

The President's Committee on Investment in Faculty Excellence

Executive Summary

As Southern Methodist University prepares to celebrate its Centennial, the University is also at the threshold of a remarkable opportunity- the transformation of a respected regional institution into one of national prominence. The foundation for this opportunity was laid during the last decade through the leadership of the SMU Board of Trustees and President Gerald Turner. Guided by the *1995 Centennial Master Plan* and supported by the *Campaign for SMU: A Time to Lead*, the University's leaders raised over \$530 million in a successful effort to move SMU forward on a number of fronts, one of which involved transforming the physical infrastructure of the campus through the construction of state-of-the-art facilities for academics, athletics, the arts, and student services. Because the greatest universities boast grand buildings peopled by a grand academic community engaged in teaching, learning, and research, our next step toward national prominence requires investing in the transformation of the University's academic infrastructure.

Students and faculty are the core of the University's academic community. In the summer of 2003, President Turner appointed the *President's Committee on Investment in Faculty Excellence* to study the faculty component of academic excellence. During the past fifteen months, the Committee has undertaken a comprehensive examination of the present state of the SMU faculty. With the assistance of the Office of Institutional Research and our colleagues throughout the University, we have compared our faculty with competitive universities in Texas and with prominent private benchmark universities across the country. The critical insights obtained through this comparative analysis are

reflected in the course of action needed so that SMU can join the ranks of the nation's top fifty universities within a decade of our Centennial.

In developing a strategic plan for faculty excellence, the Board of Trustees and the President need the support of the faculty. To this end, the *President's Committee on Investment in Faculty Excellence* brought together senior professors from all of SMU's schools. In the following pages, we offer the results of our investigations and also make recommendations involving goals in three interrelated domains: (1) increasing faculty productivity in teaching and research; (2) increasing the quality and quantity of graduate students working with faculty on research; and (3) improving the support services and infrastructure for faculty and graduate student research programs.

In carrying out its work, the Committee has built on the opportunities offered by our Centennial and the upcoming capital campaign to frame and fund a number of our recommendations. However, our concern is more with the goals being met than the means whereby they are achieved. We also recognize that progress toward implementing the recommendations will require important shifts in the budget planning of the University even before the commencement of the capital campaign.

The recommendations, which appear at the conclusion of our report accompanied by rationales for what led to them and indications regarding what their implementation would make possible at SMU, are five in number:

Recommendation One: The University should add at least 38 endowed chairs and professorships that support salary and benefits, provide enhanced staff support, and generate funds to support research, thereby bringing the number of chairs that are substantially or fully backed by endowment to 100.

Recommendation Two: The University should create 100 Centennial Professor positions that would be awarded competitively; occupied for three-year, renewable terms; and carry with them a \$15,000 stipend.

Recommendation Three: The University should create 100 Fellowships that would ensure that assistant professors annually receive summer and other research-related support. Budget relief provided by this program should be used to assist other faculty in attending conferences and meetings, giving papers, and doing primary research.

Recommendation Four: In addition to improving the stipends paid to all graduate students, the University should create 200 Centennial Graduate Fellowships, to be awarded to incoming and continuing graduate students on a competitive basis with the goal of enhancing the stipend the students would otherwise receive by at least \$5,000

Recommendation Five: The University should build the research-support infrastructure by addressing an array of needs for more resources in Central University Libraries and the Office of Research Administration.

By accomplishing the goals envisioned in these five recommendations, we believe that the Board of Trustees and the President can capitalize on a unique opportunity to

move beyond the level of regional respect and to lead the University across the gap that separates us from nationally prominent benchmark universities. We envision joining the ranks of Duke, Emory, Northwestern, and Vanderbilt, our sister universities of Methodist heritage.

It is in that spirit that we offer up the following Report on the President's Committee on Investment in Faculty Excellence, which summarizes in detail the findings and collective thinking of the Committee, providing, insofar as possible a history of and rationale for the work that led to the formulation of the recommendations set forth succinctly above and amplified in the final section of the Report.

Respectfully submitted by:

Ross Murfin, Provost and Vice President for Academic Affairs, Chair

Rhonda Blair, Meadows School of the Arts

Gary Evans, School of Engineering

Ellen Jackofsky, Associate Provost for Administrative and Faculty Affairs

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Report of The President's Committee on Investment in Faculty Excellence:

Introduction

Southern Methodist University is a University in Transformation

Southern Methodist University is at a critical juncture as it prepares to celebrate its centennial year. Although, as briefly indicated above, the University is building an excellent faculty in some areas and maintaining faculty quality in others, some of its programs suffer in terms of faculty excellence and productivity--especially when compared to those at universities we have labeled "benchmark" institutions. As it approaches its Centennial, SMU has a unique opportunity at this time to close the gap that has separated us for so many years from the nation's elite institutions. Although improving student quality is one way to close that gap, the surest and most lasting way of boosting SMU's reputation in the ranking of American universities is by investing in the quality of our faculty.

Whereas the University's last capital campaign, *SMU: A Time to Lead*, had a primary (though by no means exclusive) focus on building the physical infrastructure of the campus, the President has stated that the upcoming capital campaign will have as its primary focus the development and renewal of the intellectual infrastructure of the University. The Committee believes strongly that *the faculty component of the next capital campaign should be designed to put in place the resources needed to move SMU into the top 50 universities of the nation within a decade of our Centennial*. The Committee understands that not all the resources raised will come in the form of endowments; nonetheless, *faculty endowment initiatives have the unparalleled potential to bring about the aforementioned objective, as they decrease the reliance of the*

University on tuition revenue to: 1) pay highly competitive salaries; 2) recruit nationally the most productive research faculty; 3) strengthen doctoral programs (a critical component of faculty productivity): and thus 4) close the gap between our faculty's productivity and achievement with those of faculties at benchmark universities. (This gap, it should be noted, is likely to grow as these and other Texas schools seek to enhance their own reputations. Our objective cannot be just to close the existing gap but also to anticipate what steps we will need to take to keep pace and move ahead of the competition.)

In short, the Committee believes that a campaign deliberately focused not on “bricks and mortar” but, rather, on “robes and mortarboards” could lead to the accomplishment of the first goal of the University’s Strategic plan as well as the first objective of the first goal:

- Goal One: To enhance the academic quality and competitiveness of the University
- Objective One: The enhancement of the University’s ability to attract and retain top-quality faculty

Based on its support of this primary goal and closely related objective--and on its belief that the envisioned Centennial Campaign could be the vehicle to propel SMU into the top tier of American universities--the Faculty Senate passed the following resolution on April 16, 2003:

- *Resolved*, That the Faculty Senate asks that the President appoint a small planning group chaired by the Provost to draft a specific approach to investment in faculty excellence with the charge of identifying specific strategies to achieve the goals and objectives of the Strategic Plan

President Turner, in a May 21, 2003, letter to incoming Faculty Senate president Norman Wick, readily agreed to the importance of such a committee. He wrote that its findings “could become the template for our ongoing reviews regarding a number of factors that can help in our quest to be among the top 50 universities in the country. Such information,” he went on to state, “would help direct our annual efforts to enhance our academic quality and begin to provide the type of information that could be useful in our next major gifts campaign.” He ended his letter by “challeng[ing] the committee to develop a full picture of the faculty of the institution that we, in some instances, are, and in others, aspire to be.”

The President’s Committee on Investment in Faculty Excellence

In the summer of 2003, The President’s Committee on Investment in Faculty Excellence was appointed. Its members consisted of a slate proposed to President Turner by the Faculty Senate: Provost Ross Murfin, chair; Associate Provost Ellen Jackofsky; Don VandeWalle, Cox School of Business; Robert Van Kemper, Dedman College II; Patty Wisian-Neilson, Dedman College III; Dan Shuman, Dedman School of Law; Rhonda Blair, Meadows School of the Arts; Marjorie Procter-Smith, Perkins School of Theology; and Gary Evans, School of Engineering. At its first meeting, held on September 24, 2003, the President charged the committee by requesting that, throughout their ongoing deliberations, members keep in mind that faculty development initiatives inevitably respond--as well as lead--to faculty achievement and faculty excellence.

Pursuant to the President’s charge, the Committee developed a list of indices for internal as well as external measurement and comparison. (The idea was to find what our *own* “best practices” are in the faculty development area, not just the best practices at higher-ranked universities. Admittedly, at this point, the Committee decided to forego

consideration of a number of very important issues. Foremost among these, *faculty salaries* and *teaching loads*, were reluctantly taken off the list for two reasons. First, the already-known and obvious differences that exist among units at SMU (or any comparable university) are the result of prevailing national norms and market forces the Committee could not alter--even if it chose to--via any set of recommendations it might make. Second, the equally well-established differences between SMU's salaries and those prevailing at our benchmark institutions (See: Appendix 1) are, the Committee decided, similarly beyond its reach and mandate. The Committee decided that, although it would be a simple (if simplistic) matter to recommend that these gaps be closed--immediately or over some period of time--it would be more credible, useful, and in keeping with the Committee's reach and mandate to make more specific, targeted recommendations (e.g., establish new chairs and professorships in strategic areas) that would move the University toward the same goal by retaining and attracting top professors.

Having discussed the issues surrounding salaries and teaching loads, the Committee planned to focus its attention on the following, six areas, each of which corresponds with a section of the report that follows:

- **Section I:** external funding in the sciences, social sciences, and engineering; startup packages
- **Section II:** nationally and internationally recognized fellowships and memberships, major publications
- **Section III:** endowed chairs and professorships
- **Section IV:** leave policies, summer support, academic conference attendance and research-related travel
- **Section V:** graduate student support

- **Section VI:** libraries, research office, research foundation
- **Section VII:** recommendations

Note that, beyond the six sections, the report contains a number of *Appendicies*, which contain data or further information referenced in the report's first four (main) sections.

Section I:

External Funding in the Sciences, Social Sciences, and Engineering

A Snapshot of SMU in 2004

At the Committee's request, John Kalb, SMU's Director of Institutional Research, used information obtained from the National Science Foundation to develop data which could reliably be used in comparing external research funding, first across the various units of SMU, then between the sum total of funding received by SMU and that received by other (benchmark and operational) universities. The figures arrived at indicate separately budgeted research and development (R&D) expenditures and include: 1) all funds expended for activities specifically organized to produce research outcomes and commissioned by an agency either external to the institution or separately budgeted by an organizational unit within the institution; 2) research equipment purchased under research project awards from current fund accounts; and 3) research funds for which an outside organization, educational or otherwise, is a subrecipient. Excluded are: training grants, public service grants, demonstration projects, clinical trials, and departmental research expenditures that are not separately budgeted.

In comparing units within SMU, it is possible to use very recent data; thus, the figures below indicating external funding levels for the University as a whole, Dedman College and its high-volume departments, the School of Engineering and its high-volume departments, and the Division of Education and Lifelong Learning refer to fiscal year 2004:

- Total, Southern Methodist University: \$19,658,689

Dedman College total: \$7,752,800. Percent of University total: 39.4% (85% of College total brought in by 5 departments: Geological Sciences, Biological Sciences, Chemistry, Physics, and Statistical Science).

School of Engineering total: \$2,667,940. Percent of University total: 13.5% (91% of School total brought in by Electrical Engineering, Mechanical Engineering, Computer Science and Engineering departments).

Division of Education and Lifelong Learning total: \$9,953,868. Percent of University total: 40% (79% of Division total brought in via the T.I. Institute for Reading Research (Inst/Reading Research)

It should be noted that the high level of funding received through DELL is a relatively new phenomenon. Historically, the vast majority of the University's external research support has come through Dedman College and the School of Engineering.

SMU vs. Benchmark and Operational Institutions: A 2001 Snapshot

In order to assess SMU's external funding level, it is necessary to compare it with that of benchmark and operational schools. Unfortunately, to make an "apples to apples" comparison, we had to narrow the scope of our snapshot comparison to focus strictly on National Science Foundation (NSF) funding levels, since comparative information regarding other funding or organizations is unavailable or unreliable. Because of the time it takes for NSF to collect and disseminate the kind of data presented above regarding

SMU's external funding levels, the Committee was forced to use data from calendar year 2001 in comparing our levels with those at other institutions.

As the figures below demonstrate--and as the version of them presented in Appendix 2 indicate even more graphically--there really is no comparison between SMU's external funding levels for research and those at our benchmark universities. It should be noted that SMU has improved markedly in the period 2001-2004, thanks in part to: 1) the building of the Dedman Life Sciences Building and the Jerry R. Junkins Engineering building; and 2) the recruitment of outstanding new faculty in those and other science and engineering areas.

SMU's \$9.8 million dollar NSF total compares unfavorably with funding levels at all benchmark institutions, including the five with the lowest funding levels: Brandeis (\$47.1 million), Notre Dame (\$52.4 million), Brown (\$109 million), Tulane (\$102 million), and Wake Forest (\$111 million). The leaders of the benchmark pack--Duke, Emory, Northwestern, USC, and Vanderbilt, respectively--all brought in more than \$200 million a year in comparable research funding.

When we turn to our operational-comparison schools, things look better, but not dramatically so. As can be seen in Appendix 3, SMU brings in more NSF dollars in externally-funded research support than American University, Baylor University, Duquesne University, Fordham University, Texas Christian University, the University of San Diego, and--in all likelihood--Pepperdine University. We are behind--but only slightly behind--the University of Denver and Catholic University, whereas we are well behind Boston College and Lehigh, whose research numbers (in the \$300M range) compare favorably with those posted at the top benchmark schools.

It should be noted that Lehigh has an especially heavy concentration in Engineering disciplines, which--because they tend to be disproportionately fundable via

external agencies--would tend to explain why that “operational” institution performs at a “benchmark” level. It should also be noted, however, that even though several of our benchmark and operational institutions house medical schools--which tend to get a disproportionate share of federal funding for academic research--the numbers stated above and appearing in Appendices 2 and 3 do not include direct support for medical school research support.

Start-Up Support

The surest way of increasing external funding levels is to hire faculty candidates with the greatest potential to compete for sizable grants. Increasingly, hiring new assistant professors involves putting together a “start-up package” designed to help newly-appointed faculty members (who are often coming to SMU directly from a Ph.D. program elsewhere) achieve their research goals in a timely fashion and thus be eligible for reappointment, promotion, and tenure.

In some fields, such as the arts and humanities, startup involves a new desktop computer and an internet connection. In other fields--such as biology, chemistry, and certain areas of engineering--competitive startup packages are significantly more costly to the University--but even more necessary if the fledgling faculty member is to have any chance of succeeding as a researcher. This is because research success in these fields involves writing successful grant proposals to federal agencies, i.e., receiving significant external funding. Without a functional, properly-equipped laboratory, young scientists and engineers can neither do the research they propose to do nor make a convincing case that they are capable of doing it. Agencies may be willing to share the cost of additional equipment with a university, but they expect applicants to have all the basic equipment

that a researcher in the field would typically have in his or her lab. Thus, startup costs where scientists and engineers are concerned includes the cost of “lab set-up.”

- In the School of Engineering, startup packages since 2001-2002 have involved relocation costs, two months of summer support, support of one graduate student for one or two years, and between \$20,000 and \$100,000 worth of equipment and supplies, the average falling in the \$50,000 range.
- In Dedman College, during roughly the same period, startup packages in biology, chemistry, and physics have involved summer support for two summers, support for one to four post-docs for up to three years, expenditures for the reconfiguration of lab space, and between \$20,000 and \$350,000 in equipment and supplies. The total cost of these startup packages has ranged between \$150,000 (for an experimental physicist) and \$640,000 (for a molecular biologist), with an average across the three disciplines of about \$350,000.

It is important to remember that, in this area of faculty support, huge school-by-school differences are appropriate to the kind of work being done and the tools needed to do it. To know whether the levels of support provided by a given school are appropriate and adequate, we need to be able to answer the following two questions: 1) are the startup packages competitive to the point that we are able to hire the very best job candidates; and 2) if so, do the candidates we hire go on to become successful researchers--however success is measured in their discipline--during their probationary period as assistant professors.

Section II:

Nationally and Internationally Recognized Fellowships

Memberships, and Major Publications

Status Report on SMU

One of the ways of measuring the research prowess of, the intellectual capital generated by, a university's faculty is to consider the number of individual professors who have earned nationally- and internationally-recognized awards and prizes, who have won the most prestigious competitive research fellowships, and who have been offered memberships in highly selective national or international academies. Even leaving aside the case of Nobel Laureates, which precious few universities can lay claim to, SMU's numbers are modest; in comparison with our benchmark schools they look dismal. (Data regarding SMU and all twelve benchmark schools may be found in Appendix 4; what follows is merely a prose synopsis presenting the big picture of the gap our institution would need to close to have the research muscle flexed by our aspirant institutions.)

SMU has never had a faculty member in the American Academy of Arts and Sciences or the National Academy of Engineering. It has had two professors named to the National Academy of Sciences--anthropologists Fred Wendorf and Lew Benford--but both are now retired. Where the most prestigious fellowships are concerned, the University fares somewhat better--but only somewhat. Six SMU professors, three of them now retired, have won the prestigious Guggenheim Fellowship: Schubert Ogden, William May, James Breeden, Lee McAlester, Robin Lovin, and Willard Spiegelman. During 1999-2003 (the period for which we have reliable data regarding ourselves and the benchmark institutions), no SMU faculty won Sloan Foundation Research

Fellowships or Mellon Grants. However, three faculty members during that same period won Fulbright Fellowships, three others won fellowships from the National Endowment for the Humanities, and two young professors have won NSF Faculty Early Career Development (CAREER) Awards (these were formerly called PYI/Young Investigator Awards).

The Situation at Benchmark Institutions

SMU's track record of winning the most nationally and internationally prestigious memberships and fellowships is weak when compared to benchmark institutions, as mentioned above. In 2003, Brandeis and Brown had 25 faculty who were members of the American Academy of Arts and Sciences; Duke had 35, Northwestern 50. Carnegie Mellon boasted 14 members of the National Academy of Engineering; USC counted 19. There were 16 Duke professors and 13 Northwestern professors in the National Academy of Sciences.

Other benchmark schools post more modest numbers: Vanderbilt has four faculty who are in the National Academy of Sciences, and only one is in the National Academy of Engineering; Tulane has three professors in the various national academies combined. However, the Tulane faculty won 15 Fulbright's (to SMU's 3) during the period 1999-2003 and 5 NSF Early Career Awards (to SMU's 2). One bright spot: SMU was competitive with all but one benchmark institutions where National Endowment for the Humanities grants was concerned. Leaving out Notre Dame, which won 16 such awards in the period 1999-2003, the range was 1-7, with the most typical number of NEH awardees being 3, the same number as SMU. (Brandeis, Brown, and Tulane also had 3; Vanderbilt had 1, Emory 2.)

Getting from Here to There

The faculties of the benchmark institutions were not built in a day. In order to have a faculty of similar renown, SMU needs to support the research of all its faculty and develop its top professors through the steps that lead to major memberships and awards. In Dedman College, Professor Shlomo Weber was awarded the prestigious Alexander von Humboldt Prize for Foreign Scholars in the Humanities (50,000 euros). In the School of Engineering, one faculty member has been made a fellow of the American Society of Civil Engineers, another has been named a fellow of The Society for Design and Process Systems, two are fellows of the American Society of Mechanical Engineering, and four are fellows of the Institute of Electrical and Electronic Engineers. Two other engineering faculty have received Research Initiation Awards from NSF.

It is, of course, their research that brings faculty members these sorts of recognitions, and there is evidence that, in the past decade, our faculty has begun to do more, better quality, more widely recognized research. In a somewhat dated (1996) ranking of law faculty based on the frequency of publication in the most cited law reviews, *The Chicago-Kent Law Review* ranked SMU's Dedman School of Law 46th (See: Appendix 5). As an indication of how closely tied publication is to reputation, our law school was ranked the 47th best law school by the most recent issue of *U. S. News and World Report*. Of the seventy five schools ranked based on faculty publication, the Dedman School of Law ranks below the law schools of seven benchmark institutions (USC, Northwestern, Vanderbilt, Duke, Emory, Tulane, and Wake Forest) but above the law schools at three: Brandeis, Brown, and Notre Dame. Only four law schools at operational universities make the rankings (American, Fordham, San Diego, and Catholic); of these, only American outranks SMU in terms of publications. Of the 100 law schools ranked by the closely-watched *U. S. News and World Report*, 33 of the 45

schools ranked above us in terms of faculty publication have a higher *U.S. News* ranking as well, whereas only 8 of the 28 schools ranked below us in terms of publication have a higher *U.S. News* ranking (See Appendix 6).

The Cox School of Business has also been ranked in terms of research productivity. A paper published in the *Academy of Management Journal* in 2000 ranked the top fifty business schools based on publications in the twenty leading journals, two to three draw from each of the following fields: accounting, finance, management, marketing, strategy, information, real estate, and operations (See Appendix 7). Cox ranked 37th for the period 1986-1998 and 35th for the more recent period of 1994-1998, higher than three of the benchmark schools that are ranked (Notre Dame, Dartmouth, and Vanderbilt) but lower than four: Northwestern, USC, Duke, and Carnegie Mellon. (Pride should be taken in the fact that: 1) of the three other benchmark universities that have business schools (Emory, Tulane, and Wake Forest) none are ranked in the top fifty; and 2) no operational university is ranked in the top fifty.

Once again, there would appear to be a strong correlation between publications and reputation. Cox is ranked 52nd in the most recent *U.S. News* rankings, which ranks the business schools of seven benchmark universities (Northwestern, Dartmouth, Carnegie Mellon, Emory, Notre Dame, Wake Forest, Vanderbilt, USC, and Duke) higher than SMU's Cox School and one business school (Tulane) lower (See Appendix 8). With regard to the operational universities--none of which ranked in the top fifty in terms of publication--only three (Boston College, TCU, Pepperdine) were ranked among the top 100 by *U.S. News*. Of these, only Boston College was ranked above Cox.

In "Business Research in Eight Business Disciplines," a conference paper presented in 2003 and subsequently emailed to all business school deans, 30 top business schools research are ranked based on citations of published faculty research. (See

Appendix 9.) SMU ranked in the top 30 in five of the eight disciplines included: 25th in Finance, 13th in Information Systems, 16th in Marketing, 16th in Strategy. All of these ratings were higher than the rankings of the same department in The University of Texas business school and, depending on the discipline, compared favorably with our benchmark universities, especially with Tulane, Wake Forest, Notre Dame, and Emory.

One of the departments rated in this study, Economics, is not in the business school at SMU: our Department of Economics is, instead, in Dedman College. Ranked 29th in this study of business research in eight business disciplines, the department fared well--but not as well--in an update on "Trends in Ranking of Economics Departments in the U.S.: An Update," published by *Economic Inquiry* in 1997. Based on the publications of all economists at the university, SMU ranked 58th for number of pages produced during the period 1984-1993; based on pages produced by faculty in the Economics department, SMU was ranked 64th. When adjusted for the number of faculty members in our department, however, SMU's ranking rose to 46th. When considering only pages published in the top five journals, SMU ranked 64th as a university and 68th as an economics department. None of the faculty was listed as one of the country's top fifty economists.

In Econometrics, a field within Economics, SMU was ranked 26th in the world (24th when adjusted for size) by the *Journal of Applied Econometrics* in 1999. Listed in the journal's "Hall of Fame" were three faculty: Nathan Balke, Daniel Slottje, and Kathy Hayes. Although our econometrics group was not ranked so high in *Economic Theory* in 2003 (depending on research areas, we ranked mostly in the 40's and 50s, though we ranked 34th when only three core econometric journals were counted). Again, though, several faculty were included in the journal's Hall of Fame: Essie Maasoumi (for 140

theory papers), Daniel Slottje, and Kathy Hayes. (See Appendix 10 for economics rankings.)

In presenting a snapshot of SMU's faculty publications, the focus has been on economics, business, and law simply because those areas are competitively ranked in respected publications. Across the board, working in departments where research output isn't quantified or ranked, SMU faculty are also placing papers, articles, and books in the types of journals and presses that will eventually bring us the research renown associated with our benchmark institutions.

Section III:

Endowed Chairs and Professorships

Their Role at Private Institutions:

At private universities such as ours, named professorships and chairs supported by sizable endowments (minimally \$1 million in the case of professorships, up to \$3 million in the case of chairs) are a critically important means to the end of developing faculty excellence. There is a strong correlation between a private university's ability to attract and retain top faculty and the number of named, endowed positions it has available. Generally speaking, academically weak institutions have few such chairs and professorships, whereas the top universities have many spread across a variety of schools, departments, and programs.

It should be noted that large public universities do business differently from private institutions, sometimes naming professorships for donors who make relatively small gifts, sometimes attaching a general, university-wide name (e.g., "Commonwealth Professor") to dozens or even hundreds of positions. In either instance, the institution would also provide the faculty member holding the professorship with some minimal benefit beyond what is provided to other faculty.

Private universities sometimes have a few positions of this type. For instance, in 1982, SMU's Board of Trustees established a maximum of ten University Distinguished Professorships (UDPs) that currently pay a \$10,000 annual stipend to outstanding faculty in departments or divisions in which no endowed, named chair or professorship exists or is open for reassignment. Modest as it is, the \$10,000 salary enhancement, combined with nothing more than the honorific title that may be used in publications and correspondence, seems to help the University retain talented and productive faculty.

More recently, the University has been able to reward some of its most outstanding teachers via the Altshuler University Distinguished Teaching Professorships, which are held for a two-year term, provide a \$5,000 stipend for each of the two years and convey ongoing membership in the University's Academy of Distinguished Teachers.

Unendowed and limited-term professorships provide an indisputable benefit. However, at our benchmark universities--all of which are private institutions--virtually all chairs and professorships are endowed positions named after specific donors or individuals they wish to honor. More important, a significant percentage of full professors hold these endowed positions, which provide among the best faculty salaries paid by the university as well as staff support (typically two or three chairholders share a secretary), a travel and research fund, a library acquisitions account, etc.

Admittedly, at many private institutions--even at our benchmark universities--some of these endowed, named positions are "underfunded," which is to say that the income generated by the endowments attached to them does not pay all or even most of the faculty member's salary, let alone for additional benefits. This fact is sometimes unknown by or entirely unimportant to the named professor or chairholder, because the university funds the entire gap between what the endowment provides and that which is provided by a mature, fully-funded chair in that academic area. In other cases, where the university only partially makes up the difference between what is provided by the endowment and what would be generated by a fully- (or even over-)funded chair, the underfunded status of the chair is *still* unimportant to the faculty member because he/she still receives the financial benefits assigned and the honorific of a named position and the distinction it implies and confers. A few of the chaired positions are over-funded so that school deans can assign those additional monies for other faculty purposes.

The underfunded status of endowed chairs and professorships, both at SMU and at our benchmark universities, is important to note for two reasons. First, whereas we have been able to identify which of our own named faculty positions are underfunded--and whether or not the university is “making them whole”--it is impossible to determine the exact, financial status of every named, honorific position at other (e.g., our benchmark) institutions. Second, and more important: the underfunded status of many chairs and professorships even at elite institutions tells us that the mechanism by which chairs and professorships play a role in faculty development is not objectively determinable or exactly quantifiable because, among faculty, the “coin of the realm” is at least as much reputation and respect as it is dollars and cents.

Endowed Chairs and Professorships at SMU: A 2004 Snapshot

Of the 596 full-time faculty positions on the University’s books at this time, some 78 are named chairs or professorships. In addition to the fact that some of these positions are underfunded, the Committee took note of the fact that some are unfilled and others are somewhat unusual insofar as they are designed for junior faculty. However, because--again--the exact status of professorships and chairs at other institutions cannot accurately be known, the Committee was satisfied to use the number 78, calculating it as a percentage of the whole:

- Of SMU’s 596 faculty positions, 78 are named and 62 are substantially endowed (13% of total); 30% of full professors occupy endowed positions.

The allocation of SMU’s 78 named chairs and professorships is set forth below, along with endowed positions as a percent of total full-time faculty positions in the referenced school are:

- University-level chairs (not including UDPs) reporting to the Provost: 4 (5 % of total)
- Edwin L. Cox School of Business: 22 (28% of Cox School total)
- Dedman College: 22 (28% of Dedman College total), broken down as follows by division:
 - Dedman I (Humanities): 9 (11.5% of total)
 - Dedman II (Social Sciences) : 5 (6% of total)
 - Dedman III (Natural Sciences, Mathematics): 8 (10% of total)
- Dedman School of Law: 11 (14% of Dedman Law total)
- School of Engineering: 5 (6% of the School of Engineering total)
- Meadows School of the Arts: 7 (9% of the Meadows School total)
- Perkins School of Theology: 7 (9% of the Perkins School total)

Endowed Chairs and Professorships at SMU vs. Benchmark Institutions:

A 2004 Snapshot:

At the Committee’s request, John Kalb contacted all twelve benchmark universities in an attempt to gather data for comparative purposes. Five of those institutions--Brown, Carnegie-Mellon, Dartmouth, Tulane, and the University of Southern California--either did not respond to our request or responded that they do not make such information available. The institutions that did report back tended, understandably, to provide the information they wanted to provide and to use their own metrics, norms, and vocabulary, thus creating what in some instances may be “apples vs. oranges” comparisons:

- At Brandeis, over 20% of full-time faculty--and 50% of tenured full professors--occupy “named positions.”
- Emory has 2,410 full-time faculty, 827 excluding medical faculty. It has 180 “endowed positions.”
- Of Notre Dame’s 788 “ranked faculty positions,” 149 (19%) are endowed.
- Of Northwestern’s 933 tenured faculty, 336 (35%) are endowed chairs.
- At Vanderbilt, 26% of full professors, 1.3% of associate professors, and 1.8% of assistant professors hold an endowed chair. Five endowed chairs are held by untenured faculty.
- Approximately 1/7 (15%) of Wake Forest’s faculty positions are endowed in some way, fully or partially.

One could easily come to the conclusion that the data received is, at best, unhelpful. After all, some schools use--as the denominator in their calculus--“full-time positions” (as we have done), whereas others use “ranked positions” (presumably including assistant, associate, and full professor rank), and still others “tenured faculty” (presumably associate and full professors). Compounding the problem, some benchmark institutions refer to the numerator--the distinguished subset of their larger groups--as “endowed chairs,” whereas others use terms like “endowed positions,” “named positions, or “endowed professorships.” There is also the fact that one university speaks of named professorships/endowed chairs that individuals occupy for five-year terms. Do other benchmark institutions have this kind of temporary named professorship and/or endowed chair and remain silent on the subject?

Nonetheless, we can learn some important things from these internal and external comparisons, namely:

- Many--and probably most--benchmark institutions have far more endowed/named/chairs/professorships than we do, and the number of such positions they have represents a greater percentage of the overall, ranked, and tenured faculty, not to mention the full professoriate.

But the Committee identified an even more salient feature after looking at the internal and benchmark comparisons, not only regarding endowed chairs and professorships but also the previous item, funded research:

- At SMU, most external research funding comes from the areas of the natural sciences and mathematics, the social sciences (including education), and engineering, and yet the University has only 24% of its endowed chairs or professorships in these areas (3% of the total of full-time faculty).

The Committee fully realizes that external funding is hardly the measure of a university, or of its reputation or ranking. Nonetheless, it does acknowledge that if SMU wishes to “catch up,” reputationally, with benchmark institutions, it will--as stated above--have to double its research support at least every five years. That will mean investing in areas, such as the sciences and engineering, in which significant levels of external funding are possible, or even likely.

Section IV:

Leave Policies, Summer Support, Academic Conference Attendance and Research-Related Travel

Leave Policies:

In all six schools of the University research leaves are not automatic but, rather, must be applied for. In making application for a leave, faculty are required to describe their proposed research projects in detail, showing reasons why time off from teaching would result in timely completion of the project. Applications are reviewed at the department (in the case of departmentalized schools) and/or school level, generally by the dean and by a faculty committee. Faculty who have not recently been productive as researchers and/or who did not produce significant research as a result of their last research leave often do not apply for leaves, and, if they do, they are typically turned down.

Policies governing the length and frequency of faculty research leaves (sometimes referred to as “sabbaticals”) vary widely among schools of the University. The Dedman School of Law and Perkins School of Theology have the most generous best leave policies; whereas the Cox School of Business, Dedman College, and the School of Engineering have what might be termed the University’s “standard” policy. (It should be noted that, of these three schools, Dedman College provides special leaves for its most research-active faculty and that these leaves compare favorably with those in Perkins and the Dedman School of Law.) Leave policies in Meadows School of the Arts seem less generous (faculty may apply to take paid leaves of absence), probably reflecting the fact that, in the performing arts areas, many faculty do not do research *per se* and may not need the large blocks of uninterrupted time needed by non-arts faculty to write books and monographs. Having said that, it should be noted that Meadows includes not just the

performing arts but also art history, programs such as theater studies and music history, and four communications divisions (e.g., Corporate Communications) that expect faculty to meet “traditional” academic criteria (e.g., significant publication) for career advancement. Also, large blocks of time away from teaching can even be necessary for certain performers: actors’ engagements can involve a month or more for rehearsals and several additional months of performance. (Certainly, an actor would be hard-pressed to take a role in New York or London without going on leave.)

Because criteria for approval of leaves and special leaves may vary from school to school, it is difficult to be certain regarding which schools’ *practices* are most stringent or liberal. Nonetheless, the *policies* of the schools are as stated below:

- Perkins School of Theology: Faculty may apply for a one-semester leave at full pay after every three years (six semesters) of full-time teaching; alternatively, they may apply after six years (twelve semesters) of full-time teaching for a full-year leave at two-thirds pay, with additional subsidy possibilities from external, School, or University sources;
- Dedman School of Law: Typically, faculty apply for a one-semester leave at full pay or a full-year leave at two thirds pay after every six years (twelve semesters) of full-time teaching.
- Dedman College: General leave policy is the same as for Cox School of Business and the School of Engineering (see below). However, the College’s most research-active policy may apply for a one-semester leave at full pay or a full-year leave at half

payee after every three years (six semesters of full-time teaching);

- Cox School of Business, School of Engineering; Meadows School of the Arts: Faculty may apply for a one-semester leave at full pay or a full-year leave at half pay after every six years (twelve semesters) of full-time teaching; in accordance with University policy, faculty may take a leave of absence without pay and typically do so when they have won external fellowships to pursue research or other projects.

Like Meadows School faculty, faculty in all schools have the option to take a leave of absence without pay. An unpaid leave of absence taken by a non-tenured faculty member may not count as one of the probationary years preceding the tenure decision, nor--for faculty in schools granting paid leaves--does it affect subsequent eligibility for either regular or special leaves.

Summer Support

Salary support during the summer months can be instrumental in attracting and retaining top faculty. Faculty are on nine-month contracts; summer support means that young, untenured faculty will not be tempted to teach, consult, or seek other employment during that time of the year when they can give undivided attention to their research. Thus, they are more likely to produce, during their probationary period, a body of research and the kind of evidence of having a national or even international reputation that will lead to tenure and a long and successful career as a scholar-teacher. Tenured

faculty, too, are more likely to produce the kind of research record that leads to promotion to full professor if they have summers free to work in libraries and laboratories at SMU or at other top universities and/research centers at other universities in the U.S. and abroad.

Again, SMU's six schools provide summer support to varying degrees. Also, it should be recognized that faculty need different levels of summer support to the degree that they need blocks of uninterrupted time and/or--perhaps especially--to travel to accomplish their research objectives. Nonetheless, the varying policies of the six schools are indicated below:

- Cox School of Business: New tenure-track faculty receive full summer support (2/9 of base salary) for their first three years; following that, they may receive up to that level of summer support in a competitive grant application process;
- Dedman School of Law: All tenured and tenure-track faculty are eligible to apply and compete for summer support in the range of \$7,000-\$20,000;
- Dedman College has no formal summer support policy; however, when new faculty are appointed they sometimes receive one or two years worth of summer support as part of their hiring arrangement/startup packages. Along with other eligible University faculty, Dedman College faculty can apply

for University Research Council grants though these are typically small and for things other than salary support;

- School of Engineering: Full summer support (2/9 of salary) for the first year or two may be negotiated as part of the startup package for new faculty; established faculty desiring summer support for research generally derive it from externally-funded grants and contracts;
- Perkins School of Theology: Faculty may apply for an \$8,000 Scholarly Outreach Award, in exchange for which they commit to devote one summer entirely to a writing/research project and to complete the project within three years;
- Meadows School of the Arts: Summer support is provided at the Division, not School, level and generally comes in the form of secretarial assistance.

Although the point can again be made that many Meadows faculty do not produce the kind of research, in libraries and labs, that is done by faculty in the other schools, a number of Meadows faculty (in art history and certain communication fields) do exactly this type of research. Moreover, a good argument can be made that summer support would be especially helpful to performing arts faculty. Salaries paid to arts faculty nationally are relatively low in comparison to those earned by faculty in other areas, so the lack of summer support may disproportionately drive performing arts faculty to take on summer jobs that do not have a direct bearing on research, performance expertise, or

even teaching. Summer is when playwrights write, dancers produce choreography, musicians compose, and visual artists make paint and sculpt, because these activities require the same large blocks of time necessary to humanists writing books.

Academic Conference Attendance and Research-Related Travel

Once again, policies and practices vary widely from school to school, and--as with summer salary--the Cox School of Business sets the pace where this type of research support is concerned.

In Cox, as opposed to in other schools, faculty are supported in attending academic conferences in their area of research even if they are not themselves giving papers, chairing sections, or participating in panel discussions. The only other school that underwrites participation in conferences at which supported faculty are not serving in a speaking or administrative role is the Perkins School of Theology, which provides \$1,000 a year to each faculty member to assist them in attending professional meetings and conferences.

However, unlike Cox, Perkins provides no support for visiting primary research sites--only for conference attendance. In order to receive research travel support, Perkins faculty, like many Dedman faculty, must apply for grants from the University Research Council (URC), which is under the auspices of the Dean of Research and Graduate Studies. It should be noted that faculty from these schools are quite successful in garnering funding from the URC, generally reporting that the competition for these grants is reasonable and fair.

Meadows faculty also successfully apply for URC grants but also have access to other forms of research/conference support. However, because these are generally made available either at the division level or through special faculty development grants

applied to through the Dean's office, it is difficult to compare the level of support in this school with that available in other areas of the University. However, the level would seem to be comparatively low, as one division in Meadows currently provides no more than \$300 per calendar year for conference attendance and other research support.

Travel support in Dedman College, Dedman School of Law, and the School of Engineering are reported below:

- Dedman College: Faculty receive partial to full support to attend two nationally or internationally recognized conferences in their research area at which a presentation is made, with hotel reimbursements limited (per trip) to two nights at \$125 per night and reimbursement for meals limited to \$105 per trip. Ground transportation is reimbursed up to a maximum of \$25 per trip; travel to and parking at Dallas airports are not covered;
- Dedman School of Law: Faculty receive up to \$1,200 per year to do appropriate and relevant research off-site or attend conferences at which they have "professionally beneficial offers to speak";
- School of Engineering: For new faculty, research and conference support, like summer support, is generally negotiated with the Chair or Dean as part of startup funding. After a few (typically two) years, however, continuing faculty are expected to pay for research and conference travel out of

research grants and contracts or from individual overhead recovery accounts.

The President's Committee on the Investment in Faculty Excellence takes the position that all schools should fund appropriate research travel and--to borrow the Law School's phrase--professionally beneficial offers to speak at conferences. It also believes that the restrictive conference policies of Dedman College, though understandable given tight budgets, discourage some faculty from attending and speaking at meetings, given that salaries in Dedman, as in Meadows, are relatively low and these policies fail to reflect the real cost of travel. Insofar as other, presumably the majority of, faculty in the College partially underwrite the cost of their own travel, they mask salary issues that need addressing by spending their paychecks on expenses that would be viewed and reimbursed as business-related expenses in other areas of the University.

Section V:

Graduate Student Support

As deliberations of the Committee proceeded, it became increasingly clear that, among all possible areas of faculty development, enhanced support of SMU's graduate programs was of primary--perhaps even utmost--importance. Graduate students, and particularly doctoral students, are what make us a University, not a liberal arts college with satellite professional schools. Being a small university--certainly, one of the smallest institutions included on the Carnegie Foundation's "Research Extensive" list (a list to which this report will return later)--our departmental, divisional, and--in the case of our two undepartmentalized schools--school faculties are relatively small. As a result, we may have one or two researchers working in an area like molecular biology or signal processing whereas a larger institution would have five or six in each field. Lacking the critical mass of colleagues that enhances research productivity by leading to intellectual cross-pollination and shared work, our faculty members could especially benefit by five or six students working in their area. But, in fact, SMU enrolls fewer doctoral students than it did ten years ago.

One of the main reasons for our shrinking numbers of doctoral candidates is the level of stipend (salary) we pay advanced graduate students. At any of our benchmark universities, such students would have their tuition covered and, as TAs or RAs (teaching assistants or research assistants), would also receive a modest but "living" wage via stipend support. (Tuition coverage either comes in the form of externally-funded research support or in the form of "tuition waivers," i.e., scholarships unsupported by endowments.) At SMU, our stipend levels have fallen drastically behind during the past twenty years, mainly because they do not participate in and grow via the kind of merit

raise pool that keeps faculty salaries moving up, more or less at the rate of inflation. In many areas, our graduate stipends became so noncompetitive over time that chairs and deans reduced the *number* of graduate students on stipend support in order to increase the *amount* paid to each supported student.

During the late '90s, the Provost and the Dean of Research and Graduate Studies worked with Morgan Olsen, shortly after he came to SMU to be Vice President for Business and Finance, to institute a system of tuition waivers ensuring that nearly all students who are post-masters degree, unsupported (usually unsupportable) via grants, and pursuing the Ph.D. receive a tuition waiver. In addition, they built \$50,000 increments into the FY99-00 and FY00-01 budgets to improve stipends in Dedman College, which (along with Engineering) is where most Ph.D. programs reside--but where stipend support levels are least competitive. With the support and inspiration of a gift from Carl Sewell and with some encouragement and financial support from the Dean of Dedman College, a small number of "dissertation fellowships" were also created. These provide stipend support to doctoral candidates no longer taking courses and therefore no longer needing significant tuition support, freeing up other stipend-plus-tuition packages to be awarded to other students.

These initiatives have helped in the sense that they created improved stipend levels--causing them to grow, in some cases, slightly faster than the rate of inflation!--without negatively affecting the number of stipends given. But they have not kept up with the stipend increases given at benchmark institutions, nor is it even clear that these improvements, together with the creation of dissertation fellowships, has arrested the decline in our numbers of doctoral candidates. In fact, a glance at the number of doctoral *graduates* over the past ten years would suggest that faculty have fewer and fewer advanced graduate students to write into grants and work with collaboratively on

funded research projects. [In the case of the sciences and engineering this fact is especially troubling, since grants are a source of graduate support, but the availability of graduates to help *do* supported research can make the difference between a successful (funded) and unsuccessful (unfunded) grant proposal.]

Year	Doctoral Graduates
94-95	55
95-96	70
96-97	55
97-98	54
98-99	47
99-00	51
00-01	53
01-02	42
02-03	51
03-04	39

Concerned by this graduation data, and convinced of the central role that graduate, and particularly doctoral, students play in faculty recruitment, retention, and research, the Committee--under the leadership of Don VandeWalle--determined to make a comparison study of graduate student support at SMU and competing institutions. Though a faculty member in the Cox School of Business, which has no doctoral programs, Don has a particular interest in graduate studies in psychology, so he spearheaded the comparison study by working with Ernie Jouriles, Chair of the Department of Psychology in Dedman College. Together, they developed and then applied six criteria for measuring our psychology department's doctoral program against programs at nine other universities: average size of entry cohort, average size of graduation class, cost of tuition, tuition waiver or grant policy, monthly stipend support levels, and health insurance coverage. Rather than using benchmark university data exclusively, Don and Ernie (and later other Committee members researching their own areas) chose to compare SMU with five

“Methodist Benchmarks--Boston University, Emory, Northwestern, Tulane, and Vanderbilt--and four other Texas Schools: Rice, UT Austin, Texas A&M, and UTD.)

In the process of generating data and deciding how to place it on the easy-to-read templates, the following decisions were made:

- 1) In stating tuition costs, the Committee has used the credit-hour format for the Texas schools and the yearly tuition rate for the out-of-state benchmark privates.
- 2) Where tuition waiver or grants are concerned, the Committee has simply used Yes to signify that graduate tuition is fully covered by a waiver or a grant/scholarship. Many schools also have ancillary nickel-and-dime fees, but for simplification, these have not been included.
- 3) In representing stipend support levels, and in order to compare apples to apples, the Committee converted all support to a monthly basis. Thus, a two-semester award was divided by nine, and a yearly award was divided by twelve. Most schools that use a nine-month format also offer opportunities for additional summer funding via research or teaching, but to keep the presentation of the volume of data manageable, the Committee decided not to report on summer support. Neither did it feel it could report, institution by institution, on such factors as the number of years of possible support, post coursework support, dissertation support, etc.
- 4) The issue of health insurance for graduate students proved exceedingly complex, as some schools offer a generic, limited sickness and illness policy that is available for both graduate and undergraduate students. Other schools offer a more comprehensive policy that is offered only to full-time graduate students. The price of coverage varies widely. In making the comparison

report below, the Committee decided simply to report Yes or No--and not focus on the scope of coverage or the price if purchased.

Following Professor VandeWalle's lead, other members of the Committee developed similar templates offering comparison data on graduate programs and graduate support in their own respective areas (anthropology, chemistry, electrical engineering, religious studies, theater). Because, in some cases, data at our benchmark institutions was difficult to come by--and because, in other cases, Committee members felt that other institutions formed an aspirant group more appropriate to their discipline--the seven matrices developed by individual Committee members compare SMU graduate support with different cohorts of schools. (Note, however, that all of them contain data regarding *some* of the officially established benchmark institutions; also, the eighth and final matrix, developed by Director of Institutional Research John Kalb, does provide comparative data on anthropology, chemistry, and psychology relative to the entire roster of benchmark universities.)

The results of these investigations may be found in Appendix 11. Suffice it to say, here, that what the eight matrices in the appendix show is that SMU does not provide graduate students with the levels of support provided at institutions we aspire to compete with. Our Department of Anthropology pays its graduate students a stipend that is between two-thirds and four-fifths of the stipends paid at the established benchmark universities from which data are available. Our new Ph.D. program in the Department of Chemistry currently admits only four students per year and provides them with tuition remission and \$1,250 per month compared with tuition and \$1,334-\$1,708 per month at benchmark institutions. In Electrical Engineering, another science department, the vast majority of Ph.D. students are paid \$1,300 a month, whereas UT Austin pays an average of \$1,300+ per month and Rice pays \$1,750.

Psychology graduate students fare somewhat worse comparatively, receiving monthly stipends of \$1,000 in contrast to the \$1,500-\$1,600 paid monthly by benchmark schools. But our Ph.D. program in Religious Studies falls furthest behind, providing doctoral students with fellowships of most of which are in the range of \$2,000, compared with the \$11,433-\$14,500 fellowships provided at benchmark institutions. Graduate students in our Division of Theatre's M.F.A. program receive a stipend of \$6,000 for the academic year. This amount is less than their counterparts receive at the only benchmark institutions that have M.F.A. programs in theater (Northwestern and Tulane) and at the University of California at San Diego, another top M.F.A. program. But it may be competitive with what all but the top students receive at UT Austin, Brown, NYU, and Yale. Insofar as the Committee was able to determine, only SMU's endowed, Clements Department of History pays stipends that favorably compare with those provided by its benchmark university counterparts. (The benchmark average for stipends in humanities department is currently approaching \$15,000; our history department pays \$15,000 to its doctoral students.)

The Committee unanimously agrees that the issues of faculty support and graduate support are inseparable at a university. It concluded that for SMU to attract and retain the kind of faculty that will propel it into the ranks of benchmark institutions, it will need to provide benefits to graduate students that are competitive at top research universities.

Section VI:

Research Office, Research Foundation, Libraries

Research support at top universities comes in many forms, some of which have already been covered in this report (external funding, endowed positions, research assistants, leave policies, travel support, and startup packages). However, two of the most important sources of research support have not yet been considered. These are found in free-standing university *institutions*, namely, in offices of research administration (together with any research foundation associated with it) and in library systems. The status and needs of those institutions at SMU will be covered in this section of the Committee report.

Research and Sponsored Programs/SMU Foundation for Research

As a matter of policy, the University expects faculty members to engage in research, scholarship, or creative efforts and encourages faculty members to seek external funds for sponsored research, projects, and activities through the Office of Research Administration (ORA). The University expects faculty members to present the results of their work in publications or other appropriate public forums.

Within the limits of the resources available, SMU has accomplished some remarkable things in its research programs. For example, we have increased sponsored research, measured through external grants and contracts, by a significant amount in the last five years, from \$10 million to almost \$20 million in 2003-2004, a handsome gain, yet a figure well short of where the institution should be. There are approximately 150 faculty members (out of a total faculty of almost 600) actively engaged in some aspect of sponsored research. Typically, about 100 have active awards.

SMU's President, Provost, and Board of Trustees all aim to further the accomplishments and visibility in research over the next decades, an important goal if the University is to achieve the kind of national and international reputation to which it aspires. However, that will require significant additions to our research faculty, more and better-equipped laboratories, and even greater amounts of external funding in an increasingly competitive environment. The first point, improvements in faculty, is the most important. We must recruit and hire excellent researchers to establish, develop, sustain, and expand topical centers of research excellence. Such differentiation and focus will make us attractive to local industry and truly competitive for significant federal funding. This is the only means of becoming nationally known for research.

As we improve the research profile of the faculty, we must set imaginable yet reasonable goals for research funding. If we do not think larger than we do now, we will not achieve more than we do now. With proper support, SMU can bring in \$30 million per year by 2010-2011. (Down the road, we must look to \$50 million.)

"Proper support" means building up ORA, through which the University provides information on potential external funding sources and opportunities, assistance in preparing and submitting competitive proposals, and administration of externally funded projects. (It is remarkable that the accomplishments of the last few years have been achieved with the same number of staff and the same amount of office space that has been available since 1985.) Bringing ORA up to speed means, minimally, adding a Grant Specialist, two administrative assistants, and appropriate space.

As like-minded institutions have done, we must update our procedures for technology management, technology transfer, patents, and commercial applications. Doing so will encourage faculty in their research projects, benefit the University's budget, and heighten its visibility. We also need to develop relationships with

foundations, investors, and corporate investors to develop and market our Intellectual Property. (In 2003-2004, corporate support, an affirmation and bellwether of the worth and relevance of our research capabilities in certain areas, fell to the lowest level in more than a decade.)

In addition to providing more and larger start-up packages for new faculty beginning research projects, SMU should develop a revolving Capital Equipment Fund (ideally a fund functioning as an endowment). Such a fund, which could be used in equipment cost sharing in project proposal budgets and/or for purchase of major research equipment and instruments, could be replenished from Depreciation (indirect costs) and Use Allowances (direct costs) as described in OMB Circular a-21, Section J. Item 14. Also, we need to increase the number and size of University Research Council (URC) grants. These provide limited funds for beginning professors working in areas where large start-up packages are not needed, but also for established faculty across all disciplines (including the sciences and engineering) seeking to initiate research projects in new areas. The URG grants are currently too small to work as effectively as they might, particularly in science and engineering.

Finally, the University wisely established a foundation, the SMU Foundation for Research (SMUFR), to oversee the development, patenting, and marketing of the faculty's original research. Potentially, SMUFR can provide an interface to foster corporate-funded research projects and to develop and transfer intellectual property generated by the research faculty. However, at the present time SMUFR is neither funded nor staffed, unlike the practice at almost all of the benchmark institutions having reputations to which we properly aspire.

SMU Library Systems

Faculty researchers at SMU are supported by the University's Central University Libraries (CUL)--comprising Fondren, Science and Engineering, DeGolyer, Hamon Arts, and the Norwick Center for Media and Instructional Technology--the Bridwell Library at Perkins School of Theology, the Underwood Law Library, and the Business Information Center. Together, these libraries contain almost three million volumes, comprising the largest private research library in the Southwest and the third largest library in the region after UT Austin.

SMU's library holdings include strong special collections in particular areas--e.g., theology, Texana and the Southwest, early printed books--as well as strong historic collections (e.g., Stanley Marcus's personal library, the J C Penney Archives). Supplementing its own collections of books, maps, currency, and so forth, the SMU library system provides strong Inter-Library Loan services and supports excellent basic electronic libraries containing databases, e-journals, and reference works. Over the past seven years, Central University Libraries have been strengthened by increased acquisitions funding (\$100,000-\$125,000 annually), which has kept them from losing ground to inflation. Also, an upgrade of the CUL Director position to Dean and Director allows for the advocacy of library support at the highest levels, demonstrates the institution's commitment to strengthening the library systems, and allows the Dean to interact with colleagues on the Council of Deans. As a result, library funds are now figured into the cost of supporting new endowed chairs--or of establishing new academic programs.

Still, SMU's libraries have many needs. Permanent, annual increases in the CUL acquisition budget must be continued, but at a higher level (in future years in the range of \$150,000 per annum, rather than the \$125,000 range that has prevailed in the past several

years). Flat funding for acquisitions during the late '80s and early '90s at a time when serial prices were increasing at rates of up to 20% per year led to gaps in serial runs, reduced journal offerings (particularly in the sciences) and fewer e-resources than are needed. Shortfalls in the acquisitions budget and the lack of increase in other budgets (particularly those supporting student workers) have caused us to use endowment funds for operations rather than for collections and service enhancements.

The libraries are also understaffed, without enough subject specialists to work individually with academic departments, without enough user-education librarians to assist with one-on-one faculty and classroom instruction, and without enough special librarians and curators to process our archival collections and produce exhibits. Staff salaries, it should also be noted, have not kept pace with regional and national averages (See Appendix 12), leading to attrition that damages the libraries' ability to serve faculty needs. SMU's Human Resources department recently conducted a salary study showing that 70% of the librarians and 69% of the combined librarians and library staff are under 85% of the market rate. (To bring them all to 85% of market rate would require a permanent increase in the compensation budgets of almost \$350,000 per year.)

Finally, the central library facility is old and run down (except for a small, recently-constructed building linking Fondren Libraries with the Science and Engineering Library). In it, space is inefficiently, even illogically, organized, leading to poor access to collections, study areas, and work space. A major renovation is needed to address these problems and make our central libraries a magnet that will attract, support, and retain--rather than frustrate--our faculty.

Available Information Re: Support Services at Benchmark Institutions

There seems to be no question but that SMU's Central Libraries System has lost ground compared with other universities. (See: Appendix 13, which compares SMU with Duke,

Rice, and other libraries that have been accepted into ARL (American Research Libraries.) Although the Committee has not been able to prepare a detailed budget to show how much library investment would be needed for SMU to join ARL, our Dean of Central University Libraries have suggested--again, based on the material appended--that an addition of \$2 million might be required.

Section VII:

Recommendations of the President's Committee on Investment in Faculty Excellence

Based on what was learned in writing the foregoing report--and in order to better attract, support, and retain faculty of the highest caliber, professors capable of making outstanding contributions in the areas of research and teaching--the Committee makes the following recommendations.

Recommendation One: The University should add at least 38 endowed chairs and professorships that support salary and benefits, provide enhanced staff support, and generate funds to support research, thereby bringing the number of chairs that are substantially or fully backed by endowment to 100.

SMU currently has 78 named chairs or professorships, but sixteen of these are significantly underfunded. The addition of 38 new fully-funded endowed chairs or professorships would bring the total number of substantially funded positions to 100 and the total number of named positions to at least 115. Although every area of the University would benefit from the addition of endowed faculty positions, special efforts should be made to add at least 15 of these chairs or professorships to science and engineering departments, because those are the areas in which endowed faculty positions are in shortest supply. The Committee also recommends that half of the 50 new positions be awarded our most productive, current faculty to aid in their retention. Further, the Committee recommends that the budget relief created by the new positions be put into faculty salaries, with particular attention to be paid to salary compression and market

inequity problems, conditions that sometimes lead to inexperienced, unpublished assistant professors making more than well-published, seasoned teachers at higher ranks.

The cost of this program would be roughly \$100 million, depending on the giving-level requirements established and on the ultimate mix of chairs vs. professorships.

Recommendation Two: The University should create 100 Centennial Professor positions that would be awarded competitively; occupied for three-year, renewable terms; and carry with them a \$15,000 stipend.

The three quality objectives of the Centennial Professors Program would be to: 1) attract more high-quality faculty; 2) better retain outstanding professors; and 3) promote and recognize high-quality scholarship and teaching. The program's philosophical underpinnings lie in the Committee's belief that this kind of innovative compensation/recognition program would facilitate achievement of the three quality objectives on a scale massive enough to profoundly impact the quality and culture of SMU's faculty and the national reputation and image of the University.

The proposed program would be entirely consistent with President Turner's stated view that faculty development is a two-way street enabling, but also responding to, productivity. It would also be consistent with the philosophy behind the Altshuler University Distinguished Teaching Awards and the Ford Research Fellowships, adding to and making permanent the number of positions recognizing quality scholarship and teaching.

Our proposal is that Centennial Professors would be appointed throughout the University, but that the exact allocation of funds would be influenced to some degree by

donors. It might be possible to individualize the titles held by Centennial Professors in a way that would recognize the various donors without reducing the number of larger gifts in support of fully-endowed, permanently named chairs and professorships. For instance, an endowment fund might be titled “The [Donor Name] Centennial Faculty Development Fund” and used for a ten-year period to support a Centennial Professor in the donor’s name.

The faculty development endowment supporting a single Centennial Professor might be in the range of \$350,000, an amount roughly sufficient to generate the stipend and cover the additional benefit cost. The cost of this program would be \$35 million in permanent resources or \$1,750,000 per year in renewable funding (or some combination of the two).

Recommendation Three: The University should create 100 Fellowships that would ensure that assistant professors annually receive summer and other research-related support. Budget relief provided by this program should be used to assist other faculty in attending conferences and meetings, giving papers, and doing primary research.

The summer research fellowships envisioned by this recommendation could be supported by a named endowment or endowments (Smith Centennial Summer Research Fellowship) or they could be made possible via upward adjustments in the budgets of schools currently unable to provide summer funding to the number of faculty that, proportionately, would need to be funded under this program.

Although this recommendation envisions the establishment of a special fund to kick-start the research careers of promising young faculty, the Committee urges the

University to consider adopting a policy whereby currently-existing research-support budgets would be increased annually (e.g., by at least half of the per cent increase in faculty compensation, to be allocated within each school according to its needs and priorities).

Recommendation Four: In addition to improving the stipends paid to all graduate students, the University should create 200 Centennial Graduate Fellowships, to be awarded to incoming and continuing graduate students on a competitive basis with the goal of enhancing the stipend the students would otherwise receive by at least \$5,000.

The goal of this recommendation is to improve the quality of the graduate students we admit and retain the best of them through completion of their studies, thus enhancing not only the University's reputation but also faculty quality and the ability of professors to conduct significant research. The Centennial Graduate Fellowship Program would leave intact differences in stipend levels that reflect national, market differences but would, at the same time, equally improve the stipends of the very best graduate students available to us, irrespective of the area. The Committee believes that such a program would make the University more competitive for top-quality graduate students. The Centennial Graduate Fellowships could be funded with endowments of \$200,000 each or renewable resources of \$1,000,000 per year (or some combination of the two).

Recommendation Five: The University should build the research-support infrastructure by addressing an array of needs for more resources in Central University Libraries the Office of Research Administration.

The University should improve the low salaries of librarians, which lead to turnover and therefore inhibit the development of the kind of ongoing relationships with faculty that optimally supports research. At the same time--given the skyrocketing cost of books, standard journals, and online publications--annual, permanent increases in the acquisitions budgets need to be continued for the foreseeable future. Finally, the Fondren Library complex is in serious need of a major renovation that would improve not only the quality of research and study areas but also the flow of physical space.

With the recent growth in external funding for research, the Office of Research Administration (ORA) is understaffed (the recently created SMU Foundation for Research [SMUFR], created to assist faculty in commercializing intellectual property, currently has no staff whatsoever). ORA should also develop a revolving Capital Equipment Fund (ideally but not necessarily a fund functioning as endowment), to be used in equipment cost-sharing in project proposal budgets or for the purchase of major research equipment and instruments.

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APPENDIX 1

**COMPARISONS OF PEER GROUPS AND NATIONAL DOCTORAL PRIVATE UNIVERSITIES
- PERCENT INCREASE BY YEAR**

SOUTHERN METHODIST UNIVERSITY

		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$81,700	\$83,790	\$87,126	\$89,847	\$94,677	\$97,957	\$100,715	\$105,500
	ASSOC	\$55,800	\$56,345	\$57,676	\$59,944	\$61,193	\$64,789	\$67,589	\$70,200
	ASST	\$46,600	\$49,059	\$52,294	\$55,450	\$58,182	\$59,403	\$60,660	\$64,500
INCREASE	PROF		2.6%	4.0%	3.1%	5.4%	3.5%	2.8%	4.8%
	ASSOC		1.0%	2.4%	3.9%	2.1%	5.9%	4.3%	3.9%
	ASST		5.3%	6.6%	6.0%	4.9%	2.1%	2.1%	6.3%

NOTE: The SMU average salary does not include the Stella Porter Russell Endowment bonus for instructional faculty of \$882 in 1998, \$838 in 1999, \$1,074 in 2000, \$1,171 in 2001, \$1,275 in 2002, and \$1,200 in 2003.

BENCHMARK PEER UNIVERSITIES

		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$86,800	\$90,661	\$93,817	\$97,817	\$102,692	\$107,100	\$111,750	\$115,467
	ASSOC	\$59,408	\$61,880	\$64,171	\$66,658	\$70,183	\$73,275	\$76,658	\$78,658
	ASST	\$49,392	\$51,675	\$53,688	\$55,767	\$59,225	\$62,767	\$66,517	\$67,467
INCREASE	PROF		4.4%	3.5%	4.3%	5.0%	4.3%	4.3%	3.3%
	ASSOC		4.2%	3.7%	3.9%	5.3%	4.4%	4.6%	2.6%
	ASST		4.6%	3.9%	3.9%	6.2%	6.0%	6.0%	1.4%

OPERATIONAL PEER UNIVERSITIES

		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$75,400	\$78,239	\$80,577	\$83,475	\$86,582	\$89,817	\$93,908	\$97,275
	ASSOC	\$56,125	\$58,145	\$59,542	\$61,783	\$64,327	\$66,633	\$69,700	\$72,442
	ASST	\$46,725	\$47,909	\$49,052	\$50,900	\$52,900	\$55,333	\$58,050	\$60,167
INCREASE	PROF		3.8%	3.0%	3.6%	3.7%	3.7%	4.6%	3.6%
	ASSOC		3.6%	2.4%	3.8%	4.1%	3.6%	4.6%	3.9%
	ASST		2.5%	2.4%	3.8%	3.9%	4.6%	4.9%	3.6%

NATIONAL DOCTORAL PRIVATE UNIVERSITY AVERAGES

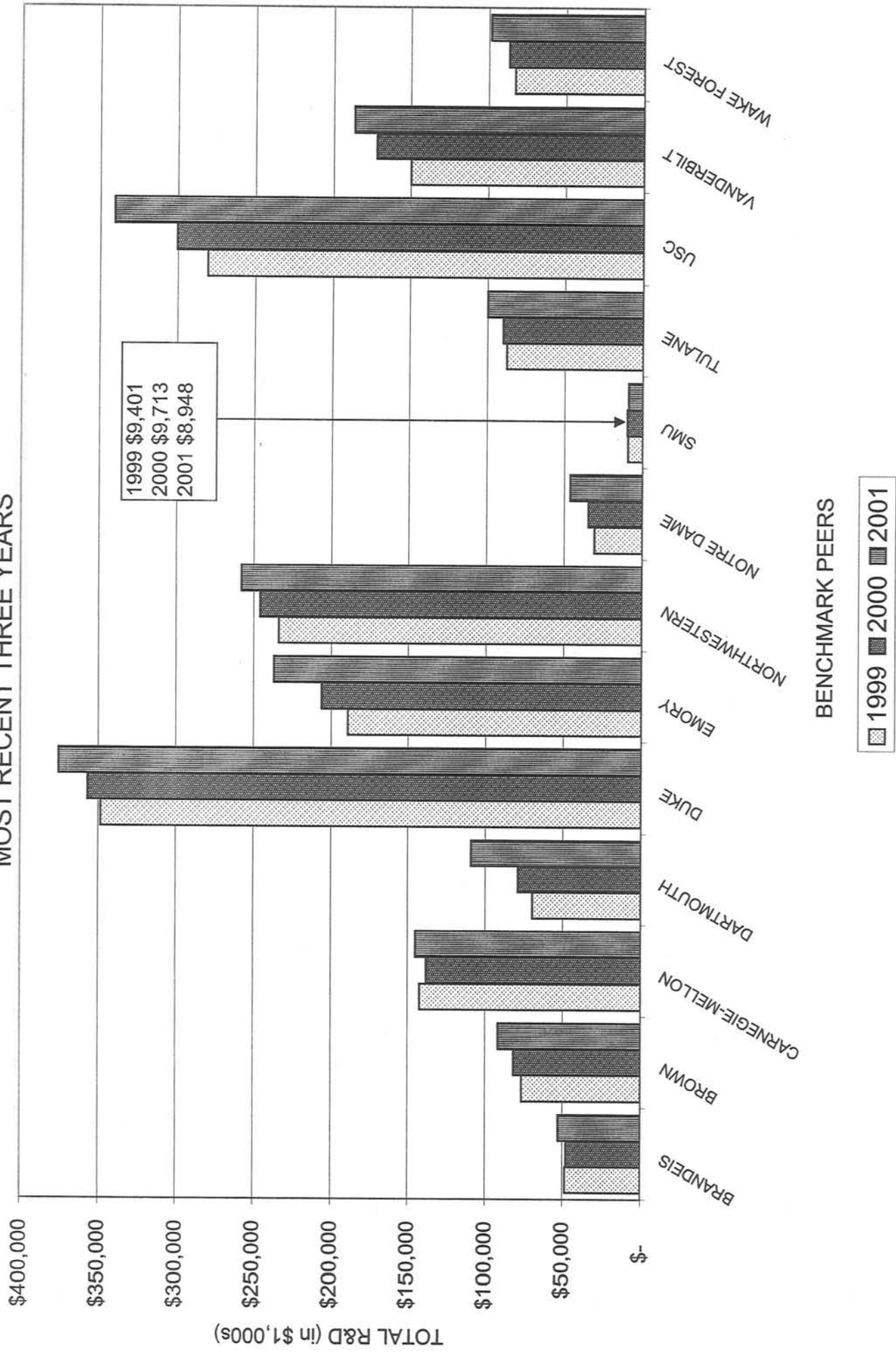
		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$92,112	\$95,023	\$98,606	\$103,761	\$107,633	\$112,534	\$118,269	\$122,158
	ASSOC	\$60,360	\$61,966	\$64,649	\$67,661	\$70,314	\$73,470	\$77,165	\$78,863
	ASST	\$51,255	\$53,079	\$55,472	\$58,577	\$60,853	\$64,149	\$66,926	\$68,218
INCREASE	PROF		3.2%	3.8%	5.2%	3.7%	4.6%	5.1%	3.3%
	ASSOC		2.7%	4.3%	4.7%	3.9%	4.5%	5.0%	2.2%
	ASST		3.6%	4.5%	5.6%	3.9%	5.4%	4.3%	1.9%

BENCHMARK PEERS: AVERAGE SALARY INFORMATION, 1996-97 TO 2003-04

		BRANDEIS UNIVERSITY							
		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$71,800	\$75,000	\$77,500	\$80,200	\$84,400	\$88,300	\$93,000	\$94,100
	ASSOC	\$52,700	\$54,600	\$56,800	\$57,900	\$62,000	\$65,400	\$69,700	\$72,000
	ASST	\$43,900	\$46,900	\$47,100	\$50,100	\$52,500	\$58,400	\$61,900	\$63,600
		BROWN UNIVERSITY							
		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$83,100	\$85,900	\$89,000	\$91,800	\$96,600	\$101,800	\$111,000	\$116,900
	ASSOC	\$56,300	\$58,200	\$59,700	\$61,700	\$64,800	\$68,100	\$71,400	\$73,700
	ASST	\$47,900	\$49,700	\$50,900	\$53,000	\$55,500	\$58,300	\$64,000	\$65,500
		CARNEGIE-MELLON UNIVERSITY							
		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$91,100	\$93,900	\$97,000	\$99,700	\$105,000	\$108,800	\$109,200	\$114,700
	ASSOC	\$62,100	\$66,100	\$66,700	\$69,700	\$73,500	\$78,500	\$76,900	\$82,300
	ASST	\$54,300	\$56,200	\$59,600	\$63,200	\$68,100	\$69,800	\$70,600	\$71,200
		DARTMOUTH COLLEGE							
		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$86,400	\$88,700	\$92,300	\$97,400	\$101,500	\$109,100	\$114,000	\$118,000
	ASSOC	\$57,600	\$60,700	\$66,100	\$69,600	\$72,700	\$76,800	\$81,300	\$81,400
	ASST	\$49,500	\$51,800	\$52,200	\$54,100	\$60,300	\$64,600	\$66,500	\$67,900
		DUKE UNIVERSITY							
		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$95,800	\$100,900	\$104,800	\$108,000	\$113,600	\$118,800	\$124,900	\$128,600
	ASSOC	\$63,300	\$65,800	\$68,700	\$72,600	\$75,700	\$79,000	\$84,100	\$85,400
	ASST	\$52,100	\$54,300	\$57,900	\$59,000	\$62,500	\$67,800	\$72,400	\$74,600
		EMORY UNIVERSITY							
		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$92,900	\$96,400	\$99,900	\$107,000	\$111,800	\$117,700	\$121,800	\$126,500
	ASSOC	\$61,600	\$63,100	\$65,800	\$69,200	\$70,900	\$76,500	\$79,400	\$81,100
	ASST	\$49,500	\$51,400	\$52,800	\$57,000	\$59,900	\$64,100	\$69,000	\$72,300
		UNIVERSITY OF NOTRE DAME							
		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$90,300	\$94,093	\$98,100	\$100,800	\$106,000	\$109,900	\$112,600	\$116,500
	ASSOC	\$62,200	\$63,518	\$65,600	\$68,000	\$70,800	\$73,600	\$75,300	\$77,300
	ASST	\$51,300	\$53,326	\$55,200	\$55,400	\$59,000	\$64,300	\$66,100	\$66,000
		NORTHWESTERN UNIVERSITY							
		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$96,100	\$101,400	\$106,600	\$111,200	\$116,200	\$122,300	\$127,700	\$131,900
	ASSOC	\$65,200	\$67,400	\$70,800	\$73,400	\$78,500	\$80,300	\$83,900	\$86,900
	ASST	\$56,200	\$58,500	\$59,800	\$62,400	\$65,800	\$69,100	\$73,400	\$76,800
		TULANE UNIVERSITY							
		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$77,400	\$85,419	\$83,500	\$88,500	\$94,500	\$92,900	\$99,100	\$100,200
	ASSOC	\$52,900	\$56,744	\$55,400	\$57,200	\$66,100	\$61,300	\$71,600	\$69,700
	ASST	\$47,200	\$48,307	\$52,700	\$54,100	\$58,700	\$57,700	\$60,800	\$61,100
		UNIVERSITY OF SOUTHERN CALIFORNIA							
		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$88,800	\$91,800	\$95,100	\$99,700	\$104,200	\$108,500	\$113,000	\$118,700
	ASSOC	\$61,600	\$63,500	\$67,000	\$69,300	\$71,700	\$74,600	\$77,900	\$81,500
	ASST	\$53,400	\$55,900	\$57,800	\$60,100	\$62,800	\$65,600	\$69,100	\$70,900
		VANDERBILT UNIVERSITY							
		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$89,300	\$93,153	\$96,800	\$99,800	\$103,200	\$106,900	\$112,300	\$117,100
	ASSOC	\$59,300	\$61,674	\$63,300	\$64,700	\$66,500	\$70,800	\$74,200	\$76,200
	ASST	\$46,400	\$48,671	\$51,100	\$52,900	\$54,400	\$59,500	\$68,600	\$64,300
		WAKE FOREST UNIVERSITY							
		1996	1997	1998	1999	2000	2001	2002	2003
MEAN	PROF	\$78,600	\$81,262	\$85,200	\$89,700	\$95,300	\$100,200	\$102,400	\$102,400
	ASSOC	\$58,100	\$61,226	\$64,153	\$66,600	\$69,000	\$74,400	\$74,200	\$76,400
	ASST	\$41,000	\$45,094	\$47,157	\$47,900	\$51,200	\$54,000	\$55,800	\$55,400

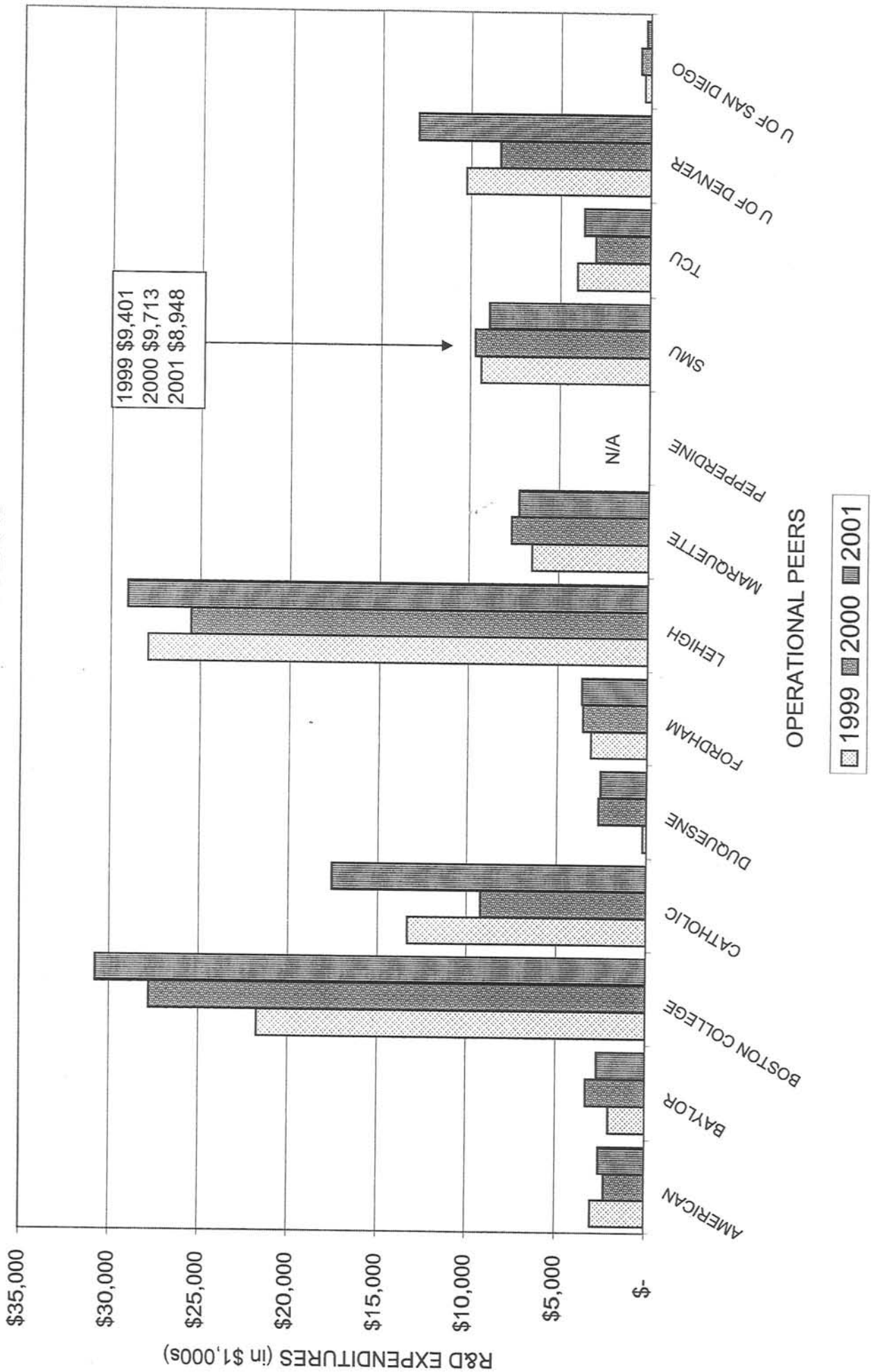
APPENDIX 2

TOTAL R&D EXPENDITURES, BENCHMARK PEER INSTITUTIONS, MOST RECENT THREE YEARS



APPENDIX 3

TOTAL R&D EXPENDITURES, OPERATIONAL PEER UNIVERSITIES, MOST RECENT THREE YEARS



APPENDIX 4

	2003												
	SMU	BRANDEIS	BROWN	CARNEGIE-MELLON	DARTMOUTH	DUKE	EMORY	NORTHWESTERN	NOTRE DAME	USC	TULANE	VANDERBILT	WAKE FOREST
Am Acad of Arts & Science	0	25	25	6	7	35	2	50	10	12	1	2	
Fulbright	1	2	0	1	1	1	2	1	3	4	3	1	
Guggenheim		1	0	0	0	0	1	2	0	1	0	0	0
Inst of Medicine		3	3	2	5	26	12	3	0	8	1	9	2
Nat Acad of Education		0	1	0	0	0	0	1	1	0	0	2	
Nat Acad of Engineering			4	14	3	3		18	2	19		1	
Nat Acad of Sciences	2	8	10	7	3	16	0	13	0	9	2	4	
Nat Endowment for Humanities	1	0	0	0	3	0	0	1	3	1	1	0	
NSF CAREER	0			4	3	4	2	4	2	3	0	2	0
Sloan Foundation Mellon Grants		1	0	2	0	2	0	1	1	2	0	0	0
Mellon Grants			2		1			1	1				

	NOT CUMULATIVE												
	SMU	BRANDEIS	BROWN	CARNEGIE-MELLON	DARTMOUTH	DUKE	EMORY	NORTHWESTERN	NOTRE DAME	USC	TULANE	VANDERBILT	WAKE FOREST
CUMULATIVE, 1999-2003													
Am Acad of Arts & Science	3	8	13	7	5	8	11	6	9	13	15	8	3
Fulbright	0	7	5	0	5	4	4	10	5	7	3	2	1
Guggenheim		1	3	2	7	19	7	5		6	0	5	3
Inst of Medicine													
Nat Acad of Education													
Nat Acad of Engineering													
Nat Acad of Sciences													
Nat Endowment for Humanities	3	3	3	0	7	4	2	4	16	5	3	1	
NSF CAREER	2			23	9	14	4	28	13	11	5	10	
Sloan Foundation Mellon Grants		3	4	5	3	12	1	7	3	6	2	0	0
Mellon Grants			4		2	3		3	1				

Members of the American Academy of Arts & Sciences

University affiliation, 1997-2003

(Not cumulative)

University	TOTAL Number of AAAS Fellows												
	2003*	2002	2001	2000	1999	1998	1997	New in 2003	New in 2002	New in 2001	New in 2000	New in 1999	New in 1998
Brandeis	25	29	27	24	23	23	23	1	2	3	1	0	0
Brown	25	28	28	26	24	24	23		0	2	2	0	1
Carnegie Mellon	6	5	4	3	3	2	2		1	1	0	1	0
Dartmouth	7	8	8	7	7	7	6	1	0	1	0	0	1
Duke	35	31	28	25	24	21	20	6	3	3	1	3	1
Emory	2	3	3	3	3	3	3		0	0	0	0	0
Northwestern	50	47	43	38	34	31	28	7	4	5	4	3	3
Notre Dame	10	7	7	6	6	6	6	1	0	1	0	0	0
Southern California	12	8	7	6	6	6	6	3	1	1	0	0	0
Tulane	1	1	1	1	1	1	1		0	0	0	0	0
Vanderbilt	2	4	4	2	2	2	2		0	2	0	0	0

Fulbright Scholars, 1999-2003

Four-year colleges and universities in the U.S.

University	TOTAL Number of Fulbright Scholars									
	2003	2002	2001	2000	1999	Cumulative 1999-2003				
Brandeis	2	1	1	1	3	8				
Brown	0	3	2	5	3	13				
Carnegie Mellon	1	1	2	0	3	7				
Dartmouth	1	0	2	1	1	5				
Duke	1	2	2	2	1	8				
Emory	2	1	2	4	2	11				
Northwestern	1	1	1	2	1	6				
Notre Dame	3	2	2	0	2	9				
Southern California	4	1	4	2	2	13				
Southern Methodist	1	0	1	0	1	3				
Tulane	3	3	4	4	1	15				
Vanderbilt	1	3	1	0	3	8				
Wake Forest	0	1	1	0	1	3				

John Simon Guggenheim Memorial Fellowships, 1999-2003

University	2003	2002	2001	2000	1999	Cumulative Total 1999-2003
Brandeis	1	2	1	2	1	7
Brown	0	2	3	0	0	5
Carnegie Mellon	0	0	0	0	0	0
Dartmouth	0	2	2	1	0	5
Duke	0	0	1	1	2	4
Emory	1	2	0	0	1	4
Northwestern	2	1	2	4	1	10
Notre Dame	0	1	2	2	0	5
Southern California	1	1	5	0	0	7
Southern Methodist	0	0	0	0	0	0
Tulane	0	0	0	2	1	3
Vanderbilt	0	1	0	0	1	2
Wake Forest	0	1	0	0	0	1

**Members of the Institute of Medicine
University affiliation, 1999-2003
(Not cumulative)**

University	2003	2002	2001	2000	1999
Brandeis	3	3	2	2	1
Brown	3	3	3	3	3
Carnegie Mellon	2	2	2	2	2
Dartmouth	5	6	6	7	7
Duke	26	23	21	20	19
Emory	12	9	8	8	7
Northwestern	3	3	3	4	5
Southern California	8	7	7	7	6
Tulane	1	1	1	1	0
Vanderbilt	9	8	7	5	5
Wake Forest	2	2	2	2	3

Members of the National Academy of Education

University affiliation, 2001- 2003

(Not cumulative)

<u>University</u>	<u>2003</u>	<u>2002</u>	<u>2001</u>
Brandeis	0	0	0
Brown	1	2	2
Carnegie Mellon	0	0	0
Dartmouth	0	0	0
Duke	0	0	1
Emory	0	0	1
Northwestern	1	1	0
Notre Dame	1	1	0
Southern California	0	0	0
Southern Methodist	0	0	0
Tulane	0	0	0
Vanderbilt	2	1	2

Members of the National Academy of Engineering

University affiliation, 1999-2003

(Not cumulative)

<u>University</u>	<u>2003</u>	<u>2002</u>	<u>2001</u>	<u>2000</u>	<u>1999</u>
Brown	4	4	4	4	3
Carnegie Mellon	14	13	13	13	12
Dartmouth	3	3	3	3	3
Duke	3	3	3	3	3
Northwestern	18	19	19	18	19
Notre Dame	2	2	2	3	2
Southern California	19	20	19	20	22
Vanderbilt	1	1	1	1	1

Members of the National Academy of Sciences

University affiliation, 1998-2003

(Not cumulative)

<u>University</u>	<u>2003</u>	<u>2002</u>	<u>2001</u>	<u>2000</u>	<u>1999</u>
Brandeis	8	9	9	10	11
Brown	10	10	10	10	9
Carnegie Mellon	7	7	6	7	5
Dartmouth	3	3	3	3	3
Duke	16	16	16	16	16
Emory	0	1	1	1	1
Northwestern	13	12	9	9	8
Notre Dame	0	0	0	0	0
Southern California	9	9	9	7	7
Southern Methodist	2	2	2	1	1
Tulane	2	2	2	2	1
Vanderbilt	4	4	4	4	4

National Endowment for the Humanities Fellowships, 1999-2003

<u>University</u>	<u>2003</u>	<u>2002</u>	<u>2001</u>	<u>2000</u>	<u>1999</u>	<u>Cumulative Total 1999-2003</u>
Brandeis	0	0	1	0	2	3
Brown	0	0	2	1	0	3
Carnegie Mellon	0	0	0	0	0	0
Dartmouth	3	1	0	1	2	7
Duke	0	0	1	1	2	4
Emory	0	1	1	0	0	2
Northwestern	1	1	0	2	0	4
Notre Dame	3	4	4	5	0	16
Southern California	1	0	3	1	0	5
Southern Methodist	1	1	0	0	1	3
Tulane U. of Louisiana	1	0	0	1	1	3
Vanderbilt	0	0	1	0	0	1

NSF Faculty Early Career Development (CAREER) Awards, 1999-2003

Formerly PYI/Young Investigator Awards

(Listed for the year in which the award was announced)

University	2003	2002	2001	2000	1999	Cumulative Total 1999-2003
Carnegie Mellon	4	6	8	5	0	23
Dartmouth	3	2	2	1	1	9
Duke	4	2	4	2	2	14
Emory	2	0	0	1	1	4
Northwestern	4	10	3	5	6	28
Notre Dame	2	1	1	5	4	13
Southern California	3	5	1	0	2	11
Southern Methodist	0	0	1	0	1	2
Tulane	0	2	1	0	2	5
Vanderbilt	2	2	5	1	0	10
Wake Forest	0	0	0	0	0	0

Sloan Foundation Research Fellowships, 1999-2003

University	2003	2002	2001	2000	1999	Cumulative Total 1999-2003
Brandeis	1	0	1	1	0	3
Brown	0	0	2	1	1	4
Carnegie Mellon	2	0	1	1	1	5
Dartmouth	0	1	0	1	1	3
Duke	2	0	3	6	1	12
Emory	0	0	1	0	0	1
Northwestern	1	1	1	3	1	7
Notre Dame	1	0	0	1	1	3
Southern California	2	2	0	2	0	6
Tulane	0	0	1	0	1	2
Vanderbilt	0	0	0	0	0	0
Wake Forest	0	0	0	0	0	0

Mellon Grants

	2004	2003	2002	2001
Brown	2	2		
Dartmouth			2	
Duke	1	1	1	
Northwestern		2		1
Notre Dame	1			

SOURCE: University System of Maryland for most tables;

NOTES: Not all universities listed in each category;

APPENDIX 5

IV. The Most Prolific Law Schools and Professors

Which law schools and professors are the most prolific in the most-cited law reviews? The prior Chicago-Kent studies had surveyed the years 1982-87, 1983- 88, and (most recently) volumes ending in 1988-92. We decided to survey five years: volumes beginning in 1988-92. Thus, there is an almost complete [FN26] overlap of data with the recently published Chicago-Kent study. This is no surprise, since they used most of our data in putting their study together. The first two Chicago-Kent studies had surveyed both articles and pages in the top twenty law reviews. Because of some criticisms that people should not be rewarded for being longwinded, this time page counts have been relegated to tie-breakers. This change tends to help professors at elite law schools with top-twenty law reviews, whose faculties are more often asked to write short reviews, essays, and symposium pieces. In most respects, the methodology is the same as in the second study:

*793 (1) An article is defined as any publication of whatever type if it is at least ten pages in length.

(2) For co-authored work, article counts (and page counts) are adjusted for partial authorship.

(3) All law school results are adjusted for faculty size. [FN27]

(4) Separate results are computed for professors for:

(a) articles in the top-ten law reviews including articles in the home law review;

(b) articles in the top-ten law reviews excluding articles in the home law review;

(c) articles in the top-twenty law reviews including articles in the home law review; and

(d) articles in the top-twenty law reviews excluding articles in the home law review. [FN28]

Then, the article counts were averaged for all four tables and authors were ranked, with average page counts used as the primary tie-breaker. [FN29]

The most prolific law school faculties are presented in Table 4, ranked by average article counts per faculty member across the four categories described above and listed in columns C-F below.

Table 4

The Most Prolific Law Faculties in the 10 and 20 Most-Cited Law Reviews
(Ranked by Mean Articles Per Faculty Member) (Volumes Beginning in 1988-92)

	[C]	[D]	[E]	[F]	
Articles	Artic-	Articl-	Articl-	Articl-	Average
	les	es	es	es	
10	10	20	20	20	Articles
Reviews,	Revie-	Review-	Review-	Review-	Average
	ws,	s,	s,	s,	Per

Rank	Home Law School	Incl. Home	Excel. Home	Incl. Home	Excl. Home	Average Articles	Faculty Size	Faculty Member
1	Chicago	77.8	51.3	102.5	65.5	74.3	29.67	2.50
2	Yale	62.0	34.0	86.3	58.3	60.1	45.67	1.32
3	Cornell	21.8	21.8	50.6	38.8	33.2	28.67	1.16
4	Harvard	71.5	46.0	101.8	73.3	73.2	65.00	1.13
5	Colorado	29.5	29.5	42.5	42.5	36.0	32.33	1.11
6	Texas	68.5	37.5	84.0	53.0	60.8	57.00	1.07
7	Pennsylvania	34.5	22.0	46.5	34.0	34.3	32.33	1.06
8	Columbia	48.8	23.3	69.0	43.5	46.1	49.00	0.94
9	Georgetown	44.3	44.3	85.8	60.3	58.7	63.67	0.92
10	Southern California	21.0	21.0	51.5	31.5	31.3	34.33	0.91
11	Virginia	60.0	28.5	74.0	42.5	51.3	57.33	0.89
12	Northwestern	28.3	28.3	53.9	40.6	37.8	43.00	0.88
13	California	49.3	29.3	63.6	43.6	46.4	53.00	0.88
14	Stanford	41.8	21.3	55.4	34.9	38.3	44.67	0.86
15	Yeshiva-Cardozo	20.5	20.5	29.5	29.5	25.0	33.67	0.74
16	Iowa	21.8	21.8	32.3	32.3	27.1	37.33	0.73
17	NYU	26.0	26.0	57.5	40.0	37.4	60.33	0.62
18	Minnesota	18.0	18.0	24.5	24.5	21.3	34.33	0.62
19	Michigan	38.5	13.5	47.0	22.0	30.3	50.33	0.60
20	Vanderbilt	10.0	10.0	27.8	17.3	16.3	28.00	0.58
21	Duke	13.5	13.5	32.0	18.5	19.4	35.67	0.54

22	Chicago-Kent	12.0	12.0	20.0	20.0	16.0	30.33	0.53
23	Boston University	15.5	15.5	29.5	29.5	22.5	43.00	0.52
24	UCLA	18.0	18.0	46.2	30.0	28.0	53.67	0.52
25	American	13.0	13.0	20.0	20.0	16.5	36.67	0.45
26	Connecticut	11.0	11.0	16.0	16.0	13.5	32.00	0.42
27	Washington and Lee	8.0	8.0	12.0	12.0	10.0	24.33	0.41
28	BYU	7.0	7.0	13.5	13.5	10.3	25.00	0.41
29	Miami	15.0	15.0	19.0	19.0	17.0	41.67	0.41
30	Wisconsin	15.0	15.0	24.3	24.3	19.7	49.33	0.40
31	SUNY-Buffalo	11.0	11.0	17.0	17.0	14.0	37.67	0.37
32	Emory	7.3	7.3	15.3	15.3	11.3	31.33	0.36
33	William and Mary	7.0	7.0	11.0	11.0	9.0	26.33	0.34
34	Indiana	6.0	6.0	15.5	15.5	10.8	31.67	0.34
35	Tulane	9.0	9.0	14.5	14.5	11.8	34.67	0.34
36	George Washington	11.5	11.5	19.5	19.5	15.5	46.00	0.34
37	Rutgers-Newark	10.5	10.5	14.5	14.5	12.5	37.67	0.33
38	Maryland	14.3	14.3	17.3	17.3	15.8	48.67	0.33
39	New York Law School	8.0	8.0	16.0	16.0	12.0	39.33	0.31
40	Western New England	8.0	8.0	8.0	8.0	8.0	26.67	0.30
41	San Francisco	5.0	5.0	8.0	8.0	6.5	22.67	0.29
42	Washington U.	5.0	5.0	11.0	11.0	8.0	28.00	0.29
43	Wake Forest	6.0	6.0	9.0	9.0	7.5	27.00	0.28
44	North Carolina	7.0	7.0	9.0	9.0	8.0	31.33	0.26

45 Kansas	3.0	3.0	9.5	9.5	6.3	25.67	0.24
46 Southern Methodist	7.0	7.0	10.3	10.3	8.6	35.67	0.24
47 Illinois	4.5	4.5	11.0	11.0	7.8	32.33	0.24
48 Pittsburgh	5.0	5.0	9.0	9.0	7.0	30.00	0.23
49 Cincinnati	4.0	4.0	7.0	7.0	5.5	24.67	0.22
50 Tennessee	3.0	3.0	9.0	9.0	6.0	27.33	0.22
51 Arizona	4.0	4.0	8.5	8.5	6.3	29.67	0.21
52 Puget Sound	4.0	4.0	7.5	7.5	5.8	27.33	0.21
53 Hawaii	2.0	2.0	4.5	4.5	3.3	15.67	0.21
54 Case Western	5.0	5.0	8.0	8.0	6.5	31.33	0.21
55 California-Davis	4.5	4.5	6.8	6.8	5.6	27.33	0.21
56 Rutgers-Camden	5.0	5.0	9.5	9.5	7.3	35.67	0.20
57 Georgia	5.5	5.5	8.0	8.0	6.8	35.00	0.19
58 Fordham	6.0	6.0	10.0	10.0	8.0	42.00	0.19
59 Houston	7.0	7.0	9.5	9.5	8.3	46.33	0.18
60 DePaul	4.5	4.5	7.5	7.5	6.0	34.67	0.17
61 Notre Dame	4.0	4.0	5.5	5.5	4.8	28.33	0.17
62 Arizona State	4.5	4.5	5.5	5.5	5.0	30.00	0.17
63 West Virginia	3.0	3.0	5.0	5.0	4.0	24.33	0.16
64 Florida	5.0	5.0	12.0	12.0	8.5	52.67	0.16
65 Mississippi College	2.5	2.5	2.5	2.5	2.5	15.67	0.16
66 Northeastern	3.0	3.0	4.0	4.0	3.5	23.67	0.15
67 Vermont	1.5	1.5	2.5	2.5	2.0	14.00	0.14
68 San Diego	3.0	3.0	9.0	9.0	6.0	42.67	0.14
69 Toronto	4.0	4.0	8.0	8.0	6.0	45.67	0.13
70 Loyola-L.A.	1.0	1.0	11.0	11.0	6.0	47.33	0.13

71 Wayne State	3.5	3.5	4.5	4.5	4.0	32.00	0.13
72 Catholic	2.5	2.5	5.5	5.5	4.0	32.67	0.12
73 Hastings	4.0	4.0	8.0	8.0	6.0	50.00	0.12
74 Utah	2.0	2.0	4.0	4.0	3.0	25.67	0.12
75 Western State	1.0	1.0	3.0	3.0	2.0	18.00	0.11

*795 As in most publishing studies, the University of Chicago again comes out on top. Yale again comes in second. With a few exceptions, the schools usually listed as being near the top come out on top, but the order is different from the intuitive positions. The only surprise in the top fourteen is Colorado (5th). As you will see later, Colorado had the single most prolific professor in the country (Richard Delgado), as well as two other professors in the top twenty (Steven Smith and Pierre Schlag). The only surprises in the top twenty-four are Colorado (5th), Yeshiva-Cardozo (15th), and Chicago-Kent (22d)--and all three schools have strong, underrated faculties.

In Table 4, the biggest moves up into the top ten from the 1990 Chicago-Kent study were those of Texas (23d to 6th), Pennsylvania (26th to 7th), Georgetown (33d to 9th), and Colorado (49th to 5th). [FN30] All have moved from positions below the top twenty in the earlier study to the top ten in the current study. Two of these schools (Texas and Georgetown) have associate deans for research, which may have facilitated a quick turnaround in their pattern of publishing.

The most prolific individual faculty members are presented in Tables 5-10. Various tie-breakers were used in the tables, with pages generally being the first one.

APPENDIX 6

Schools of Law

THE TOP 100 SCHOOLS

Rank/School	Overall score	Peer assessment score (5.0 highest)	Assessment score by lawyers/judges (5.0 highest)	'03 undergrad GPA 25th-75th percentile	'03 LSAT score 25th-75th percentile	'03 acceptance rate	'03 student/faculty ratio	'02 grads employed at graduation	Employed 9 months after graduation	School's bar passage rate in jurisdiction	Jurisdiction's overall bar passage rate
1. Yale University (CT)	100	4.8	4.7	3.80-3.97	169-175	6.4%	7.3	97.9%	98.2%	97.2%/NY	75%
2. Harvard University (MA)	93	4.8	4.8	3.76-3.94	169-174	11.7%	11.4	98.4%	99.7%	96.0%/NY	75%
3. Stanford University (CA)	92	4.8	4.8	3.73-3.95	166-171	7.5%	11.7	98.4%	98.6%	85.9%/CA	61%
4. Columbia University (NY)	90	4.7	4.6	3.52-3.82	167-173	13.7%	13.3	97.2%	99.0%	94.0%/NY	75%
5. New York University	89	4.6	4.4	3.52-3.82	168-173	18.7%	11.7	97.4%	99.8%	96.8%/NY	75%
6. University of Chicago	84	4.7	4.8	3.44-3.74	167-171	14.7%	10.0	98.4%	98.4%	97.5%/IL	81%
7. University of Michigan—Ann Arbor	83	4.6	4.6	3.43-3.76	164-169	21.4%	14.0	92.7%	98.5%	89.2%/NY	75%
University of Pennsylvania	83	4.3	4.3	3.45-3.83	164-170	15.0%	12.5	98.4%	98.8%	93.3%/NY	75%
9. University of Virginia	82	4.4	4.6	3.55-3.81	165-170	21.7%	14.4	97.3%	99.7%	94.1%/VA	74%
10. Duke University (NC)	81	4.2	4.3	3.47-3.81	162-169	20.0%	12.4	98.2%	100.0%	89.9%/NY	75%
Northwestern University (IL)	81	4.2	4.2	3.40-3.80	166-170	15.8%	11.1	96.7%	98.9%	93.1%/IL	81%
12. Cornell University (NY)	80	4.2	4.2	3.50-3.75	165-168	16.5%	11.1	98.3%	98.9%	94.4%/NY	75%
13. University of California—Berkeley	79	4.5	4.4	3.65-3.90	160-168	10.2%	17.5	88.7%	96.7%	85.1%/CA	61%
14. Georgetown University (DC)	76	4.1	4.2	3.42-3.78	167-170	16.7%	15.1	93.3%	97.5%	89.3%/NY	75%
15. University of Texas—Austin	75	4.1	4.1	3.41-3.83	160-166	16.4%	17.1	90.9%	99.4%	92.7%/TX	78%
16. University of California—Los Angeles	73	4.0	3.8	3.51-3.83	162-168	13.2%	14.1	88.6%	95.8%	92.3%/CA	61%
17. Vanderbilt University (TN)	72	3.8	3.9	3.46-3.82	162-166	18.9%	16.0	92.9%	96.8%	80.9%/TN	76%
18. University of Southern California	71	3.7	3.3	3.50-3.72	164-167	17.8%	14.1	95.6%	99.0%	81.3%/CA	61%
19. University of Minnesota—Twin Cities	68	3.6	3.6	3.36-3.82	160-165	31.5%	15.5	86.5%	98.8%	98.4%/MN	92%
20. George Washington University (DC)	67	3.5	3.4	3.34-3.74	162-167	13.4%	13.8	96.7%	99.1%	91.4%/NY	75%
University of Notre Dame (IN)	67	3.2	3.6	3.38-3.79	161-166	13.5%	12.5	85.5%	96.7%	94.6%/IL	81%
Washington University in St. Louis	67	3.5	3.6	3.20-3.80	161-166	23.1%	13.1	87.3%	97.8%	87.8%/MO	82%
23. Boston University	66	3.4	3.4	3.35-3.66	163-166	19.3%	12.4	96.8%	100.0%	91.8%/MA	78%
Emory University (GA)	66	3.4	3.7	3.37-3.73	160-165	21.7%	14.8	86.6%	96.4%	88.3%/GA	83%
University of Iowa	66	3.5	3.6	3.27-3.79	157-164	24.2%	11.0	71.8%	97.2%	89.3%/IA	83%
Washington and Lee University (VA)	66	3.3	3.6	3.11-3.68	163-167	25.3%	10.4	75.7%	92.6%	80.9%/VA	74%
27. University of Illinois—Urbana-Champaign	65	3.5	3.7	3.12-3.61	159-164	21.4%	16.2	81.5%	100.0%	93.0%/IL	81%
University of North Carolina—Chapel Hill	65	3.5	3.8	3.42-3.84	157-164	19.7%	13.7	69.2%	98.3%	90.9%/NC	76%
29. Boston College	64	3.4	3.5	3.45-3.78	161-165	16.5%	14.4	84.7%	93.0%	95.9%/MA	78%
College of William and Mary (VA)	64	3.3	3.5	3.38-3.79	161-165	19.7%	16.7	81.7%	98.0%	83.9%/VA	74%
31. University of Georgia	63	3.1	3.5	3.23-3.82	158-164	22.1%	22.2	80.4%	98.5%	93.1%/GA	83%
University of Wisconsin—Madison	63	3.6	3.5	3.14-3.60	158-164	22.8%	12.2	78.7%	97.4%	100.0%/WI	82%
33. University of California—Davis	62	3.3	3.5	3.40-3.72	158-163	18.5%	14.8	75.9%	94.5%	76.1%/CA	61%
34. Brigham Young University (J. Reuben Clark) (UT)	61	2.8	3.1	3.48-3.82	161-166	22.6%	16.8	82.4%	98.6%	89.6%/UT	87%
Fordham University (NY)	61	3.1	3.2	3.32-3.75	163-167	17.2%	17.2	83.5%	93.8%	87.0%/NY	75%
University of Washington	61	3.1	3.4	3.44-3.79	159-166	19.3%	12.5	74.5%	93.8%	91.6%/WA	77%
Wake Forest University (NC)	61	3.0	3.4	3.15-3.60	160-163	23.8%	12.2	79.6%	99.0%	88.9%/NC	76%
38. George Mason University (VA)	59	2.8	2.9	3.11-3.74	159-165	9.2%	15.2	98.4%	99.5%	73.4%/VA	74%
University of California (Hastings)	59	3.4	3.6	3.39-3.70	160-165	20.4%	21.3	61.9%	93.8%	77.5%/CA	61%
40. Indiana University—Bloomington	58	3.2	3.3	2.99-3.68	159-164	31.4%	12.8	76.9%	92.0%	87.8%/IN	80%
University of Alabama	58	2.7	2.9	3.20-3.65	159-163	23.5%	11.8	79.1%	99.4%	85.6%/AL	71%
42. Ohio State University (Moritz)	57	3.2	3.1	3.36-3.79	155-162	26.2%	14.4	73.5%	91.7%	88.7%/OH	76%
43. University of Arizona (Rogers)	56	3.0	3.0	3.23-3.73	158-164	17.6%	14.1	64.8%	91.9%	92.3%/AZ	75%
University of Connecticut	56	2.8	2.9	3.15-3.62	159-163	21.3%	12.4	66.0%	98.2%	89.0%/CT	82%
University of Florida (Levin)	56	3.1	3.1	3.37-3.83	153-162	13.9%	14.7	54.8%	97.2%	85.3%/FL	78%
University of Maryland	56	2.9	2.7	3.30-3.70	156-162	14.0%	12.3	80.2%	97.2%	84.7%/MD	73%
47. Southern Methodist University (TX)	55	2.7	3.0	3.20-3.77	155-163	23.2%	16.5	62.0%	97.7%	90.5%/TX	78%
University of Pittsburgh	55	2.8	2.9	3.03-3.63	157-162	28.7%	14.9	86.1%	98.5%	78.3%/PA	76%
University of Utah (S.J. Quinney)	55	2.9	2.7	3.36-3.78	158-163	23.2%	13.1	69.7%	95.7%	89.1%/UT	87%
50. Baylor University (TX)	54	2.3	2.8	3.45-3.90	159-164	20.9%	18.6	71.0%	97.2%	91.2%/TX	78%
University of Colorado—Boulder	54	3.0	2.8	3.43-3.78	160-164	23.1%	13.0	47.5%	89.0%	88.4%/CO	79%
University of Kentucky	54	2.6	2.8	3.26-3.76	157-162	26.9%	15.0	80.7%	99.3%	88.8%/KY	79%

(CONTINUED ON PAGE 24)

Sources: U.S. News and the schools. Assessment data collected by Synovate

(CONTINUED FROM PAGE 22)

Rank	School	Overall score	Peer assessment score (5.0 highest)	Assessment score by lawyers/judges (5.0 highest)	'03 undergrad GPA 25th-75th percentile	'03 LSAT score 25th-75th percentile	'03 acceptance rate	'03 student/faculty ratio	'02 grads employed at graduation	Employed 9 months after graduation	School's bar passage rate in jurisdiction	Jurisdiction's overall bar passage rate
THE TOP 100												
53.	Arizona State University	53	2.8	2.7	3.22-3.64	154-161	16.2%	9.8	62.4%	93.3%	83.9%/AZ	75%
	Cardozo-Yeshiva University (NY)	53	2.8	2.6	3.13-3.68	160-164	22.6%	18.5	76.4%	96.7%	82.1%/NY	75%
	University of Tennessee-Knoxville	53	2.7	3.0	3.27-3.73	155-160	24.9%	14.1	68.5%	94.0%	85.6%/TN	76%
56.	American Univ. (Wash. Col. of Law) (DC)	52	2.9	2.9	3.30-3.62	158-162	20.4%	12.2	81.3%	86.2%	72.7%/MD	73%
	Case Western Reserve University (OH)	52	2.9	3.0	2.98-3.48	156-159	34.0%	14.7	75.1%	98.3%	78.8%/OH	76%
	Tulane University (LA)	52	3.1	3.2	3.20-3.67	157-162	25.2%	22.3	68.9%	85.4%	85.5%/NY	75%
59.	Loyola Law School (CA)	50	2.5	2.6	3.09-3.54	159-183	19.7%	16.6	79.3%	98.3%	68.3%/CA	61%
	Temple University (Beasley) (PA)	50	2.6	2.8	3.17-3.62	157-162	26.9%	15.8	74.6%	91.9%	79.6%/PA	76%
	University of Cincinnati	50	2.6	2.7	3.19-3.75	157-162	33.7%	13.8	61.6%	92.6%	79.5%/OH	76%
	University of Houston	50	2.7	2.5	3.25-3.72	157-162	21.2%	17.9	59.9%	92.6%	89.7%/TX	78%
63.	Illinois Inst. of Tech. (Chicago-Kent)	49	2.7	2.5	3.03-3.56	157-161	28.1%	12.4	72.2%	96.3%	81.3%/IL	81%
	Indiana University-Indianapolis	49	2.5	2.7	3.13-3.65	152-158	27.9%	15.2	62.2%	93.9%	81.1%/IN	80%
	University of Kansas	49	2.7	3.1	3.22-3.76	154-160	23.3%	13.9	60.7%	92.1%	85.7%/KS	84%
	University of Missouri-Columbia	49	2.7	2.9	3.23-3.76	156-160	25.9%	16.9	64.4%	96.6%	89.2%/MO	82%
67.	Brooklyn Law School (NY)	48	2.6	2.5	3.02-3.51	160-163	22.1%	17.8	71.5%	94.7%	79.3%/NY	75%
	Florida State University	48	2.6	2.6	3.32-3.75	154-159	21.2%	16.3	66.4%	96.7%	88.4%/FL	78%
	Loyola University Chicago	48	2.4	2.7	3.16-3.58	159-162	23.4%	18.9	73.7%	98.5%	85.7%/IL	81%
	University of Oklahoma	48	2.5	2.7	3.24-3.81	155-161	23.3%	17.4	64.6%	93.1%	86.7%/OK	75%
	University of San Diego	48	2.7	2.4	3.09-3.56	159-164	21.8%	17.7	70.1%	92.4%	72.9%/CA	61%
72.	Rutgers State University-Camden (NJ)	47	2.6	2.5	3.00-3.64	160-163	20.9%	17.2	77.1%	92.2%	75.8%/NJ	69%
	Rutgers State University-Newark (NJ)	47	2.7	2.6	3.02-3.56	155-161	20.1%	16.8	74.2%	93.1%	66.9%/NJ	69%
	University of Oregon	47	2.8	2.9	3.16-3.65	156-161	34.2%	17.9	50.3%	90.8%	79.2%/OR	78%
	University of Richmond (VA)	47	2.3	2.7	3.07-3.55	158-162	23.1%	18.2	74.3%	94.1%	85.5%/VA	74%
	Villanova University (PA)	47	2.6	2.9	3.20-3.60	157-160	34.7%	19.3	61.6%	92.8%	83.7%/PA	76%
77.	Lewis and Clark Col. (Northwestern) (OR)	46	2.4	2.6	3.10-3.61	157-163	36.5%	13.2	N/A	94.5%	75.0%/OR	78%
	Northeastern University (MA)	46	2.3	2.3	3.16-3.60	156-162	25.3%	18.2	N/A	95.7%	81.0%/MA	78%
	St. John's University (NY)	46	2.2	2.7	3.14-3.63	157-162	23.0%	16.8	66.6%	94.6%	82.1%/NY	75%
	University of Denver	46	2.4	2.4	2.90-3.50	152-161	21.6%	14.8	85.7%	99.3%	75.8%/CO	79%
	University of Miami (FL)	46	2.8	2.8	3.14-3.55	154-160	35.0%	20.7	63.5%	89.1%	82.2%/FL	78%
82.	Catholic University of America (DC)	45	2.6	2.8	2.96-3.45	156-160	30.6%	15.6	68.5%	93.0%	62.9%/MD	73%
	St. Louis University	45	2.3	2.8	3.26-3.68	153-160	38.8%	16.4	67.3%	95.1%	80.8%/MO	82%
	University at Buffalo-SUNY	45	2.4	2.3	3.16-3.66	153-158	27.6%	12.9	81.4%	89.9%	71.9%/NY	75%
	University of Hawaii	45	2.3	2.4	3.21-3.65	154-161	25.4%	17.1	73.9%	95.7%	89.0%/HI	79%
	University of Louisville (Brandels) (KY)	45	2.2	2.5	3.04-3.66	155-158	27.0%	13.1	66.0%	98.0%	82.8%/KY	79%
	U. of Nevada-Las Vegas (William S. Boyd)	45	2.0	2.4	3.23-3.69	151-159	16.1%	14.3	80.2%	95.2%	61.7%/NV	67%
	University of South Carolina	45	2.3	2.5	3.13-3.64	155-160	25.9%	18.4	71.5%	96.2%	85.6%/SC	82%
89.	Georgia State University	44	2.3	2.5	3.11-3.56	156-160	16.9%	16.0	N/A	94.2%	93.6%/GA	83%
	Hofstra University (NY)	44	2.4	2.5	2.94-3.59	154-158	32.4%	18.6	N/A	95.0%	78.9%/NY	75%
	Louisiana State University-Baton Rouge	44	2.3	2.4	3.16-3.72	152-158	30.8%	16.1	78.2%	92.4%	83.0%/LA	65%
	Seton Hall University (NJ)	44	2.4	2.5	2.91-3.43	156-160	28.9%	19.0	90.3%	96.0%	83.4%/NJ	69%
	University of Nebraska-Lincoln	44	2.5	2.7	3.31-3.83	152-158	43.1%	13.4	67.5%	85.9%	88.7%/NE	85%
94.	Marquette University (WI)	43	2.3	2.8	3.08-3.61	154-159	37.8%	19.6	89.6%	91.5%	100.0%/WI	82%
	Santa Clara University (CA)	43	2.4	2.5	3.19-3.54	156-160	25.0%	19.5	56.2%	93.4%	65.7%/CA	61%
	University of Mississippi	43	2.2	2.6	3.27-3.72	150-157	27.3%	21.8	76.3%	96.2%	94.5%/MS	92%
	University of San Francisco	43	2.2	2.6	3.08-3.56	156-160	25.9%	19.8	N/A	92.6%	66.7%/CA	61%
	University of Toledo (OH)	43	2.0	2.1	2.98-3.67	153-159	26.6%	13.3	83.2%	95.4%	76.5%/OH	76%
99.	Mercer University (GA)	42	2.0	2.6	3.06-3.60	153-157	24.6%	14.0	58.9%	95.8%	84.5%/GA	83%
	Pepperdine University (CA)	42	2.2	2.6	3.27-3.63	156-161	27.6%	17.4	58.7%	84.4%	60.8%/CA	61%
	Seattle University	42	2.2	2.5	3.07-3.56	151-158	37.8%	17.0	63.0%	100.0%	73.4%/WA	77%
	University of Arkansas-Fayetteville	42	2.2	2.1	3.13-3.67	150-158	29.5%	14.1	N/A	96.3%	83.9%/AR	80%
	University of Missouri-Kansas City	42	2.3	2.6	3.11-3.64	151-156	41.1%	15.0	N/A	95.6%	71.5%/MO	82%
	University of New Mexico	42	2.5	2.5	3.04-3.68	151-160	23.6%	10.1	N/A	77.7%	80.8%/NM	84%

¹School did not return its U.S. News statistical survey. Sources: U.S. News and the schools. Note: Numbers with * are from the fall 2002 entering class or school year and the 2001 graduating class as reported to the American Bar Association. N/A means that the data were not provided by the school. Western State University in California, the University of the District of Columbia, Ave Maria School of Law in Michigan, Barry University in Florida, St. Thomas School of Law in Florida, Appalachian School of Law in Virginia are not ranked because as of August 2003 they were provisionally approved by the American Bar Association. Three law schools in Puerto Rico—Catholic University, Inter-America University, and the University of Puerto Rico—are not ranked.

Other schools to consider

The next two quartiles of schools are listed in two groups, the Third Tier and Fourth Tier. Law schools within each of these tiers should be considered broadly similar in quality and therefore are listed alphabetically. To be listed, a law school must be accredited and fully approved by the American Bar Association and must draw most of its students

from the United States. Remember that in considering a law school you should look not only at its ranking or tier but also at other characteristics—its location, price, course offerings, and faculty expertise, to name a few—as well as how well a school meets your own needs. More information on all the schools is available in the directory, which begins on Page 93.

APPENDIX 7

**SERVING MULTIPLE CONSTITUENCIES IN BUSINESS SCHOOLS: M.B.A.
PROGRAM VERSUS RESEARCH PERFORMANCE**

JAMES S. TRIESCHMANN
University of Georgia

ALAN R. DENNIS
Indiana University

GREGORY B. NORTHCRAFT
University of Illinois at Urbana-Champaign

ALBERT W. NIEMI, JR.
Southern Methodist University

Business schools strive to meet two goals: knowledge exploration through research and knowledge exploitation through instruction. Our results indicate that research performance (pages published in leading journals) and M.B.A. (master of business administration) program performance (popular business press rankings) are different. Research performance was improved by the number of faculty, the proportion of full professors, the proportion of assistant professors, and editorships. M.B.A. program performance was improved by the budget per faculty member and the proportion of full professors.

Our research performance measure was the number of pages a school's faculty published in 20 top-tier business research journals. We focused on the 13 years from 1986 to 1998, a period starting immediately after the years covered by the last published cross-discipline ranking study (Niemi, 1988). We used a three-step approach to identify the journals included in the study. First, drawing on the American Association of Collegiate Schools of Business definition (*AACSB Newslines*, 1998) of business school disciplines, we identified a set of 13 disciplines, which we integrated into eight groups: accounting, finance, management, management information systems, management science, marketing, production/operations management, and insurance/international business/real estate. Second, we examined 7 to 13 articles in each discipline group that ranked journals or listed "top" journals in that discipline, obtaining a set of candidate journals for each. Finally, we selected the specific journals for inclusion in the study. We attempted to obtain the same relative number of

journals in each discipline group as there were faculty members in that group across AACSB-member schools. Thus, there were more journals from larger groups but at least one journal from every discipline, and the selected journals were ranked high on both articles and citation impact factors (Institute for Scientific Information [ISI], 1995, 1996, 1997; Starbuck, 1997). The journals in each discipline group are shown in Table 1. The journal selection process is further described on the World Wide Web at www.kelley.indiana.edu/ardennis/rankings.

For our measure of research performance, we chose the page count approach used in previous studies (Henry & Burch, 1974; Niemi, 1988). We counted the number of pages published by each university, adjusted for the relative page size of each journal, using the *Academy of Management Journal (AMJ)* as the standard. The conversion was accomplished by calculating the mean number of characters per line in a randomly selected 20-line section of text in each journal for each year (thus, 12 samples per journal) and multiplying this mean by the average number of lines per page; this number was then divided by the average for *AMJ* to produce a conversion index for each journal. As an aside, we note that this calculation measures the performance of a school at a given time, not the performance of its current faculty; faculty compositions change, and we made no attempt to trace faculty members' movements and credit past publications to their new schools.

For articles written by professors from different universities, we followed the approach of Niemi (1988), giving equal credit to all the schools represented regardless of the number of authors on a paper or the number of authors from each school; this approach is a modification of Lindsey's (1980) "normal count" method.

TABLE 1
Journals Studied

Discipline and Journals	Number of Faculty ^a
Accounting	3,336
<i>Accounting Review</i>	
<i>Journal of Accounting & Economics</i>	
<i>Journal of Accounting Research</i>	
Finance	2,409
<i>Journal of Finance</i>	
<i>Journal of Financial Economics</i>	
Insurance, international business, and real estate	584
<i>Journal of Risk and Insurance</i>	
<i>Journal of International Business Studies</i>	
<i>Real Estate Economics</i> ^b	
Management science	752
<i>Management Science</i>	
<i>Operations Research</i>	
Management ^c	3,457
<i>Administrative Sciences Quarterly</i>	
<i>Academy of Management Journal</i>	
<i>Academy of Management Review</i>	
<i>Strategic Management Journal</i>	
Management information systems	1,627
<i>Information Systems Research</i>	
<i>MIS Quarterly</i>	
Marketing	2,432
<i>Journal of Consumer Research</i>	
<i>Journal of Marketing</i>	
<i>Journal of Marketing Research</i>	
Production/operations management	877
<i>Journal of Operations Management</i>	

^a Numbers indicate total faculty members in these areas in AACSB-accredited business schools (*AACSB Newslines*, 1998).

^b Prior to 1995, this publication was entitled *Journal of the American Real Estate and Urban Economics Association*.

^c Includes management, strategy, human resource management, and organizational behavior.

TABLE 2
Business School Research Rankings^a

Research Rank 1986-98	University	Percentage of Weighted Pages	Research Rank			Average M.B.A. Rank 1995-99
			1986-89	1990-93	1994-98	
1	Pennsylvania	3.71%	1	1	1	2
2	Michigan	3.03	4	2	2	10
3	Stanford	2.59	2	3	7	1
4	New York	2.55	5	4	5	14
5	Chicago	2.45	7	5	3	6
6	Columbia	2.37	3	10	6	7
7	Minnesota	2.33	6	6	10	29
8 ↑	Texas, Austin	2.29	14	7	4	19
9 ↑	Harvard	2.12	20	8	8	3
10	Northwestern	2.05	9	9	9	5
11	Washington, Seattle	1.72	8	18	14	49 ^b
12	Southern California	1.72	18	15	11	27
13	Massachusetts Institute of Technology	1.69	13	11	18	4
14	Illinois at Urbana-Champaign	1.68	12	14	13	40 ^b
15 ↓	California, Berkeley	1.64	10	12	19	12
16 ↓	California, Los Angeles	1.55	11	13	22	13
17 ↑	Cornell	1.54	24	20	12	18
18 ↓	Ohio State	1.45	16	17	26	24
19	Duke	1.43	15	19	20	9
20 ↑	Wisconsin, Madison	1.42	26	22	17	^b
21	Indiana	1.39	22	21	21	20
22 ↓	Arizona	1.38	17	27	27	38
23 ↑	North Carolina at Chapel Hill	1.34	29	30	15	17
24	Carnegie Mellon	1.30	28	23	24	15
25 ↑	Penn State	1.28	36	26	16	35
26	Texas A & M, College Station	1.27	23	29	25	45
27 ↓	Florida	1.25	19	25	31	43 ^b
28 ↑	Arizona State	1.25	30	24	23	34
29 ↓	Rochester	1.22	25	16	36	22
30	South Carolina	1.19	27	32	30	
31 ↓	Iowa	1.08	21	39	32	
32	Purdue	1.05	33	33	29	21
33 ↑	Georgia	0.98	43	37	28	41 ^b
34 ↑	Rutgers	0.95	46	28	34	
35	Michigan State	0.89	31	48	33	32
36	Pittsburgh	0.86	32	41	38	46 ^b
37	Southern Methodist	0.84	38	45	35	^b
38	Colorado at Boulder	0.83	47	31	43	
39 ↑	California, Irvine	0.75	82	34	37	
40 ↓	Cincinnati	0.68	35	38	54	
41 ↑	Georgia State	0.68	64	52	41	
42 ↑	Notre Dame	0.67	55	50	40	^b
43 ↓	Dartmouth	0.67	39	35	56	8
44 ↑	Maryland, College Park	0.65	50	58	42	25
45	Washington (St. Louis)	0.64	37	77	39	25
46 ↓	Utah	0.63	34	43	64	
47 ↓	Louisiana State, Baton Rouge	0.62	40	40	57	
48	Houston	0.62	56	36	60	
49 ↑	Vanderbilt	0.61	65	47	44	30
50 ↓	Florida State	0.59	50	56	58	

^a The arrows (↑ and ↓) in the first column show schools whose research rankings rose or fell by eight or more positions over the study period.

^b Indicates a school was not consistently in the top 50 on the M.B.A. ranking from *U.S. News & World Report*; numeric rankings were calculated for those missing only one year, with the missing year assigned a 55. A blank in the last column indicates a school was not ranked in the top 50 in any studied year.

APPENDIX 8

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America's Best Graduate Schools 2005

Top Business Schools



Rank	School	Overall score	Peer assessment score (5.0 highest)	Recruiter assessment score (5.0 highest)	'03 average undergrad GPA	'03 average GMAT score	'03 acceptance rate	'03 average starting salary & bonus	'03 graduates employed at graduation	Employed 3 months after graduation	total tuition and fees
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Sort by: Rank

1.	Harvard University (MA)	100	4.8	4.5	3.60	708	11.6%	\$105,896	77.6%	87.4%	\$33,650
2.	Stanford University (CA)	99	4.8	4.4	3.57	713	9.2%	\$107,320	75.4%	85.5%	\$36,252
3.	University of Pennsylvania (Wharton)	97	4.8	4.6	3.48	713	15.9%	\$101,404	73.7%	86.7%	\$37,323
4.	Massachusetts Institute of Technology (Sloan)	96	4.7	4.5	3.50	710	18.2%	\$99,539	77.0%	88.3%	\$34,780
5.	Northwestern University (Kellogg) (IL)	93	4.7	4.6	3.45	703	15.7%	\$98,358	72.7%	83.0%	\$34,314
6.	Columbia University (NY)	89	4.5	4.2	3.40	709	12.5%	\$98,611	70.5%	84.5%	\$34,788
	University of Chicago	89	4.7	4.3	3.40	690	22.9%	\$97,872	67.2%	84.8%	\$34,733
8.	University of California - Berkeley (Haas)	87	4.6	4.1	3.50	700	12.8%	\$91,934	68.2%	80.6%	\$28,020
9.	Dartmouth College (Tuck) (NH)	86	4.3	4.3	3.40	696	19.0%	\$96,714	75.1%	83.8%	\$34,500
10.	University of Michigan - Ann Arbor	83	4.4	4.2	3.40	692	22.7%	\$97,039	61.6%	75.0%	\$34,688
11.	Duke University (Fuqua) (NC)	81	4.4	4.2	3.40	703	25.3%	\$92,459	56.2%	70.7%	\$34,354
12.	University of California - Los Angeles (Anderson)	80	4.2	4.1	3.50	701	20.6%	\$90,952	52.1%	74.0%	\$29,218
	University of Virginia (Darden)	80	4.1	4.1	3.40	678	24.2%	\$92,855	66.7%	84.2%	\$33,270
14.	Cornell University (Johnson) (NY)	78	4.2	4.1	3.35	672	30.4%	\$94,818	62.6%	77.0%	\$33,859
	New York University (Stern)	78	4.1	3.9	3.40	700	18.5%	\$95,896	62.4%	73.1%	\$34,126
	Yale University (CT)	78	4.1	4.1	3.50	703	18.6%	\$89,526	47.4%	72.6%	\$33,560
17.	Carnegie Mellon University (PA)	72	4.0	3.8	3.35	680	27.3%	\$85,737	58.1%	77.3%	\$35,220
18.	University of Southern California (Marshall)	70	3.8	3.7	3.30	688	28.0%	\$76,670	69.4%	84.0%	\$33,675
19.	Emory University (Goizueta) (GA)	69	3.7	3.5	3.40	676	27.6%	\$81,131	60.8%	82.3%	\$30,972
	Ohio State University (Fisher)	69	3.6	3.2	3.39	665	42.5%	\$86,153	70.9%	88.3%	\$25,224
21.	University of Minnesota - Twin Cities (Carlson)	68	3.5	3.6	3.28	654	41.7%	\$84,041	72.5%	92.8%	\$26,900
	University of North Carolina - Chapel Hill (Kenan-Flagler)	68	4.0	3.9	3.20	668	36.0%	\$87,819	55.1%	71.0%	\$31,004
23.	Indiana University -	67	3.9	4.0	3.31	650	31.8%	\$82,270	57.0%	70.5%	\$25,361

	Bloomington (Kelley)											
	Texas A&M University – College Station (Mays)	67	3.2	3.2	3.30	639	25.0%	\$91,644	86.5%	95.9%	\$16,800**	
	University of Illinois – Urbana-Champaign	67	3.6	3.4	3.40	648	39.3%	\$79,610	66.7%	87.1%	\$24,664	
	University of Texas – Austin (McCombs)	67	3.9	4.0	3.34	676	40.0%	\$82,167	50.1%	67.3%	\$26,083	
27.	Purdue University – West Lafayette (Krannert) (IN)	66	3.7	3.5	3.31	658	32.2%	\$86,577	64.0%	74.6%	\$25,488	
	University of Washington	66	3.4	3.3	3.40	669	40.1%	\$70,605	65.6%	95.7%	\$19,857	
29.	Arizona State University – Main Campus (W. P. Carey)	63	3.5	3.1	3.44	651	35.3%	\$72,343	56.2%	91.7%	\$21,902	
	Michigan State University (Broad)	63	3.4	3.4	3.36	646	25.3%	\$82,898	63.2%	80.5%	\$21,420	
	University of California – Davis	63	3.1	3.5	3.40	679	31.0%	\$73,328	68.6%	84.3%	\$28,912	
	University of Notre Dame (Mendoza) (IN)	63	3.5	3.6	3.40	664	34.1%	\$78,047	47.6%	78.0%	\$28,235	
33.	Georgetown University (McDonough) (DC)	62	3.4	3.3	3.30	661	27.2%	\$83,726	53.5%	83.2%	\$30,888	
	University of Maryland – College Park (Smith)	62	3.5	3.2	3.35	656	26.5%	\$80,085	50.0%	84.3%	\$26,382	
35.	University of Arizona (Eller)	61	3.4	3.3	3.46	643	56.6%	\$67,645	62.2%	84.4%	\$22,124	
36.	University of Rochester (Simon) (NY)	60	3.5	3.4	3.20	647	36.5%	\$77,844	55.8%	83.1%	\$32,475	
	University of Wisconsin – Madison	60	3.5	3.5	3.30	662	24.3%	\$75,002	62.2%	70.0%	\$24,602	
	Wake Forest University (Babcock) (NC)	60	3.3	3.6	3.20	643	45.9%	\$74,531	67.8%	85.6%	\$26,625	
39.	Brigham Young University (Marriott) (UT)	59	3.0	3.4	3.58	640	47.9%	\$68,986	55.3%	84.0%	\$9,826	
	Vanderbilt University (Owen) (TN)	59	3.4	3.6	3.28	638	53.8%	\$77,770	54.8%	80.2%	\$30,995	
	Washington University in St. Louis (Olin)	59	3.7	3.5	3.25	651	40.7%	\$76,845	51.9%	70.7%	\$31,810	
42.	Boston College (Carroll)	58	3.1	3.3	3.30	661	20.9%	\$71,674	56.8%	86.5%	\$914*	
	Georgia Institute of Technology (DuPree)	58	3.2	3.2	3.32	668	39.0%	\$70,245	56.0%	86.7%	\$21,790	
	University of Georgia (Terry)	58	3.3	3.3	3.26	659	31.9%	\$73,413	61.4%	81.4%	\$17,820	
45.	Penn State University – University Park (Smeal)	56	3.5	3.5	3.30	653	36.9%	\$75,962	42.0%	67.0%	\$24,192	
	Rice University (Jones) (TX)	56	3.2	3.7	3.20	624	34.9%	\$82,357	55.6%	74.2%	\$29,746	
47.	Boston University	55	2.9	3.3	3.17	666	37.5%	\$71,655	62.3%	86.9%	\$29,831	
	Tulane University (Freeman) (LA)	55	3.1	3.2	3.30	663	64.4%	\$66,076	58.3%	85.4%	\$1,019*	
	University of California – Irvine	55	3.2	3.0	3.37	670	34.9%	\$67,162	46.4%	82.1%	\$29,183	
	University of Iowa (Tippie)	55	3.2	3.3	3.30	637	53.0%	\$66,340	61.5%	82.1%	\$18,996	
51.	University of Pittsburgh (Katz)	54	3.3	3.2	3.30	635	51.5%	\$65,867	50.7%	83.6%	\$37,803**	
52.	Southern Methodist University (Cox) (TX)	53	3.1	3.2	3.26	665	45.6%	\$73,083	45.4%	77.8%	\$29,462	
53.	Babson College (Olin) (MA)	52	3.3	3.5	3.06	644	43.2%	\$71,508	49.6%	79.8%	\$28,344	
	University of Florida (Warrington)	52	3.3	3.1	3.23	650	43.9%	\$64,200	34.4%	87.5%	\$775*	
55.	University of Colorado – Boulder (Leeds)	50	3.1	3.0	3.17	650	51.3%	\$66,630	48.0%	84.0%	\$22,469	

	University of Connecticut	50	2.7	2.7	3.52	625	54.5%	\$86,916	50.0%	67.9%	\$18,098
	Virginia Tech (Pamplin)	50	2.9	3.0	3.30	648	39.4%	\$56,390	68.0%	84.0%	\$11,618
58.	University of Oregon (Lundquist)	49	2.9	3.1	3.29	632	43.6%	\$57,892	54.2%	89.6%	\$15,339
59.	Case Western Reserve University (Weatherhead) (OH)	48	3.3	3.2	3.16	615	57.8%	\$63,540	48.1%	77.9%	\$30,940
	Claremont Graduate School (Drucker) (CA)	48	3.1	3.1	3.22	607	65.3%	\$75,409	58.1%	69.8%	\$34,217
61.	University of Alabama – Tuscaloosa (Manderson)	47	2.8	2.8	3.40	615	38.2%	\$56,051	56.0%	88.0%	\$12,894
62.	University of Oklahoma (Price)	45	2.7	2.6	3.61	644	68.6%	\$55,229	52.4%	69.0%	\$432*
	University of Texas – Dallas	45	2.5	2.9	3.50	638	49.6%	\$72,136	40.0%	68.0%	\$8,211
64.	North Carolina State University	44	2.5	2.9	3.30	615	55.9%	\$60,841	63.6%	86.4%	\$18,184
	University of Missouri – Columbia	44	2.9	3.0	3.33	620	56.2%	\$51,206	39.0%	84.7%	\$639*
	University of Utah (Eccles)	44	2.8	3.1	3.51	611	74.7%	\$50,376	40.4%	80.7%	\$15,727
67.	Iowa State University	43	2.6	2.9	3.45	592	55.0%	\$45,600	78.9%	84.2%	\$14,332
	Temple University (Fox) (PA)	43	2.6	2.5	3.20	635	47.8%	\$76,435	42.5%	79.2%	\$12,726
	University of South Carolina (Moore)	43	3.0	3.1	3.33	622	58.1%	\$65,004	46.7%	58.2%	\$22,200
70.	University of Massachusetts – Amherst (Isenberg)	41	2.7	2.8	3.30	624	26.9%	\$60,875	50.0%	71.4%	\$16,498
71.	DePaul University (Kellstadt) (IL)	40	2.8	2.5	3.22	573	54.7%	\$60,860	64.0%	84.0%	\$650*
	George Washington University (DC)	40	2.9	3.2	3.18	630	28.7%	\$58,660	38.3%	65.4%	\$834*
	Louisiana State University – Baton Rouge (Ourso)	40	2.7	2.8	3.38	603	26.8%	\$48,077	62.1%	75.8%	\$9,364
	Rensselaer Polytechnic Institute (Lally) (NY)	40	2.7	3.1	3.28	643	55.6%	\$55,606	38.1%	66.7%	\$29,137
	Texas Christian University (Neeley)	40	2.4	3.1	3.20	607	68.2%	\$60,041	50.0%	86.0%	\$17,950
76.	Santa Clara University (Leavey) (CA)	39	2.9	3.3	3.08	624	76.5%	\$77,367	34.3%	48.6%	\$618*
77.	Pepperdine University (Graziadio) (CA)	38	2.7	2.7	3.13	636	66.0%	\$63,551	42.0%	70.0%	\$28,032
	Rutgers State University – New Brunswick and Newark (NJ)	38	2.6	2.9	3.20	634	44.0%	\$78,820	76.5%	88.2%	\$22,077
	University of Central Florida	38	2.3	1.5	3.40	531	64.4%	\$86,000	81.8%	81.8%	\$776*
80.	University of Denver (Daniels)	37	2.5	3.4	3.26	560	83.7%	\$55,363	61.2%	75.9%	\$25,188
	University of Miami (FL)	37	2.8	2.5	3.20	602	59.2%	\$61,501	54.6%	69.4%	\$1,074*
	University of Tennessee – Knoxville	37	2.9	2.8	3.34	600	39.8%	\$57,961	30.8%	63.1%	\$25,395**

* Tuition is per credit.

** Tuition is reported for the entire program.

Sources: U.S. News and the schools.
Assessment data collected by Synovate

APPENDIX 9

Business Research in Eight Business Disciplines

by

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ABSTRACT

This study recorded nearly 1.5 million citations to measure research productivity of the 4,918 full time faculty members with doctoral degrees at 51 leading US business schools. These schools had been included at least once in the 25 most recent ranking lists produced by three major business publications. This research included lifetime citation counts for each faculty member, and resulted in 1,497,162 citations that were recorded between March and June 2003.

The citation counts were cumulated by academic discipline. The disciplines for which rankings were made were accounting, economics, finance, information systems, marketing management science, organizational behavior, and strategy. Ranked lists of the top 25 schools in each discipline are included.

The paper contains a review of the literature on citation analysis, and suggests how citation analysis might be used as an assessment tool by business school administrators, professors, students, and corporate managers.

INTRODUCTION

Measuring the quality of academic faculties is a task that is both easy and difficult. It can be extremely easy, because one has only to ask the apparent leaders in the academic discipline, record their assessments of the reputations of various faculties, and draw conclusions based on their opinions. This can be done in a single day.

A more rigorous approach is to examine quantitative factors that might go into the recipe for reputation. Chief among them is the number of publications. The implicit assumption is that an author with a great number of publications has his or her work read very frequently by others in the field, and that the more often an author is read, the more impact he or she has on the thinking of others.

The difficulty with this line of reasoning is that it is based on *quantity of production*, because only the number of articles is tallied. There is no attempt to measure whether the articles have influence or, in fact, whether they are even read by anyone. It could be, for example, that an author might have published dozens of articles, but none of the articles were ever used by anyone else to shape their thinking. In that case, an author rated fairly high in production quantity would be rated very low on measures of impact on others.

Impact measures would be very valuable, but they are elusive. It would not seem to be an easy task to determine the impact of the 4,918 full time faculty members with doctoral degrees at 51 leading US business schools. That task was accomplished using citation analysis, however, and the results are presented here as a series of rankings of the productivity of each school's business research in eight academic disciplines.

Table 1 - Mean Citation Rankings for 51 US Business Schools in 8 Disciplines
Based on Mean Number of Citations for the Business Faculty

	Accounting	Economics	Finance	Info syst	Marketing	Mgmt sci	Org beh	Strategy
Arizona	24	25		14	28	25	21	
Arizona State							26	19
Babson								
BYU				26				
Cal-Berkeley	12	2	12	2		17	1	1
Cal-Irvine		7	23	10	26			
Carnegie Mellon	7	13	28	20		11	13	
Case Western				24				23
Chicago	8	5	1	6	29	6	4	6
Columbia	17	6	5		7	27	8	
Cornell	5	14	19	4	4	26		
Dartmouth	19	17	10		12	7		11
Duke	13	18	6		2	3	10	4
Emory	29		20	9				
Florida		26	22		5	28	22	
Georgetown					24			21
Georgia Tech								27
Harvard	3	19	13	5	22	30	19	9
Illinois		23	24	23	23		24	
Indiana		20		16		21	11	22
Iowa	15	21			20	24	8	
Maryland	27			19			30	28
Michigan	9	15	26	22	14		6	18
Michigan State				28		44	17	
Minnesota	21		21	21	17			17
MIT	11	1	2	12	1	5	16	12
North Carolina	14		27	15	11	12	12	6
Northwestern	16	22	16		3		27	26
Notre Dame								
NYU	10	12	7	18	18	22		24
Ohio State			15			8		2
Penn State	20			30	19		23	3
Pennsylvania	2	8	11		8	9	28	13
Pittsburgh	25	9		7		1	20	29
Purdue		30	17			20		15
Rice	23			3	6	14	28	
Rochester	4	11	3			18		
SMU		29	25	13	16			16
South Carolina		24		29	15		18	14
Stanford	1	3	14	1	10	4	2	7
Texas	26		28	17	27	19	15	30
Thunderbird	26							
Tulane							5	
UCLA	22	4	4	6	13	2		10
USC	18		18	25	21	23	7	
Vanderbilt		27	8		9	13	14	20
Virginia		28			25	28		25
Wake Forest				27		16		
Washington U	30	16	30					
Wisconsin					30	15	25	
Yale	6	10	9	11		10	3	5

The table shows that a surprisingly large number of schools dominate the lists. Four schools were ranked within the top 30 for all eight disciplines (i.e. Chicago, Harvard, MIT, and Stanford) but nine schools were within the top 30 seven times, and nine additional schools were ranked six times.

APPENDIX 10

Economics rankings:

Trend in Rankings of Economics Departments in the U.S.: An Update” by Scott and Mitias, *Economic Inquiry*, April 1996, 378-400.

Journal selection: journals chosen by authors, top 36 and top 5

Page and number of coauthors adjustment: yes

Journal quality adjustment: no

Results:

1. For all economists in the university, SMU ranked 58 for number of pages produced 1984-93.
2. Based only on page production for the Economics Department, SMU ranked 64.
3. When adjusted for number of faculty members, SMU rose to 46.
4. SMU economics faculty productivity is relatively spread across the faculty. The rankings do not depend on the production of just one superstar.
5. When considering only top 5 journals, SMU ranked 64 as a university and 68 for an economics department.
6. None of the faculty was listed as one of the top 50 economists.

“Rankings of U.S. Economics Departments,” by Dusansky and Vernon, *Journal of Economic Perspectives*, Winter 1998, 157-170

Journal selection: journals by on impact measured by citations

Page and number of coauthors adjustment: yes

1. For 1990-1994, SMU didn't make the top 50 of any of the different types of rankings presented.

“Rankings of Academic Journals and Institution in Economics,” by Kalaitzidakis, Stengos, Mamuneas , European Economic Review, December 2003, 1346-1366.

Journal selection: journals by on impact measured by citations

Page and number of coauthors adjustment: yes

Business school economist included in productivity measurement.

1. In the world ranking SMU ranked 87.

Econometric rankings:

“Applied Econometrics Rankings:1989-1995,” by Baltagi, Journal of Applied Econometrics,1999, 423-441.

Journal selection: by the author

Page and number of coauthors adjustment: yes

1. SMU is ranked 26 in the world. When adjusted for number of authors at SMU we go to 24th. (We get the bump because there were so few econometricians.)

2. Hall of Fame members include Balke (41), Slottje (43), for theory articles, and Slottje (3) and Hayes (8) for applied econometrics articles.

“Worldwide Institutional and Individual rankings in Econometrics over the period 1989-199:An Update,by Baltagi, Econometric Theory, 2003, 165-224.

Journal selection: journals by author

Page and number of coauthors adjustment: yes

1. SMU ranked 57 in the world for theoretical contribution.
2. SMU ranked 44 for all econometric contributions
3. Maasoumi made the Hall of Fame list for theory papers (140).
4. Maasoumi (141) and Slottje (184) made the Hall of Fame list for all econometrics.

The following results based on citation adjustments:

5. For theory papers, SMU ranked 65
6. For all econometrics, SMU ranked 48
7. No SMU economist made the Hall of Fame for citation adjusted contributions
8. SMU ranked 19 in article production of Journal of Econometrics.
9. SMU ranked 34 when only three core econometric journals are considered.
10. Slottje (11), Maasoumi (17) and Hayes (27) were in the Hall of Fame for publications in Journal of Econometrics.

APPENDIX 11

Religion Ph.D. Program Benchmark Data for 2003-2004 (See notes at table end)

**Entry Cohort Graduation Waiver/Average Fellowship
(Average) (Average) or Grant
(See Notes B and C)**

SMU	5	2-3	\$20,976	Yes	\$2,000 Fellowship
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Competitors for Religious studies students (See note A)

Boston Univ.	13-14	4(01-02)	\$28,512	Yes	\$4,000.00 Fellowship or RA/TA
Duke	16-17	8-9	\$23,280	Yes	\$14,500 Fellowship or RA/TA
Emory	20	15(01-02)	\$26,770	Yes	\$13,000.00 Fellowship or RA/TA
Harvard	8-9	7(01-02)	\$28,200	Yes	\$21,120 Fellowship or RA/TA
Princeton	5-6	3 (01-02)	27,830(02-03)	Yes	\$14,500 Fellowship or RA/TA
Vanderbilt	15	19 (01-02)	\$27,720	Yes	\$11,433 Fellowship or RA/TA
Yale Univ	11-12	11(01-02)	\$25,600.00	Yes	\$16,000.00 Fellowship or RA/TA

A: Information taken from Council on Graduate Study in Religion 2002-2003 report; FOR INTERNAL USE ONLY
 B: Fellowships are on a scholarship (non service) basis; TA/RA = teaching and research assistant requirements
 C: Most programs provide funding on a 9 month basis; summer funding opportunities are also often available.

Clinical Psychology Ph.D. Program Benchmark Data for 2003-2004 (See notes at table end)

	Entry Cohort (Average)	Graduation (Average)	Tuition	Tuition Waiver or Grant	Monthly Support Level Support Forms (See Notes B and C)	Health Insurance Coverage by University (D)
Texas						
SMU	3	(See Note A)	\$1060/cr hr	Yes	1,000 RA or TA	No
Rice	7*	7	\$1,096/cr hr	Yes	\$1,111 Fellowship	No
Texas A&M	4-7	2-7	Res. \$170/cr hr Nres. \$428/cr hr	Yes	\$1,111 Fellowship	Yes
Texas-Dallas	2-5*	2-5	Res. \$388/cr hr Nres. \$624/cr hr	Yes	\$1,250 TA or RA	Yes
Texas-Austin	6	3	Res. \$138/cr hr Nres. \$374/cr hr	Yes	\$1166-1316 Fellowship or RA/TA	Yes
Methodist Benchmarks						
Boston Univ.	10	5-6	\$27,042	Yes	\$1,333-1,444 Fellowship or RA/TA	Yes
Duke	11	8-9	\$25,650	Yes	\$1,666 Fellowship or RA/TA	No
Emory	8	7	\$23,885	Yes	\$1,322-1,666 Fellowship or RA/TA	No
Northwestern	5	2	\$29,940	Yes	\$1,500 Fellowship or RA/TA	Yes
Tulane (E)	8*	2	\$28,500	Yes	\$1,519-1,666 Fellowship or RA/TA	No
Vanderbilt	7	2-4	\$27,720	Yes	\$1,666 Fellowship or RA/TA	Yes
Notes:						
A: First class admitted fall 2003						
B: Fellowships are on a scholarship (non service) basis; TA/RA = teaching and research assistant requirements of 15-20 hours/week.						
C: Most programs provide funding on a 9 month basis; summer funding opportunities are also often available.						
D: For universities with a "No" for insurance, coverage is available for purchase.						
E: Non-Methodist but used as an SMU benchmark for institutional data collection.						
*: No clinical program. Entering Class for all Psychology Doctorate programs.						

Anthropology Ph.D. Program Benchmark Data for 2004-2005 (See notes at table end)

	Entry Cohort (Average)	Graduation (Average)	Tuition	Tuition Waiver or Grant	Monthly Support Level Support Forms Notes at bottom	Health Insurance Coverage by University (D)
Texas SMU	4	8	\$1060/cr hr	Yes	\$1,200 for 10 months -- for 3 yrs. RA or TA	No
Rice	8	8	\$1,096/cr hr	Yes	\$12,500.00/yr for 3 yrs Fellowship	No
Texas A&M	4	4	Res. \$147./cr hr Nres. \$383/cr hr	no	see note marked #11	Yes
Texas-Austin	20	8	Res. \$356/cr hr Nres. \$487./cr hr	Yes	\$1,222.00/mo-\$1,356.00/mo 1222.00(BA)/1356. (MA) Fellowship or RA/TA	Yes
Methodist Benchmarks						
Boston Univ.	?	2	\$28,512/yr	Yes	?	No
Duke	8-10	2	\$25,650/yr	Yes	\$1,666.00 for up to 6 years(per satisfactory perform.) Fellowship or RA/TA	Yes/stipend*
Emory	6	3	\$27,770/yr	Yes	\$1,582.00/mo for 4-1/2yrs Fellowship or RA/TA	No
Northwestern	?	6	?	Yes	?	
Tulane (E)	8*	2	\$28,500/yr	Yes	\$1,519-\$1,666/mo. Fellowship or RA/TA	No
Vanderbilt	?	1	\$29,250/yr	Yes	\$1,722/month Fellowship or RA/TA	Yes
Notes:						
* fees may vary according to students' selections of services (Advising fees 8.85/cr hr), Bursar Service fees .55 per credit hour, etc.						
11- the department conveyed that there is not a funding system for incoming grads. Students may receive merit scholarships, etc						
Texas/Austin pays insurance on any student working 20 hrs and more than 4.5 months of work.						
* This fee allows non resident students to take up to 9 credit hours.						
Duke Univ. expects for the students to pay this out of their stipend payment						

Theatre Master of Fine Arts Benchmark Information 2004-2005¹

	Entry cohort ave.	Graduation ave.	Tuition	Tuition Waiver	Support	Health Insurance
Texas						
SMU	8 alt. years	6-8	\$1,060 cr. hr.	Yes	\$6,600 acad. yr.	No
UT - Austin	16 every 3 yrs - Act. 8-10 every yr. - Des 1-2 every yr. - Dir.	90-95%	\$356 cr. hr. in-state \$638 cr. hr. out	In-state - rarely Out - usually	TBD	Half-time emp. - Yes
Benchmarks						
Brown	16 every 3 yrs - Act. 2 every 3 yrs - Dir.	100%	\$31,000	most receive 50% waiver on average	only partial waiver	Yes
NYU	under 20 - Act. under 16 - Des.	90-95%	\$32,000	No	2 full fellowships scholarships ²	No ³
Northwestern	3 every yr. - Dir. 6 every yr. - Des.	90-95%	\$29,940	Yes	\$4,719 per qtr. ⁴	Partial ⁵
Tulane					\$9,000 per yr.	
UC San Diego	8-10 ev. yr. - Act. 5-6 ev. yr. - Des. 1-2 ev. yr. - Dir.	100%	\$14,694	2% receive full 3% receive partial	\$10,000 TAships \$4,000 stipends	Yes ⁶
Yale School of Dra.	16 ev. yr. - Act. 11-13 ev. yr. - Des. 3 ev. yr. - Dir.	most	\$19,795	No	Need-based work study, loan, scholarship	No ⁷

¹ I have included information on some of the leading MFA programs in the country. Duke, Emory, Rice, Texas A&M, UT-Dallas, and Vanderbilt do not offer MFA degrees.

² These range from \$5,000-\$20,000, averaging in the \$10,000-\$12,000 range.

³ Students are required to carry health insurance.

⁴ Design students work for 3 quarters; Directing students work for 1 quarter.

⁵ Students pay \$1,100 toward health coverage.

⁶ For second and third year students.

⁷ Students are automatically enrolled in Yale's Health plan; annual fee is \$1,272.

Chemistry Ph.D. Program Benchmark Data for 2003-2004 (See notes at table end)

	Entry Cohort (Average)	Graduation (Average)	Tuition	Tuition Waiver or Grant	Monthly Support Level Support Forms	Health Insurance Coverage by University
Texas						
SMU	4	a	\$1060/cr hr	Yes ^b	\$1,500	No
Rice	14		\$19,700	Yes	ca \$1700/mo ^g	No ^f
Texas A&M	65	40	\$6500	actual amnt paid by student \$100 ^c	\$1550 ^{g, h}	Yes ^k
Texas-Dallas	12 ^h			Yes	\$1450-1667 ^h	Partial
Texas-Austin	50	35	\$5750	Yes, but ⁱ	\$1700	Yes
TCU	5-6	3	\$640 / hr	Yes	\$1,334	No ^f
Methodist Benchmarks						
Boston Univ.	20	7	\$937/hr	Yes	\$1,722	Yes
Duke	20 ^h	14 ^h	\$25,650	Yes ^j	\$1708	No ^{f, j}
Emory					2083 ^j	
Northwestern	45	20	\$9500/qrtr	Yes	\$1750	Yes
Tulane	12	5	\$28,500	Yes	\$1,500	No ^f
Vanderbilt	23	11 ^d	\$29,312/yr	Yes	\$1,542 ^e	Yes
Brown	15	8-12	\$30,672/yr	Yes	\$1,334	Yes

^a First class admitted fall 2004

^b By "hook or crook" and "scraping the barrel", i.e., only the chairman knows where the \$ came from.

^c \$6500 per year. Students are given a waiver from the out-of-state rate to the in-state rate because they serve on assistantships. This "waives" about \$6400.

^d Three year average

^e Additional awards from the Graduate School and the College of Arts and Sciences, fellowships through several interdisciplinary programs as well as DOE GAANN fellowships. The smallest is in the amount of \$1500 (added to the regular fellowship) and run up to \$5000 per year for 4 years. Full fellowships can run from \$25,000 per year for 2 years up to \$30,000.

^f Available for purchase

^g TAMU curiously avoided answering this question since this is a bidding market. I know from two actual offers to SMU grads that the basic amount is \$18,600/year plus signing bonuses of at least \$2500 (rumors of up to \$10,000) for the first year for the better students

^h Five year average but out of phase with graduation rate which is average of the same five years.

ⁱ Graduate school pays a \$3700/year continuation fee.

^j Students must have insurance.

^k Student pays part of premium as of 8/04

^h Information obtained from one of our SMU grads. No official reply after two requests.

ⁱ Getting the tuition down to \$5750 means getting a tuition waiver in the UT Austin system

^j Special fellowships to best students; guaranteed for each subsequent year of study; plus \$5000 for travel and books

	Anthropology		Chemistry		Psychology	
		TA or RA		afternoons		10 hrs as TA
BRANDEIS	14 K	TA or RA	22 K	TA 2	16,500	10 hrs as TA
BROWN		No response	16 K + 5,333 summer	RA/TA 20 hrs	14,500 + 3,000 summer	TA
CARNEGIE MELLON		Not offered		No response	20,500	Not tied to RA or TA
DARTMOUTH		Not offered	20,065	Varies ("fulltime" in handbook)	19,020	GA in lab
DUKE	15,000	RA + TA	20,500	TA in labs	15,000	20 hours per week
EMORY	19 K	None	20,000	TA in labs	15,500 – 18,025	Teaching rotation
NORTHWESTERN	18,483	1 st yr – no work, then TA	21 K + health insurance	TA, RH	14,157 – 18,000	Some TA

	Anthropology		Chemistry		Psychology	
NOTRE DAME	Not offered		15,500	TA ⇒ 12 hrs	15,000	TA, RA 14-17 hrs/wk
TULANE	14,245	70 hrs per semester	15,000	± 12 hours	14,250	TA – 20 hrs
USC	No response		22,000	TA	16,500	TA, RA 20 hrs
VANDERBILT	15 K	± 12 hours	18,500 – 22,000 (medical center)	TA	1,666 monthly (form didn't indicate length)*	Fellowship or RA/TA
WAKE FOREST	Not offered		17,000	12-15 hours TA	Not offered	

* From the Jouriles & Vaudewalle report

Engineering Schools (November 2004)

	PhD Entry Cohort (Average)	MS Entry Cohort (Average)	PhD Graduates/yr (Average)	MS Graduates/yr (Average)	Tuition	% of PhD students with financial aid	% of MS students with financial aid
Texas							
SMU	15	160	10	290	\$776/cr hr (\$13,968-16,464/yr)	90-100%	25-30%
Rice	224	6	80	30	\$21,200/yr fees (w/o ins) \$540 9hr: \$2,334.75/sem (3 sem/yr)	~100%	very few
Texas A&M (2003)	66	436	125	125	12hr: \$3,033/yr \$4000/yr	-	-
Texas-Dallas	25	250	15	250		90%	30%
Texas-Austin	79	327	160	504	Res. \$3042/sem Nres. \$5844/sem (9 cr hr/sem)	-	-
Texas-Arlington	56	763	23	339	Res. \$169-189/sch Nres. \$484-504/sch Fees \$500-600/sem	35.26%	~17.84%
Methodist Benchmarks							
Boston Univ.	~50	~100	~30	~80	\$891/cr hr (16 cr hr/sem)	nearly all	about half
Brown	30-40	10-20	20-30	10-20	\$30,672/yr (\$3,834/course)	100%	10-20%
Duke	65	12	33	20	\$25,650/yr Fee: \$3,700	100%	~25%
Emory							
Northwestern	150	45	100	~100	\$9980/quarter (4 quarter/yr)	100%	~40%
Tulane (E)	-	-	-	-	-	-	-
Vanderbilt	79	28	29	74	\$1,213/cr hr Fee: \$1,835	100%	100%
Notes:							

Monthly Stipend for PhD Student (average)	Monthly Stipend for MS Student (average)	Health Insurance Coverage by University (D)	Teaching Load for Tenured/Tenured Track Faculty (courses)	Average Outside Funding per Tenured Track Faculty
\$1,200-1,500	\$1,200-1,500	No	2/semester--no reduction in load for funded research	\$57,700
\$1,750	few	No	-	-
\$2,800 (minimum \$2,500)	\$2,200 (minimum)	Yes (as a salary supplement)	-	-
\$2,000 (need to pay tuition from)	\$1,800	Yes	2+2/yr reduction for PhD advising non-research: 4/yr research: 3/yr	\$80,000
TA: \$1,280 RA: \$1,355	TA: \$1,280 RA: \$1,355	Yes		\$503,000 (02-03)
\$1,300 (need to pay tuition from)	\$1,100 (receive in-state tuition)	Yes for GTA/GRA	2+2/yr reduction with funded research	\$15,000-20,000
~\$2000	\$1,937	Yes for TA/RA	Regular: 4/yr Research: 3/yr	\$490,000
~\$1800	\$1,800	Yes	Research: 1/sem	\$155,000
\$1,667	\$1,667 (most are self-support)	No	Regular: 4/yr Research: 2-3/yr	\$350,000
\$1,800 (03-04 yr) \$1,900 (future)	\$1,700	75% covered	3/yr	\$310,860 (02-03)
-	-	-	-	-
TA: \$1,458 RA: \$1,728	TA: \$1,466 RA: \$1,562	Yes	1-3/yr (depend on research load)	\$376,000

APPENDIX 12

Academic Libraries
Salary Survey
2002-2003

Academic Summary	Average entry level salary:										33,843	Department Heads			Associate or Assistant Directors	
	Non-Administrative Librarians / Years of Professional Experience											(Total yrs. as dept. head				
	0-4 Years	5-9 Years	10-14 Years	15-19 Years	20 or More	0-9 Years	10+ Years	0-9 Years	10+ Years	20 or More		0-9 Years	10+ Years			
All schools: # of librarians/ average salary	106	39,443	69	42,806	54	45,620	36	48,704	103	55,093	56	54,818	91	59,792	33	77,946
AAUP Category I Schools: # of librarians/average salary	83	40,844	48	45,111	32	48,992	25	50,972	77	58,407	47	55,535	70	62,710	25	82,000
American University	1	46,250	7	48,750	0		1	56,250	6	61,250	1	61,250	1	63,750	2	73,750
Andrews University	2	37,500	3	36,250	3	37,917	1	36,250	0		3	39,583	1	41,250	0	
Boston College	6	43,750	3	49,583	4	51,875	3	62,083	12	57,292	12	63,333	1	95,000	3	87,500
Brown University	1	36,250	8	45,313	3	57,917	3	49,583	21	58,333	0		10	67,750	2	95,000
Catholic U. of America	5	33,750	2	35,000	2	33,750	1	38,750	0		3	42,917	9	41,528	1	61,250
Creighton University	1	33,750	2	35,000	1	36,250	1	41,250	1	41,250	0		3	46,250	0	
Gonzaga University	1	36,250	2	38,750	2	42,500	2	46,250	1	51,250	0		0		1	56,250
Hofstra University*	9	62,639	2	65,000	2	75,000	1	83,750	2	95,000	1	61,250	2	85,000	2	95,000
Loyola University - Chicago	6	34,583	3	40,417	3	47,083	0		5	45,750	0		7	58,393	2	83,125
Loyola University - New Orleans	0		1	36,250	1	43,750	2	46,250	5	54,750	0		1	63,750	2	60,000
Marquette University	3	37,917	3	41,250	6	47,917	2	48,750	5	53,750	5	53,750	8	59,375	1	88,750
Miami University	14	39,464	4	43,750	1	43,750	3	46,250	7	49,107	1	51,250	10	52,500	1	86,250
St. Louis University	5	39,250	5	45,750	4	45,625	2	42,500	1	53,750	1	61,250	4	62,500	0	
Seattle University	2	41,250	0		1	38,750	1	41,250	2	47,500	1	51,250	1	56,250	0	
Southern Methodist University	8	34,063	3	36,250	3	35,417	0		7	41,607	1	68,750	6	59,583	1	78,750
	2	33,750	1	33,750	2	36,250	2	35,000	0		1	41,250	8	42,813	4	56,875
	2	43,750	1	46,250	0		3	56,250	5	57,250	4	60,000	0		0	
Tufts University	1	36,250	2	42,500	3	45,417	2	43,750	3	53,750	2	46,250	2	51,250	0	
University of Dayton	3	38,750	2	48,750	3	51,250	1	51,250	2	56,250	1	63,750	3	60,417	2	73,750
University of Detroit*	5	40,250	5	44,750	5	50,750	3	51,250	8	58,750	13	56,442	8	68,906	2	95,000
University of Notre Dame	2	41,250	1	41,250	3	45,417	1	61,250	2	60,000	0		0		1	56,250
University of the Pacific	1	31,250	2	32,500	2	35,000	0		3	40,417	1	36,250	2	45,000	0	
University of Tulsa	24	39,375	4	46,875	0		1	41,250	5	52,250	9	58,194	2	55,000	5	79,500

*Note: Hofstra salaries calculated from a 190 working day / year contract. University of Detroit salaries calculated from a 10 month contract

APPENDIX 13

SMU and ARL Libraries: Recent Comparisons

2002/2003	SMU	Rice	Duke	ARL Median	SMU's ARL Rank (Theoretical, of 114)
Librarians	50	58	141	81	100 tie
Staff, Non-Professional	70	62	163	125	105 tie
Total Salaries & Wages (including student help)	\$4,455,989	\$4,772,315	\$12,871,888	\$8,677,437	108
Current Serials Expenditures	\$3,031,854	\$4,822,630	\$7,684,014	\$5,340,158	110
Total Expenditures	\$12,141,314	\$14,663,440	\$32,315,593	\$18,730,854	97
Collection Size (Volumes)	2,787,309	2,314,820	5,360,303	3,053,900	69
Salaries					
Beginning 2003	\$30,000	\$33,850	\$35,800	\$35,000	97 tie
Beginning 2004	\$30,000	\$33,850	\$36,300	\$36,000	100
Median 2003	\$38,132	\$48,500	\$51,425	\$50,360	112
Median 2004	\$39,917	\$49,665	\$53,592	\$51,500	113
Average 2003	\$44,556	\$53,200	\$55,295	\$53,535	101
Average 2004	\$45,582	\$53,727	\$57,021	\$55,107	102

- Notes: 1) We chose Rice for comparison, because it is a small school, and its library spending is relatively attainable. It should be noted that because Rice has no comparable law, theology, or special collections libraries, the disparity between Rice's and SMU's spending on basic scholarship is considerably greater than it appears to be. Duke is a larger aspirant institution.
- 2) SMU's greatest deficiency is in current serials spending . It would require about \$1.8 million to equal Rice in this area.
- 3) The current salary figures available are more recent than the latest statistics in other areas. I have included 2003 for comparability with other statistics and 2004 for the greatest possible recency.
- 4) Fourteen ARL libraries are Canadian, and they dominate the bottom of most ARL lists. For example, although SMU would rank 100th among ARL libraries in beginning salary, in fact SMU would be last of all ARL libraries in the United States in this category.