CHAPTER 2
LEADERSHIP, GOVERNANCE AND ADMINISTRATION

STANDARD 4 – LEADERSHIP AND GOVERNANCE
STANDARD 5 – ADMINISTRATION

STANDARD 4: LEADERSHIP AND GOVERNANCE

STATEMENT OF THE STANDARD

The institution's system of governance clearly defines the roles of institutional constituencies in policy development and decision-making. The governance structure includes an active governing body with sufficient autonomy to assure institutional integrity and to fulfill its responsibilities of policy and resource development, consistent with the mission of the institution.

DECLARATION OF COMPLIANCE

UMB has a dynamic system of leadership and governance that enables the institution to fully realize its mission and goals. UMB is a constituent institution of the University System of Maryland (USM), which is governed by a Board of Regents. The Board of Regents, in consultation with the USM chancellor, appoints the president of UMB, who serves as the chief executive officer. The president of UMB appoints the deans of the professional schools and the Graduate School, who report directly to the president. The president of UMB also appoints administrative officers of the University, including a chief academic and research officer (provost) and a chief accountability officer.

UNIVERSITY SYSTEM OF MARYLAND (USM)

The USM, an independent unit of state government, is Maryland's public higher education system. It comprises 12 institutions and two regional higher education centers, offering over 1,000 undergraduate and graduate/professional degree programs to 168,126 students at 200 sites worldwide. USM is the 12th-largest university system in the nation.

Pursuant to Maryland law, USM is governed by a 17-member Board of Regents (BOR) appointed by the governor of Maryland with the advice and consent of the Senate. Fifteen of the members serve staggered five-year terms; the 16th member, by statute, is the Secretary of Agriculture, who serves *ex officio* as long as he or she continues in that position; and the 17th member is a USM student who serves a one-year term. The BOR is responsible for the governance and management of USM and its constituent institutions, centers, and institutes. It appoints the USM chancellor, who serves as its chief executive officer. The BOR has expressly delegated certain authority to the chancellor and the presidents of the constituent institutions.

Approximately every two years, the Chancellor's Office conducts a survey of the BOR members to assess their views on various aspects of their work. The Chancellor's Office then does a summary for the BOR and discusses the results and any changes or suggestions that may have been generated by those results.

Maryland law requires that the BOR approve and adopt a systemwide plan of higher education, developed by the chancellor on the basis of plans developed by the constituent institutions. The law sets forth certain priorities that the chancellor is required to include in the plan. It includes a priority directed at UMB:

Maintain and enhance an academic health center and a coordinated Higher Education Center for Research and Graduate and Professional Study in the Baltimore area, comprised of the University of Maryland, Baltimore and the University of Maryland, Baltimore County, with a focus on science and technology.

Actions taken by USM to enhance UMB's professional schools and its joint Graduate School programs with UMBC are designed to fulfill this requirement.

Pursuant to Maryland law, the University must update its mission every four years and submit the mission statement to USM. The purpose of this review is to assure that the mission of USM's constituent institutions are consistent with the USM Charter and systemwide plan, and that they promote the efficient and effective use of the institutions' and system's resources. The results of the USM review are then reported to the Maryland Higher Education Commission (MHEC) for review. The BOR recognizes the distinct mission of UMB and historically has been very supportive of UMB's special needs. For example, the BOR authorized establishment of independent faculty practice plans for the School of Medicine and the School of Dentistry that modified the systemwide faculty appointment procedure. One modification allows the School of Medicine faculty to attain tenure, acknowledging their academic accomplishments, yet receive salary support from the practice plans and clinical units of the academic health center in addition to state budget support.

Similarly, Maryland law requires the development of an annual Performance Accountability Plan. The BOR reviews and approves the Performance Accountability Plan for each constituent institution and annually reviews a written report from each president on the attainment by the institution of the objectives in the Performance Accountability Plan of the institution. This report also is submitted to the MHEC. Each president is held accountable for meeting the objectives of the Performance Accountability Plan and other key goals, through their individual performance review plans. In consultation with the institutions and the chancellor, the BOR establishes standards for funding based on differences in the size and mission of the constituent institutions and approves consolidated budget requests for appropriations for USM with respect to the operating and capital budgets.

The BOR follows the conflict of interest policies outlined in the Maryland Public Ethics Law. However, the BOR has adopted a Policy on Conflicts of Interest in Research and Development in response to the enactment of the Maryland Public-Private Partnership Act in 1996. This act amended the Maryland Public Ethics Law to exempt USM personnel from some of the law's conflict of interest provisions. The policy specifies that UMB and other USM institutions shall adopt procedures to implement the conflict of interest policy. Accordingly, the University has developed its own procedures for implementation of the BOR policy and they are housed on the University's Accountability and Compliance Conflict of Interest page. The page includes links to relevant policies and also has a frequently asked questions section that is provided to assist the community in assessing next steps.

UMB ADMINISTRATION

The BOR, in consultation with the USM chancellor, appoints the president of each system institution as the chief executive officer. Presidents, all of whom serve at the pleasure of the BOR, are evaluated annually by the chancellor, who discusses the results of that evaluation and consequent recommendations for compensation actions with the designated select committee of the BOR. Additionally, presidents undergo a five-year review. This review is conducted by a committee comprised of knowledgeable and experienced leaders, such as presidents of institutions with missions similar to that of the president under review.

The current USM chancellor, Robert L. Caret, PhD, announced the results of President Perman's five-year evaluation to the UMB community on Sept. 22, 2015. In his letter to the UMB community, the chancellor reported that the evaluation team praised President Perman's "steady, no panic" leadership and the University's progress toward its goals. Additionally, the chancellor said:

> The team was extremely complimentary of President Perman's ability to balance the complexities of management, especially with the University of Maryland Medical System, and his commitment to inter-professional collaborations. The report noted the collaboration in research activities among the schools. It also noted his ability to draw a balance between decentralized operations at the schools and appropriate central oversight.
>
> Several of the areas the report highlighted over the past five years under President Perman's leadership included UMB's steady progress toward academic excellence; the increased stability in financial management; the consistent strength in external research support and the enhancement of economic development initiatives; the success of *MPowering the State*, the collaborative initiative with the University of Maryland, College Park; and UMB's significant impact on the Baltimore community because of President Perman's support and engagement in community efforts. One community leader commented that "he is everywhere" in the community. In his self-evaluation report presented in advance to the team, President Perman wrote: "more than anything else in these initial five years, I have wanted to set a tone and an expectation of collaboration and partnership within the university and with external partners." It was clear to the team and likewise to the regents and me that he has succeeded.

The president has the responsibility of taking initiatives to implement the policies of the BOR and the constituent institution and to promote the institution's development and efficiency. The president's major responsibilities, for which the BOR has delegated authority, include

- developing a plan of institutional mission, goals, priorities, and a set of peer institutions
- responsibility for all academic matters, including developing new academic programs and curtailing or eliminating existing programs
- formulating operating and capital budget requests
- appointing, promoting, fixing salaries, granting tenure, assigning duties, and terminating personnel
- creating any position within existing funds available to the University
- establishing admission standards; setting tuition and fees; administering financial aid
- entering into contracts and cooperative agreements
- accepting gifts and grants and maintaining and managing endowment income
- overseeing affirmative action and equal employment opportunities in compliance with state, federal, and BOR mandates and policies.

The president of UMB appoints the deans of the professional schools and the Graduate School, as well as all vice presidents. The deans report directly to the president and have responsibility for academic affairs, administration, research, development, information technology, and communications within the schools. It is the role of the central administration to address enterprise-wide issues; ensure that auditing, planning, reporting, and other accountability processes

are adhered to; coordinate liaison with external shareholders; and support the deans and faculty of the schools in their academic enterprises. The administration is led by a chief academic and research officer and senior vice president who reports to the president. The other members of the executive leadership include :

- University counsel
- vice president for medical affairs
- chief communications officer
- chief development officer
- chief administrative and financial officer
- chief enterprise and economic development officer
- chief information officer
- chief accountability officer
- chief government affairs officer

Just as the president is responsible to the chancellor and the BOR, the deans and vice presidents are responsible to the president and undergo decanal and administrative review. President Perman, consistent with UMB's Policy on Review of Chief Academic/Administrative Officers of the University, engages in both formative and summative reviews of the chief academic and administrative officers to enhance leadership effectiveness and provide accountability in ensuring fidelity to the University's vision, mission, and values. Additionally, these individuals also are subject to review under UMB's Performance Development Program.

UNIVERSITYWIDE SHARED GOVERNANCE

Elected UMB faculty, students, and staff participate in the USM shared governance structures — the Council of University System Faculty (CUSF), the USM Student Council (USMSC), and the Council of University System Staff (CUSS). In addition, UMB adheres to the USM system of shared governance, in which faculty, staff, and students discuss and provide input on major issues affecting UMB, through UMB governance structures and school-based committees.

The USM Policy on Shared Governance in the University System of Maryland rests final authority and responsibility for the welfare of USM institutions with the chancellor and presidents, but requires informed participation at every institutional level by faculty, students, staff, and administrators. The policy specifies that faculty, students, and staff shall have opportunities to participate in decisions that relate to mission and budget priorities; curriculum, course content, and instruction; research; appointment, promotion, and tenure of faculty; human resources policies; selection and appointment of administrators; issues that affect the ability of students to complete their education; and other issues that affect the overall welfare of the institution. The faculty, staff, and student governance bodies at UMB adhere to this principle.

As mandated by USM policy, UMB has a Faculty Senate, Staff Senate, and University Student Government Association that serve as the elected shared governance body for its constituency. These bodies adhere to the USM requirements that "[a]t least 75% of the voting members shall be elected by their constituencies" and "[s]uch bodies should elect their own presiding officers." The UMB president and other senior administrators meet monthly with these elected representative bodies or their executive councils and regularly generate action items. In 2014, these groups also met collectively in a "Shared Government Summit" with senior leadership. Each of the schools also has established policies for organizing students and faculty shared governance. Likewise, the key decisions in curriculum, student advancement, and faculty appointment and tenure are made at the school level.

In addition to Universitywide elected bodies, the UMB president has appointed various Universitywide committees and working groups made up of faculty, staff, administrators, and students that advise on the development and implementation of key policy and programmatic decisions. Examples of such bodies include the Strategic Planning Committee, which led the development of Redefining Collaboration: Strategic Plan 2011-2016; the Executive Implementation Committee, which has guided the implementation of the strategic plan; the Diversity Advisory Council, which makes recommendations to the president to promote UMB's culture of diversity and inclusion; the Enterprise Risk Management Steering Committee, which identifies, prioritizes, and plans responses to institutional risks; and the Middle States Self-Study Steering Committee, which has prepared this Self-Study Report.

UMB FACULTY SENATE

The UMB Faculty Senate is an elected body whose members are chosen by faculty from the University's six professional schools and the Graduate School. The Faculty Senate makes recommendations to the president on issues of policy that affect faculty across the various UMB schools. The president reports regularly in person to the Faculty Senate and seeks its advice and feedback. The chief academic and research officer (provost) and the chief accountability officer also regularly attend Faculty Senate meetings. Other UMB and school administrators may appear, as requested, to report and provide input.

Representation on the Faculty Senate is proportional to the number of full-time faculty in each school. In addition, there are seats for representatives from part-time faculty, adjunct faculty, library faculty, and the Staff Senate. All full-time faculty are eligible to serve on the Faculty Senate. Senators serve staggered three-year terms. Annual elections are held to fill vacancies that occur upon expiration of members' terms. The Faculty Senate meets monthly, and meetings are open to all faculty.

FACULTY SENATE

REPRESENTATIVE UNIT	NUMBER OF REPRESENTATIVES
Schools	
School of Dentistry	5
Carey School of Law	4
School of Medicine	12
School of Nursing	6
School of Pharmacy	4
School of Social Work	4
Graduate School	2
Other Representatives	
Part-time faculty	1
Adjunct faculty	1
Library faculty	1
Staff Senate	1
Total	**41**

Recent examples of the work of the Faculty Senate have been the development and ratification of a Senate Resolution on Academic Freedom and conducting a survey of faculty perceptions of shared governance at UMB. The Faculty Senate also has advised the president and senior administrators on a wide range of issues from safety to UMB's sexual misconduct policy.

As mentioned previously, faculty also are involved at the USM level through their participation in CUSF. This group advises the chancellor and reports regularly to the BOR. It considers and makes recommendations on matters of systemwide professional and educational concern to the faculty and matters to which faculty bring special expertise.

UMB STAFF SENATE

The UMB Staff Senate is an elected body of, at minimum, 20 senators who represent non-faculty employees. The Staff Senate advises the president on items such as policies, procedures, and rules affecting employees, the work environment, issues impacting wages and benefits, and staff morale.

Representation is by school. Staff Senate representatives serve also on the CUSS, thereby providing input to USM on staff issues. The Faculty Senate and the Staff Senate often work cooperatively. For example, the Faculty Senate includes a Staff Senate representative and the two Senates have jointly addressed issues of mutual concern, such as affordable child care, safety, and parking.

UNIVERSITY STUDENT GOVERNMENT ASSOCIATION

The University Student Government Association (USGA) is a student senate elected by students in the major programs and schools on campus. It is led by an executive board of six. The USGA is dedicated to improving life at the University through cultural and social programming and to improving student communication at institutional levels. Through the USGA, students have a voice in University governance. The USGA appoints student representatives to the USM Student Council and to the state's Student Advisory Council of the Maryland Higher Education Commission. A weekly email sent to all students, *Campus Life Weekly with USGA*, contains University-related announcements and information about events of interest to students. Furthermore, the USGA is responsible for deciding how the annual UMB student activity fee, paid by all students, is allocated.

UNIVERSITY STUDENT GOVERNMENT ASSOCIATION

REPRESENTATIVE UNIT	NUMBER OF REPRESENTATIVES
Schools	
School of Dentistry	6
Carey School of Law	5
School of Medicine	6
School of Nursing	11
School of Pharmacy	5
School of Social Work	7
Graduate School	8
Total	**48**

The Graduate Student Association is a student-run organization that serves and represents all graduate students at UMB. The principal goals of the GSA are to act as a liaison to the Graduate School, communicate student concerns and ideas, support graduate student research interests, and provide a platform for discussing matters that affect graduate student life.

SHARED GOVERNANCE IN THE SCHOOLS

Each of the University's schools operates under a degree of shared governance. They exercise responsibilities for academic programs and standards; make recommendations about faculty appointments, promotion, and tenure; and provide advice to the dean on a range of issues. Each of the University's schools operates pursuant to a shared governance model that is distinct to the discipline. Regardless of the model, however, faculty in each school exercise responsibilities for academic programs and standards; make recommendations about faculty appointments, promotion, and tenure; and provide advice to the dean on a range of issues. The degree to which the faculty members are engaged and provide input directly to the dean and the administration varies amongst the schools and is a function of the size of the

faculty and the complexity of the organizational structure. For example, one end of the shared governance spectrum is the Carey School of Law, whose faculty is intimately involved, and in some instances exclusively responsible, for governance decisions (e.g., faculty hiring). On the other end of the spectrum is the School of Medicine in which the shared governance structure is much more hierarchical and is based on a robust departmental model that includes teaching, research, and clinical faculty. The School of Medicine Council is the shared governance vehicle and approving body for the School of Medicine. The council membership is constituted of elected representatives from each academic department. The council (and its standing committees) has authority over the educational policy of the school and over policies related to student conduct, academic rank, and appointments. Each school's shared governance model also provides for student input through its own student governance model, which in turn is strongly associated with the University Student Government Association.

SHARED GOVERNANCE IN SCHOOLS

School of Dentistry
Faculty Assembly
Faculty Council
Student Dental Association
Carey School of Law
Faculty Council
Student Bar Association
School of Medicine
Medical School Council
• Medical Executive Committee
Student Council
School of Nursing
Faculty Assembly
Faculty Council
Executive Nursing Government Board
School of Pharmacy
Faculty Assembly
Student Government Association
Pharmacy Graduate Student Association
School of Social Work
Faculty Organization
Student Government Association
Graduate School
Graduate Council (joint with the University of Maryland, Baltimore County)
Graduate Student Association

SUMMARY

The University has an administrative structure that encourages accountability and shared governance. Therefore, the University is in compliance with Standard 4: Leadership and Governance.

STANDARD 5: ADMINISTRATION

STATEMENT OF THE STANDARD

The institution's administrative structure and services facilitate learning and research/scholarship, foster quality improvement, and support the institution's organization and governance.

DECLARATION OF COMPLIANCE

The University has qualified personnel in executive leadership roles. Each executive leader has an extensive combination of academic credentials and professional training, among other qualities appropriate to serving at an institution of higher education. The University also is equipped with adequate information, technical resources, and decision-making systems to support the work of its administrative leaders.

ADMINISTRATIVE STRUCTURE

Chief Executive Officer

The president of the University, Jay A. Perman, MD, is the institution's chief executive officer and has the primary responsibility for leading the University to achieve its institutional goals. President Perman is a pediatric gastroenterologist and continues to practice medicine through his weekly President's Clinic, where he teaches team-based health care to students of medicine, nursing, pharmacy, dentistry, law, and social work. President Perman received a Doctor of Medicine degree with Distinction in 1972 from Northwestern University. Following his residency in pediatrics at Northwestern University Children's Memorial Hospital, he completed a fellowship in pediatric gastroenterology at Harvard Medical School and at the Children's Hospital Medical Center in Boston. From 1977 to 1984, President Perman was an assistant professor and associate professor of pediatrics at the University of California, San Francisco. He first came to Baltimore in 1984 to work at the Johns Hopkins University School of Medicine, serving as a professor of pediatrics and head of several divisions. President Perman then was named the Jessie Ball duPont Professor and chair in the Department of Pediatrics at the Virginia Commonwealth University's Medical College of Virginia from 1996 to 1999. President Perman's leadership at UMB marks a return to the campus; he chaired the Department of Pediatrics in the School of Medicine from 1999 to 2004 before leaving to serve as dean and vice president for clinical affairs at the University of Kentucky College of Medicine. He became the president of UMB in July 2010.

Named one of Maryland's Most Admired CEOs in 2013 by *The Daily Record*, President Perman is focused on creating a dynamic University culture. He began this effort by establishing a consistent identity for UMB, its seven schools, and its close clinical partner, the University of Maryland Medical System. He has since inaugurated a number of cross-University groups to build and nurture a cohesive community of students, faculty, and staff, and he has ushered in a series of UMBwide events to spur dialogue on issues of institutional significance. For instance, a yearlong Symposium and White Paper Project has tackled such topics as health care reform, civility, community engagement, interprofessionalism, and cultural competence. He also implemented a Core Values Speaker Series that brings renowned leaders to campus for a conversation on the values that guide UMB's work.

President Perman's commitment to community engagement and urban renewal is manifest in his prolific civic service. With Baltimore Mayor Stephanie Rawlings-Blake, President Perman co-chairs the UniverCity Partnership, an effort to redevelop and revitalize Baltimore City's Westside. He chairs the board of directors of the Downtown Partnership, dedicated to creating a vibrant city center. Moreover, he serves on the boards of the Greater Baltimore

Committee, the Hippodrome Foundation, and Baltimore's Promise, a group committed to advancing the health, safety, and success of the city's youth.

President Perman is a past president of the North American Society for Pediatric Gastroenterology and Nutrition, a former section chair of the American Gastroenterological Association, and a former executive committee member of the American Academy of Pediatrics. He's been listed among "The Best Doctors in America" since 2001.

Administrative Officers

A team of vice presidents supports President Perman in his leadership roles. Each member of this leadership team possesses the skills, degrees, and training necessary for carrying out his/her responsibilities and functions:

- **Chief Academic and Research Officer and Senior Vice President:**
  Bruce Jarrell, MD, FACS
  Dr. Jarrell is the focal point for all academic matters at UMB and functions in a role akin to that of a provost. He oversees many of the University's most critical institutional relationships and is also a skilled transplant surgeon who has written a number of textbooks and continues to teach a small group of medical students during their surgical rotation.
- **Acting Chief Financial Officer and Associate Vice President:**
  G. Scott Bitner, MBA, CPA
  *As of this writing, a national search is underway in conjunction with Isaacson, Miller to find a replacement for Kathleen M. Byington, MBA, the former incumbent, who left in November 2015 to take the position of associate vice president for business operations at Yale. The UMB Search Committee is chaired by Bruce Jarrell and includes deans from the schools of Medicine and Nursing.
- **Chief Development Officer and Vice President:**
  Michael B. "Mickey" Dowdy, MBA
  Mr. Dowdy works with senior leadership to develop and implement innovative approaches to cultivate, solicit, and steward major gifts.
- **Chief University Counsel and Vice President:**
  Susan Gillette, JD
  Ms. Gillette established the legal services office in 1981 after moving from private practice to the University.
- **Chief Enterprise and Economic Development Officer and Vice President:**
  James L. Hughes, MBA
  Mr. Hughes directs UM Ventures, a joint partnership at UMB and the University of Maryland, College Park that is rapidly growing tech transfer out of the lab and into the marketplace. Hughes also oversees the development of the University of Maryland BioPark.
- **Chief Government Affairs Officer and Associate Vice President:**
  Kevin P. Kelly, JD
  Mr. Kelly advises senior leadership on the impact of proposed legislation and determines appropriate responses.
- **Chief Communications Officer and Vice President:**
  Jennifer B. Litchman, MA
  Ms. Litchman is responsible for internal and external communications, crisis communications, among other things. As special assistant to the president, Litchman is the principal executive on president's initiatives, including community engagement and wellness programs.
- **Chief Information Officer and Vice President:**
  Peter J. Murray, PhD
  As vice president of information technology, Dr. Murray directs the Center for Information Technology Services.
- **Vice President for Medical Affairs:**
  E. Albert Reece, MD, PhD, MBA
  In addition to his administrative responsibilities, Dr. Reece directs a National Institutes of Health multimillion-dollar research laboratory group studying the biomolecular mechanisms of diabetes-induced birth defects.
- **Chief Accountability Officer and Vice President:**
  Roger J. Ward, EdD, JD, MPA
  Dr. Ward has a leadership role on the *MPowering the State* steering committee, serves as UMB's Middle States accreditation liaison officer, and oversees several offices that promote compliance and transparency. Dr. Ward also oversees UMB's strategic planning and enterprise risk management programs.

Diversity is one of the University's stated core values, and the team of administrative officers contains two women and two persons of color.

DEANS

As the heads of UMB's individual schools, the deans work together to ensure that UMB achieves its mission and goals as a whole. Each dean has the necessary credentials and experience to lead his/her respective school:

- **School of Dentistry:**
  Mark A. Reynolds, DDS, PhD, MA
  A distinguished academic dentist and alumnus of the school, Dean Reynolds has published more than 110 peer-reviewed articles and participated in more than 20 National Institutes of Health study sections.
- **Francis King Carey School of Law:**
  Donald B. Tobin, JD
  Dean Tobin stands out as one of the nation's leading experts on the intersection of tax and campaign finance laws.
- **School of Medicine:**
  E. Albert Reece, MD, PhD, MBA
  Dean Reece is the John Z. and Akiko K. Bowers Distinguished Professor and dean of the School of Medicine. A respected researcher, he is a member of the prestigious Institute of Medicine (IOM) of the National Academy of Sciences.
- **School of Nursing:**
  Jane M. Kirschling, PhD, RN, FAAN
  A nationally esteemed innovator, Dean Kirschling heads UMB's Center for Interprofessional Education.
- **School of Pharmacy:**
  Natalie D. Eddington, PhD, FAAPS, FCP
  Dean Eddington is a nationally known expert in drug delivery and pharmacokinetics, the movement of drugs in the body. An alumna of the school, she also serves as UMB's executive director of University Regional Partnerships.
- **School of Social Work:**
  Richard P. Barth, PhD, MSW
  Dean Barth is the author and co-author of seven books, and his research articles have been cited more than 1,000 times, among the highest rates in social work.
- **Graduate School:**
  Bruce Jarrell, MD, FACS
  Dean Jarrell oversees the Graduate School and also provides leadership for and direction to the Health Sciences and Human Services Library, Campus Life Services, Academic Services, and the Center for Information Technology Services. He is responsible for Universitywide academic affairs.

Among the deans, there are two women and two persons of color.

LEADERSHIP SUPPORT

The central administrative units are supported by experienced higher education professional managers. Within their units, these managers account for the key services necessary to support and facilitate the University's complex education, research, and clinical programs. They work with University- and school-based Human Resource Services to ensure that staffing levels are adequate to fulfill UMB's mission. Human Resource Services has policies in place on the recruitment and selection of staff, and UMB strives to hire the best qualified candidates based on an assessment of their education and work experience against available positions and organizational requirements.

ASSESSMENT OF ADMINISTRATIVE STRUCTURES

Deans and vice presidents who report directly to President Perman undergo substantial annual reviews conducted by him. The in-person discussions can be wide-ranging and include matters such as efficiency and effectiveness, budgeting, tuition setting, as well as areas for professional growth of the individual and the school/unit managed. In-depth summative reviews also are conducted at appropriate intervals under the University's performance evaluation program policy. The major purposes of the review of chief academic and administrative officers (CAAO) are to enhance leadership effectiveness and provide accountability in ensuring fidelity to the University's vision, mission, and values. Other purposes of the review are to promote a climate of cooperation among faculty and staff and their respective CAAOs; maximize effectiveness of the school/unit's execution of its responsibilities; and provide feedback for performance assessment, continuous improvement, and for making compensation and employment decisions.

All other employees are reviewed under the University's annual Performance Development Program (PDP), in which operational (and if appropriate supervisory) goals are set out and measured as well as competencies such as quality and quantity of work and interpersonal relations. Employees and their supervisors are asked to work together to identify learning goals and appropriate developmental plans. The narrative and ratings of a PDP must be reviewed with each employee and signed by both. Employees who receive a rating of below standard or unsatisfactory are placed on performance improvement plans.

The administrative structures and services of the University are formally reviewed each year as part of the annual budgeting process. Each dean and vice president is asked to share information on how his/her unit is organized and ways in which costs are being managed or can be streamlined in light of declining state support. Units also are asked about ways in which they might evolve to create new revenue streams.

In addition to reporting to the president about their schools, deans also receive information from the president regarding the costs of the services specific to each school. As a result of feedback and resulting assessment, central administrative budget presentations, beginning with FY16, are open to school leadership and are structured to present services and cost from a customer point of view. The goal is to increase transparency. In addition to the annual budget review process, ongoing efficiency and effectiveness initiatives periodically solicit input from service providers and customers and improvement projects are defined and implemented.

The administrative structure of the University continues to evolve in response to assessment and review. For example, the University established, at the vice president level, a chief accountability officer and tasked him with creating a program to ensure that UMB met all federal, state, and USM compliance obligations. In addition, the enterprise risk management and strategic planning processes were elevated to the vice president level. President Perman also created the position of senior vice president/chief academic and research officer (provost) and altered the existing reporting structure of some of the vice presidents so that they are no longer direct reports. The changes allow the president to spend more time on advocacy with the legislature, philanthropy, and working with the chancellor of the University System of Maryland.

With regard to administrative services, one example of how feedback has been sought, considered, and changes made in response concerns the creation and function of the Policy Oversight Workgroup (POW). POW was formed in 2010 to facilitate and support policy development, review, monitoring, approval, and communication, and to develop a new policy website. Prior to POW, campus feedback indicated UMB policies could be difficult to find and were not always up-to-date. It was difficult for the campus community to stay informed about new policies. Relevant experts and stakeholders did not always have a chance to provide policy input. When a policy was broadly applicable, it was difficult for UMB to decide who should be responsible for drafting the policy, or to pinpoint all the affected operational areas, relevant subject matter experts, and stakeholders. POW does not write policy. POW ensures the right representatives and stakeholders write, review, and approve policy; policy work is done in a timely fashion; policy conflicts are resolved expeditiously; and the campus community knows about new policy, and knows how to find policy when it's needed.

The balance of POW's work was, and continues to be, policy organization and policy process improvement. POW has developed and published several iterations of the Policy Hierarchy Guide, Policy Number Key, "POW Workflow" color-coded flowchart, "Template for Policy Writing," and "How to Write a Policy – The Quick Narrative."

SUMMARY

The University has a fully developed administrative and leadership structure. Therefore, the University is in compliance with Standard 5: Administration.