## Faculty Senate Meeting

**Wednesday, December 17, 2014**

3:30 p.m. - 5:30 p.m. – Adelbert Hall, Toepfer Room

### AGENDA

<table>
<thead>
<tr>
<th>Time</th>
<th>Item</th>
<th>Presenter(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>3:30 p.m.</td>
<td>Approval of Minutes from the November 24, 2014  Faculty Senate meeting</td>
<td>R. Savinell</td>
</tr>
<tr>
<td></td>
<td>President’s and Provost’s Announcements</td>
<td>B. Snyder, B. Baeslack</td>
</tr>
<tr>
<td>3:35 p.m.</td>
<td>Chair’s Announcements</td>
<td>R. Savinell</td>
</tr>
<tr>
<td>3:40 p.m.</td>
<td>Report from the Executive Committee</td>
<td>R. Ritzmann</td>
</tr>
<tr>
<td>3:45 p.m.</td>
<td>Report from Secretary of the Corporation</td>
<td>C. Treml</td>
</tr>
<tr>
<td>3:50 p.m.</td>
<td>Report on Campus Safety</td>
<td>J. Wheeler, D. Jamieson</td>
</tr>
<tr>
<td>4:05 p.m.</td>
<td>Revisions to Faculty Handbook: Committee on Graduate Studies</td>
<td>E. Tracy</td>
</tr>
<tr>
<td>4:15 p.m</td>
<td>Revisions to SON By-Laws, <em>attachment</em></td>
<td>M. DiMarco</td>
</tr>
<tr>
<td>4:20 p.m</td>
<td>Report from Faculty Senate Finance Committee</td>
<td>S. Fine</td>
</tr>
<tr>
<td>4:45 p.m.</td>
<td>New Business: Senate Resolution re Staff Grievance Process</td>
<td>W. Merrick</td>
</tr>
</tbody>
</table>
Faculty Senate Meeting  
Wednesday, December 17, 2014  
3:30-5:30 p.m. – Adelbert Hall, Toepfer Room

Members Present
Alexis Abramson  
Bud Baeslack  
Karen Beckwith  
Juscelino Colares  
Heath Demaree  
Peg DiMarco  
Robin Dubin  
Karen Farrell  
Scott Fine  
T. Kenny Fountain  
Carol Fox  
  Peter Harte  
  Susan Hinze  
  Megan Holmes  
  David Hussey  
  Kurt Koenigsberger  
  Lisa Lang  
  William Merrick  
  Diana Morris  
  Carol Musil  
  Roy Ritzmann  
  Sandra Russ  
  Robert Savinell  
  Barbara Snyder  
  Glenn Starkman  
  Betsy Tracy  
  Horst von Recum  
  Gilliam Weiss  
  Rebecca Weiss  
  Amy Zhang  
  Richard Zigmond

Members Absent
Joseph Baar  
Cynthia Beall  
Timothy Beal  
Cathy Carlin  
David Carney  
Susan Case  
Queenie Cheong  
Colleen Croniger  
Nicole Deming  
Mitch Drumm  
  Angelina Herin  
  Jessie Hill  
  Lee Hoffer  
  Jean Iannadrea  
  Erin Lavik  
  Xiaoyu Li  
  Kathryn Mercer  
  Sonia Minnes  
  Rakesh Niraj  
  Martin Palomo  
  Pushpa Pandiyan  
  Mary Quinn Griffin  
  Andrew Rollins  
  John Ruhl  
  Benjamin Schechter  
  Divya Seth  
  Alan Tartakoff  
  Mark Votruba  
  Stuart Youngner  
  Christian Zorman

Others Present
Chris Ash  
Bob Brown  
Don Feke  
David Fleshler  
  Arnold Hirshon  
  Barbara Juknialis  
  Sue Rivera  
  John Sideras  
  Lynn Singer  
  John Wheeler  
  Jeff Wolcowitz

Call to Order
Professor Robert Savinell, chair, Faculty Senate, called the meeting to order at 3:30 p.m.

Approval of Minutes
Hearing no objections, the Faculty Senate meeting minutes of November 24, 2014 were approved as submitted.

President’s Announcements
President Barbara Snyder congratulated the senators on a successful semester and reminded them about the upcoming Adelbert holiday party. The President introduced Kathleen Brancato who succeeds Jennifer Cimperman as Director of Presidential Communications. Colleen Treml, Deputy General Counsel is leaving the university and this will be her last Faculty Senate meeting. John Wheeler, Senior Vice President for Administration, will be retiring in January. Training for faculty and students on the new
sexual misconduct policy will be starting. Next semester the university will work with the AAU to develop a sexual assault climate survey for students.

**Provost’s Announcements**
Provost Baeslack reported that he is in the process of seeking comments from the Deans on the strategic plan action agendas developed at the November retreat. He will report back on this topic at the next Faculty Senate meeting. The Provost also reported that the university’s accreditation review will take place next semester.

**Chair’s Announcements**
Prof. Savinell reported that at their December meeting, the Senate Executive Committee had revisited the Senate’s discussion and approval of a name change for the MS in Anesthesiology. Vice Provost Don Feke had said that the current degree is not an MS in Anesthesiology, rather it is an MS degree with anesthesiology being the field of study. Changing the name to an MS in Anesthesia would essentially be creating a new program. When the proposal was presented to the Ohio Board of Regents and the Ohio Regents Advisory Committee on Graduate Study, they had advised that the proposal would be treated as a name change since the curriculum was staying the same. The Executive Committee decided to proceed with the degree name change as the Senate had approved.

Professor Elizabeth Click is leading the effort for a tobacco free campus policy. She is still looking for faculty volunteers for several ad-hoc committees.

The Faculty Senate Nominating Committee will be meeting next semester to nominate members of Senate standing committees and to identify candidates for chair-elect of the Senate for the 2015-16 academic year. Prof. Savinell encouraged senators to recommend interested faculty members.

**Report from the Executive Committee**
Vice-Chair Roy Ritzmann reported on the December 8th Executive Committee meeting:

- The Executive Committee approved 5 honorary degree nominations. The nominations will be sent to the Board of Trustees for approval.

- The Committee also reviewed proposed revisions to the Honorary Degree policy and approved sending them to the Senate By-Laws Committee for consideration.

- An email voting provision for Senate standing committees was drafted by the By-Laws Committee and reviewed by the Executive Committee. The provision will be included on the agenda for the January Senate meeting.

- Charges for several standing committees (Executive Committee, Nominating, FSCUE, Finance and Graduate Studies) are contained in the Faculty Constitution (Chapter 2 of the Handbook). Amendments to Chapter 2 require approval of the University Faculty. The Executive Committee discussed whether to move these charges to the Senate By-Laws where amendments require approval of just the Senate and the Board of Trustees. Charges for all other standing committees are contained in the By-Laws. The Executive Committee decided that the current committee charges should remain in the Constitution since the work of these committees have the greatest impact on the Senate and the university and shouldn’t be changed without the approval of the University Faculty.

- The Executive Committee discussed issues relating to the hiring practices of tenure and non-tenure track faculty as well as a perceived increase in hiring of non-tenure track faculty. These issues had been introduced by Susan Case from WSOM. The Executive Committee decided that further discussion of
these topics should take place in a small group setting. Several members of the Executive Committee expressed interest in joining the discussion and Bob Savinell will convene a group meeting.

**Report from Secretary of the Corporation**
Colleen Treml, Deputy General Counsel, reported on the December 9th Board of Trustees Executive Committee meeting. Among other matters, the Executive Committee of the Board approved three amendments to the Constitution of the University Faculty relating to the charge for the Committee on Undergraduate Education, the University Faculty Annual Meeting provision, and the provision of the Constitution relating to the Executive Committee of the Faculty Senate. The full report is attached.  
*Attachment*

**Report on Campus Safety**
John Wheeler, Senior Vice President for Administration, reported on campus safety. Dick Jamieson, Vice President for Campus Services, and Art Hardee, CWRU Chief of Police, were present to assist. Over the past three years (2012-2014), the campus has averaged 14 crimes against persons per year. The crimes consisted mostly of unarmed robberies with the exception of the Wade Commons incident last summer. Since that incident, additional security officers have been deployed in five locations around the north residential village from 7pm-3am. A security booth on E. 115th St. has been reinstated and security has been tightened in all north campus buildings.

Work is continuing on components of the security strategic plan such as a peer assessment of the university’s security, continued upgrading of staff, and additional programs and initiatives. An Executive Director of Public Safety will be hired to oversee security, emergency management and dispatch. John Wheeler and Art Hardee reported that a university community-based training program for all police and security officers will be developed and led by Professor Mark Singer of MSASS. The training will cover effective police interactions with CWRU’s diverse community, the unique role of a campus-based, community police or security officer, and achieving positive encounters and outcomes in difficult situations. Also, four shuttle buses rather than just one are available now for safety rides and more may be needed to accommodate all of the requests.  
*Attachment*

**Revisions to Faculty Handbook: Committee on Graduate Studies**
Professor Elizabeth Tracy, chair of the Senate Committee on Graduate Studies, presented a revised proposal for changes to the committee’s charge. Discussion of the charge had been tabled at the November Faculty Senate meeting because of objections from several senators. The senators objected to the fact that changes to the curricula in the JD, MD, and DMD degrees were exempt from review by the Committee on Graduate Studies. Prof. Tracy explained that these three degree programs are exempt from review by the Ohio Board of Regents (per guidelines from the Ohio Regents Committee on Graduate Studies) and therefore are not reviewed by the Graduate Studies Committee. She also explained that changes to the curricula of other professional schools at CWRU would only be subject to review by Graduate Studies if changed by greater than 50%.

Professor Jonathan Entin from the School of Law explained the accreditation process for the law school and said that if the Ohio Board of Regents doesn’t oversee changes to the law school’s curriculum, the university shouldn’t either. A senator said that Senate review of changes in the curricula of graduate and professional schools would prevent course overlap issues and financial problems. The Senate voted to approve the proposed revisions to the charge by a vote of 16 to 8, with two abstentions. The revisions to the charge must still be approved by the University Faculty.  
*Attachment*

**Revisions to SON By-Laws**
Professor Peg DiMarco, SON, presented the changes to the SON By-Laws. The revisions include changes to the membership of the PhD Council to include more faculty members at the ranks of assistant and
associate professor, and to stagger the members’ terms. The Faculty Senate approved the revisions to the By-Laws.  

**Attachment**

**Report from Faculty Senate Finance Committee**
Professor Scott Fine, chair of the Senate Finance committee, gave a report on the activities of the committee over the fall semester. The committee met three times with very good attendance from committee members representing schools as well as the central administration. Prof. Fine reviewed the 2014 operating results. The university had a surplus but there as a one-time health care benefit reversal that eliminated the surplus. This was the first time in 5 years that the surplus was below budget and was less than the previous year. The management centers had hard deficits and operating margins included retained surpluses. Capital expenditures were in line with budget with the exception of the debt retirement fund. The Board of Trustees decided not to make the $20 million debt repayment in 2014 and applied it to an MSASS debt instead.

With respect to FY 2015, the first quarter outlook shows five management units in deficit after the final year of subvention. Very few units have retained surpluses remaining. In the 2015 capital budget, facilities, IT and libraries are in line with budget. The university intends to repay $15 million to the debt retirement fund in 2015. In 2017, it is anticipated that the debt will be reduced to $100 million which is considered to be a normal level for our institution. At that time, funds that would otherwise be used for debt repayment will be freed up for other uses. The Accenture Consulting firm has been very helpful and will be working with CAS and MSASS next. A member of the Senate commented that the university buildings are showing wear and tear and need attention.  

**Attachment**

**New Business: Senate Resolution re Staff Grievance Process**
Professor Bill Merrick presented a Faculty Senate resolution endorsing a recommendation to the President to establish a staff grievance process that is similar to the process for faculty and staff. The resolution also recommends that an ombudsperson be made available for staff complaints. Several members of the Senate expressed the view that an issue related to staff should not be brought to the Faculty Senate. The issue did not originate with a Senate standing committee or the Executive Committee. Colleen Treml, Deputy General Counsel said that the Human Resources Office has an established process for staff grievances and that it is described on the HR website. Prof. Merrick noted that the staff grievance process is currently housed exclusively in HR and that there is no peer review panel at the level of the informal or formal grievance.

The Senate voted not to endorse the recommendation (4 voted for endorsement). A motion was made and seconded to refer the issue to the Executive Committee for further discussion and for information on the current staff grievance process. The motion passed with one opposed.  

**Attachment**

The meeting was adjourned at 5:30 p.m.

Approved by the Faculty Senate

[Signature]

Rebecca Weiss
Secretary of the University Faculty
The Executive Committee of the Board of Trustees met on December 9, 2014. Following is the report of key items approved by the Trustees. The next Executive Committee meeting is January 13, 2015.

### Endowments:

Approval of new and amended endowments totaling $550,000 including:

- **Weatherhead School of Management:**
  - to establish the Engaged Management Endowment Fund in the amount of $30,000 to support marketing, scholarship and development of engaged management programs

- **School of Medicine:**
  - to establish the Fellowship Training Program with gift of $500,000 for Young Adult Mental Health from the Krause Family Foundation to support programs and training for mental health services.
  - to establish the Abram B. Stavitsky PhD, V.M.D. Lecture with a gift of $25,000
  - to amend the name of the Women’s Health and Wellness Professorship to include Dierker and Biscotti (UH donors) – Colleen, this is a gift established with funds from UH donors only. The University established the corresponding professorship (MAY 2014) to the UH chair.

### Appointments:

On the recommendation of the Provost, the Trustees approved the following:

- 8 Emeritus appointments
- 13 Junior Faculty appointments
- 1 Senior Faculty appointments
- 16 Promotions to Assistant Professors

### Degrees:

The Trustees authorized the granting of 648 diplomas for January 2015 Commencement, including 156 undergraduate and 491 graduate degrees.

### Faculty Senate Resolutions:

The following Faculty Senate recommendations were submitted to the President for approval by the Trustees:

- Resolution to Amend Faculty Handbook regarding Committee on Undergraduate Education
- Resolution to Amend Faculty Handbook regarding Annual Meeting of the University Faculty
- Resolution to Amend Faculty Handbook regarding the Executive Committee of the Faculty Senate
Other Approvals:

The Trustees authorized amendments to the Benelect Plan Document to include a revision to reflect the maximum amount of contributions and reimbursements permitted in the Health Care Spending Account Supplement to be $2,500 annually, or such amount as adjusted annually by the Internal Revenue Service for cost-of-living increases, per the requirements of the Patient Protection and Affordable Care Act; to include revisions to be effective as of December 9, 2014, to reflect the change in operation that has been implemented since January 1, 2013, per the requirements of the Patient Protection and Affordable Care Act; and to make additional administrative revisions as necessary.

Approvals Following Discussion:

John Sideras, Senior Vice President and Chief Financial Officer, presented the following and requested board approval: Fiscal Year 2015 Capital Plan; Plan of Finance for the Resident Hall and Triangle Project; and a New Operating Line-of-Credit Bank. All three had been reviewed and approved by the Finance Committee earlier in the day. The Executive Committee approved these resolutions.
Campus Safety Update

December 17, 2014

John D. Wheeler, Senior VP for Administration
Dick Jamieson, VP for Campus Services
Art Hardee, CWRU Chief of Police
CWRU Police and Security Services Department

- Formed CWRU Police with addition of sworn peace officers to security force in 2006
- Current staffing includes:
  - Chief of Police
  - Commander
  - 6 Sergeants (incl. 1 Detective and 1 Admin. Sergeant)
  - 2 Corporals
  - 14 Police patrol
  - 24 sworn peace officers
  - 11 mobile security patrol
  - 3 community officers (North residential area)
  - 6 contract staff security
  - 20 security officers
- Average deployment: 8 officers at any one time; peak in evening/night
## Crimes against persons – FY12 - FY14

<table>
<thead>
<tr>
<th></th>
<th>FY12 On Campus</th>
<th>Near Campus</th>
<th>Total</th>
<th>FY13 On Campus</th>
<th>Near Campus</th>
<th>Total</th>
<th>FY14 On Campus</th>
<th>Near Campus</th>
<th>Total</th>
<th>Summary</th>
<th>Annual Average</th>
<th>3-year Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Aggravated Assault</strong></td>
<td>0</td>
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<td>0</td>
<td>0</td>
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<td>1</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>1</td>
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<tr>
<td><strong>Felony Sex Offenses</strong>*</td>
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<tr>
<td><strong>Robbery</strong></td>
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<td>Armed</td>
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<td>4</td>
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<td></td>
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<tr>
<td>Unarmed</td>
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<td>8</td>
<td>10</td>
<td>7</td>
<td>5</td>
<td>12</td>
<td>5</td>
<td>0</td>
<td>5</td>
<td>9</td>
<td></td>
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<tr>
<td><strong>Total Crimes</strong></td>
<td>4</td>
<td>10</td>
<td>14</td>
<td>8</td>
<td>7</td>
<td>15</td>
<td>9</td>
<td>4</td>
<td>13</td>
<td>14</td>
<td>14</td>
<td>42</td>
</tr>
</tbody>
</table>

**Robberies reported include:**

- **Cell phone snatches**
  - On Campus: 0
  - Near Campus: 0
  - Total: 0
  - FY13 On Campus: 2
  - FY13 Near Campus: 1
  - FY14 On Campus: 2
  - FY14 Near Campus: 0
  - Total: 2

**Solved**

- FY12: 3
- FY13: 6
- FY14: 5

*Only sex offenses with unknown suspects included*
## Crimes against persons – FY12 - FY14

<table>
<thead>
<tr>
<th>By area and building type</th>
<th>Annual Average</th>
<th>3-year Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>North, Dormitories</td>
<td>5</td>
<td>14</td>
</tr>
<tr>
<td>North, Academic buildings</td>
<td>6</td>
<td>18</td>
</tr>
<tr>
<td><strong>Total North</strong></td>
<td><strong>11</strong></td>
<td><strong>32</strong></td>
</tr>
<tr>
<td>South, Dormitories</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>South, Academic buildings</td>
<td>3</td>
<td>10</td>
</tr>
<tr>
<td><strong>Total South</strong></td>
<td><strong>3</strong></td>
<td><strong>10</strong></td>
</tr>
</tbody>
</table>

### By time of day

<table>
<thead>
<tr>
<th>Time Period</th>
<th>Annual Average</th>
<th>3-year Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>8:00 a.m. - 4:00 p.m.</td>
<td>3</td>
<td>10</td>
</tr>
<tr>
<td>4:00 p.m. - 12:00 midnight</td>
<td>9</td>
<td>26</td>
</tr>
<tr>
<td>Midnight - 8:00 a.m.</td>
<td>2</td>
<td>6</td>
</tr>
<tr>
<td>4:00 a.m. - 8:00 a.m.</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total Crimes</strong></td>
<td><strong>14</strong></td>
<td><strong>42</strong></td>
</tr>
</tbody>
</table>

76% of crimes occurred during the day (8:00 a.m. - 4:00 p.m.)

62% of crimes occurred during the night (4:00 p.m. - 12:00 midnight)
Wade Commons Incident – July 2014

• **Saturday**, July 19, 4:15 p.m. - 3 teenagers, one armed with a handgun, rob 6 CWRU students of laptops and smart phones
  – Wade Commons was open and accessible at the time
  – Police respond and recover the laptops in an abandoned house north of Wade Park Avenue, along with information on a possible suspect

• **Monday**, July 21 - CWRU detectives identify all three suspects and obtain confessions

• **Thursday**, July 24 – Arrest warrants issued

• **Friday**, July 25 - All three suspects taken into Cleveland police custody
  – Suspects are all charged with multiple counts of robbery, kidnapping and burglary
  – All three are currently being held in juvenile facility pending trial/disposition
North Campus Security Initiatives

- Deployed additional security officers during evening and late night hours (7pm – 3am) in 5 locations adjacent to north residence halls and the north academic campus

- Reinstalled security observation booth on E. 115th and expanded hours of staffing 11am - 3pm, 7 days per week (effective September 10th)

- Conducted immediate review of all north campus buildings to ensure access control/security measures are optimized and secure facilities on a 24/7 basis wherever feasible
North Campus Supplemental Security Deployment

New security deployment

Existing mobile security
Strategic Security Plan Components

Assessment
• Surveying police and security staffing at peer institutions
• Initiated *International Association of Campus Law Enforcement Administrators* (IACLEA) peer review of Security and Police operations and deployment tactics

Staffing
• Continued upgrade of number, type, and deployment of Police and Security staff underway since FY10

Additional Programs and Initiatives
• Safe Ride – requests increased from 11,343 in FY11 to 42,888 in FY14
• TABIT – Threat Assessment and Behavioral Intervention Team
• RAVE Alert System – currently 20,000 subscribers
• CWRU Shield – 1,000+ subscribers since inception in Q1 FY14
## Implementation of Strategic Security Staffing Plan

<table>
<thead>
<tr>
<th>CWRU Police-Security</th>
<th>FY09</th>
<th>FY10 Actual</th>
<th>FY11 Actual</th>
<th>FY12 Actual</th>
<th>FY13 Actual</th>
<th>FY14 Actual</th>
<th>FY15 Projected</th>
<th>FY16 Projected</th>
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<tbody>
<tr>
<td><strong>Strategic Security Plan Additions</strong></td>
<td>-</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>4</td>
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<td>5</td>
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<tr>
<td>Sworn Police Officers</td>
<td>21</td>
<td>20</td>
<td>20</td>
<td>21</td>
<td>24</td>
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<tr>
<td>Mobile Security</td>
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<tr>
<td>On-Campus</td>
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<td>11</td>
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<tr>
<td>Near Campus</td>
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<tr>
<td><strong>Total Police-Security</strong></td>
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<td>35</td>
<td>39</td>
<td>39</td>
<td>44</td>
<td>49</td>
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</tbody>
</table>

- **FY10** Added 3: 2 Mobile Security on campus, 1 near campus at 118th & Wade Park
- **FY11** Added 2: 2 Mobile Security near campus at Lagoon
- **FY12** Added 1: 1 Sworn Officer on campus
- **FY13** Added 4: 3 Sworn Officers on campus, 1 Mobile Security on Case Quad; re-deployed 3 on campus Mobile Security to Uptown
- **FY14** Defer additions; implement salary equity adjustments
- **FY15** Added 5: 5 on campus, North residential area
- **FY16** Add 5: 5 Mobile Security near campus at HEC and MPAC
# Expansion of Security Technology

<table>
<thead>
<tr>
<th></th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>FY14</th>
<th>+/-</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>On Campus</strong></td>
<td></td>
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</tr>
<tr>
<td>Card Readers</td>
<td>737</td>
<td>780</td>
<td>793</td>
<td>828</td>
<td>868</td>
<td>131</td>
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<tr>
<td>CCTV Cameras</td>
<td>458</td>
<td>489</td>
<td>504</td>
<td>592</td>
<td>678</td>
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<td>Emergency Phones</td>
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<td>Tower Phones</td>
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<tr>
<td>Outdoor Speakers</td>
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<td>7</td>
<td>9</td>
<td>9</td>
<td>9</td>
<td>9</td>
</tr>
<tr>
<td><strong>Near Campus</strong></td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>CCTV Cameras</td>
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<tr>
<td>Tower Phones</td>
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*Case Western Reserve University*
Police & Security Operations

Met with all Police & Security Staff (11/21/14) to review:

• New HR processes for dealing with police & security disciplinary matters

• Reorganization of police/security oversight to include Executive Director of Public Safety position consistent with HE best practices

• Appointment of special advisor (Bernie Buckner) to assist with reorganization and address immediate issues gleaned from recent unionization campaign

• Review of IACLEA peer assessment process
University Community Based- Police Training Program

Professor Mark Singer(MSASS) will develop and lead a customized training program to be presented to all police & security staff covering:

• Effective police interactions within CWRU’s highly diverse community
• The unique role of a campus based, community police or security officer
• Achieving positive encounters and outcomes in challenging situations
Charge to the Committee on Graduate Studies

In the Constitution of the Faculty Senate, Article VI., Section D:

Par. 1. The Committee on Graduate Studies shall consist of the dean of graduate studies, *ex officio*, the associate dean of graduate studies, *ex officio*, the associate vice president for research, *ex officio*, nine voting members of the University Faculty elected for overlapping three-year terms, and three graduate student members, and one post-doctoral scholar/fellow elected for one-year terms, and the professional school senator, elected for one-year terms *ex officio*. The Nominating Committee, in consultation with the dean of graduate studies, shall select nominees for election to the committee on the basis of participation in graduate research and in graduate study and instruction. Such selection shall be broadly representative of graduate disciplines.

Par. 2. The Committee on Graduate Studies shall review and make recommendations to the Faculty Senate with respect to the academic standards, academic policies, and degree requirements of all departmental, inter-departmental, inter-divisional constituent faculty, and ad hoc and special programs under the administration of the dean, School of Graduate Studies. With respect to graduate degree programs, the Committee on Graduate Studies shall review and make recommendations to the Faculty Senate on new graduate degree programs. New graduate degree programs include individual interdisciplinary degree proposals, new degree programs, joint/dual degree programs, as well as changes in degree program name, or delivery mode, or changes which modify the curriculum of an existing graduate degree program by greater than 50% as defined in the Ohio Regents Advisory Committee on Graduate Study (RACGS) Guidelines and Procedures for Review and Approval of Graduate Degree Programs. More than 50% of the curriculum of an existing graduate degree program refers to any course of study that constitutes a specialization or concentration and leads to recognition or an award for completion of a prescribed course of study beyond the baccalaureate diploma. With the exception of the degrees of Doctor of Medicine, Doctor of Dental Medicine and Doctor of Jurisprudence, these degrees are not defined as graduate degree programs by the Ohio Board of Regents, and therefore not reviewed by the Committee of Graduate Studies. Therefore, these programs are not reviewed.

Par. 3. The Committee on Graduate Studies will provide oversight and guidance for academic and policy issues for postdoctoral scholars and fellows.
Ohio Board of Regents

REGENTS’ ADVISORY COMMITTEE

ON

GRADUATE STUDY

Guidelines and Procedures for Review and Approval

of

Graduate Degree Programs

Revised and Approved by RACGS

April 5, 1974
November 8, 1974
July 11, 1975
September 5, 1975
May, 1977
May 1, 1981
September 17, 1987
April 7, 1989
February 2, 1990
June 7, 1991
June 4, 1993
February 4, 1994
April 1, 1994
May 6, 1994
July 23, 1999
October 24, 2003
November 30, 2012
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INTRODUCTION

The Ohio Board of Regents (OBR) has been charged by the General Assembly with the responsibility to approve, approve with stipulations, or disapprove all new degrees and new degree programs to be offered by institutions of higher education in the State of Ohio. As a part of the process needed to fulfill this general charge, the Chancellor of the OBR has delegated the responsibility for the assessment of new graduate degree programs to the Regents’ Advisory Committee on Graduate Study (RACGS), which is composed of the Graduate Deans of the Ohio public universities. Case Western Reserve University (CWRU) and the University of Dayton (UD), which have extensive doctoral programs, were invited to join and are included in RACGS. Graduate program evaluation by RACGS leads to a formal recommendation and report from RACGS to the Chancellor of the OBR. Responsibility for the final program decision, however, rests with the Chancellor of the OBR. Program assessment and evaluation are based on the criteria given in this document. Private institutions of higher learning that are not included in RACGS are encouraged to avail themselves of the very same processes outlined below.

Any institution of higher education utilizing this process for introducing a new degree program shall submit an institutional proposal for program development to RACGS with a copy to the Regent’s staff following the procedures outlined in the Program Development Plan section. If the institution decides that a formal proposal for a new graduate program is appropriate, then the Full Proposal section shall be followed.

All new degree proposals shall provide information in reference to the criteria given in Part A. A single approval procedure shall be required of all institutions for all new graduate degree programs.

The purposes of this document are: 1) to establish procedures for the review and approval of new graduate degree program proposals (Part A); 2) to set forth guidelines for universities to gain approval to offer different types of graduate degree programs (Part B); 3) to establish regulations for suspending graduate programs (Part C) and 4) to provide guidelines for the review of graduate programs (Part D).

DEFINITIONS

1. **Graduate degree program** refers to any focused course of study that leads to recognition or an award for completion of a prescribed course of study beyond the baccalaureate degree in an institution of higher education evidenced by the receipt of a diploma as differentiated from a certificate. The degrees of Doctor of Medicine, Doctor of Dental Surgery, Doctor of Veterinary Medicine, Doctor of Optometry, and Doctor of Jurisprudence are not covered by these guidelines.

2. **Entry level graduate program** is defined as a program of advanced study which admits: a) post-baccalaureate students into a master’s or doctoral degree program who do not possess undergraduate academic preparation in the specific area of advanced study or a closely related area, or b) postsecondary students directly into an extended master’s or doctoral program where they first receive the customary baccalaureate experience in the given discipline or professional area. Standard graduate education in a discipline or professional area requires entry through a baccalaureate program. Therefore, if an initial knowledge base
equivalent to the respective undergraduate degree is required for entry into a given graduate program, it cannot be considered entry level. Entry level graduate programs are expected to fully reflect the level of intellectual process and knowledge characteristic of standard high quality graduate programs. For this purpose specific additional program quality questions are posed under Part A, Section A.II.B.1.

3. **Minority student** refers to traditionally underrepresented American citizens including the following designations: African-American, a person not of Hispanic origin coming from any of the Black racial groups of Africa; Hispanic, a person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race; American Indian or Alaskan Native, a person having origins in any of the original peoples of North America and who maintains cultural identification through tribal affiliation or community recognition; and Asian or Pacific Islander, a person having origins in any of the original people of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands, an area including, for example, China, Japan, Korea, the Philippine Islands, and Samoa. There are disciplines in which women should also be considered as an underrepresented group.

4. **Discipline** refers to a recognized body of knowledge such as chemistry, psychology, history, or sociology.

5. **Department** refers to the organizational unit for administering one or more disciplines.

6. **Field** refers to a major subdivision of a discipline and is characterized by a particular feature such as organic or analytical chemistry.

7. **Research graduate degree program** involves preparation to carry out significant research and to discover new knowledge, whether the particular field of learning is pure or applied. The recognized graduate degree titles which correspond with successful completion of a research graduate degree program include Master of Arts (M.A.), Master of Science (M.S.), and Doctor of Philosophy (Ph.D.) (see Example Table 1).

8. **Professional graduate degree program** implies preparation for professional and/or clinical practice. Generally, professional graduate degrees represent terminal degrees in their field. The resulting professional activity usually involves the giving of service to the public in the chosen field. The completion of preparation for professional practice is recognized by the award of the professional master’s or doctoral degree. The following master’s degree titles are representative: Master of Business Administration (M.B.A.), Master of Public Administration (M.P.A.), Master of Occupational Therapy (M.O.T.), Master of Public Health (M.P.H.), Master of Social Work (M.S.W.), and Master of Architecture (M.Arch). Representative professional doctoral degree titles include: Doctor of Audiology (Au.D), Doctor of Management (DM), Doctor of Education (Ed.D.), Doctor of Physical Therapy (D.P.T.), Doctor of Musical Arts (DMA) and Doctor of Psychology (Psy.D). “Intermediate” professional graduate degrees signifying work beyond the professional masters yet remaining short of the professional doctoral degree, such as the educational specialist degree (Ed.S) are
also appropriate professional credentials in certain fields. Professional graduate degree programs are expected to fully reflect the level of intellectual process and knowledge characteristic of standard high quality graduate programs. However, generally these are not research graduate degrees (see Example Table 1). For this purpose specific additional program quality questions relating to the admission criteria, field experience, faculty experience, faculty qualifications, accreditation, curriculum, time to degree, and research are posed under Part A, Section A.II.B.1.b (see Example Table 1).

9. **Subdisciplinary program** refers to a focused program based upon one or more fields within a discipline. (See Example Table 1)

10. **Interdisciplinary program** refers to two or more interrelated disciplines or fields combined to constitute a program; for example, American Studies, Geopolitics, Biomedical Engineering. (See Example Table 1)

### TABLE 1: Examples Program Types and Program Names

<table>
<thead>
<tr>
<th>Disciplinary</th>
<th>Subdisciplinary</th>
<th>Interdisciplinary</th>
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<tr>
<td>Research:</td>
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<tr>
<td>Ph.D. in</td>
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<td>Psychology</td>
<td>Counseling</td>
<td>Psycholinguistics</td>
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<td>Professional:</td>
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<tr>
<td>Doctor of</td>
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<td>Psychology</td>
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11. **Short Courses and Workshops:** Generally, courses that meet for less than a full term (i.e., short courses and workshops) limit the opportunity for student thinking and understanding to develop and mature over time. Courses that require too little work outside the classroom limit the opportunity for self-directed learning to occur. At the same time, however, for some types of subject matter, advantages can accrue from the intensity resulting from offering the instruction in a time-shortened format. In these circumstances, it is appropriate for graduate credit to be awarded for courses of less than a full term’s duration.

However, graduate credit should only be awarded for courses in a time-shortened format when the amount of learning is at least equivalent to that which would occur if the courses were offered for the same number of credit hours over the course of a full term. It is the responsibility of each institution offering short courses and workshops for graduate credit to ensure that the limitations imposed on the opportunities for (i) student thinking and understanding to develop and mature over time and (ii) self-directed learning to occur are addressed in a way which ensures that the learning taking place is at least equivalent quantitatively and qualitatively to that which would occur if the course were offered for the same number of credit hours over the course of a full term.
GRADUATE CREDIT

Graduate education involves a greater depth of learning, increased specialization, and a more advanced level of instruction than undergraduate education. Selected faculty instruct carefully selected students in courses or clinical experiences that emphasize both student self-direction and dynamic interaction with the subject matter, the instructor, and other students. Interaction involves more than simply the transmission of what is known. It focuses on the generation of new knowledge through research and/or the application of knowledge to new areas of study.

All courses offered for graduate credit, regardless of whether they are offered on- or off-campus, should meet the following criteria:

1. **Course Level**
   
   Graduate courses build upon an undergraduate knowledge base. The approval process for all graduate courses should require a clear indication of the knowledge base the course presupposes, and how the course goes beyond that base. In the event that a graduate course is co-listed with an advanced undergraduate course (as is appropriate in some cases), the approval process should require clearly defined expectations of graduate students that go well beyond the expectations of the undergraduates in the course.

2. **Learning**

   Graduate courses involve dynamic interaction with the subject matter, the instructor and other students. Although this can be accomplished through a variety of instructional approaches, all graduate courses should involve learning both during and outside of classroom sessions, as well as dynamic interchanges with the instructor and other students. Offering a formula for graduate education is not appropriate; however the work expected at the graduate level should exceed that expected at the undergraduate level both qualitatively and quantitatively.

3. **Faculty**

   Faculty teaching graduate courses should possess the terminal degree and contribute to the knowledge base of the discipline they teach through scholarship, as exemplified by creative activity and/or publication. It is the responsibility of each institution offering graduate courses to ensure that only fully qualified faculty teach graduate courses.

4. **Students**

   Institutions offering graduate courses should have a formal admission process that selects only those post-baccalaureate students who have been highly successful as undergraduates for the pursuit of graduate work. It may be appropriate to allow qualified students who possess other attributes which suggest that they will be successful at graduate work to attempt a limited number of graduate courses on a trial basis.
**GRADUATE PROGRAM CURRICULAR REVISIONS**

Thoughtful revision of graduate program curricula can be an important part of the necessary evolutionary process of quality assurance, as well as an effective mechanism for maintaining program quality. Graduate program directors are encouraged to review their curricular offerings periodically to assess curricular relevance with respect to recent developments in the field or discipline. The revision of graduate program curricula, however, is of more general concern when its extent goes beyond that dictated by the development of new knowledge in a field or discipline; i.e., when a new degree program is created under the guise of curricular revision. If changes in the program curriculum (in contrast to the method of delivery) equal or exceed 50% based on the total number of credit hours in the degree program as published in the current graduate catalog or bulletin, the institution will need to use the new program approval process described in Part A, below.

The Graduate Dean (or equivalent administrative officer) at each institution is responsible for determining whether or not a new degree program is created when any existing graduate program undergoes a revision of its curriculum.

**PART A.**

**PROCEDURES FOR THE REVIEW AND APPROVAL OF NEW GRADUATE DEGREE PROGRAM PROPOSALS**

Any institution of higher education desiring to introduce a new degree, a new degree program or a significant revision of an existing program as defined above, shall have the degree or program evaluated through the following peer-review process. The process is to be driven by the institution proposing the new degree, and involves the submission to and evaluation by RACGS member institutions, of a Program Development Plan (PDP) followed by a Full Proposal (FP), and culminating in the submission of a Response Document and formal presentation of the Full Proposal to RACGS members. Under certain circumstances institutions may be able to forego the preparation of a Response Document and the formal presentation of the Full Proposal to RACGS members (see Part A., Section C).

**I. PROGRAM DEVELOPMENT PLAN**

**A. Preparation and Submission of the Program Development Plan**

Any institution of higher education desiring to introduce a new degree or new degree program shall submit a *Program Development Plan* (PDP) to RACGS with a copy to the Regent’s staff prior to formal application for degree authority. The Program Development Plan should be submitted at the earliest time consistent with the availability of the information requested below and as early as possible within the institutional approval processes. A separate PDP will be submitted for each new degree program proposed.

The PDP should address, in a summary narrative of no more than five pages (exclusive of appendices, which should be kept as brief as possible), the following concerns:
1. Designation of the new degree program, rationale for that designation, definition of the focus of the program and a brief description of its disciplinary purpose and significance.

2. Description of the proposed curriculum.

3. Administrative arrangements for the proposed program: department and school or college involved.

4. Evidence of need for the new degree program, including the opportunities for employment of graduates. This section should also address other similar programs in the state addressing this need and potential duplication of programs in the state and region.

5. Prospective enrollment.

6. Special efforts to enroll and retain underrepresented groups in the given discipline.

7. Availability and adequacy of the faculty and facilities available for the new degree program.

8. Need for additional facilities and staff and the plans to meet this need.

9. Projected additional costs associated with the program and evidence of institutional commitment and capacity to meet these costs.

B. Review of the PDP by RACGS Member Institutions

Members of RACGS will review the PDP and seek the advice of campus experts in the program area. The RACGS member institutions shall review the PDP and provide a response on the following issues:

1. Market need for the proposed program and the distinctions or differences between the proposed program and other similar programs across the state;

2. Opportunities for collaboration with the RACGS member’s own institution;

3. Concerns with substantive elements of the proposed degree program; and

4. Suggestions that might help the submitting institution strengthen the proposal or refine its focus.

The purpose of the review of the PDP is to provide the proposing institution with an assessment of the probability that the new degree or program would be approved by RACGS upon submission of a Full Proposal, and to highlight initial areas of concern that should be addressed in the Full Proposal should the proposing institution decide to move forward.

Each RACGS member will provide, via e-mail, written comments, both from the campus expert(s) as well as the RACGS member’s own summary evaluation, to all RACGS members with a copy to the Regents’ staff, within six weeks of receipt of the PDP.
Based on the RACGS reviews and their own assessment, the proposing institution will decide whether the PDP should be expanded to a Full Proposal and be submitted for RACGS review. Universities will employ institutionally approved processes for Full Proposal development and will submit such Full Proposals to RACGS, with a copy to Regents’ staff for further consideration as outlined in Part A, Section II of this document. The transmittal of the Full Proposal to OBR is the formal application for degree authority.

II. FULL PROPOSALS

A. Preparation and Submission of the Full Proposal

A Full Proposal (FP) for new degree programs is an expanded version of the PDP. The expansion should include: 1) clarification and revisions based upon the reviews of the program development plan (PDP); 2) any additional information needed to address the review criteria for new programs (see Part A, Section II.B); and 3) appendices containing such items as faculty vitae, course descriptions, needs surveys, and consultants’ reports.

A FP must be submitted to RACGS member institutions within two years of the submission of the PDP. If the FP is not prepared and submitted within this two-year limit, the proposing institution must re-initiate the process by submitting a new PDP.

B. Review of the FP by RACGS Member Institutions

FPs for new graduate programs will be sent by the initiating institution to all RACGS members with a copy provided to the Regents’ staff. Evaluation of a FP for a new graduate program by RACGS involves the following elements: 1) consideration of written comments provided by each RACGS member, 2) preparation and assessment of the response to these comments by the institution submitting the proposal, 3) a formal presentation of the proposal by the initiating institution to RACGS followed by a full discussion of the proposal in the larger context of graduate education, and 4) a formal vote by RACGS, by written ballot, advising the Ohio Board of Regents whether the program should be approved.

Reviewing RACGS members will refer FPs to experts within their institutions, provided that the Graduate Dean (or equivalent administrative officer) of that institution is convinced, beyond reasonable doubt, that the person(s) to whom the proposal is referred is (are) genuinely expert in the program area which is addressed. The peer expert(s) will provide the Graduate Dean (or equivalent administrative officer) of their institution with written comments within six weeks of receipt of the FP reviewing the following points, which are expected to be addressed in the proposal:

1. Academic Quality

   Competency, experience and number of faculty, and adequacy of students, curriculum, computational resources, library, laboratories, equipment, and other physical facilities, needed to mount the program.
a) In addition to this analysis, for **entry level graduate degree programs**, academic quality assessment will focus on the adequacy of the answers provided in response to the following questions:

i. Is the program distinctly different, both conceptually and qualitatively, from the undergraduate degree programs in the same or related disciplines? If so, is there a detailed listing of the specific differences?

ii. Does the program emphasize the theoretical basis of the discipline as expressed in the methods of inquiry and ways of knowing in the discipline?

iii. Does the program place emphasis on professional decision making and teach the use of critical analysis in problem solving?

iv. Is the program designed to educate students broadly so that they have an understanding of the major issues and concerns in the discipline or professional area?

v. Is there an adequate description of the required culminating experience such as an exit project (which would not necessarily be a research experience)?

vi. Does the proposed program identify faculty resources appropriate for the research component of the program?

vii. Does the program curriculum offer what students need to know for competence at the expected level of professional expertise?

viii. What plans have been made to address standards and guidelines for professional accreditation, if applicable? What are the core courses required for the program?

b) In addition to the analysis given in the first paragraph above under Part A, Section II.B.1.a for **professional graduate degree programs**, academic quality assessment will also focus on the adequacy of the answers provided in response to the following questions:

i. What admission criteria, in addition to the traditionally required transcripts, standardized test scores, letter of recommendation, and personal statements of purpose, are relevant to assess the potential for academic and professional success of prospective students? Will there be special consideration of student experience and extant practical skills within the admission process? If so, please elaborate.

ii. Is field/clinical experience subsumed within the academic experience? If so, how does that experience relate to the academic goals of the professional graduate degree program? Provide a description of the involvement of supervisory personnel. Describe the nature of the oversight of the field/clinical experience by the academic department. Provide an outline of the anticipated student activities as well as student requirements.
iii. Are the faculty qualifications associated with the professional graduate degree program appropriate for such faculty? Provide the specific qualifications for such faculty.

iv. How does accreditation by the appropriate professional organization relate to the academic curriculum and experience outlined in the program plan? Describe the specific aspects of the program plan, if any, that are necessary to achieve professional accreditation. Is completion of the degree program required for professional accreditation in the field?

v. How are theory and practice integrated within the curriculum?

vi. What is the national credit hour norm for this degree program in your field? How was this norm derived? Is the number of credit hours required for graduation influenced by mandated professional experiences? If so, how?

vii. Describe the required culminating academic experience and how it will contribute to the enhancement of the student’s professional preparation.

c) The Special Case of Professional Science Master’s Programs (PSMs)

i. There is a special category of professional graduate degree programs recognized by the Council of Graduate Schools and the National Professional Science Master’s Association. Such programs can be granted the designation “Professional Science Master’s” or “PSMs.”

ii. The criteria for obtaining such a designation can be found at: http://www.sciencemasters.com/Default.aspx?tabid=116

iii. For informational purposes only, do you contemplate seeking such recognition as a PSM from the National Professional Science Master’s Association? Is the program going to be seeking such recognition?

2. Need

Examples of potential metrics of program need include:

a) Student interest and demand
   Potential enrollment;
   Ability to maintain the critical mass of students.

b) Institutional need
   Plan for overall development of graduate programs at the proposing institutions.

c) Societal demand
   Intellectual development;
   Advancement of the discipline;
   Employment opportunities.
d). Scope
Local, regional, and national needs;
International need.

3. Access and Retention of Underrepresented Groups
a) Plan to ensure recruitment, retention and graduation of
underrepresented groups within the discipline.

b) Provide as background a general assessment of:
   i. Institution and departmental profiles of total enrollment and
      graduate student enrollment of underrepresented groups within the
discipline; and
   ii. Compare underrepresented groups degree recipients from the
      department and university at all levels compared to national
      norms. Supply data by group where available.

4. Statewide Alternatives
   a) Programs available in other institutions;
   b) Appropriateness of specific locale for the program; and
   c) Opportunities for inter-institutional collaboration.

   d) Institutional Priority and Costs
      i. Support and commitment of the proposing institution’s central
         administration.
      ii. Adequacy of available resources committed for the initiation of the
          program.

5. External Support
   a) Community, foundation, governmental, and other resources.

C. Preparation of Response Document and Formal Presentation
Written comments from each RACGS institution, consisting of the campus reviewers’
comments along with the RACGS member’s summary evaluation will be forwarded
electronically to the Graduate Dean (or equivalent administrative officer) at the
proposal-submitting institution with copies being forwarded to Regents’ staff and other
RACGS members within six weeks of the receipt of the FP.

When no review raises any questions about or objections to the proposed program, the
proposing institution may request that the chair of RACGS, with the concurrence of
the Regents’ staff, conduct a mail ballot to approve the program, thereby waiving the
preparation of the Response Document and the formal hearing. A Fiscal Impact Form
must be prepared for circulation with the mail ballot. Any objection to the approval by
mail will necessitate the preparation of a Response Document and a formal
presentation at a future RACGS meeting.

If a review or reviews raise questions about but no serious objections to the proposed
program, the proposing institution may request that the chair of RACGS, with the
concurrence of the Regents’ staff, conduct a mail ballot to approve the program by including a Response Document with the ballot. Any objection to the approval by mail will necessitate a formal presentation. A Fiscal Impact Form must also be prepared for circulation with the mail ballot. The FIS form can be accessed at: https://www.ohiohighered.org/racgs

When reviews raise significant questions about or objections to the proposed program, the proposing institution will prepare a Response Document and plan to make a formal presentation to RACGS members.

1. After receipt of the review comments on the FP, the proposing institution will develop a written response to the reviewers’ individual comments called a Response Document. Copies of the Response Document are to be sent to all RACGS members as well as to Regents Staff.

2. The Response Document must include an OBR Fiscal Impact Statement and should be used to demonstrate institutional plans for the judicious use of resources in terms of physical plant, personnel, and student support, and appropriate institutional commitment of resources to the new program.

3. The chair of RACGS, in concert with OBR and the proposal-submitting institution, will schedule a formal presentation of the proposal at a forthcoming RACGS meeting. The response document from the proposing institution must be received by the RACGS members at least ten (10) days advance of this meeting.

4. After presentation and discussion of the proposal with representatives of the proposal-submitting institution, RACGS will by written ballot vote on a motion as to the disposition of the program as a recommendation to the Ohio Board of Regents. Ballots shall include the name of the Institution and the vote of that institution (“yes” or “no”) on the motion. Recommendations for approval will require an affirmative vote from two-thirds of all members of RACGS in attendance, with the stipulation that no program will be recommended for approval with less than 8 “yes” votes. No member in attendance may abstain from voting. Absentee or proxy votes cannot be utilized to constitute the two-thirds majority or the required one-half of all RACGS members voting in the affirmative. A summary of the vote and the RACGS discussion of the proposal will be presented to the Board by Regents’ staff. Responsibility for the final decision rests with the Chancellor and the OBR.

5. Occasionally, RACGS may find that, even after the review and discussion with representatives of the proposal-submitting institution, substantive issues remain unresolved. In such unusual cases, and given a two-thirds affirmative vote, RACGS may recommend that, prior to the formal RACGS vote, the Chancellor convene a panel of nationally recognized experts to review the program proposal and to conduct a site visit. The charge to the panel of outside experts shall focus on the specific unresolved issues identified by RACGS but need not be restricted to those specific issues. After the written report of the consultants has been received and
distributed to RACGS members, RACGS will review the new information and forward a formal recommendation to the Chancellor.

6. The final decision of the Board will be accomplished as expeditiously as possible. If an unforeseen delay is encountered, the Chancellor’s office will inform RACGS of the reason(s) for the delay as well as the probable duration of the delay.

III. TYPES OF PROGRAM APPROVAL

A. Full Approval

RACGS may recommend program approval without any associated conditions or provisions if adequate academic strength and quality are apparent.

B. Contingent Approval

Program approval may be recommended with the stipulation that certain institutional resources be secured prior to program initiation. The institution will notify RACGS and Regents’ staff through its representative on RACGS that the required resources have been put in place. RACGS will determine if all contingencies have been satisfied prior to the formal recommendation for program initiation.

C. Provisional Approval

In the case of proposed programs that are academically unique because of novelty in structure, content or instructional delivery format, or because of other factors, RACGS may recommend provisional approval:

1. The recommendation for provisional approval will be for a specified period of time.

2. At the completion of the provisional period, Regents’ staff will ask the institution to prepare a report for submission to RACGS and the Board of Regents. The report will address the following areas, as well as any others specified in the provisional approval resolution:

   a) General effectiveness of the program in meeting its stated goals.
   b) Effectiveness of academic control mechanisms.
   c) Professional activities of the faculty associated with the program.
   d) Continuing availability of various support services.
   e) Overall academic productivity of the program.

3. All members of RACGS will receive and read this report. The reports may be referred to experts within their institutions for written comments in accordance with the criteria cited above.

4. Written reviewer’s comments will be forwarded to the Graduate Dean (or equivalent administrative officer) at the report-submitting institution with copies to Regents’ staff and other RACGS members. In most instances, the
RACGS Guidelines and Procedures

report-submitting institution may wish to provide a written response to the reviewers’ comments. Copies of these responses are to be sent to all RACGS members.

5. The Chair of RACGS, in concert with Regents’ staff and the report-submitting institution, will schedule a formal review of the proposal at a regular monthly meeting. Written responses to reviewers’ comments must be presented well in advance of this meeting.

6. After review and discussion of the report with representatives of the report-submitting institution, RACGS will forward to the Board a recommendation for one of the following actions:

   a) Full approval of the program, with or without modifications.
   b) Continuation of the provisional status of the program for a finite period, not to exceed five (5) years.
   c) Withdrawal of program approval, provided that motions for full approval or continuation of the provisional status for the program, under Section III.C.6 a. and b. above, do not receive the necessary recommendation for approval.

IV. GUIDELINES AND PROCEDURES FOR CHANGING DEGREE NAMES, TITLES AND DESIGNATIONS

Definitions

A. Degree name refers to the name of the degree awarded (i.e., Ph.D., Doctor of, Master of Arts, Master of Science, and Master of ....) and requires a full proposal and full review to RACGS and Chancellor’s staff.

B. Degree title indicates the field in which the degree is awarded (e.g., Physics, Education, Public Administration, etc.) and requires the completion of a change request form for a ‘Degree Title Change.’ The form will be circulated to RACGS and Chancellor’s staff.

C. Degree designation is given by the combined name and title of the degree (e.g., Ph.D. in History, Master of Public Health, Master of Science in Computer Science, etc.) and requires a full proposal and a full review to RACGS and Chancellor’s staff.

A. Degree Name Change

When an institution wishes to replace a single degree name with another at the same level (e.g., Master of Arts with Master of Science or a professional degree), the RACGS Guidelines and Procedures for Review and Approval of Graduate Degree Programs must be followed. Generally speaking, replacing a professional degree with a research degree requires more extensive documentation and justification than does replacing a research degree with a professional degree. When an institution seeks to change a research degree to a professional degree name, and the desired change requires neither curricular modifications nor additional staff, and will not affect enrollments significantly, a full proposal may be submitted to RACGS without undergoing the preliminary
Program Development Plan review process as given in the Guidelines and Procedures for Review and Approval of Graduate Degree Programs.

B. **Degree Title Change**

When an institution desires to replace a single obsolescent degree title with a more appropriate one, the completion of a change request form for a ‘Degree Title Change’ is required and can be accessed at: [https://www.ohiohighered.org/racgs](https://www.ohiohighered.org/racgs). The form will state why the title change is being proposed and contain sufficient information to justify the change. The request is reviewed by the Chancellor’s Office and the members of RACGS. Although replacing a disciplinary degree (e.g., Ph.D. in Psychology) with a subdisciplinary degree (e.g., Ph.D. in Counseling Psychology) may constitute a title change, replacing a subdisciplinary degree with a disciplinary degree does not. The latter situation requires appropriate review as a new program proposal under the RACGS Guidelines and Procedures for Review and Approval of Graduate Degree Programs. In unclear cases, the Chancellor’s Office makes the final determination of what constitutes a title change.

C. **Degree Designation Change**

When an institution seeks to create a separate degree designation for a specialization currently offered within an existing degree without eliminating the original degree designation, and the desired change requires no additional staff and will not affect enrollments significantly but may involve minor curricular modifications from the original specialization, a full proposal may be submitted to RACGS without undergoing the preliminary Program Development Plan review process as given in the Guidelines and Procedures for Review and Approval of Graduate Degree Programs.

V. **GUIDELINES FOR RACGS OVERSIGHT OF OFF-CAMPUS GRADUATE PROGRAMS: ‘OFF-SITE’ (FACE-TO-FACE), DISTANCE/ELECTRONIC MEDIA, AND ‘BLENDED’ (ON-SITE/VIA DISTANCE/ELECTRONIC MEDIA) DELIVERY MODELS**

The following guidelines will be used by the RACGS in overseeing currently approved graduate degree programs that are provided at specific off-campus sites or via various delivery models including the use of teleconferencing, web-based or other electronic means, as well as a mixture of on-site/off-site delivery. The intent of these conditions is to permit flexibility in adapting degree requirements to alternative audiences, while not permitting institutions to design and deliver essentially new degrees within the format of a previously approved degree. The completion of a change request form for ‘Online or Blended/Hybrid Delivery’ is required. The form can be accessed at: [https://www.ohiohighered.org/racgs](https://www.ohiohighered.org/racgs). If the program leads to teacher licensure, the completion of ‘Form A’ is required. ‘Form A’ can be accessed at this same link. Form A will be submitted to the OBR Office of Program Development and Approval.
A. Programs Requiring Notification Only

RACGS will be notified in writing on those occasions when a previously approved degree program will be offered at an off-campus site, or extended to a different audience via electronic or blended means. Under these guidelines, a degree program will be considered “previously approved” when less than 50% of the credit hour requirements for a degree previously given approval has been changed (see Introduction: Graduate Program Curricular Revisions, page 5.) A program will be considered to have been “extended to a different audience via electronic or blended means” when 50% or more of the course delivery is off-site or via alternative delivery models. The completion of the appropriate change request form is required and can be accessed at: https://www.ohiohighered.org/racgs. If the program leads to teacher licensure, the completion of ‘Form A’ is required and can be accessed at this same link. Form A will be submitted to the OBR Office of Program Development and Approval.

1. Universities desiring to provide a previously approved degree program under the conditions above must inform the Chancellor’s staff and RACGS members via email at least six weeks prior to the initiation of the degree program. A brief, concise description of the program that addresses the conditions noted above and describes the general nature of the program and its delivery mechanism or site location and that assures that all participating faculty are permitted to teach at the graduate level will suffice in informing Chancellor’s staff and RACGS members.

2. If a RACGS member does not respond with an objection within 30 days of notification, it will be assumed that the RACGS member has no objection to the proposal. If there is no substantive objection, the program will be included as an information item on the agenda of the next RACGS meeting and entered into the minutes of the meeting.

3. In the event that a member objects to an informational item, the proposer will be notified and asked to respond to the objection; if no resolution is reached via email, a discussion at the next RACGS meeting will ensue and a formal vote for approval must be taken, with majority approval, at that meeting before the program’s acceptance is entered into the record.

B. Program Standards

To ensure that off-site and alternative delivery models adhere to the same standards as on-campus programs, RACGS member institutions will be responsible for utilizing the following guidelines and shall use the same guidelines in those cases where new degree programs using alternative delivery models are being brought forward for approval (these may supercede new degree program criteria as outlined earlier in these guidelines).

1. The program is consistent with the institution’s role and mission.

2. The institution’s accreditation standards are not appreciably affected by offering the program, especially via alternative delivery mechanisms.
3. The institution’s budget priorities are sufficient to sustain the program in order for a selected cohort to complete the program in a reasonable amount of time.

4. The institution has in place sufficient technical infrastructure and staff to support offering the program, especially via alternative delivery mechanisms.

5. The institution has in place sufficient protocols for ensuring instructional commitments are met, including instructor/staff training, compliance with copyright law, and quality instruction among other variables.

6. The institution has in place a relevant and tested method of assessing learning outcomes, especially in the case of alternative delivery mechanisms.

7. As new delivery mechanisms are brought into course instruction, students and faculty are presented with sufficient training and support to make appropriate use of new approaches.

8. The institution assures that the off-site/alternatively delivered program meets the same quality standards for coherence, completeness and academic integrity as for its on-campus programs.

9. The institution assures that the faculty delivering the program meet the same standards and qualifications as for on-campus programs.

10. The institution assures that, for all off-site and alternative programs, students will have access to necessary services for registration, appeals, and other functions associated with on-campus programs.

11. In those instances where program elements are supplied by consortia partners or outsourced to other organizations, the university accepts responsibility for the overall content and academic integrity of the program.

12. In those instances where asynchronous interaction between instructor and student is a necessary part of the course, the design of the course, and the technical support available to both instructor and student are sufficient to enable timely and efficient communication.

13. Faculty are assured that appropriate workload, compensation, and ownership of resource materials have been determined in advance of offering the off-site or alternatively delivered course.

14. Program development resources are sufficient to create, execute, and assess the quality of the program being offered, irrespective of site and delivery mechanism employed.

15. Procedures are in place to accept qualified students for entry in the program—it is imperative that students accepted be qualified for entry into the on-campus program. In addition, program costs, timeline for completion of the cohort program and other associated information is made clear to prospective students in advance of the program’s initiation.
16. Assessment mechanisms appropriate to the delivery approach are in place to competently compare learning outcomes to learning objectives.

17. Overall program effectiveness is clearly assessed, via attention to measures of student satisfaction, retention rates, faculty satisfaction, etc.

VI. APPROVAL PROCESS FOR GRADUATE CERTIFICATE PROGRAMS AND GRADUATE PROGRAMS THAT LEAD TO EDUCATIONAL LICENSURE

There are many types of certificate programs at the graduate level, ranging from a diploma attesting to satisfactory completion of a short course or workshop to the equivalent of a graduate degree program. The award of the certificate may accompany receipt of a graduate degree, or it may take place upon completion of a specified number of credit hours, independent of receipt of a graduate degree. There are already agreed-upon review procedures for programs leading to regular graduate degrees. The question is: Under what conditions and according to what criteria should graduate programs leading to a certificate be reviewed?

A. Classification of Graduate Certificates

Three classes of graduate certificates can be distinguished as given below:

1. A certificate awarded with a master’s or doctoral degree, indicating that a specific program of course work has been followed within regular program options. For example, upon completion of the M.A. degree in Political Science, candidates who have taken a specified series of courses in public administration within the accredited degree program may be awarded an appropriate certificate upon completing their degree requirements. As all new graduate degree programs are subject to review by other procedures, certificates of this type, descriptive of a concentration within a degree program only, not requiring any additional credits beyond those for the degree, do not require further review.

2. A certificate awarded for completing a specified program of post-baccalaureate or post-master’s work, not constituting a regular graduate degree program, and awarded independently of a regular degree. Certificates awarded for completion of a program of graduate level study involving fewer than 21 semester credit hours or 31 quarter credit hours where all courses have been approved for graduate credit according to institutional mechanisms do not require further review.

3. Certificates awarded for completion of a substantial program of graduate study in a discipline(s)/professional area(s) where the university already has graduate degree authorization require further review. A substantial certification program is defined as one requiring the successful completion of 21 or more semester credit hours, or 31 or more quarter credit hours of graduate-level courses.

Graduate programs that lead to educational licensure and that involve earning 21 credits or more or, degree programs that include licensure or,
stand-alone “certificates” for licensure must seek approval through both the OBR Office of Program Development and Approval and RACGS. Template forms for teacher licensure, endorsement and teacher preparation-continuing program requests can be accessed at: https://www.ohiohighered.org/racgs

B. Review and Program Approval Procedures for Graduate Certificates

Certificate programs requiring review (A.3 above) must submit a written request to the Chancellor of the Ohio Board of Regents. Requests must be submitted three (3) months prior to the intended implementation date. The request to offer a certificate program must include a narrative statement that addresses the following issues:

i. Approved graduate program(s) sponsoring the certificate program.
ii. Need and demand for the certificate program.
iii. Statement of educational objectives of the certificate program.
iv. Curriculum for the certificate program.
v. Justification for the number of credit hours for the certificate program.
vi. Entrance, performance, and exit standards for the certificate program.
vii. Faculty expertise contributing to the certificate program.

A brief, concise description of the certificate program that addresses the above points will assist RACGS by allowing review by mail or email. The narrative statement will be circulated to RACGS members for review and a recommendation for approval, disapproval, or for formal review and vote at a RACGS meeting. RACGS members should respond by mail or email within 45 days of receipt of the proposal. If a RACGS member does not respond by that date, it will be assumed that the RACGS member has no objection to the proposal.
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Part B.

Guidelines for Seeking Approval
for Innovative and Nontraditional Graduate Degree Programs

As new fields of study and new disciplines emerge, research and educational demands in these developing areas will increase. To meet these demands new, innovative graduate degree programs will need to be developed. These programs may differ significantly from more traditional graduate programs in structure, mode of instructional delivery, and the ways research is conducted. Whether the structure calls for interdisciplinary integration, inter-university cooperation, business/industry collaboration, or novel modes of instruction and research, this section provides guidelines and procedures for the development of new graduate programs that may not fall within traditionally defined fields or disciplines.

Academic quality is a primary consideration in the development of these different types of graduate programs. In addition, the other major criteria that must be considered are program need, statewide alternatives, institutional priority and costs, and external program support. A proposal for such a new degree program is initiated by the submission of a Program Development Plan (PDP) to Regents staff and RACGS members. Based upon review of the PDP, Regents staff will determine the extent to which additional approval will be necessary for new graduate programs as outlined in Part A of this document.

I. New Degree Programs Derived from Sub-disciplines

Approval of a new graduate degree program in a sub-discipline requires instructional capabilities across the full range of the discipline, but research capability only in the sub-discipline. For example, approval of a graduate degree program in bioorganic chemistry does not extend the need for doctoral-level research capability in environmental chemistry. Such limitation does not preclude a university from providing enrichment and breadth drawn from related fields within the discipline.

A. Review and Approval Process

A PDP must be submitted to the Regents staff and to RACGS members for review. Based upon this review, Regents staff will determine whether or not the proposed degree program is a more appropriate designation than the existing sub-disciplinary option under the current degree authority, and whether or not additional approvals are required.

II. Interdisciplinary Programs

Interdisciplinary degree programs are the primary means by which newly emerging fields of study can organize and support a focused research agenda and academic experience for faculty and graduate students. Such degree programs also allow universities to focus their resources more effectively and promote coherent research activities in areas where new bodies of knowledge are evolving.
A. **Review and Approval Process**

Interdisciplinary programs can be configured in a variety of ways. Normally, the institution must present a PDP to Regents staff and RACGS for evaluation and review. Regents’ staff, upon advice of RACGS, will notify the institution whether or not further levels of approval are necessary.

III. **Inter-Institutional Degree Programs**

Graduate degree programs may sometimes be offered in the form of joint programs between RACGS institutions, as joint programs between a RACGS institution and a non-RACGS Ohio institution, as joint programs with a RACGS institution and an out-of-state or international institution, as a joint program between multiple Universities or with non-university institutions, or as a cooperative degree program as described below. When submitting a PDP for an inter-institutional degree program, the following definitions and distinction should be taken into account:

A. **Joint Degree Programs**

In a joint degree program, two or more universities share the administrative, supervisory, and academic responsibility for the proposed program. Degree authority resides jointly in all participating institutions. Individual institutions do not have independent authority to offer the degree.

B. **Cooperative Degree Programs**

Institutions participating in a cooperative degree program must obtain RACGS approval. The primary administrative and academic responsibilities fall to one of the participating institutions.

C. **University and Non-University Degree Program Collaboration**

Graduate programs can, in some instances, be strengthened through cooperation between a university and a non-university agency or laboratory. Examples include: governmental research units, private research organizations, and other public and private institutions such as museums, art galleries, libraries and industrial organizations.

D. **Review and Approval Process**

In all cases when an inter-institutional degree program is proposed, the principal concern is academic quality. All institutions participating in the degree program must be identified and the roles of each institution in the degree program must be fully described. Approval of new degree programs which entail joint, cooperative or collaborative inter-institutional arrangements require, in addition to the PDP a statement of policies and procedures for ensuring:

1) The provision of complementary *educational* experiences for students;
2) Supervision of students by qualified scientists or scholars at all institutions;

3) Mechanisms for advising and evaluation of students;

4) Mechanisms and procedures for program administration;

5) Mechanisms to maintain academic quality (this should include a description of how faculty members/collaborators at each institution are qualified and how quality is maintained);

6) Procedures for covering the costs involved in shared administration;

7) Compliance with policies on such essential matters as academic freedom, intellectual property rights, and affirmative action;

8) Safeguards against possible exploitation of the time and talents of students;

9) Official confirmation that ultimate academic responsibility rests with a RACGS university; and

10) In instances when inter-institutional arrangements involve non-RACGS institutions, a RACGS institution must be designated as the primary institution for the purpose of functioning as the prime contact with the Ohio Board of Regents and for assuring compliance with academic and administrative standards.

Changes to the curriculum and/or mode of delivery for programs already approved under criteria described in Part B above are subject to the same rules for review specified in Part A.

V. **Ad hoc Interdisciplinary Program for an Individual Student.**

If a university offers approved graduate degree programs in two or more departments at the appropriate degree level, the institution may initiate and develop an ad hoc interdisciplinary program of study for an individual student with the understanding that additional resources are not required, a new administrative unit is not created, and the degree will be awarded by the appropriate degree-granting authority. No RACGS approval is required for this type of program.
PART C.

GUIDELINES FOR SUSPENDING A GRADUATE DEGREE PROGRAM

I. SUSPENSION OF A GRADUATE DEGREE PROGRAM

When a university has decided to suspend admission to a graduate degree program, the university will inform the Chancellor’s staff and members of RACGS. A ‘Program Inactivation’ form must be completed and circulated to the RACGS listserve. The form can be accessed at: https://www.ohiohighered.org/racgs. A university may suspend a graduate degree program if the institution plans to reactivate the program at some future date. At any time within seven years of the initial suspension, the university may reactivate the program simply by informing OBR and the other RACGS members that the program will be admitting students once again. It is the responsibility of the university’s Graduate Dean to determine whether or not changes in the specific field of study, since the degree program was suspended, warrant the submission of a full planning proposal to OBR and RACGS.

II. DISCONTINUATION OF A GRADUATE DEGREE PROGRAM

A. If a suspended graduate degree program is not reactivated within the specified seven-year period, the program will be declared discontinued. If at a subsequent date after the seven-year period the university plans to reactivate a discontinued graduate degree program, the university must seek formal approval from OBR through RACGS in the same manner as required for approval of a new graduate degree program. In the view of RACGS, disciplinary changes in a specific area of study during a seven-year period may be significant enough that a new, or substantially revised, program may need to be developed.

B. When a university has no plans to reactivate a suspended graduate degree program, the Graduate Dean should inform OBR and RACGS that the degree program has been discontinued. It is understood that if the university ever plans to reactivate the suspended graduate degree program, it will be necessary to seek the approval of OBR and RACGS through the established procedures for development of a new graduate degree program.
PART D.

REVIEW OF GRADUATE PROGRAMS

I. GUIDELINES FOR GRADUATE PROGRAM REVIEW

The periodic review of graduate programs is necessary to ensure that graduate programs maintain quality and currency. The Chancellor and members of RACGS view graduate program review as an institutional responsibility. The process is designed to provide information to faculty and administrators at the local level, so that necessary changes can be made to maintain program quality. The process is not meant to be used to compare programs across the University System of Ohio or to determine state funding of graduate programs.

Although graduate program review is considered an institutional responsibility and will necessarily vary slightly from one university to another, all universities must employ graduate program review procedures that are consistent with the key features and elements outlined in the Council of Graduate Schools 2011 publication, Assessment and Review of Graduate Programs\(^1\), and must include a review of each element listed among RACGS “quality standards.”

A. Council of Graduate Schools (CGS) Key Features and Elements of Program Review

The CGS publication recommends that graduate programs be reviewed every five to ten years according to a published timetable. The document also outlines a number of important features of program review:

- the reviews should be evaluative and forward looking;
- the reviews should be fair and transparent as well as distinct from other reviews; and
- the reviews must result in action.

The CGS publication also provides guidelines regarding the elements that should be present in all graduate program reviews. The “key elements” are discussed fully in the CGS publication and include components such as:

- developing and disseminating clear and consistent guidelines;
- obtaining adequate staffing and administrative support;
- conducting a candid program self-study;
- incorporating appropriate surveys and questionnaires;
- including graduate students in the review;
- using both internal and external reviewers;
- obtaining a response from program faculty;
- delivering a final report with recommendations;
- implementing the recommendations; and
- following up over time.

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B. Quality Standards

Members of RACGS have developed the quality standards listed below. Assessment of continued compliance with these standards must be included in the graduate program review process.

1. Program Faculty

A level of faculty productivity and commitment shall be required commensurate with expectations of graduate program faculty as indicated by the following:

- The number and qualifications of graduate faculty members are judged to be adequate for offering the graduate degrees in the specified areas, and faculty supervise an appropriate number of students.

- The preparation and experience of the faculty are appropriate for offering the graduate degree in an intellectually challenging academic environment as demonstrated by active scholarship and creative activity judged by accepted national standards for the discipline.

  - Faculty members have achieved professional recognition (nationally, internationally).

  - The faculty garners significant external funding, as defined by disciplinary norms, which enhance the graduate program.

  - Directors of dissertations and a majority of committee members generate new knowledge and scholarly and creative activity as determined by disciplinary norms.

2. Program Graduates Since the Most Recent Review

A level of student satisfaction, student accomplishment, and graduate accomplishment exists as evidenced by the following:

- Students express satisfaction with advisement, teaching, and program support services.

- The structure and conduct of the program lead to an appropriate degree completion rate and time-to-degree.

- The predominant employment of graduates within three to five years after graduation is in fields consistent with the mission of the program.
• Graduates demonstrate preparation for career-long learning and success as indicated by periodic surveys of career changes, job satisfaction, and relevance of doctoral training to various career opportunities.

• Accomplishment and potential of program graduates to generate new knowledge or new initiatives in teaching, public service, and/or other practice.

3. Program Vitality

A vital graduate program is dynamic and should possess the following indicators:

• The environment of the doctoral program promotes a high level of intellectual interaction among students, graduate faculty, and the larger academic community;

• The curriculum has been updated during the period under review with disciplinary developments;

• Essential resources are provided (e.g., library materials, computer support, laboratory facilities and equipment, student financial support, etc.); and

• Requirements for completion of the degree are deemed appropriate to the degree.

4. Program Demand

A graduate program should be able to demonstrate that there is demand on the part of prospective students and that it is fulfilling a clear need through the following:

• Student demand/enrollment during the period under review: application ratio, student GPA and GRE scores, or other indicators as appropriate; and

• The extent to which the program meets community, region and state needs and occupational societal demands.

5. Program Interactions

Graduate programs do not exist in isolation but rather in relation to and in comparison to similar programs in the discipline at other institutions and to cognate areas in the same institution. Information regarding appropriate interactions should include:
• Centrality of the program to advanced study in the specific discipline(s) regionally or nationally;

• The ability of the faculty and students to make a particular contribution in this field;

• Interactions, including interdisciplinary, among graduate, undergraduate, and professional programs, as appropriate;

• Interactions with and in collaboration with similar programs at other universities and organizations; and

• Programmatic access to special leveraging assets such as unique on-campus or off-campus facilities, non-university experts or collaborative institutions in the discipline, industrial or other support, endowments, as well as special funding opportunities.

6. Program Access

There should be evidence that the program has established or seeks to establish an appropriate level of diversity among its faculty and its graduate student body, as evidenced by:

• Trends and expectations in student demographics; and

• Proven efforts to sustain and enhance diversity of faculty and students.

7. Assessment Mechanisms Used in Program Review

Since quality indicators are increasingly becoming an integral part of ongoing program review, an enhanced recognition of the uses of outcomes assessment in the review process provides a useful tool for program improvement, as demonstrated by:

• A summary of the appropriate outcome measures used to assess program quality; and

• Procedures must be in place to ensure the use of assessment data for continuous quality improvement of the program.

II. REPORTS TO THE CHANCELLOR OF THE OHIO BOARD OF REGENTS

A. Institutional Process

Each RACGS member must provide the Chancellor with a written document outlining the institution’s policies and procedures for conducting graduate program reviews. The document must describe the institutional process for
graduate program review and must indicate the cycle under which such reviews are conducted. When institutional policies and procedures for graduate program review are revised, the RACGS member must provide an updated document to the Chancellor.

B. Annual Report

By September 1 of each year, each RACGS member will provide the Chancellor and RACGS with an annual report of their existing graduate programs that were reviewed in the previous academic year. An ‘Annual Report’ form must be completed and circulated to Regents staff and RACGS via the RACGS listserv. The form can be accessed at: https://www.ohiohighered.org/racgs. The report must include:

- A list of the graduate programs reviewed;
- For each program reviewed, a summary of the findings related to program demand (i.e., student demand and the extent to which the program meets regional, state, national and societal needs);
- A list of graduate programs that have not been reviewed in the past 10 years with an explanation for the lack of review.
ARTICLE I

PURPOSE OF THE BYLAWS

These bylaws of the Frances Payne Bolton School of Nursing of Case Western Reserve University (1) define the duties of the Faculty of Nursing, committees and officers, (2) provide for establishment of committees and (3) provide for election of representatives of the Faculty of Nursing to the Faculty Senate, and to university assemblies as requested.

ARTICLE II

RESPONSIBILITIES OF THE FACULTY OF NURSING

Section 1: This faculty shall have responsibility to:

a. Adopt rules to govern its procedures, provide for its committees and make recommendations to the dean for such organization of the teaching staff as it may determine.

b. Organize and execute the educational program of the School of Nursing including admission and progression policies, curriculum content, degree requirements, instruction, and establishment and dissolution of academic programs, other than degree programs which require additional review and approval procedures as noted in the Faculty Handbook.

c. Make recommendations to the dean of initial appointments to the ranks of instructor, assistant professor, associate professor, and professor.

d. Establish policies relating to appointment, re-appointment, promotion and tenure for voting faculty and policies for appointment and promotion for special faculty members.

e. Make recommendations to the dean for tenure and promotion of faculty.

f. Elect members to the Faculty Senate and to university assemblies as requested.
ARTICLE III

MEMBERSHIP

Section 1 Exception to Rule In Faculty Handbook

Because of the practice nature of the discipline, the Provost has granted the School of Nursing an exception to the Faculty Handbook provision requiring that a majority of the voting faculty shall be tenured or tenure track. The goal of the School of Nursing is to reach such a majority.

Section 2 Voting members

The president and the chief academic officer of the university next in rank to the president and all persons holding full-time tenured/tenure track and full-time non-tenure track appointments to Faculty of Nursing at the rank of professor, associate professor, assistant professor, and instructor shall be voting members of the faculty.

Section 3 Special Faculty (Non-voting members)

Special faculty shall consist of faculty members who are appointed by the dean of the school and 1.) hold full-time academic appointments but have specific, limited responsibilities for the duration of a specific project or for a limited duration, or 2.) hold part-time academic appointments. Special faculty shall have voice but no vote except as noted in Article VII, Section I b. Subject to approval by the provost, the types and titles of special faculty are as follows:

a. Lecturer
All persons designated as lecturer are those:

1. Who have responsibility for teaching one or more courses included in the school's curricula; and

2. Whose academic qualifications and competencies are other than those for established university ranks.

b. Clinical Faculty
Includes all persons designated at the ranks of clinical professor, clinical associate professor, clinical assistant professor, and clinical instructor, and whose primary appointments are in service agencies whose resources provide settings, by agreement, for students and faculty to have opportunities to engage in education, research and service in accordance with policy and procedures of the School of Nursing.

c. Preceptor
All persons designated as preceptor are those:

1. Whose academic qualifications and competencies are other than those for established university ranks

2. Whose primary appointments are in service agencies whose resources provide settings, by agreement, for students and faculty to have opportunities to engage in education, research and service in accordance with policy and procedures of the School of Nursing.

d. Adjunct Appointments
Persons designated at university ranks of adjunct professor, adjunct associate professor, adjunct assistant professor, and adjunct instructor are those:

1. Whose special competencies can provide a desired complement for some designated service, activity or development of the School of Nursing; and

2. Whose academic qualifications meet criteria established for appointees at the same ranks and tracks as shown in Attachment A.
Persons designated at university ranks of research assistant professor, research associate professor, or research professor are those whose primary responsibilities are related to the research mission of the school and university. Neither teaching nor service (other than that related to the research mission) is part of the responsibilities of the research faculty member.

1. Research experience and qualifications are comparable to those of tenured/tenure track faculty at corresponding ranks.

2. Appointment as a research faculty member is contingent upon the availability of research funds to totally cover costs of the research and compensation. The appointment will terminate either prior to or at the end of the current appointment period in the absence of sufficient funds to cover these costs.

3. In the case of new appointments and promotions, the Committee on Appointment, Reappointment, Promotion and Tenure will provide a full review, comparable for that done for appointments and promotions of regular faculty to the ranks of assistant professor, associate professor, and full professor.

ARTICLE IV

SELECTION OF TRACK

Tenure or non-tenure track must be identified at the time of appointment or promotion to assistant professor or higher. The pre-tenure period in the School of Nursing begins at the rank of assistant professor or higher in the tenure track and is nine (9) years in length.

Tenured and tenure track faculty member obligations to the university include 1) teaching, 2) research, and 3) service to the university community. Non-tenure track faculty member obligations include two of the three.

ARTICLE V

OFFICERS

Section 1  Chairperson – The president of the university shall preside at faculty meetings. In the president’s absence, the chair of the Executive Committee shall chair the meeting; in the absence of the Executive Committee chair, the dean’s designee shall preside.

Section 2  Secretary – The secretary shall be appointed annually by the Executive Committee. The functions of the secretary are:

a. Monitoring the preparation of the minutes of the faculty meetings. Signing the official copy of the minutes.

b. Being responsible for distribution of these minutes to the faculty.

c. Serving on the Executive Committee.

ARTICLE VI

MEETINGS

Section 1  Regular Meetings – At least four (4) regular meetings shall be held between September 1 and May 31.

Section 2  Special Meetings – Special meetings may be called by the president, by the dean or upon request of three members of the voting faculty.

Section 3  Executive Committee Meetings – At least four (4) meetings shall be held between September 1 and May 31.

Section 4  Quorum – Twenty five percent of the voting members of the faculty shall constitute a quorum.
Section 5. Voting Body – See Article III, Sections 2 and 3 of these bylaws.

Section 6. Notice - The Chair, or, on the Chair's designation, the Secretary shall notify each member of the faculty at least one week before each regular and special meeting. Such notification shall be in writing and shall specify the time and place of the meeting.

ARTICLE VII

STANDING COMMITTEES

Section 1  Membership and Voting Privileges

a. The president of the university and the dean of the School of Nursing shall serve as members ex-officio of all faculty committees. Ex-officio status here and in subsequent sections of the bylaws carries with it voting privileges.

b. Persons holding appointments as special faculty may serve on committees and may vote in committees unless otherwise indicated in these bylaws.

c. Students serving on standing committees of this faculty may vote in committees unless otherwise indicated by these bylaws.

d. A faculty member may serve in no more than two (2) elected positions per year on standing committees of these bylaws.

e. An elected member shall be eligible for no more than two (2) consecutive terms on the same committee. An appointment to fill a vacancy on a committee does not constitute a term.

f. An administrative person serving as an ex-officio member of a standing committee shall convene the first meeting of the year, assist with administrative functions of the committee and provide continuity in the committee activities.

g. A quorum of any standing committee shall be one half the voting members unless specifically stated in the by-laws.

Section 2  Election and Appointment – The members of all standing committees shall be elected by the voting faculty or appointed as specifically stated. Faculty nominate themselves for positions on the ballot prepared by the Executive Committee. Committee vacancies will be filled by Executive Committee appointment. Elections will be held spring semester with newly elected and appointed members assuming duties beginning fall semester.

Section 3  Term of Office – The members shall serve for a specified term on each appointed or elected committee as designated in Article VII, Sections 6-15 of these bylaws.

Section 4  Chairperson – When the chairperson of a standing committee is not designated, and an ex-officio member is not regularly a member of the committee, a faculty member selected by the Executive Committee shall convene the first meeting of the academic year. The chairperson of each standing committee shall be elected annually in the fall by committee members, unless otherwise specified.

Section 5  Reporting – Each standing committee shall submit a written report at least one time per semester and following each regularly scheduled meeting if they occur more often.

Section 6  Executive Committee of the Faculty

a. Membership – The committee shall be composed of:

1. Seven (7) faculty members: six (6) members shall be voting faculty; one (1) shall be special faculty.

2. The dean of the School of Nursing – ex-officio.

3. The Associate Dean for Academic Affairs or an administrative officer who has academic status, appointed by the dean – ex-officio.
4. The associate dean for research – ex-officio.

5. The secretary of the faculty – ex-officio.

6. School representative to Faculty Senate Executive Committee – ex-officio

b. **Term**: Faculty shall be elected for a term of two (2) years. Four (4) faculty members shall be elected in even years and four (4) faculty members elected in odd years.

c. **Functions**
   1. Identify immediate and long-range issues needing faculty study and action.
   2. Provide all faculty the opportunity for discussion of proposals for faculty action.
   3. Prepare the agenda for each faculty meeting.
   4. Prepare and submit proposed changes in the bylaws to all faculty.
   5. Prepare a ballot and conduct an election for all elected positions within the school and university. Electronic ballots are permissible.
   6. Appoint ad hoc committees of the faculty. The Executive Committee shall provide each such ad hoc committee with a specific charge stated in writing and the ad hoc committee shall confine itself to the fulfillment of this charge unless otherwise authorized in writing by the Executive Committee. The maximum term of any such ad hoc committee shall be twelve months, subject to extension at the discretion of the Executive Committee.
   7. Act on behalf of the faculty between regular meetings of the faculty. Such action shall be reported by the chairperson of the Executive Committee at the next regular meeting of the faculty.
   8. Make appointments to fill vacancies on standing and ad hoc committees unless otherwise stated in these bylaws.
   9. Make recommendations to the dean on faculty-requested academic leaves of absence.
   10. Evaluate specific cases of student progression/retention as requested by program directors, students, or academic integrity board.

**Section 7  Budget Committee**

a. **Membership** – The committee shall be composed of:
   1. Six (6) voting faculty members three (3) of whom are elected and three (3) of whom are appointed. Appointments are made by the Executive Committee.
   2. The Dean of the School of Nursing – ex-officio

b. **Term**: Voting faculty are elected or appointed for a three (3) year term with one (1) faculty elected and one (1) faculty appointed each year.

c. **Functions**
   1. Review proposed budgets for consistency with strategic plan priorities.
   2. Review fiscal reports biannually and as needed.
   3. Advise the Dean on fiscal matters.
   4. Advise the Dean on the number and type of faculty and staff positions.
   5. Recommend to the Dean allocation of resources to faculty.
Section 8  Committee on Curricula

a. Membership – The committee shall be composed of:

1. Four (4) voting faculty members and one (1) special faculty member.

2. A minimum of one (1) student and no more than four (4) students from any of the following programs: BSN, MSN, GENP, or DNP.

3. Program directors for the BSN, GENP, MSN and DNP programs – ex-officio.

4. The Associate Dean for Academic Affairs – ex-officio.

5. The Registrar for the School of Nursing will serve in an advisory (non-voting) capacity.

b. Term – Voting faculty shall be elected for a term of two (2) years. Two (2) voting faculty members shall be elected in even years and two (2) voting and one (1) special faculty member shall be elected in odd years. Students are selected by the appropriate student association and shall serve for one (1) year.

c. Functions

1. Evaluate the curricula and courses in the BSN, GENP, MSN, and DNP programs, and other approved academic programs.

2. Recommend to faculty changes to existing programs or courses, creation of new programs, specialties, majors or courses, and deletion of current programs, specialties, majors or courses.

3. Recommend policies to the faculty regarding the progression and graduation of students.

Section 9  Committee on Admission to the Graduate Entry Nursing Program (GENP)

a. Membership – The Committee shall be composed of:

1. Five (5) elected and up to three (3) appointed faculty members all of whom must be voting faculty.

2. Director of the GENP Program who shall serve as chair.

b. Term – Faculty shall be elected for a term of two (2) years; three (3) members shall be elected in even years and two (2) members elected in odd years. Up to three (3) faculty shall be appointed annually by the director of the GENP program.

c. Functions

1. Evaluate GENP program admission policies and criteria and recommend changes to the faculty.

2. Interview non-nurse, post-baccalaureate applicants to the GENP program.

3. Admit applicants to the GENP program.

Section 10  Committee on Admission to the Doctor of Nursing Practice Program (DNP)

a. Membership – The committee shall be composed of:

1. Three (3) elected and two (2) appointed faculty members all of whom must be voting faculty.

2. Director of the DNP program who shall serve as chair.

b. Term – Faculty shall be elected for a term of two (2) years; two (2) members shall be elected in even years and one (1) member elected in odd years. Two (2) faculty shall be appointed annually for one (1) year terms by the Director of Post-Master’s DNP Program.

c. Functions

1. Evaluate DNP program admission criteria and policies and recommend changes to the faculty.
2. Interview applicants for admission to the DNP program.
3. Admit qualified applicants to the DNP program.

Section 11  Committee on Admission to the Master of Science in Nursing (MSN) Program

a. Membership – The Committee shall be composed of:
   1. Four (4) members; all must be voting faculty.
   2. Director of the MSN Program, who shall serve as chair.

b. Term – Faculty shall be elected for a term of two (2) years; two (2) members shall be elected in even years and two (2) members elected in odd years.

c. Functions
   1. Evaluate admission policies and criteria, for the MSN Program and recommend changes to the faculty.
   2. Admit qualified applicants for admission to the MSN program.
   3. Interview applicants, if appropriate.

Section 12  Bachelor of Science in Nursing (BSN) Program Admission and Progression Committee

a. Membership – The committee shall be composed of:
   1. Two (2) elected and two (2) appointed faculty members all of whom must be voting faculty. Faculty shall be appointed by the director of the BSN program.
   2. Director of the BSN Program, who shall serve as chair.

b. Term – One (1) faculty shall be elected and one (1) shall be appointed in even years; one (1) faculty shall be elected and one (1) faculty shall be appointed in odd years; elected and appointed faculty shall serve two (2) year terms. Faculty shall be appointed by the director of the BSN program.

c. Functions
   1. Evaluate Bachelor of Science in Nursing admission policies and criteria and recommend changes to the Office of Undergraduate Admission.
   2. Evaluate applications as requested by the Office of Undergraduate Admission.
   3. Advise the director of the BSN program on issues of admission and progression of individual undergraduate nursing students.

Section 13  Grievance Board

The Grievance Board will hear matters related to School of Nursing-related grievances which may include, but are not necessarily limited to: (1) All aspects of the educational process, involving student performance, evaluation, grading, status, and/or progression; (2) Data pertaining to student records, grades, etc., which are not covered by the Federal Family Educational Rights and Privacy Act regulations and procedures; (3) Questions of professional conduct by or toward students; and (4) Actions perceived by students as unfair, discriminatory, or intimidating.

a. Membership
   1. Equal number of students and faculty.
   2. Three (3) voting members of the faculty shall be elected. Student representatives shall be appointed as needed from each of the three (3) student groups (Undergraduate Student Nurses Association for BSN, Graduate Student Nurses Association for MSN, MN, DNP, and PhD Student group for PhD). Each student group will appoint at least one student member to serve on the Board.
   3. One (1) of the elected faculty members will be designated as chairperson by the dean.
4. If for any reason there are not at least two (2) faculty and two (2) student members of
the Grievance Board available to hear the grievance, the Executive Committee of the faculty shall
designate faculty member(s) as replacements and the Executive Committee of the Student Associations designate student member(s) as replacements.

b. Term – Faculty shall be elected for a term of two (2) years. Two (2) shall be elected in odd-numbered years and one (1) in even-numbered years.

c. Functions

1. Schedule and conduct hearings according to policy and procedure after notification of
an official notice of a grievance.

2. Submit recommendations to the dean upon adequate deliberations following the hearing.

Section 14 Academic Integrity Board

The Academic Integrity Board will hear matters related to any activity that compromises the academic integrity of the University, or subverts the educational process; as described in the student handbook. To the extent that the matter relates to student standing or promotion, it shall be considered by the Executive Committee instead.

a. Membership

1. Three (3) voting members of the faculty shall be elected. Three (3) student representatives (one each from the MN, MSN, and DNP programs) shall be appointed as needed by the Graduate Student Nurses Association. All will serve as voting members.

2. One (1) of the elected faculty members will be designated as Chairperson by the Dean or designee.

3. A quorum is defined as four (4) voting members.

4. If for any reason there are not at least two (2) faculty and two (2) student members of the Academic Integrity Board available to serve, the Executive Committee of the faculty shall designate faculty member(s) as replacements and the Executive Committee of the Graduate Student Nurses Association designate student member(s) as replacements.

5. Associate Dean for Academic Affairs – ex officio (non-voting).

6. Administrator from Student Services – ex officio (non-voting).

b. Term

Faculty shall be elected for a term of two (2) years. Two (2) faculty shall be elected in odd numbered years and one (1) in even numbered years.

c. Functions

1. Undergo training regarding Academic Integrity policies and processes.

2. Schedule and conduct hearing according to policy and procedure after official notification of a potential violation of academic integrity for which the School of Nursing has jurisdiction.

3. Submit recommendations to the Associate Dean for Academic Affairs upon adequate deliberations following the hearing.

Section 15 Committee on Faculty Appointment, Reappointment, Promotion and Tenure

a. Membership

1. The Dean of the school who serves as chairperson.

2. All voting members of the faculty holding rank of professor with tenure.

3. Additional members may be appointed from among the tenured faculty at the discretion of the Dean so long as the number does not exceed the number of professors with tenure.
b. Functions

1. Recommend to the faculty revisions or changes in the definitions of faculty appointments to the School of Nursing. (see attachment A)

2. Make recommendations for emeritus status.

3. Review university and school policies relevant to faculty appointments, reappointments, promotion and tenure and to make recommendations for needed change through appropriate channels to the faculty of nursing and to the Faculty Senate.

4. Review procedures relevant to faculty appointments, reappointments, promotion and tenure and make recommendations for needed change through appropriate channels to the faculty of nursing and to the Faculty Senate.

5. Recommend appointments, reappointments, promotions and tenure for the voting faculty.

6. Review the resources and time (taking into account rank and type of faculty appointment) needed for scholarly growth, academic achievement and professional development including the commitment of resources that accompanies an award of tenure, and recommend changes to the faculty of nursing and administration.

Section 16 Committee for Evaluation of Programs

a. Membership

The committee shall be composed of:

1. Four (4) voting faculty members and one (1) special faculty member.

2. A minimum of one (1) student and no more than four (4) students from any of the following programs: BSN, MSN, GENP, DNP or PhD. The student(s) will be selected by the appropriate student association.

3. The program directors for the BSN, MSN, GENP, DNP and PhD Programs – ex officio.

4. The Associate Dean for Academic Affairs – ex officio.

5. The Director of Institutional Research for the School of Nursing – ex officio.

b. Term

Faculty shall be elected for a term of two (2) years; two (2) members to be elected in even years, and two (2) members elected in odd years. Student members shall be selected by the respective student associations annually.

c. Functions

1. Develop forms and procedures to evaluate educational process, course and program outcome criteria. Individual faculty members and program directors will be responsible for evaluating courses and teaching effectiveness.

2. Implement, monitor and revise an ongoing system for evaluation.

3. Report its findings and recommendations to the faculty for action.

Section 17 PhD Council of the School of Nursing

a. Membership

1. Nine Eleven (11) elected members with voting privileges; all voting faculty members with research doctorates (e.g., PhD, DNSc, EdD); one (1) will serve as chair of the admissions committee; the composition of membership will include:

   a. Two (2) to four (4) members from each rank: Assistant Professor, Associate Professor, and Full Professor.
b. The majority of Council members should be tenured or on the tenure-track.
   a. Eligible for election:
      i. Research doctorate (e.g., PhD, DNSc, EdD).
      And
      ii. Eligible to chair PhD dissertations as defined by the School of Graduate Studies (SGS)
           (i.e. tenured, tenure-track, or special approval from the SGS)
      Or
      iii. Currently teaching a course in the PhD nursing program

b. Composition:
   i. Full professors = 3
   ii. Associate professors = 4
   iii. Assistant professors = 4

2. Four (4) ex officio members (Dean, Director of PhD program, Associate Dean for Academic Affairs, and Associate Dean for Research; these members will have voting privileges.

3. The Director of Institutional Research in the School of Nursing (non-voting).

4. One PhD student representative (non-voting)

b. Elections

1. Faculty members will nominate themselves or be nominated by colleagues. Members will be elected from the pool of nursing faculty members who meet the eligibility criteria defined above, hold research doctorates (e.g., PhD, DNSc, EdD) and have an active program of research (i.e., have conducted and published research within the past three (3) years) and are eligible to teach in the PhD program and/or advise/mentor PhD students.

2. Eligibility for placement on the ballot and the determination of the composition of the committee will be made verified by a two (2) to three (3) member subcommittee of the PhD Council.

c. Terms of office

1. Terms of office will be staggered with elections held. Three Council members will be elected in the Spring semester each year with the following rotating schedule, to serve a three (3) year term so that the terms are staggered; members may serve for not more than two (2) consecutive terms.
   a. Year A: election of 1 full professor, 1 associate professor, and 2 assistant professors.
   b. Year B: election of 1 full professor, 2 associate professors, and 1 assistant professor.
   c. Year C: election of 1 full professor, 1 associate professor, and 1 assistant professor.

2. Members may serve for not more than two (2) consecutive terms (unless otherwise deemed necessary by the PhD council).

23. If a Council member is unable to fulfill his or her term for any reason, the remaining members of the PhD Council will appoint another eligible faculty member to fulfill the term.

d. Functions

1. Establish and maintain criteria for appointment of PhD Council.

2. Establish and maintain all policies for admission, progression, candidacy, and graduation of students in accordance with the policies governing requirements for the PhD in Nursing and the School of Graduate Studies.

3. Develop, evaluate, and change the curricular requirements of the PhD in Nursing program.

4. Recommend to the School of Graduate Studies:
   a. PhD nursing students for candidacy.
   b. PhD students for graduation.
54. Provide advice to the program director on issues related to admission, progression, and evaluation of courses and PhD program.

55. Collaborate with the Office of Student Services at the School of Nursing in PhD student recruitment.

56. Communicate with and obtain feedback from the pool of nursing faculty members who hold research doctorates (e.g., PhD, DNSc, EdD).

57. Monitor the progress of the PhD program in meeting quality indicators.

e. **Meetings**

1. Monthly meetings will be held during the academic year and as needed during the summer months.

2. Meetings will be open to all nursing faculty members with research doctorates (e.g., PhD, DNSc, EdD).

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**Section 18 Committee on Admission to the PhD Program**

a. **Membership**

1. Six (6) members; all voting faculty members with research doctorates (e.g., PhD, DNSc, EdD).

   a. **Eligibility for election:**
      i. Research doctorate (e.g., PhD, DNSc, EdD).
      And
      ii. Eligible to chair PhD dissertations as defined by the School of Graduate Studies (SGS) (i.e., tenured, tenure-track, or special approval from the SGS) or
      Or
      iii. Currently teaching a course in the PhD nursing program

2. Chairperson elected from PhD Council.

3. Director of the PhD program is a member Ex-officio.

b. **Election**

Faculty members will nominate themselves or be nominated by colleagues; members will be elected from the pool of nursing faculty members who meet the eligibility criteria to serve on the PhD Council as defined above; hold research doctorates (e.g., PhD, DNSc, EdD) and an active program of research/scholarship and are eligible to teach in the PhD program and/or advise/mentor PhD students.

c. **Terms of office**

1. Faculty shall be elected in the Spring semester of each academic year for a term of two (2) years; three (3) members shall be elected in even years and three (3) members elected in odd years.

2. If a committee member is unable to fulfill his or her term for any reason, the remaining members of the PhD Council will appoint another eligible faculty member to fulfill the term.

d. **Function**

Recommend to the Director of PhD Program and School of Graduate Studies qualified applicants for admission to the PhD in nursing program and for scholarships or fellowships.
ARTICLE VIII

SPECIAL COMMITTEES

Special committees may be designated to carry on faculty business not otherwise specified in these bylaws. Members shall be appointed by the dean. Special committees shall submit regular reports to the faculty.

ARTICLE IX

UNIVERSITY FACULTY SENATE

Section 1 Representation

a. The faculty of nursing shall elect senators to the Faculty Senate. The number of senators shall be in accordance with the Constitution of the University Faculty.

b. The student body of the School of Nursing may have elected members on the Faculty Senate in accordance with the Constitution of the University Faculty.

Section 2 Election

a. The senatorial elections shall be held in the spring term.

b. Faculty Senators from the School of Nursing shall be voting members of the faculty. These senators shall be elected to serve three (3) year terms; one-third of them shall complete their term of office on commencement day each year. A Senator shall not be seated unless at least 40% of the voting members have returned ballots in the election.

ARTICLE X

REVISION OF BYLAWS

These bylaws may be amended by a two-thirds affirmative vote of the voting members present at any meeting, provided copies of proposed changes have been distributed to all members, both voting and nonvoting, at least two (2) weeks before the meetings at which the vote is taken.

If changes have not been distributed at least two (2) weeks in advance, these bylaws may be amended by a 95% affirmative vote by the voting members of the faculty present at any meeting.

ARTICLE XI

PARLIAMENTARY AUTHORITY

Robert’s Rules of Order Newly Revised (most recent revision)
Outline for Faculty Senate Finance Committee Update to Senate
Professor Scott Fine, Chair of Faculty Senate Finance Committee
11/24/2014 (Postponed to 12/17/2014)

1. Goals and work-to-date
   a. Communicate and coordinate between UGEN, operating unit finance committees, Senate, UBS → Continuous improvements this year
   b. FSFC has met three times this semester
      i. September – Review of 2013/14 actuals and work plan for the year
      ii. October – Steve Campbell and John Wheeler from Campus Planning and Facilities Management and Deans/Interim Deans spoke about Accenture
      iii. November – Treasury (late conflict so postponed); Q1 update and preliminary capital budget for 2014/15

2. 2013/14 actual vs. last update given in April (Q2 forecast)
   a. 2013/14 actual vs. last update to Senate in April
      i. 2013/14 actual performance – surplus of $7.2 million vs. budget of $6.2 million and prior forecast (Q2) of $6.8 million; however actual surplus includes $2.9 million one-time reversal of an accrual health care liability; as a result the comparable “actual” is $4.3 million vs. a budget of $6.2 million and a prior forecast (Q2) of $6.8 million
      ii. As we need to constantly remind ourselves, these are thin surpluses on an overall budget of over $1 billion
      iii. If we look at the reasons for the shortfalls to the prior estimates, they rest on several key items:
         1. First some positive variances – restricted gifts were better than anticipated, salaries and fringe (unfilled positions and the previously mentioned health care accrual reversal) and auxiliaries (where the surplus is “ring fenced” for investment requirements in auxiliaries)
2. These were more than offset by several unfavorable variances – student aid coming in higher than anticipated, lower R&T and overhead recovery resulting from reduced grant activity and lower professional tuition.

3. Four out of eight operating units were in an operating deficit, even after tuition subvention; half of these were in a hard deficit after use of retained surplus.

b. Capital expenditures

i. All operating items were essentially on budget (facilities maintenance, IT, libraries, auxiliaries)

ii. Focus on one item – debt retirement fund

1. Intention was to add $20 million to the debt retirement fund (that was plan)

2. Instead, the Board decided to use these funds for two long-standing items that have carried over from previous administrations

   a. Contribution to MSASS Investment Pool Debt

   b. “True Up” for funding of prior restricted projects

3. 2014/15 budget and Q1 forecast

   a. Final budget for 2014/15 is surplus of $3.9 million vs. prior and preliminary budget of $6.7 million

   b. Composition has changed as well - operating margin budget is now $1.4 million vs. initial budget of $5.2 million; more retained surplus has been utilized in the few units that have remaining surplus

   c. Why were these changes made? Operating margin expectations were pared back as 2013/14 unfolded; the overall budget was brought in due to operating shortfalls in specific units and the unavailability of sufficient remaining retained surpluses in operating units

   d. Q1 forecast shows expected surplus of $1.6 million vs. budget of $3.9 million; operating margin is ($0.6 million) vs. budget of $1.4 million
i. Major reasons are threefold: continued operating pressures in many of the operating units with insufficiency of remaining retained surpluses; shortfalls in R&T and a larger-than-anticipated shortfall in one unit in particular (MSASS)

ii. Budget and Q1 forecast both show that five units are in operating deficit (CAS, CSE, MSASS, LAW, NURS); four of these units have hard deficits even after use of retained surplus (as opposed to two last year)

iii. Keep in mind that Q1 is always the lowest watermark and the outlook generally improves from here; still, operating margin is forecast to be negative and our overall surplus is very thin

4. 2014/15 Capital expenditure budget
   a. Most operating items are in line with last year dollar-wise (facilities maintenance, IT, libraries, auxiliaries)
   b. Debt retirement fund has been budgeted at $15 million instead of $20 million; balance is $70 million and the thought is that we’ll get to $100 million in two years
   c. This does not include the $40 million for the new dorm scheduled to be completed in September 2015; incremental debt is being funded by increases in overall housing occupancy (not just new dorm “beds”)

5. Remaining work to be done by FSFC this year
   a. Treasurer (Bob Brown) to discuss liquidity, debt capacity, debt retirement plans (both external and internal)
   b. VP Research to discuss R&T
   c. Endowment/Office of Investments (we did this last fall)
   d. Enrollment/Financial Aid (we did this last fall)
   e. “Report outs” by each school working with Accenture – CSE and LAW are completed; CAS and MSASS are next
   f. Regular iterations on quarterly performance updates, capital budget, special projects
6. Issues FSFC will continue to voice on behalf of Senate and faculty as a whole

   a. Declining operating margins despite increases in undergraduate enrollment; this is in part due to discount rates (remember every 1% change in unfunded financial aid equates to approximately $2 million of operating margin); it is also important to realize that this year is the last year of tuition subvention and next year is the last year of undergraduate class size increases

   b. Importance of increasing faculty and staff salaries (morale and loss of good people) (as the President and Provost have voiced, this is a stated goal but challenging in the current fiscal environment)

   c. Planning and funding for costs related to new buildings (e.g., University Center, Temple project, etc.)

   d. Adequate funding for deferred maintenance, upgrades of classrooms and especially labs, library, etc.

   e. Revisiting UGEN allocations (overall level and basis of allocation) (this is the primary charge of the UBC but it is also an ongoing issue for FSFC)

      i. Not that there is a “pot of gold” at UGEN (as this is clearly not the case); rather, the implications of allocations and the ability of the operating units to sustainably cover them

      ii. Again, this is a complex issue where the primary arena to discuss them is in individual operating units/Dean’s Council and the UBC along with UGEN

7. While FSFC will continue to raise these critical issues, they must be considered against the following backdrop for the University as a whole:

   a. The overall University is operating on very thin margins, with five of eight operating units estimating operating losses and four hard deficits after use of retained surplus

   b. While we can debate the pros and cons of RCM, the truth is that it all rolls up into a consolidated University picture that again, reflects thin margins

   c. Each operating unit is working hard to address strategic and tactical opportunities to enhance graduate and professional revenues and to control costs; Accenture has been retained to assist; feedback from
the two units that have been through this thus far is that the process has been quite constructive

d. We have one more year of consolidated four year undergraduate enrollment growth; this coupled with improvements in unfunded financial aid should be of some assistance

e. We still need to more closely examine our overall structural costs, both at UGEN and in the units as the lack of surpluses restrict our ability to fund identified strategic initiatives and to fund all of the necessary capital items previously outlined
Faculty Senate
FSFC Update

December 17, 2014
Professor Scott Fine
Goals and Work to Date

- Communicate and coordinate between
  - UGEN
  - Operating unit finance committees
  - Senate
  - UBC

- Three meetings this semester
2014 Actual Surplus vs. Prev. Update (Q2)

Budget $6.2 million

Q2 Outlook $6.8 million

Actual $7.2 million

$4.3 million before one-time reversal

Note: first time in five years that surplus was below budget and below prior year
### 2014 Operating Review – Key Variances

<table>
<thead>
<tr>
<th>Favorable to Budget</th>
<th>Unfavorable to Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Restricted Gifts $8.5 M or 21.7%</td>
<td>• Student Aid ($7.7 M) or -5.0%</td>
</tr>
<tr>
<td>• Total Salaries $5.3 M or 2.1%</td>
<td>• Research &amp; Training ($4.9 M) or -1.6%</td>
</tr>
<tr>
<td>• Fringe $4.0 M or 5.5%</td>
<td>• Overhead Recovery ($2.0 M) or -2.7%</td>
</tr>
<tr>
<td>• Auxiliaries $2.0 M or 3.3% $4.5 M surplus</td>
<td>• Professional Tuition ($3.7 M) or -2.9%</td>
</tr>
</tbody>
</table>
## Summary of Operations by Management Center
### 2014 Actual

<table>
<thead>
<tr>
<th>In thousands of dollars</th>
<th>Total Revenue</th>
<th>Total Expense</th>
<th>Operating Margin</th>
<th>Undergraduate Tuition Subvention</th>
<th>Use of Retained Surplus</th>
<th>Surplus/(Deficit)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAS</td>
<td>$102,434</td>
<td>$107,368</td>
<td>$(4,934)</td>
<td>$1,999</td>
<td>$2,935</td>
<td>$-</td>
</tr>
<tr>
<td>CSE</td>
<td>$91,827</td>
<td>$94,495</td>
<td>$(2,668)</td>
<td>730</td>
<td>-</td>
<td>$(1,938)</td>
</tr>
<tr>
<td>WSOM</td>
<td>$48,236</td>
<td>$48,161</td>
<td>75</td>
<td>343</td>
<td>-</td>
<td>418</td>
</tr>
<tr>
<td>MSASS</td>
<td>$23,506</td>
<td>$24,078</td>
<td>$(572)</td>
<td>3</td>
<td>569</td>
<td>-</td>
</tr>
<tr>
<td>LAW</td>
<td>$30,839</td>
<td>$35,940</td>
<td>$(5,101)</td>
<td>1</td>
<td>2,164</td>
<td>$(2,936)</td>
</tr>
<tr>
<td>DENT</td>
<td>$35,217</td>
<td>$33,967</td>
<td>1,250</td>
<td>3</td>
<td>-</td>
<td>1,253</td>
</tr>
<tr>
<td>NURS</td>
<td>$25,074</td>
<td>$25,091</td>
<td>$(17)</td>
<td>173</td>
<td>-</td>
<td>156</td>
</tr>
<tr>
<td>CSOM</td>
<td>$457,760</td>
<td>$456,027</td>
<td>1,733</td>
<td>80</td>
<td>-</td>
<td>1,813</td>
</tr>
<tr>
<td>UGEN</td>
<td>$197,694</td>
<td>$185,949</td>
<td>11,745</td>
<td>(3,332)</td>
<td>-</td>
<td>$8,413</td>
</tr>
<tr>
<td><strong>OPERATING RESULT</strong></td>
<td><strong>$1,012,587</strong></td>
<td><strong>$1,011,076</strong></td>
<td><strong>$1,511</strong></td>
<td>-</td>
<td><strong>$5,668</strong></td>
<td><strong>$7,179</strong></td>
</tr>
</tbody>
</table>
## 2014 Capital Expenditures

**On Budget – Except Debt Retirement Fund**

<table>
<thead>
<tr>
<th>REQUIREMENTS</th>
<th>Object</th>
<th>Object</th>
<th>Object</th>
<th>Object</th>
</tr>
</thead>
<tbody>
<tr>
<td>Debt Retirement Fund</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>(20,000)</td>
</tr>
<tr>
<td>Principal Payments, External Debt</td>
<td>-</td>
<td>(14,061)</td>
<td>(14,061)</td>
<td>(11,655)</td>
</tr>
<tr>
<td>Contribution to Investment Pool for MSASS Debt</td>
<td>-</td>
<td>(10,348)</td>
<td>(10,348)</td>
<td>-</td>
</tr>
<tr>
<td>Funding of Restricted Projects</td>
<td>-</td>
<td>(7,630)</td>
<td>(7,630)</td>
<td>-</td>
</tr>
<tr>
<td>Recognition of Internal Loan Debt Principal Payments</td>
<td>-</td>
<td>(5,541)</td>
<td>(5,541)</td>
<td>(6,013)</td>
</tr>
<tr>
<td><strong>TOTAL OTHER REVENUE</strong></td>
<td>$</td>
<td>-</td>
<td>(37,580)</td>
<td>$ (37,580)</td>
</tr>
</tbody>
</table>
# 2015 Final Budget vs. Previous Prelim. (Q2) and Current Outlook (Q1)

<table>
<thead>
<tr>
<th></th>
<th>Surplus</th>
<th>Operating Margin</th>
</tr>
</thead>
<tbody>
<tr>
<td>Previous Prelim (Q2)</td>
<td>$6.7 million</td>
<td>$5.2 million</td>
</tr>
<tr>
<td>Final Budget</td>
<td>$3.9 million</td>
<td>$1.4 million</td>
</tr>
<tr>
<td>Q1 Outlook</td>
<td>$1.6 million</td>
<td>($0.6 million)</td>
</tr>
</tbody>
</table>
## Summary of Operations by Management Center
### 2015 Q1 Outlook

<table>
<thead>
<tr>
<th>In thousands of dollars</th>
<th>Total Revenue</th>
<th>Total Expense</th>
<th>Operating Margin</th>
<th>Undergraduate Tuition Subvention</th>
<th>Use of Retained Surplus</th>
<th>Surplus/(Deficit)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CAS</td>
<td>$104,006</td>
<td>$110,534</td>
<td>$(6,528)</td>
<td>$1,590</td>
<td>$1,489</td>
<td>$(3,449)</td>
</tr>
<tr>
<td>CSE</td>
<td>94,533</td>
<td>96,856</td>
<td>(2,323)</td>
<td>573</td>
<td></td>
<td>(1,750)</td>
</tr>
<tr>
<td>WSOM</td>
<td>56,408</td>
<td>55,909</td>
<td>499</td>
<td>274</td>
<td></td>
<td>773</td>
</tr>
<tr>
<td>MSASS</td>
<td>24,855</td>
<td>26,001</td>
<td>(1,146)</td>
<td>2</td>
<td>108</td>
<td>(1,036)</td>
</tr>
<tr>
<td>LAW</td>
<td>33,385</td>
<td>37,136</td>
<td>(3,751)</td>
<td>1</td>
<td></td>
<td>(3,750)</td>
</tr>
<tr>
<td>DENT</td>
<td>35,599</td>
<td>35,408</td>
<td>191</td>
<td>3</td>
<td></td>
<td>194</td>
</tr>
<tr>
<td>NURS</td>
<td>26,226</td>
<td>26,911</td>
<td>(685)</td>
<td>135</td>
<td>550</td>
<td>-</td>
</tr>
<tr>
<td>CSOM</td>
<td>449,903</td>
<td>449,551</td>
<td>352</td>
<td>62</td>
<td></td>
<td>414</td>
</tr>
<tr>
<td>UGEN</td>
<td>203,581</td>
<td>190,786</td>
<td>12,795</td>
<td>(2,640)</td>
<td></td>
<td>10,155</td>
</tr>
</tbody>
</table>

| OPERATING RESULT       | $1,028,496    | $1,029,092    | $(596)           | -                                | $2,147                | $1,551           |
2015 Capital Expenditure Budget

• Operating items in line with last year ($)
  • Facilities
  • IT
  • Libraries

• Debt retirement fund budgeted for $15 million

• Does not include $40 million for new dorm
Remaining Work

- Treasurer (liquidity, debt capacity, debt retirement plans – internal and external)
- Funding of new facilities (capital and operating)
- VP Research (R&T)
- Endowment/OFFice of Investments (one year cycle)
- Enrollment/Financial Aid (one year cycle)
- “Report outs” / Accenture updates
- Regular updates
Issues FSFC Will Continue to Voice

• Declining margins despite increasing enrollment

• Faculty and staff salary pool increases

• Funding for operational costs related to new facilities

• Adequate funding for deferred maintenance, upgrades of classrooms and especially labs

• Revisiting UGEN allocations
Conclusions

• University operates on very thin margins

• RCM has pros/cons, but it all “rolls up” into CWRU

• Each unit is working hard – Accenture has been constructive resource

• Benefit from one more year of undergraduate enrollment growth

• Importance of examining overall structural costs
Request for Endorsement of a Resolution to the President

Students and faculty have access to panels that can be used to address a variety of issues that might be considered “grievances.” These panels provide an opportunity for an “open air” hearing, in which accuser and accused, or complainant and respondent, are presented with materials at issue. These materials can be discussed, authenticated, and, if necessary, interpreted. There is currently no equivalent process for staff. This situation is made even more burdensome by the fact that Ohio law allows an employer to fire/terminate an employee without cause, which means that the employee can not take his/her case to court. The only possible recourse in such a situation is for the employee to contest the termination on the grounds of discrimination (age, religion, sex, etc.).

It is proposed that CWRU establish a grievance process for staff that is equivalent to the current process used for faculty and students. It is anticipated that the availability of an ombudsman or mediator would help keep the number of actual panel hearings to a minimum; this has been the case with faculty. The new panel would be composed of CWRU staff, and might be overseen by the current Staff Advisory Council Chair. The panel members would be selected in advance so that hearings could be scheduled with a minimum of delay; this process has worked well with faculty.

Therefore, it is requested that the Faculty Senate endorse a recommendation to the President of the University that very strongly encourages the establishment of a staff grievance process that is equivalent to the one available to faculty and students. The establishment of an equivalent process will abolish the appearance of discrimination against staff and ensure their status as valued members of the University community.