. STEM CERTIFICATION

STEM is an acronym for Science, Technology, Engineering & Mathematics. The Master of Science in Supply Chain Management (MS in SCM) program is designed to prepare students for productive careers in our high-tech global economy, therefore numerous courses embrace and include the integration of one or more of these STEM areas, particularly science, technology and mathematics.

Supply chains are now optimized through the utilization of advanced technology; data analytics and the utilization of quantitative methods to maximize efficiencies in inventory management, warehousing, distribution and transportation. Knowledge and skills in science, technology and mathematics are critical for successful supply chain managers today, as they work in numerous disciplines in the field. This includes designing manufacturing systems, purchasing and inventory control, production planning, materials requirements planning (MRP), distribution requirements planning, supply chain risk analysis and assessment, data modeling, six sigma, global sourcing analysis, identifying cost efficiencies, and more. We believe the Master of Science in Supply Chain Management (MS in SCM) program should qualify as a STEM degree, serving the University of Maryland mission of growing STEM programs. The STEM certification for the Master of Science in Supply Chain Management (MS in SCM) is based on the extensive use of science, technology and mathematics in many of the core courses.

The Master of Science in Supply Chain Management (MS in SCM) should qualify to be assigned an approved STEM Classification of Instructional Programs (CIP) code of 52.1399, Management Science and Quantitative Methods.

#### **C. Describe any selective admissions policy or special criteria for students selecting this field of study.**

Applicants to the Master of Science in Supply Chain Management (MS in SCM) program must have completed all of the requirements for a baccalaureate degree prior to their acceptance into the program. All applicants must submit: Transcripts from all undergraduate and graduate institutions that have been previously attended; Graduate Record Examination (GRE) scores or the Graduate Management Admissions Test (GMAT) scores, or at least 5 years of relevant work

experience; a complete online application form that includes a written essay articulating qualifications and motivation for pursuing advanced education; two letters of recommendation from supervisors or from professors competent to judge the applicant's probability of success in graduate school.

In addition, an admissions interview may be required. After initial screening, the Admissions Office may select candidates for interviews that may be done in person or by telephone. Proof of English language proficiency (TOEFL or IELTS official scores) is also required unless the applicant has received an undergraduate or graduate degree from a select list of countries. For international student needing an F1 visa, a completed certification of finance form and supporting financial documentation are required.

In addition to Graduate School requirements, admission decisions for the Master of Science in Supply Chain Management (MS in SCM) program will be based on the quality of previous undergraduate and graduate course work (if applicable), the strength of Graduate Record Examination scores or the Graduate Management Admissions Test scores, the relevance of prior work and research experience, and the congruence of professional goals with those of the program. Students should submit application materials for the fall semester by April 1 for the College Park program and this program does not accept applications for Spring semester admission. The online program will have 4 cohort launches per year with application deadlines 120 days prior to the start of the program. Applications received after the final deadline will be reviewed on a case-by-case basis and students could be admitted to the following intake.

#### **IV. STUDENT LEARNING OUTCOMES AND ASSESSMENT**

The learning outcomes for the students in the traditional and online program will be the same as our current MSB-SCM program.

The Master of Science in Supply Chain Management (MS in SCM) degree is designed to be a strong managerial and analytical program that provides students with a sound, foundationally understanding of core supply chain disciplines. All

students are required to gain a basic understanding of each major area of Supply Chain Management through taking their core classes as detailed in Section IIB above. The department has identified five career tracks and has made suggestions for how students can best prepare for these fields. The tracks are:

- Supply Chain Strategy / Consulting
- Demand / Supply Planning
- Purchasing / Sourcing
- Distribution Methods and Practices
- Materials Management / Inventory Control
- Transportation

## **V. FACULTY AND ORGANIZATION**

**A. Who will provide academic direction and oversight for the program? [This might be a department, a departmental subgroup, a list of faculty members, or some other defined group.]**

Oversight will be provided by a Director of the program along with a committee of at least three faculty members (Program Oversight Committee). The director and the committee will jointly address issues including admissions, curriculum design, academic policies, student activities, and internship / placement opportunities. The chair of the Logistics, Business & Public Policy (LBPP) department and the Dean's office will also oversee the program.

The LBPP department of the Robert H Smith School of Business currently has 24 FTE faculty (10 in the area of supply chain management). Fifteen of these are tenure/ tenure track. The vast majority of faculty members have doctoral degrees and all teaching faculty have graduate degrees in their specialized field. A few courses in the program may be taught by faculty in other departments of the Robert H Smith School of Business.

## **Faculty from LBPP Expected to Teach in the Proposed MS in SCM Program**

Martin Dresner, PhD, Professor and Department Chair

Teaching / research focus: Supply Chain Strategy, Air Transport Management

Sandor Boyson, PhD, Research Professor and Co-chair of Supply Chain Management Center

Teaching / research focus: Global Supply Chain Management, Risk Management

Gary Cohen, Distinguished Tyser Teaching Fellow and MS in SCM Academic Director

Teaching focus: Global Trade; Value Chain Management; International Business

Thomas Corsi, PhD, Michelle E. Smith Professor and Co-chair of Supply Chain Management Center

Teaching / research focus: Global Supply Chain Management, Carrier and Safety Management

Stephanie Eckerd, PhD, Assistant Professor

Teaching / research focus: Buyer-Supplier Relationships

Philip Evers, PhD, Associate Professor

Teaching / research focus: Logistics Systems; Inventory Management; Intermodal Transportation

Curtis Grimm, PhD, Professor and Charles A. Taff Chair of Economics and Strategy

Teaching / research focus: Competition; Strategy; Deregulation & Microeconomic Reform

Lisa Harrington, Lecturer & Associate Director of Supply Chain Management Center

Teaching focus: Global Supply Chain Management Strategy

Charles Olson, PhD, Professor of the Practice & Director of Business Honors Program

Teaching focus: Economics and Strategy

Hugh Turner, PhD, Tyser Teaching Fellow

Teaching focus: Supply Chain Management; Transportation; Value Chain Management

Bennet Zelner, PhD, Associate Professor

Teaching / research focus: Global Economic Strategy

Holly Zhang, Lecturer

Teaching / research focus: Supply Chain Technology

**Faculty from Decisions, Operations & Information Systems Expected to Teach in the Program**

Kislaya Prasad, PhD, Research Professor & Director of CIBER

(Department of Decisions, Operations & Information Technology)

Teaching / research focus: Computability & Complexity of Decisions and Economic Equilibrium

S. Raghaven, PhD, Professor

(Department of Decisions, Operations & Information Technology)

Teaching / research focus: Quantitative Methods, Auction Design, Data Mining

**Faculty from Management & Organization Expected to Teach in the Program**

Gosia Langa, Lecturer

(Department of Management & Organization)

Teaching focus: Management & Organization

Martin Sullivan, Lecturer

(Department of Management & Organization)

Teaching focus: Management & Organization

**B. If the program is not to be housed and administered within a single academic unit, provide details of its administrative structure. This should include at least the following:**

Not applicable. All classes will be housed and administered within the Robert H Smith School of Business.

## VI. OFF CAMPUS PROGRAMS

**A. If the program is to be offered to students at an off-campus location, with instructors in classrooms and/or via distance education modalities, indicate how student access to the full range of services (including advising, financial aid, and career services) and facilities (including library and information facilities, and computer and laboratory facilities if needed) will be assured.**

For the classroom track of the MS in SCM program, all classes will be held at the College Park campus.

For the Online MS in SCM program, all courses will be offered virtually. Student access to services will be done primarily via an online portal, telephone and email, and the Smith School will also offer scheduled chat sessions with course selection advisement and career services. UMD services (library, information facilities, etc.) will be handled via email and telephone and the Virtual Business Information Center (VBIC).

**B. If the program is to be offered mostly or completely via distance education, you must describe in detail how the concerns in Principles and Guidelines for Online Programs are to be addressed.**

The Master of Science in Supply Chain Management (MS in SCM) classroom program is structured to be delivered in its entirety in a traditional classroom setting as a replacement to the current MSB-SCM. The traditional classroom program is attracting predominantly international students who have just completed their undergraduate degree.

Our research confirms that there are a number of early career managers looking for a formal degree program in supply chain management. Two competitive universities with highly ranked supply chain programs are already offering an online format to attract this population (Penn State and Arizona State). This is an opportunity to diversify the population seeking this degree, ensuring greater balance.

All online courses would adhere to the policies and concerns outlined in the University of Maryland document, Principles and Guidelines for Online Programs. This includes strict maintenance of program quality and academic integrity. Our

regular faculty will teach the online program, just like the classroom format. The program will be designed with an equal amount of instructional quality and academic rigor.

**Program Development, Control and Implementation:** This proposal was developed as a result of the School's strengths and aligns with the School's strategic goals. Program Development, Control and Implementation would be managed by the Faculty. The faculty will have overall control over the design, development, and will have responsibility for the bulk of online academic instruction. Smith School technical support personnel would be available for technical support during classroom hours. Support will be available to faculty during course development, as well as during the offering of the program.

To assure academic quality, all online programs will adhere to the policies and concerns outlined in the University of Maryland document, Principles and Guidelines for Online Programs. Smith School technical support personnel will be available, as well as an agreement with an established third party provider for technical support 24/7/365. Technical support will be available to faculty during course development, as well as during the offering of the program.

**Access to Academic Resources and Student Services for the Online Program:** Student services such as admissions, registration, bill payment, advisement, and bookstore services will be facilitated through the Masters Program Office and the Office of Executive Programs. Library services will be available through Virtual Business Information Center (VBIC).

**Intellectual Property Rights of the Online Program:** The IP rights of the content developed for the program will be owned by the UMCP in accordance with University policies, and this will be confirmed in the Agreement with the partner designated to assist the Smith School in delivering the program.

**Full Disclosure, Standards, and Evaluation:** All published materials describing the program will carefully lay out instructional methods to be used, the skills and background necessary for success, academic support and resources, and available student services. Academic admission standards will be clearly described, and will be consistent with those for on-campus programs. As mentioned above, each year the faculty committee and the administration of the Smith School will evaluate the program to ensure all standards are being met.

## VII. OTHER ISSUES

### A. Describe any cooperative arrangements with other institutions or organizations that will be important for the success of this program.

Not applicable for the traditional classroom track. All aspects of the program including admissions, academic programming and career advising, will be provided by the Robert H Smith School of Business. While the program will reach out to local companies and institutions for guest speakers, internship opportunities, experiential learning projects, and job placement, no particular relationship is pivotal to the success of the program.

For the online distance education track, The Smith School of Business is proposing a partnership with Pearson Embanet ([www.embanet.com](http://www.embanet.com)), a company with over 20 years of experience in partnering with Higher Education institutions to deliver online learning services. The partnership with Pearson Embanet (PE) is intended to provide the following services to the Smith School of Business for the online track of the MS in SCM program:

- **Co-Funding:** PE will invest in the program, thus reducing the expense needed to launch a highly competitive offering, and sharing the risk of the program launch and success.
- **Marketing:** PE will be the primary driver of marketing the program, exclusively online using their experience in building online programs. This service will eliminate the need for Smith to invest in national advertising to attract students to our offering.
- **Recruitment:** PE will staff its operations with a team of qualified recruiters that will be dedicated to the Smith MS in SCM program, and help interested applicants through the process of applying to the program. This role will eliminate the need for UMD/Smith to hire additional recruiters.
- **Instructional design:** PE will provide full-service instructional design to Smith faculty, working to transition the content and delivery of the faculty material and approach to successful online courses. This will eliminate the need for Smith to hire instructional designers and/or contract separately.
- **Learning platform management:** PE will ensure that the LMS that is adopted for the program (Canvas) will be utilized in such a way that online

students will be able to maximize their interaction with faculty, advisors, and each other in order to fulfill their course requirements and ultimately their learning objectives. They will provide 24/7/365 support of the LMS – including walking faculty through how to upload/modify/interact on the LMS throughout their teaching in the MS in SCM program. This service eliminates the need for two additional headcount in the UMD/Smith IT department (assuming 24/7/365 would require at least 2 headcount to manage all issues over time). The partnership approach has a number of significant advantages to UMD and the Smith School of Business:

- **Speed to market:** Without the partnership, it would take the School at least two years to build the infrastructure needed to start the program, which includes building faculty and program capabilities in designing and offering an online curriculum; building capabilities of administrative teams in the new fields of online marketing, recruiting, IT and student support. With the partnership, we can start the program in eight months once it is approved. This early start will establish the Smith School as an early mover and leader in quality online education.
- **Leverage PE's financial capital:** A large upfront investment has been a barrier preventing universities from offering online programs. In the Smith School case, we estimate that it will take \$2 million investment in two years to do infrastructure building and program launching. Partnership allows unlimited initial fund as needed with investment from PE.
- **Leverage PE's knowledge capital:** In-house capability building will take time as well as trials and errors to succeed. This partnership allows the School to leverage PE two decades of tested expertise in instructional design, marketing and recruiting, IT and student support tailored to the special needs of online students.
- **Quality assurance:** Effective curriculum delivery model, best practices in teaching and operations that PE can provide will be critical for us to ensure the quality of the new Program right at the start.
- **Risk reduction:** Since PE will provide the large portion of the investment at the start of the program, financial risk is outsourced.
- **Positive externality:** Knowledge and capabilities in online teaching built through this program at the faculty level and program level can be applied

to other courses and programs at Smith benefiting all Smith graduate and undergraduate students. In addition, instructional videos produced for this program can be used to other non- competitive Smith courses/programs (e.g. certificate and MS programs), resulting in cost saving to the School.

**B. Will the program require or seek accreditation? Is it intended to provide certification or licensure for its graduates? Are there academic or administrative constraints as a consequence?**

The University of Maryland's Robert H. Smith School of Business is already accredited by the AACSB (American Association of Collegiate Schools of Business).

### **VIII. COMMITMENT TO DIVERSITY**

**Identify specific actions and strategies that will be utilized to recruit and retain a diverse student body.**

The Robert H. Smith School of Business community is multifaceted at every level – students, staff and faculty represent a diverse blend of backgrounds, nationalities, ethnicities and experiences. About a dozen Smith School and student clubs are focused on bringing members together who have similar interests in gender, nationality, religion, and sexual orientation.

To attract the most diverse population possible for the proposed Master of Science in Supply Chain Management (MS in SCM) program, Smith School recruiting staff will focus heavily on domestic efforts. These efforts will be targeted at recruiting U.S. minorities and American women of all ethnicities.

Current efforts include:

- Representing Masters programs in U.S. MBA and Masters Fairs and Tours
- Representing Masters programs in International MBA and Masters Fairs and Tours
- Online webinars and chats
- U.S. College Visits
- International College Visits
- GMASS-based Mailings

- GRE-based Mailings
- Direct Mail
- Email Campaigns
- Outreach to College and Campus Organizations and Clubs
- Participating in Career/Graduate Study Panels or Workshops
- Presentations at Professional Conferences
- Creation of "Leap Your Career Forward" for Current UMD Students Looking At MBA and Masters Study Post-Undergraduate Studies (An Annual Event)
- Advertising in UMD Campus Newspapers
- Masters Only Education Fairs (Fall And Spring) Throughout the U.S.
- Participation in a Masters-focused Business School Alliance
- Participant in Graduate Business Education Events Targeted for Underrepresented Populations, Particularly U.S. Minorities and Women

Future efforts include:

- Including Master's Level Programming in Marketing Content Targeted to U.S. Military/Veterans
- Outreach to College Organizations in the Washington, D.C. Area
- Enhancement of Website for All Masters Programs
- Inclusion of Spotlight and Vignettes of Masters Alumni and Current Students who Reflect Diversity
- Participation in Events Targeted for Women Seeking Graduate Study (General And Non-MBA Based Events)
- Social Media and Online Advertising within U.S. Markets
- Partnerships with Academic Testing Centers and Overseas Advisors For International Graduate Study
- Marketing Targeting Young UMD Alumni and Young University Of Maryland System Alumni

## **VIII. REQUIRED PHYSICAL RESOURCES**

The proposed Master of Science in Supply Chain Management (MS in SCM) program replaces the existing Masters of Science in Business with a concentration in Supply Chain Management (MSB-SCM) degree currently offered. The proposed program can be implemented in accordance with Section 11 206.I in which

programs developed under this provision can be implemented within existing resources of the campus. In proceeding with the submission of this program, the institution's president certifies that no new general funds will be required for the implementation of this master's-level program.

**A. Additional library and other information resources required to support the proposed program. You must include a formal evaluation by Library staff.**

The evaluation is attached.

**B. Additional facilities, facility modifications, and equipment that will be required. This is to include faculty and staff office space, laboratories, special classrooms, computers, etc.**

As this proposed program replaces a current program and we do not at this time anticipate growing the program beyond its current scale, no additional facilities or facility modification is required. The School has adequate space in Van Munching Hall to house current faculty and students in the proposed classroom program. No additional classrooms or computer laboratories are required.

**C. Impact, if any, on the use of existing facilities and equipment. Examples are laboratories, computer labs, specially equipped classrooms, and access to computer servers.**

See response to VIII.B above.

## **IX. RESOURCE NEEDS and SOURCES**

**Describe the resources that are required to offer this program, and the source of these resources. Project this for five years. In particular:**

**A. List new courses to be taught, and needed additional sections of existing courses. Describe the anticipated advising and administrative loads. Indicate the personnel resources (faculty, staff, and teaching assistants) that will be needed to cover all these responsibilities.**

As this proposed program replaces a current program and we do not at this time anticipate growing the program beyond its current scale, no additional courses or changes in advising or administrative workload is required.

**B. List new faculty, staff, and teaching assistants needed for the responsibilities in A, and indicate the source of the resources for hiring them.**

Faculty resources of the Robert H Smith School of Business and in particular the LBPP department of the School (as described herein) are adequate to cover the size of the proposed MS in SCM program. Approval of this proposal would not alter the responsibilities of the faculty beyond those already generated by the MSB-SCM program that this proposal seeks to replace.

**C. Some of these teaching, advising, and administrative duties may be covered by existing faculty and staff. Describe your expectations for this, and indicate how the current duties of these individuals will be covered, and the source of any needed resources.**

As described above, teaching, advising, and administrative duties will be handled by existing faculty members (who are already teaching and conducting research on supply chain topics).

**D. Identify the source to pay the for the required physical resources identified in Section VIII. above.**

No additional resources are required.

**E. List any other required resources and the anticipated source for them.**

Not applicable.

**F. Provide the information requested in [Table 1](#) and [Table 2](#) (for Academic Affairs to include in the external proposal submitted to USM and MHEC).**

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## Appendix 1:

### Peer Comparisons – Degree Name of Supply Chain Program offered by MBA Ranked Peers

<b>MBA Ranking (BW)</b>	<b>SCM Ranking (U.S. News)</b>	<b>University</b>	<b>Degree Name of Supply Chain Program</b>
#8	#9 (tie)	University of Michigan	Master of Supply Chain Management
#23	#13	Georgia Tech	Master of Science in Supply Chain Engineering
#27	#4	Ohio State University	Master of Business Logistics Engineering
#31	-	Washington University	MS in Supply Chain Management
#35	#2	Michigan State University	MS in Supply Chain Management
#37	#6	Arizona State University **	MS in Supply Chain Management & Engineering
#38	#3	Penn State University **	Master of Prof. Studies in Supply Chain Mgmt.
#41	#9 (tie)	Purdue University	MS in Global Supply Chain Management
#46	-	Texas Christian University	MS in Supply Chain Management
#55	-	Syracuse University	MS in Supply Chain Management
#57	-	University of Buffalo	MS in Supply Chains and Operations Mgmt.

**\*\* - Online programs**

## Appendix 2:

### Peer Comparisons – Curriculum Content Comparisons of Supply Chain Programs offered by MBA Ranked Peers

University Degree MBA Ranking	Core Curriculum	Comments
<b>University of Michigan</b> #8 MBA #9 SCM	<ul style="list-style-type: none"> <li>- Manufacturing and Supply Chain Operations</li> <li>- Supply Chain Analytics</li> <li>- Logistics</li> <li>- Strategic Sourcing and Procurement Management</li> <li>    Project Management</li> <li>- Supply Chain Management</li> <li>- Information Technology in Supply Chain and Logistics</li> <li>- Topics in Global Operations</li> <li>- (Special) Topics in Supply Chain Management</li> <li>- Manufacturing Strategies</li> </ul>	The University of Michigan degree is comparable to our program. Although many courses have different titles, the program content is quite similar. Like ours, this is a 30-credit program. There are an average of 22 full-time students admitted to the program each year. The program's tuition and fees total approximately \$52,000 (in-state) and \$57,000 out-of-state).

University Degree MBA Ranking	Core Curriculum	Comments
<b>Georgia Tech</b> #23 MBA #13 SCM	<ul style="list-style-type: none"> <li>- Supply Chain Optimization</li> <li>- Supply Chain Control</li> <li>- Statistics – Management and Analysis of Supply Chain Data</li> <li>- Warehouse Operations and Inventory Control</li> <li>- Global Transportation and Distribution</li> <li>- Supply Chain Design</li> <li>- Supply Chain Strategy – globalization, emerging consumer markets, human and natural resources, sustainability</li> <li>- Supply Chain Information &amp; Decision Technologies - visibility, demand planning, scheduling, fulfillment systems</li> <li>- Finance – performance measurement and capital investment analysis</li> <li>- Professional Practice – short courses &amp; seminars on career development, ethics, communication &amp; leadership</li> </ul>	Georgia Tech's degree is specifically designed with an engineering approach and many of their students already have an MS or BS in Engineering. There are an average of 21 full-time students admitted to the program each year. This is a 36-credit program. The program's tuition and fees total approximately \$20,000 (in-state) and \$52,000 out-of-state).

University Degree MBA Ranking	Core Curriculum	Comments
<b>Ohio State University</b> #27 MBA #4 SCM	<ul style="list-style-type: none"> <li>- Strategic Logistics Management</li> <li>- Logistics Decisions &amp; Control</li> <li>- Logistics Analytics</li> <li>- Transportation Management</li> <li>- Logistics Technology &amp; Application</li> <li>- Field Problems in Logistics</li> <li>- Supply Chain Management</li> <li>- Organizational Behavior</li> <li>- Teams and Leadership</li> <li>- Linear Optimization</li> <li>- Operations Research and Models</li> <li>- Performance Modeling &amp; Simulation</li> <li>- Warehouse &amp; Facility Design</li> <li>- Lean Sigma Foundations</li> <li>- Engineering Seminars</li> <li>- Global Sourcing I &amp; II</li> </ul>	<p>This is very similar to the Georgia Tech program. This is a 41-credit program. There are an average of 40 full-time students admitted to the program each year. The program's tuition and fees total approximately \$25,000 (in-state) and \$41,000 out-of-state).</p>

University Degree MBA Ranking	Core Curriculum	Comments
<b>Washington University</b> #31 MBA ---- SCM	<ul style="list-style-type: none"> <li>- Foundations of Supply Chain Management</li> <li>- Contemporary Marketing Channels</li> <li>- Corporate Strategy</li> <li>- Strategic Quality Management</li> <li>- Managing the Innovation Process</li> <li>- Project Management</li> <li>- Data Analysis, Forecasting &amp; Risk Analysis</li> <li>- Advanced Operations Strategy</li> <li>- Global Supply Chain &amp; Logistics System Design Project Practicum</li> <li>- Managerial Global Business Process Outsourcing for Competitive Advantage</li> <li>- IT &amp; Supply Chain Management</li> <li>- Leading Change</li> <li>- Options &amp; Futures</li> <li>- Managerial Control Systems</li> <li>- Supply Chain Risk Management</li> <li>- Operations Management in the Service Industry</li> <li>- Marketing Elective</li> <li>- Operations Planning &amp; Control</li> <li>- Negotiations &amp; Conflict Management</li> </ul>	<p>The Washington University degree is very similar to our program. Although most courses have different titles, the program content is quite similar to our program. One difference is that they do include a Finance and Accounting course. This is a 36-credit program. There are an average of 18 full-time and 12 part-time students admitted to the program each year. The program's tuition and fees total approximately \$52,000.</p>

<b>University Degree MBA Ranking</b>	<b>Core Curriculum</b>	<b>Comments</b>
<b>Michigan State University</b> #35 MBA #2 SCM	<p><b><u>Core Courses</u></b></p> <ul style="list-style-type: none"> <li>- Introduction to Logistics &amp; Supply Chain Management</li> <li>- Applied Data Analysis</li> <li>- Distribution Fulfillment</li> <li>- Manufacturing Planning &amp; Control</li> <li>- Strategic Sourcing</li> <li>- Supply Chain Management Information Technology</li> <li>- Total Quality Management &amp; Lean Enterprise</li> <li>- Supply Chain Management Strategy &amp; Applications</li> <li>- Global Supply Chain Management</li> <li>- Communication in Supply Chain Management</li> <li>- Change Management</li> <li>- Marketing Management</li> </ul> <p><b><u>Logistics Track</u></b></p> <ul style="list-style-type: none"> <li>- Logistics Operations Methods &amp; Systems</li> <li>- Logistics Systems Analysis</li> </ul> <p><b><u>Operations Management Track</u></b></p> <ul style="list-style-type: none"> <li>- Supply Chain Integration &amp; Strategic Agility</li> <li>- Manufacturing &amp; Sourcing Strategy</li> </ul> <p><b><u>Supply Management Track Track</u></b></p> <ul style="list-style-type: none"> <li>- Analysis of Supply Markets &amp; Supplies</li> <li>- Negotiations</li> </ul> <p><b><u>Rail Management Track</u></b></p> <ul style="list-style-type: none"> <li>- Railway Business Management</li> <li>- Railway Operations Management</li> </ul>	<p>The Michigan State degree is comparable to our program. One major difference is that the MSU program offers 4 different tracks to choose from, with each track consisting of two 3-credit courses. Although many courses have different titles, the content of the Supply Management track is quite similar to our program.</p> <p>One-third of the credits are offered online, making this a blended program. This is a 36-credit program can be completed in 16-24 months.</p>

University Degree MBA Ranking	Core Curriculum	Comments
<b>Penn State University</b> #38 MBA #3 SCM	<ul style="list-style-type: none"> <li>- Supply Chain Management</li> <li>- Transportation &amp; Distribution</li> <li>- Strategic Procurement</li> <li>- Supply Chain Analysis</li> <li>- Supply Chain Project Management</li> <li>- Supply Chain Design &amp; Strategy</li> <li>- Supply Chain Transformation &amp; Innovation</li> <li>- Professional Paper</li> </ul>	<p>The Penn State degree is an online degree program. It is designed to be a 2-year program. The courses are similar to those in our program. This program features fewer courses, but more credit hours per course, with several 4-credit courses. Our program covers a more comprehensive curriculum in terms of disciplines within the field of supply chain management. Although many courses have different titles, our also program delves into the majority of topics covered in the Penn State program. Like ours, this is a 30-credit program. The program's tuition and fees total approximately \$28,750.</p>

University Degree MBA Ranking	Core Curriculum	Comments
<b>Purdue University</b> #41 MBA #9 SCM	<p><b><u>Core Courses</u></b></p> <ul style="list-style-type: none"> <li>- Operations Management</li> <li>- Optimization Modeling with Spreadsheets</li> <li>- Supply Chain Management</li> <li>- Experiential Learning in Operations (3-credit Summer Internship)</li> <li>- Logistics</li> <li>- Strategic Sourcing &amp; Procurement Management</li> <li>- Global Supply Chain Management</li> </ul> <p><b><u>SCM Electives (Choose 2)</u></b></p> <ul style="list-style-type: none"> <li>- Manufacturing Planning &amp; Control</li> <li>- Project Management</li> <li>- Management of Service Operations</li> <li>- Healthcare Supply Chains</li> <li>- Management of Healthcare Operations</li> <li>- Sustainability Operations</li> <li>- Operations: Practice &amp; Models</li> </ul> <p><b><u>SCM Relevant Electives (Choose 2)</u></b></p> <ul style="list-style-type: none"> <li>- New Product Design</li> <li>- Spreadsheet Modeling &amp; Simulation</li> <li>- Manufacturing Strategy</li> <li>- Data Mining</li> </ul> <p><b><u>General Business Electives (4-6 credits)</u></b></p> <ul style="list-style-type: none"> <li>- Choose from the following disciplines: Accounting, Communications, Economics, Finance, Marketing, Organizational Behavior</li> </ul>	<p>The Purdue University degree is a program conducted in collaboration with Universidad Popular Autónoma del Estado de Puebla (UPAEP) in Mexico, Indian Institute of Management Udaipur in India, and Tianjin University in China. It is comparable to our program, although there are fewer core courses and more elective courses offered in their program. Many courses are similar to those in our program, though there is an offering of electives that are not available in our program. Like ours, this is a 30-credit program. The program's tuition and fees total approximately \$22,000 (in-state) and \$42,000 out-of-state).</p>

University Degree MBA Ranking	Core Curriculum	Comments
<p><b>Texas Christian University</b> #46 MBA ----- SCM</p>	<p><b><u>Business core</u></b></p> <ul style="list-style-type: none"> <li>- Financial Reporting</li> <li>- Management of Finance I</li> <li>- Accounting for Managerial Planning</li> <li>- Marketing Management</li> </ul> <p><b><u>SCM Core</u></b></p> <ul style="list-style-type: none"> <li>- Supply Chain Management Concepts</li> <li>- Business Analytics</li> <li>- Global Supply Chain Management</li> <li>- Managing Ops and Processes</li> <li>- Logistics &amp; Transportation</li> <li>- Supply Chain Operations Management</li> <li>- Strategic Sourcing &amp; Procurement</li> <li>- Demand &amp; Forecasting Management</li> </ul> <p><b><u>Electives (choose 4 courses)</u></b></p> <ul style="list-style-type: none"> <li>- Time Series Forecasting</li> <li>- SC Info Tools &amp; Technology</li> <li>- Enterprise Resource Planning</li> <li>- Project Management</li> <li>- Program Management</li> <li>- Six Sigma Green Belt</li> <li>- Strategic Cost Analysis</li> <li>- Special Problems in SCM</li> <li>- Planning &amp; Launching Successful New Products</li> <li>- Essentials of Negotiation</li> <li>- Transformational Leadership</li> <li>- Managing Service Excellence</li> <li>- Managing Customer Value</li> <li>- International Marketing</li> <li>- International Finance</li> <li>- Decision Models</li> <li>- Sustainable SC Management</li> </ul> <p><b><u>Capstone Courses (Choose 2 courses)</u></b></p> <ul style="list-style-type: none"> <li>- Global Supply Chain Experience</li> <li>- Supply and Value Chain Strategy</li> <li>- Integrative Field Study</li> </ul>	<p>Texas Christian University's degree is comparable to our program. There are a couple of differences. There are core requirements that include two Finance courses, an Accounting course and a Marketing course. Another difference is that the TCU's program has a limited number of core SCM courses and 4 electives are chosen from a list of 17 courses. This is a 30-credit program that can be completed in 16-24 months. The program's tuition and fees total approximately \$40,000.</p>

University Degree MBA Ranking	Core Curriculum	Comments
<b>Arizona State University</b> #37 MBA #6 SCM	<ul style="list-style-type: none"> <li>- Operations &amp; Supply Management</li> <li>- Strategic Procurement</li> <li>- Supply Chain Cost &amp; Design Issues</li> <li>- Logistics in the Supply Chain</li> <li>- Applied Project</li> <li>- Introduction to International Logistics Systems</li> <li>- Applied Deterministic Operations Research</li> <li>- Applied Stochastic Operations Research Models</li> <li>- Math Tools in Industrial Engineering</li> </ul>	Arizona State's degree is a 100% online program. It is very similar to the Georgia Tech program in content. This is a 21-month program. The program's tuition and fees total approximately 46,500.

University Degree MBA Ranking	Core Curriculum	Comments
<b>Syracuse University</b> #55 MBA ---- SCM	<p><b><u>Core Management Foundation Courses</u></b></p> <ul style="list-style-type: none"> <li>- Financial Accounting</li> <li>- Managerial Finance</li> <li>- Marketing Management</li> </ul> <p><b><u>Core Supply Chain Management Courses</u></b></p> <ul style="list-style-type: none"> <li>- Introduction to Operations &amp; Supply Chain Management</li> <li>- Data Analysis</li> <li>- Supply Chain &amp; Logistics Management</li> <li>- Management Science</li> <li>- Strategic Sourcing</li> </ul> <p><b><u>Selectives (Choose 1 course)</u></b></p> <ul style="list-style-type: none"> <li>- Project Management</li> <li>- CRM</li> <li>- Supply Chain Systems</li> </ul> <p><b><u>Culminating Experience (Choose 1 course)</u></b></p> <ul style="list-style-type: none"> <li>- Lean Six Sigma</li> <li>- APICS Certification</li> <li>- Master's Thesis</li> </ul>	The Syracuse University degree is a 100% online program. Ours offers a more comprehensive approach to supply chain management. The Syracuse program requires Finance, Accounting and Marketing course. Although their core courses have different titles, their content is quite similar to our courses. Like ours, this is a 30-credit program. The program's tuition and fees total approximately \$37,470.

<b>University Degree MBA Ranking</b>	<b>Core Curriculum</b>	<b>Comments</b>
<b>University of Buffalo</b> #57 MBA ----- SCM	<ul style="list-style-type: none"> <li>- Production &amp; Inventory Planning</li> <li>- Project Management</li> <li>- Logistics</li> <li>- Supply Chain Design, Modeling &amp; Optimization</li> <li>- Financial Analysis &amp; Reporting</li> <li>- Principles of Workforce Engagement</li> <li>- Strategic Quality Management</li> <li>- Supply Chains &amp; Global Operations</li> <li>- Purchasing &amp; Global Supply Management</li> <li>- Logistics &amp; Global Distribution Management</li> <li>- Integrative Capstone Project</li> </ul>	<p>The University of Buffalo degree is similar to our program, however our curriculum offers a more comprehensive study of disciplines &amp; best practices in supply chain management. The Buffalo program includes a Finance/Accounting course. Like ours, this is a 30-credit program. The program's tuition and fees total approximately \$12,000 (in-state) and \$20,000 out-of-state).</p>

## Appendix 3:

### Current MSB-SCM Curriculum

<http://www.rhsmith.umd.edu/ms/supplychain/curriculum.aspx>

#### **Core Courses**

BULM758G	Exploring the Global Value Chain (4 Credits)
BULM758T	Global Transportation Management (2 Credits)
BUSI630	Data Models & Decisions (2 Credits)
BUSI672	Global Supply Chain Management (2 credits)
BUSI683	Global Economic Environment (2 Credits)
BULM742	Global Supply Chain Resources Planning (2 credits)
BULM758B	Supply Chain Strategy (3 credits)
BULM724	Negotiations in Supply Chain Management (2 Credits)
BULM734	Assessing and Managing Supply Chain Risks (3 credits)
BUSI634	Operations Management (2 Credits)
BULM720	The Green Supply Chain (2 Credits)
BULM758Z	Technology in Supply Chain Management (1 Credit)

#### **Electives (3 Credits)**

BULM736	Executives in Supply Chain Management
BULM758R	Research in Supply Chain Management

# Approved Substantive Changes to the University

## Search and Selection Guidelines

Effective February 1, 2014

In 2012-13, a task force of the University Equity Council, led by Chief Diversity Officer Kumea Shorter-Gooden and including representation from University Human Resources, undertook the work of revising the campus Procedures and Guidelines on Search and Selection. The Task Force solicited feedback from the campus community, reviewed the practices of peer institutions, and considered national “best practices” in faculty and staff search and selection. The changes take into account contemporary social, technological and workforce realities and aim to create a more nimble and flexible process, while safeguarding and promoting the University’s commitment to equity and diversity.

In December 2013, President Loh approved changes in the following areas:

- Diversity of Search Committees and Applicant/Semi-Finalist/Finalist Pools
- Filling Positions in Pay Bands 1 and 2
- Interactions between the Hiring Official and the Search Committee
- Use of Social Media
- Use of Search Firms
- Responsibility and Authority Structure

These changes go into effect on February 1, 2014. Note that the 2007 *Procedures and Guidelines for Conducting Searches at the University of Maryland* remain in effect, except where superseded by the changes in this document. A revised set of Guidelines that incorporates these substantive changes and provides updates on the entire process of search and selection (thus, creating one reference document) will be completed and approved in the spring.

### **Diversity of Search Committees and Applicant/Semi-Finalist/Finalist Pools**

As a campus committed to the goal of recruiting and maintaining an outstanding faculty and staff, the University recognizes that this can only be achieved by making diversity a cornerstone value within the search and selection process. Fundamentally, there is recognition that having a diverse set of employees is a key ingredient in developing a high-performing, engaged, and excellent workforce.

Specifically, the University of Maryland reaffirms the importance of diversity, particularly racial/ethnic and gender diversity, in Search Committees, applicant pools and finalist lists.

To ensure success, diversity should be considered during each phase of the search process, to the extent possible, including in the formation of the Search Committee and the selection of the applicant semi-finalist and finalist pools.

### ***Search Committee Composition***

Hiring Officials are expected to convene Search Committees that are diverse, particularly with respect to race/ethnicity and gender. In appointing members, Hiring Officials may also consider other forms of diversity. The objective is to assemble a team of individuals reflecting a broad range of individual backgrounds, skills, experiences and attributes relevant to the search and the nature of the position.

Search Committee diversity is important in order to foster the inclusion of people with varied experiences and ideas as well as the engagement of an array of applicants. Search Committees with a diverse composition have the benefit of a rich set of perspectives as well as access to more varied and diverse networks for outreach and recruitment of candidates. Moreover, diverse Search Committees send important, positive signals to interviewees about the University's commitment to diversity and inclusion, often enhancing the interest of candidates from diverse groups as well as the interest of candidates for whom diversity and inclusion are core values.

In completing the Search and Selection Plan, Hiring Officials will be asked to note the race/ethnicity and gender of Search Committee members. In addition, Hiring Officials may provide a brief statement to the Equity Administrator as to why the individuals selected for the Search Committee contribute to the diversity objective of the specific search. As part of their approval of the Search and Selection Plan, Equity Administrators approve the composition of the Search Committee.

A diverse Search Committee is very important; however, it is also important that the Search Chair and all Search Committee members collectively take responsibility for developing a proactive strategy to recruit a diverse candidate pool and for assuring an equitable and fair process for all candidates.

### ***Applicant Pool Composition***

Search Committees are expected to forward to the Hiring Official a finalist list that is diverse with respect to race/ethnicity and gender. To achieve this, diversity should be considered at all stages in the process (from the initial applicant pool, to the semi-finalist list, and then to the finalist list). The Search Committee should periodically consider the presence of racial/ethnic and gender diversity in the pool. Moreover, the Search Committee should pay careful attention to how diverse populations fare through the winnowing process. Search Committees should be mindful of the following in each stage of the process:

- **Due Diligence** – It is important that the Search Committee engage in and document genuine and deliberate attempts to ensure the presence of racial/ethnic and gender diversity from the applicant pool to the final list of candidates.
- **Equitable Treatment** – Part of maintaining a fair and impartial process is the Search Committee's commitment to make sure that all candidates receive reasonably similar treatment in all stages of the process, including interactions outside of formal interviews. Carefully maintaining procedural equity helps to ensure that diverse populations have the opportunity to be considered fairly and justly.
- **Availability in the Workforce** – Certain jobs and fields have disproportionately fewer people of particular races/ethnicities and/or genders who are available as potential job applicants. In these circumstances, the Search Committee should demonstrate that it has

genuinely attempted “due diligence” and “equitable treatment” (as described above) to maximize the potential of reaching diverse populations.

When the semi-finalist pool is not diverse with respect to race/ethnicity and gender (and prior to finalizing the semi-finalist interviews), Search Committee Chairs are expected to consult with the Equity Administrator to consider strategies to diversify the pool. Moreover, prior to finalists being forwarded to the Hiring Official, Equity Administrators must review the finalist pool for diversity.

### **Filling Positions in Pay Bands 1 and 2**

To expedite the search process and streamline the amount of time it takes to fill many positions, exempt positions in Pay Bands 1 and 2 should generally be filled without the use of a Search Committee, unless circumstances warrant the dedication of the time and resources that a standard search committee process requires. Exempt positions are classified by University Human Resources (UHR) using criteria such as institutional responsibility/span of control, organizational reporting levels, essential duties, minimum qualifications and other factors. The Pay Band associated with each exempt position is listed on the position description form.

Even though there is no Search Committee, Hiring Officials should consider the inclusion of other colleagues (and where appropriate, students) in the search process, so that the Hiring Official gets the benefit of the feedback and opinions of knowledgeable others and so that prospective candidates have the opportunity to learn about the unit/department from the vantage points of different people.

Though there is no Search Committee, fairness and equitable treatment continue to be core values that should guide the search and selection process.

Exempt positions in Pay Bands 1 and 2 should be filled using the following procedure:

- *Plan Submission:* The Hiring Official submits a Search and Selection Plan to the Equity Administrator indicating the criteria and process by which applicants will be selected. The Search and Selection Plan should include all of the elements of a traditional search (advertising efforts, selection criteria, etc.). The Hiring Official should address which colleagues will be included in the process and in what ways, for example, to provide feedback on candidates’ applications and/or to interview candidates.
- *Solicitation of Applications:* At a minimum, all positions are posted on the University’s employment website. All candidates must apply online through UHR.
- *Approval for Interviews:* Prior to the interviews, the Equity Administrator reviews a list of proposed interviewees in order to assure an equitable process and a diverse pool. If the proposed interview pool is not diverse with respect to race/ethnicity and gender, the Hiring Official must document his/her due diligence in recruiting and advancing diverse candidates.

Hiring Officials who are hiring exempt staff in Pay Bands 1 and 2 will be expected to complete Search and Selection Training in order to assure their understanding of the process of hiring without a Search Committee, particularly the equity and diversity considerations.

Search procedures using Search Committees are required for exempt positions in Pay Bands 3, 4 and 5.

### **Interactions between the Hiring Official and the Search Committee during the Search and Selection Process**

The Hiring Official plays a central role in the search and selection process, specifically, in 1) developing the job description, 2) selecting the Search Committee members, 3) developing the Search and Selection Plan (often in concert with the Search Committee), 4) actively networking and recruiting prospective candidates, 5) interviewing the recommended finalists, and 6) making an offer. In this section, we address when and how the Hiring Official should interface with the Search Committee and with active candidates during the period when the Search Committee is screening, interviewing, and vetting candidates.

The aim of UMD's search and selection process is to attract and hire a diverse, qualified workforce. Both the Hiring Official and the Search Committee play important roles in this process. The Hiring Official typically has substantial and in-depth knowledge about the responsibilities of the position and the qualifications and qualities that are necessary in a candidate to serve effectively. The Search Committee brings a broader and more diverse set of perspectives and insights to the process, and contributes to the fairness and equity of the search process by applying uniform and consistent practices to all candidates throughout the process under the guidance of the Equity Administrator. For some positions, particularly at higher levels of the University, the Hiring Official can serve a valuable "marketing" role, helping to sustain and deepen candidates' interests. Thus, in some cases, it may be useful for the Hiring Official to interact with candidates prior to the Search Committee's recommendation of a list of finalists.

A foremost consideration is fairness and equity—that all candidates be given a fair chance to demonstrate their capacity and that no candidates be treated in a way that differentially favors one over another.

Given the above, at times it may be appropriate, in a carefully crafted manner, for the Hiring Official to be actively involved with the Search Committee and, in some exceptional instances, directly with candidates. Specifically, in consultation with the Equity Administrator, Hiring Officials may:

- Review candidates' applications;
- Recommend applicants that the Search Committee consider;
- Interact in a structured, consistent manner with candidates who have been deemed semi-finalists by the Search Committee, for the purpose of providing information about their vision of the unit/department and responding to the candidates' questions;
- Meet with the Search Committee to address questions from the Search Committee or to get updates on the search process; and,
- Request that the Search Committee reconsider specific candidate(s) for the semi-finalist and/or finalist lists.

Hiring Officials may NOT:

- Serve as a member of the Search Committee;

- Meet with candidates or semi-finalists for the purpose of screening and interviewing them (in lieu of the Search Committee’s screening/interviewing process);
- Vote as a member of the Search Committee on whether candidates should be moved forward in the process;
- Be privy to how individual Search Committee members vote on various candidates;
- Unilaterally add candidates to the semi-finalist or finalist list; and,
- Decide unilaterally how they will interface with the Search Committee and/or with candidates. (Instead, they should do so with the knowledge of and in consultation with the Equity Administrator.).

### ***Specific Procedures***

If the Hiring Official or the Search Committee would like the Hiring Official to interface with the Search Committee and/or with active candidates during the period when the Search Committee is screening, interviewing, and vetting candidates, they should consult with the Equity Administrator as early in the process as possible. The following should be documented: 1) rationale for the access; 2) procedure(s) to be utilized; and, 3) a description of how equity and fairness will be upheld. When the Hiring Official initiates this involvement, she/he should also consult and coordinate with the Search Committee.

Fairness and equity should be central considerations in the proposed plan. If the Hiring Official is proposing to review candidate applications and provide feedback to the Search Committee, he/she should do this in a systematic way. For example, the Hiring Official might read all of the applications OR all of the applications whom the Search Committee deems meet certain threshold criteria OR all of the semi-finalists’ applications. Similarly, if the Hiring Official is proposing to meet with semi-finalists to share his or her vision of the position, then the Hiring Official should meet with all of the semi-finalists.

If there is disagreement between the Equity Administrator and the Hiring Official as to the appropriateness of the specific action or role proposed by the Hiring Official, the Major Unit Head has ultimate decision-making authority.

### **Use of the Internet and Social Media**

Conducting internet research on applicants for employment by entering their names in search engines (such as Google or Bing) and on blogs, social networks and websites (such as Facebook, Twitter and YouTube) can lead to the discovery of information about applicants not otherwise available in the search and selection process. However, some of that information may be unverifiable, anonymous and/or untrue. In addition, such information may not accurately predict how well an applicant may perform in the job. Finally, information such as race, age, disability status, religious affiliation, or political affiliation may be protected from use under the University’s nondiscrimination policies. Based on these concerns, the following is proposed to govern the use of internet searches by Search Committees and Hiring Officials.

- The internet and social media may be used to post positions and recruit applicants.
- Internet searches and/or social media sites should not be used as the only or primary source for information or reference checks.

- Search Committees should not use information found through internet searches and/or social media unless the information is verified and related to the essential functions of the specific job.
- Information pertaining to personal characteristics or traits that are not job-related, such as race, color, religious affiliation, sex, gender identity or expression, sexual orientation, marital status, personal appearance, age, national origin, political affiliation, physical or mental disability, should not be considered in the hiring process; reliance on non-job related personal characteristics that are protected under federal and state law may give rise to a potential hiring discrimination claim.
- If the internet and/or social media are used during the search and selection process, Search Committees and Hiring Officials should exercise good faith efforts to treat all applicants consistently and fairly. The use of the internet and/or social media to verify information is an exercise best utilized later, rather than earlier, in the search and selection process, at least after applicant pools have been narrowed to persons to be interviewed.
- Applicants should be informed when Search Committees and/or hiring officials have found information on the internet and/or social media about which they have concerns, and provided with an opportunity to respond. Search Committees and/or Hiring Officials should consider the information found, as well as any response from the applicant, in the context of the essential job functions of the position and the individual's ability to perform the job. For most job positions, personal conduct is not a valid basis for an adverse hiring determination.
- These rules do not prohibit the verification of an applicant's employment history by accessing official employment websites or verifying academic or other websites listing publications.

### **Use of Search Firms**

Departments must obtain the approval of the Major Unit Head (President, Provost, Vice President or Dean) and the Director or Associate Director of University Human Resources in order to use a search firm. Search firms must agree by contract to adhere to the University Search and Selection Guidelines. A web link to these Guidelines will be provided to the contracted firm. The search firm must also comply with the University's standards of diversity, equity and confidentiality.

A representative of the search firm must be present for the Hiring Official and Equity Administrator charges (in-person, by telephone, or on-line virtual connection) and must comply with the expectations set forth in those charges. If any concerns arise, the Equity Administrator should review the University Search and Selection Guidelines with the search firm. Terms and conditions of the search firm contract may be viewed by the Equity Administrator in conjunction with staff in the Office of Procurement.

The search firm may be hired to do any or all of the following: applicant recruitment; applicant screening; and/or interviewing applicants in advance of submitting candidate names to the Search Committee for review. The Search Committee must be provided access to all applicant materials. The Search Committee may review all applicant materials, decide which applicants to interview, and conduct formal interviews in conjunction with the search firm. Search firms must

have the approval of the Search Committee Chair before releasing any applicants from the search process.

Search firms will be required to provide the Search Committee with copies of all reports prepared by the search firm in connection with the search, and the Search Committee will be entitled to retain such reports as part of its record of the search.

### **Responsibility and Authority Structure**

Each Major Unit Head (President, Provost, Vice President or Dean) is responsible for their Division, College or School's adherence to the Search and Selection Guidelines. Major Unit Heads empower Equity Administrators to act on their behalf to assure equity and diversity in the search and selection process. If situations arise where the Hiring Official, Search Committee or Search Chair believe that there are grounds for an exception to any of the approved Search and Selection Guidelines, the Equity Administrator must be consulted for approval. The Equity Administrator may consult with the University Equity Administrator. If there is disagreement on how to proceed, the Major Unit Head or their designee has ultimate decision-making authority.

If the Equity Administrator has concerns about how the Search and Selection Guidelines are being implemented (for example, how equity issues are being handled or the diversity of the applicant, semi-finalist or finalist pools), their responsibility is to discuss these concerns with the Search Chair, Search Committee or Hiring Official. The Equity Administrator may also consult with the University Equity Administrator. Resolution of such problems may include the recommendation to the Hiring Official or the Major Unit Head of the suspension or closing of a search. The Major Unit Head or their designee has ultimate decision-making authority.