

LAUNCHING
SMU'S SECOND CENTURY
Shaping Leaders for a Changing World

2016 – 2025

(May 2020)



PROGRESS REPORT

2019–2020



INTRODUCTION

This is the fourth annual Progress Report on the SMU Strategic Plan titled *Launching SMU's Second Century: Shaping Leaders for a Changing World 2016–2025*. This report focuses primarily on the progress made from June 2019 through May 2020 toward Strategic Plan goals and objectives set forth in *Implementing the Strategic Plan*.

This past academic year, near the midpoint of the current strategic plan, was an appropriate time for a comprehensive review and, when appropriate, revision of the goals, objectives, and measures in the implementation plan for SMU's strategic plan. The revisions were presented to the Board of Trustees at the May 2020 meeting and are reflected in this annual progress report.

The COVID-19 pandemic arose in spring 2020, greatly affecting the world of higher education, SMU included. SMU suspended in-person classes, moved instruction online, precluded students from returning to campus, took the university to essential-personnel-only status, cancelled spring events, and postponed commencement. The Strategic Plan and this annual progress report help SMU plan for the day when we can return to the trajectory we were on before the pandemic.

SMU's Strategic Plan sets forth goals and objectives and the means by which to measure progress toward each. These are invaluable in a success-oriented institution, setting priorities, and providing focus.

For ease of reference, goals, objectives, and bulleted points are numbered such that, for example, 3.2.2 refers to Goal Three, Objective Two, second bulleted point. Time spans are typically fiscal year or academic year. The SMU fiscal year starts June 1st and ends the following May 31st. The academic year begins with the fall term and goes through the August summer term.

This *Progress Report 2019–2020* is being presented to the Board of Trustees at its September 18, 2020 meeting and then will be distributed to the broader University community. This annual update is intended not only to underscore our aspirations, but also to help ensure that incremental progress will be made throughout the years. The goals are ambitious, but the progress toward achieving them will reinforce to the entire SMU community the remarkable opportunities that exist for the University.

GOAL ONE: TO ENHANCE THE ACADEMIC QUALITY AND STATURE OF THE UNIVERSITY

A university is measured by the quality of its faculty, students, alumni, libraries, and facilities. These are—and always will be—the primary areas where qualitative growth and development are essential. For SMU to fulfill its goal of becoming one of the nation’s finest educational institutions, distinguished faculty appointments must be made at the senior and junior ranks. Our concomitant rise in student profiles, both in quality and diversity, is equally important. Both of these elements will require additional endowments that enable the University to make permanent progress.

GOAL ONE OBJECTIVES

Objective 1.1 Strengthen the University's ability to recruit, promote, and retain a distinguished, gifted, and diverse faculty.

1.1.1 Increase the number of substantially funded endowed chairs and professorships to 160 by 2025, to comprise about one-third of the tenured and tenure-track faculty.

During *SMU Unbridled: The Second Century Campaign*, SMU donors added 54 new endowed faculty positions, raising the number of substantially funded endowed chairs to 116.

Since the campaign's conclusion, six additional commitments have been made to endow faculty positions, including one planned gift:

Mary Elizabeth Holdsworth Endowed Professor in the Annette Caldwell Simmons School of Education and Human Development

Harold M. Brierley Endowed Professor in the Edwin L. Cox School of Business

William F. May Endowed Director of the Cary M. Maguire Center for Ethics and Public Responsibility

J. Stephen Lockton Chair of Economics in Dedman College of Humanities and Sciences (planned gift expectancy)

Andrew H. Chen Endowed Chair in Financial Investments Fund in the Edwin L. Cox School of Business

Leighton K. Farrell Endowed Deanship in Perkins School of Theology

These commitments raise the number of substantially endowed faculty positions to 122, constituting 24.4% of SMU's 500 tenured and tenure-track faculty. The goal of 160 will require an additional 38 endowed chairs or professorships.

1.1.2 Create a recurring budgetary fund of \$1 million to provide for the start-up costs required for recruitment of endowed distinguished senior faculty and exceptional junior faculty.

Currently, the schools and the provost provide funding for startups to recruit exceptional faculty to SMU; typically, startup funding is split 50/50 between the school and the provost, and is paid out over a three- to four-year period. The provost has a recurring annual budget of \$500,000 for startup funding, and has

access to any overhead recovery budget surplus each year. Startup commitments from the provost to faculty members successfully hired in fiscal year 2020 totaled approximately \$1.5 million, and the provost had unpaid startup commitments to faculty members hired prior to fiscal year 2020 of about \$4.2 million. The University will continue to wo

September 2018. The current list of SMU’s aspirational and cohort peers can be found at <https://www.smu.edu/Provost/IR/Resources/PeerUniversities>.

1.1.6 Strengthen efforts to add women and minorities to the faculty at all ranks with the goal to exceed the average percentages for each at cohort and aspirational institutions. Continue progress toward gender parity at the full professor rank.

Integrated Postsecondary Education Data System (IPEDS) data, the most recent available for fall 2018, allows comparisons of minority faculty percentages at SMU and its peers, with faculty defined as full-time instructional faculty. In each of the years 2015-18, SMU’s minority faculty percentages approximate the averages for aspirational and cohort peers. SMU percentages exceed averages for both sets of peers for Hispanics in 2015-18 and total minorities in 2015. The differences for other minorities in other years are small as percentages for the most recent year, 2018, reveal: total minorities, 19.0 (SMU), 20.9 (aspirational), and 21.4 (cohort); Asians, 8.5 (SMU), 12.0 (aspirational), and 9.8 (cohort); Blacks or African Americans, 3.7 (SMU), 3.7 (aspirational), and 4.3 (cohort); Hispanics 5.9 (SMU), 3.9 (aspirational), and 6.1 (cohort).

IPEDS data also allows comparisons of women faculty percentages at SMU and at SMU’s peers, with faculty defined as full-time instructional faculty. From 2015 to 2018, SMU’s percentage of women faculty rose from 39.3% to 41.2%, resembling the average percentage of women faculty at our aspirational peers. As the following table shows, both SMU and aspirational peer averages trailed the cohort peer average by a percentage point or two.

Women Faculty among the Full-time Instructional Faculty at SMU, Compared to Peer Averages, 2015-18 (%)

	<i>2015</i>	<i>2016</i>	<i>2017</i>	<i>2018</i>
SMU	39.3%	39.4%	40.0%	41.2%
Aspirational peers	39.2%	39.4%	40.6%	41.1%
Cohort peers	41.4%	41.0%	41.8%	42.7%

In fall 2015, 18.3% of SMU full professors were women. This increased to 21.1% in fall 2019, showing incremental progress toward gender parity.

Moreover, during academic year 2019-20, four of the 10 faculty promoted to full professor were women (40%) and 28 of the 56 new, instructional hires (50%) for 2020-21 were women.

SMU must continue its commitment to diversifying its faculty. Both the Provost's Office and Institutional Access and Equity require open faculty positions to be advertised broadly in various media to attract women and minority applicants. Authorization of a search requires providing evidence of this broad outreach in targeted media. The appointment of a Chief Diversity Officer in August 2020 should help coordinate attention to this outreach going forward.

1.1.7 Develop University policies to facilitate spousal and partner hires.

During academic year 2020-21 the Provost's Office will assess the challenges in this area which guidelines and policy might effectively address.

Objective 1.2 Enhance the University's ability to recruit, retain, and graduate academically and creatively gifted undergraduate and graduate students from diverse backgrounds.

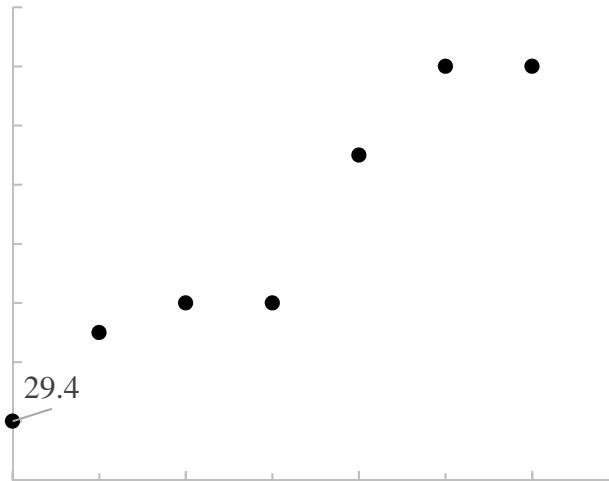
1.2.1 Continue to support, as a top priority, the recruiting, admission, and enrollment of high-achieving undergraduate first-year and transfer students who contribute to the intellectual life of the University.

Diversity in enrollment management is discussed at Goals One, Objectives Two and Three (1.2.4, 1.2.5, 1.2.10, and 1.3.2).

Preliminary data on SMU's fall 2020 first-year class suggests an average ACT score of 30.3, a slight decline from 30.6 in the two previous years; but 30.3 and 30.6 both signify approximately the 94th percentile of test-takers in the high school graduating classes of 2019-20. Th

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Average ACT Score of First-Year Students, Fall 2013-Fall 2020



The Dedman College Scholars Program, now in its 12th year, awards scholarships to top Dedman undergraduate students. In fall 2020, 26 first-year Scholars will join 50 returning Scholars. The average ACT score of incoming Scholars is 34 (99th percentile for 2019-20 test takers). Three of the Scholars are first-generation students, and 42% of the incoming students identify as minority.

1.2.2 Demonstrate ongoing improvements in the academic quality of students in undergraduate and graduate programs through measurable metrics such as national testing, external fellowships, publications, post-docs, and graduate placements with research doctorates in tenure-track academic positions.

SMU students have won notable, prestigious awards during 2019-20. Eight SMU students received Fulbright awards for the 2020-21 academic year and are scheduled to depart to Mexico, Spain, Colombia, Jordan, or Greece in January 2021. Most recipients, completing Masters in Education degrees, came from the Simmons School. Pablo Gonzales, Nadia Helmy, Frank Jackson, Catherine Ticzon, and Jennifer Trejo were also Teach for America Corps members teaching in Dallas public schools. Liliana Mata and Brittany Rigg completed both their undergraduate and graduate degrees at SMU. Barrett Stout, SMU's only undergraduate to receive a Fulbright, double majored in History and Anthropology and interned at the Meadows Museum of Art. This cohort of eight is SMU's largest and most diverse group of Fulbright awardees. In prior years,

SMU's Fulbright recipients numbered two (2018-19), seven (2017-18), and three (2016-17).

Graduate Record Exam (GRE) scores can be used to measure graduate student quality. The following table compares the average GRE scores of Ph.D. students admitted for fall 2020 with GRE scores for matriculated students in previous years. These 2020 scores, which are not final numbers for matriculates, are slightly lower than the average scores of matriculates in previous years. Fewer international applicants, as well as not requiring GRE scores from late admits as a consequence of COVID-19, affected the fall 2020 averages.

Average Graduate Record Exam Test Scores, Entering Graduate Student Cohorts, 2016-20

	<i>Matriculated</i>				<i>Admitted</i>
	2016	2017	2018	2019	2020
Verbal					
Average	153.9	159.6	159.3	160.0	159.0
Percentile	64	83	83	86	82
Quantitative					
Average	162.5	161.4	161.7	162.0	161.0
Percentile	83	80	79	83	78

Note: The average scores and corresponding percentiles are for the entering graduate students in the year indicated. Verbal scores are shown for graduate students in the humanities and quantitative scores are for graduate students in STEM fields (natural sciences, mathematics, and engineering) and economics.

Job placement is another measure of graduate student quality. Based on available information, nine SMU Ph.D.'s transitioned to tenure-track positions and 27 transitioned to postdocs during 2019-20. This compares to 13 SMU Ph.D.'s transitioning to tenure-track positions and 18 securing postdoctoral positions in the prior fiscal year. Tenure-track placements include Yeshiva University, Scripps Institute of Oceanography, Oregon State University, University of Houston, and University of Texas-Arlington. Careers of SMU Ph.D.'s are currently tracked at the department level; beginning in 2020-21, the

Minority students as a percentage of SMU’s undergraduate enrollment increased between 2015-18, but the following table based on IPEDS data shows that SMU lags behind the overall average percentages of aspirational and cohort peers. Individual racial and ethnic group averages are not shown, but for 2015-18, for Black undergraduates, on average SMU trails cohort peers by 0.4 percentage points and aspirational peers by 1.1 percentage points; for Asian undergraduates, on average SMU trails cohort peers by 0.5 percentage points and aspirational peers by 6.7 percentage points; and for Hispanics, on average SMU trails cohort peers by 1.0 percentage points and exceeds the average of aspirational peers by 1.8 percentage points.

Minority Undergraduate Student Enrollment Compared to Peer Averages, 2015-18 (%)

	2015	2016	2017	2018
SMU	26.7%	26.4%	26.8%	27.7%
Aspirational peers	31.8%	30.3%	32.6%	33.8%
Cohort peers	29.1%	27.0%	29.3%	29.8%

Note: Minorities include Asian, Black, Hispanic, two or more races, as well as other Integrated Postsecondary Education Data System (IPEDS) reporting categories except white, nonresident alien, and unknown race or ethnicity. The latest data available from IPEDS are for fall 2018.

1.2.5 Engage in strategic relationships with community, educational, and religious organizations that foster access to college for racially, ethnically, and socio-economically diverse high-achieving students.

In 2019-20, the Simmons School, Toyota, and the Dallas Independent School District continued the West Dallas STEM School project, building and strengthening relationships with community, educational, and religious organizations in West Dallas that foster access to college for racially, ethnically, and socio-economically diverse high-achieving students.

Despite the pandemic, pre-collegiate programs in Simmons (Upward Bound, Upward Bound Math Science, Talent Search, and College Knowledge) served 3,179 pre-college high school students during 2019-20. This compares favorably

with prior figures: 3,504 in 2018-19 and 3,073 in 2017-18. These students from the Dallas, Garland, Lancaster and Duncanville Independent School Districts, are from lower socioeconomic backgrounds and are potential first-generation college students. Of the students served in 2019-20, 770 were high school seniors who were admitted to college for Fall 2020.

1.2.6 Leverage the number, scope, and influence of alumni to promote SMU to prospective students in the United States and around the world.

In spring 2020, SMU Alumni Volunteers were matched with accepted SMU applicants to encourage their enrollment. Of these, 194 alumni were confirmed to contact 1,281 students. Alumni Volunteers also participated in college fairs across the country and joined admitted students for send-off parties hosted by the Office of Annual Giving and Alumni Relations for incoming students and their families. In summer 2019, 930 attendees participated in 19 parties across the nation, an increase over 699 attendees in 15 parties in summer 2018.

In April 2020, SMU Black Alumni assisted in contacting 174 admitted Black students and their parents to encourage them to attend SMU.

1.2.7 Increase marketing and relationship-building with high school counselors, higher education colleagues, and other publics to strengthen the local and national reputation of SMU.

As discussed in Goal Six, Objective 4 (6.4.3), during 2019-20, Development and External Affairs made gains in using social media to increase the number of higher education leaders who recognize SMU as a premier university, the number of alumni and North Texans who perceive SMU as a smart investment, and the number of prospective students who make SMU their top choice.

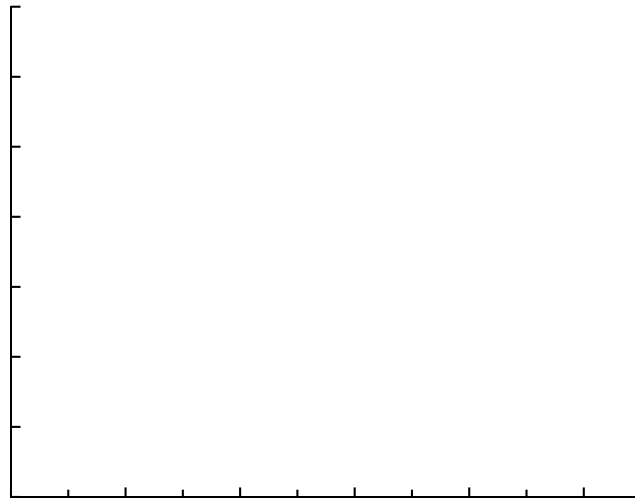
1.2.8 Increase the retention rate from first to second year for undergraduate students to 94% by 2025.

The following graph shows the retention rate from first to second year for the entering undergraduate cohorts from fall 2008 to fall 2018. Retention was under 88% with the 2008 cohort, but trended upwards to reach 91.5% for the most recent cohort.

The upward trend since 2012 is promising. However, gains in these areas are hard to achieve, and the pandemic has made this even more challenging. Last

year, under the leadership of Associate Provost Sheri Kunovich, SMU increased the focus on retention and graduation rates, developing new methods to identify students who struggle academically, personally, or financially, and to work up ways to assist in their retention and graduation. The success of this work is essential if we are to reach retention and graduation goals set forth in the strategic plan for 2025.

First- to Second-Year Retention Rates, Undergraduate Entry Cohorts, Fall 2008-Fall 2018 (%)

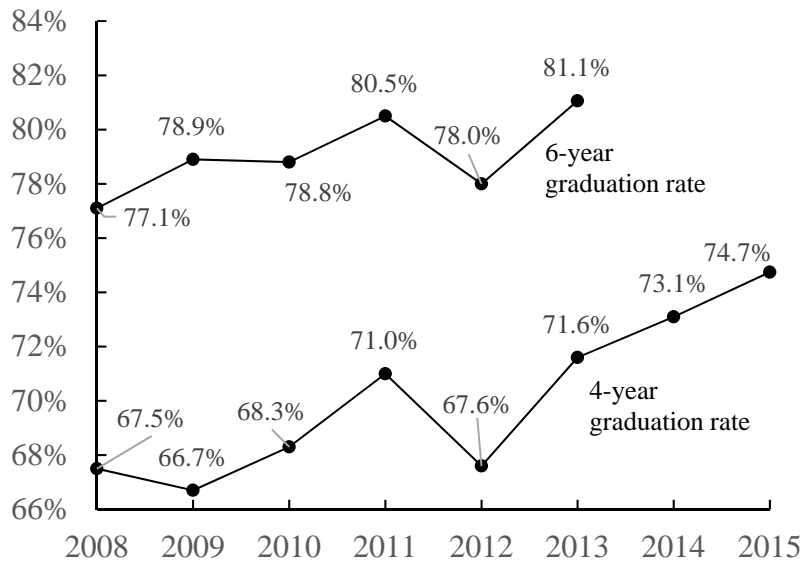


Note: Retention for the 2019 entry cohort will be available after the 12th day of undergraduate classes, the official census date of September 8, 2020.

1.2.9 Increase the four-year and six-year graduation rates for undergraduate students to 74% and 84%, respectively, by 2025.

The four-year graduation rate for the cohort entering in fall 2015 surpassed the goal, reaching 74.7%, after a strong upward trend since the 2008 cohort, 2012 excepted. The six-year graduation rate has also edged upward, again excepting the 2012 cohort, reaching 81.1% for the 2013 cohort.

Four- and Six-Year Graduation Rates, Undergraduate Entry Cohorts, Fall 2008-Fall 2015 (%)



1.2.10 Enhance recruitment, scholarship support, and retention initiatives designed to increase the racial, ethnic, and socioeconomic diversity of the student body as well as the retention and four- and six-year graduation rates of diverse students.

For recruitment of diverse students see Goal One, Objectives Two and Three (1.2.4 and 1.3.2).

Over the past five years, donors have contributed more than \$4.29 million in current-use and endowment funds to enhance scholarship support to increase the racial, ethnic, and socioeconomic diversity of the student body.

The figure below shows retention for minority students for comparison with the overall retention rates presented at 1.2.8. For the most recent year, the 93.2% minority student retention rate surpasses the overall retention rate of 91.5%. In five of the 11 years shown the minority rate equaled or surpassed the overall rate. Both the overall and minority retention rates show an upward trend over the 2008-18 entry cohorts, and both average 90%.

First- to Second-Year Retention Rates, Minority Students, Undergraduate Entry Cohorts, Fall 2008-Fall 2018 (%)

Note: Retention for the 2019 minority entry cohort will be available after the 12th day of undergraduate classes, the official census date of September 8, 2020.

For graduation rates, the minority percenta

Graduate application numbers are presented in the following table for calendar years 2016 through 2020.

Graduate and Professional Applications by School, 2016-20

<i>School</i>	<i>2016</i>	<i>2017</i>	<i>2018</i>	<i>2019</i>	<i>2020</i>
Cox	1,777	1,893	2,165	1,988	3,123
Dedman College	1,085	865	823	790	808
Dedman Law	1,772	1,759	1,883	1,877	2,001
Guildhall	109	130	202	194	204
Lyle	1,987	2,229	2,055	1,488	1,668
Meadows	289	341	300	334	294
Perkins	115	139	138	327	277
Provost / SMU GO	382	422	416	285	231
Simmons	—	1,135	1,167	1,111	1,240
University total	7,516	8,913	9,149	8,200	9,846

Note: Annual figures are for calendar year. Figures for 2020 are as of mid-August 2020.

While 2019 saw a decline in graduate and professional applications to all schools except Meadows and Perkins applications so far in 2020 are up with the exceptions of Meadows, Perkins, and

Beginning in academic year 2020-21, the Moody School of Graduate and Advanced Studies will oversee admission standards and final approval of admissions to University Ph.D. programs (see 1.5.3).

International applications for graduate school are presented at Goal Five, Objective Three (5.3.4).

Objective 1.3 Improve the effectiveness of the recruitment, admission, and enrollment processes of transfer students and remove unnecessary barriers to transferring academic credits.

1.3.1 Increase the annual number of new transfer students to 600 by 2025.

In 2019-20, 458 new transfer students entered SMU in fall and spring terms, an increase from prior totals of 424 (2018-19), 392 (2017-18), 402 (2016-17), and 417 (2015-16).

1.3.2 Enhance recruitment, scholarship support, and retention initiatives for transfer students to increase the racial, ethnic, and socioeconomic diversity of the student body.

Transfer student initiatives for recruitment and support have helped boost diversity. In fall 2020, preliminary figures show minority students made up 46.5% of the new transfer students, contrasted with 39.3% (2019-20), 38.2% (2018-19), 37.0% (2017-18), and 34.6% in 2016-17.

1.3.3 Enhance support for Student Affairs, Residence Life, and faculty to

SMU continues to be considered a preferred employer in the DFW area for staff positions. This year over 16,000 applications/resumes were received for posted positions, which resulted in 260 staff and post-doc new hires. The number of applicants, positions posted, and new hires dipped slightly due to the delayed hiring initiative implemented in response to Covid-19. SMU's comprehensive benefit offerings continue to attract and retain staff. Utilization of the tuition benefit, the retirement plan matching, the comprehensive medical benefits and Paid Time Off (PTO) are all seen as competitive and favorable to employees and their dependents. SMU continues to enhance benefit offerings to meet the needs of employees.

University positions are benchmarked with market data and salaries compared to peers. Due to the pandemic, the biennial market check has been postponed until next year. The market check helps identify job titles and individual salaries that are disparate from benchmark data, ensuring that SMU is able to attract and retain competitive talent choices with internal, predictable pay practices that are fiscally responsible.

1.4.2 Support awards and processes to recognize high achieving staff and promote professional development of staff through training and certification.

In fiscal year 2019-20, SMU Human Resources (HR) finalized and implemented significant changes to recognition programs and award initiatives, continuing to promote a culture of recognition and appreciation for staff.

HR provides a wide variety of personal, professional and manager training opportunities for faculty, staff and staff managers. Ongoing conversations with senior leadership ensure that HR is listening to stated needs and identifying emerging trends as opportunities to course correct throughout the year.

Enhancements to training programs over the past year included partnering with the George W. Bush Presidential Center (BPC) to allow staff to attend offerings facilitated by HR, thereby strengthening SMU's partnership with the BPC as well as supporting student, staff and faculty interactions with BPC employees and programs. In spring 2020 HR revised all training content to a variety of virtual formats due to the COVID-19 pandemic, ensuring that training continues to be accessible to SMU employees.

This past year faculty, staff, post-doctoral students and student workers engaged in over 11,000 hours of training. This includes on-line tutorials (Protection of Minors, Harassment and Discrimination Prevention, Data Security and Privacy, FERPA), professional and manager development workshops, custom training, and facilitated team sessions.

1.4.3 Reflect the average percentages, as reported by cohort and aspirational institutions, of total diversity among the staff, including in the managerial ranks.

For 2016-18, the SMU percentage of total minorities in managerial positions surpasses the averages of SMU’s cohort and aspirational peers. Yet for all staff (excluding faculty) SMU trails the cohort and aspirational peer averages. While SMU has increased the percentages of minority managers and staff over the three years shown, so have aspirational and cohort peers.

Staff and Managerial Diversity, SMU compared to Aspirational and Cohort Peer Averages, 2016-18 (%)

	<i>Staff</i>			<i>Managers</i>		
	<i>2016</i>	<i>2017</i>	<i>2018</i>	<i>2016</i>	<i>2017</i>	<i>2018</i>
<i>Minorities*</i>						
SMU	29.2%	31.2%	31.7%	27.2%	29.4%	28.1%
Aspirational peers	32.2%	32.5%	32.9%	21.6%	21.8%	22.7%
Cohort peers	39.4%	40.0%	40.8%	25.5%	26.1%	27.8%

Note: “” Minorities include Asian, Black, Hispanic, two or more races, as well as*

1.5.1 Leverage the new Moody School of Graduate and Advanced Studies to strengthen collaborations with other universities, major corporations and others to produce high-impact, interdisciplinary research; increase research grant funding; and boost the University's reputation for research excellence.

Plans are underway to begin work this coming year through the Moody School that will further SMU's research profile. Next year's annual progress report will document the results of that work in the first year of the new school's existence.

1.5.2 Complete design and construction of Moody Hall to house the Moody School and engage in fundraising to further enhance the \$100 million gift of the Moody Foundation.

A faculty committee working with SMU Facilities and the Smith Group architectural firm made significant progress during spring 2020 toward completing preliminary conceptual architectural plans for the interior of Moody Hall.

1.5.3 Develop foundational documents for the Moody School, outlining roles, responsibilities and interconnections with SMU's other degree-granting schools.

A Graduate Council composed of repres

1.5.5 Initiate, monitor, evaluate, and fine-tune as necessary the Moody Fellowship Program to attract and support the best and brightest new Ph.D. students.

In anticipation of the opening of the Moody School in August 2020, four Moody Dissertation Fellowships were offered to outstanding Ph.D. students, which provide \$30,000 stipends in the final stages of completing of their degrees. For fiscal year 2020-21, \$100,000 was committed to supporting post-doctoral scholars.

1.5.6 Recruit faculty where appropriate through interdisciplinary search committees that reflect more than one discipline.

Examples of highly visible faculty recruits whose cross-disciplinary research attests to the advisability of search committees composed of members from more than one discipline include:

Dr. Stefano Recchia (Ph.D., Columbia), associate professor in political science and the John G. Tower Distinguished Chair in International Politics and National Security. His research and teaching revolve around U.S. security policy and transatlantic relations, the politics and ethics of military intervention, and multilateral cooperation in international security affairs.

Dr. Stephanie Wilson (Ph.D., Pennsylvania State University), assistant professor in psychology. Dr. Wilson's research investigates the biopsychosocial paths by which close relationships shape health and well-being across adulthood and older age.

Dr. Jessica Garrick (Ph.D., University of Michigan), assistant professor in sociology. Her research centers on the role of laws in political and civic life and the question of when laws "on the books" protect disadvantaged groups.

Dr. Edward Glasscock (Ph.D., University of California-Berkeley), associate professor and the C. Vincent Prothro Distinguished Chair in Biological Sciences. His lab, the Cardiorespiratory Neurogenetics Laboratory, is dedicated to understanding the genes and mechanisms underlying epilepsy and sudden unexpected death in epilepsy (SUDEP).

Dr. Macabe Keliher (Ph.D., Harvard), assistant professor in history. His research centers on early and modern China, and he is currently working on two different projects concerning social and economic domination in China.

1.5.7 Develop SMU's Data Science Institute to coordinate and facilitate interdisciplinary programs in data science, connect with other institutes and centers on campus, and encourage faculty expertise and interdisciplinary research that are based on data science and the use of big data.

A charter establishing SMU's Data Science Institute was approved by the provost in 2020, and a director ad interim was selected from the SMU faculty to lead the Institute for two years.

Combining SMU's National Center for Arts Research and DataArts, SMU became the country's leading provider of data and research in the arts world. SMU Data Arts aggregates national-level data and provides a wealth of tools to help arts leaders and arts organizations thrive. SMU DataArts maintains current data of arts and cultural organizations throughout the U.S. and holds data on arts consumption by almost 30 million households. The strategic effort reflects SMU's historical commitment to the arts and its emphasis on big data and "R1" research activity (see 3.2.1), supported by high-performance computing.

In fall 2020, Dedman College, Lyle and Cox will implement a major/minor in Data Science. Coursework would be drawn primarily from courses offered by two Dedman departments (Mathematics and Statistical Science), two Lyle departments (Computer Science and Engineering Management, Information, and Systems), and one Cox department (Information Technology and Operations Management).

The Lyle School launched its M.S. in Data Engineering, fulfilling a growing demand for a rigorous engineering-centric approach to the design, analysis, and implementation of systems that acquire and process large data sets. In its first 12 months, enrollment has grown to 36 students.

Numerous examples could be given that show faculty expertise and interdisciplinary research based on data science and the use of big data. For instance, in 2019-20 Dr. Eric Bing and Dr. Tony Cuevas in Simmons' Center

improve the science of learning with VR simulations. Also, faculty members John Wise (Biology) and Elfi Kraka (Chemistry) have used ManeFrame II capabilities to participate in the project to find treatments for COVID-19. Using

1.6.3 Position librarians as active participants in the creative research process, including, but not limited to, digitization for primary resources, information retrieval, and curation of big data.

SMU Libraries actively initiates and markets new opportunities for learning and research success to students and faculty. For example, SMU Libraries initiated an annual Digital Humanities Research Institute in August 2019, which offered graduate students and faculty an intensive, community-oriented and foundational approach to learning technical skills for humanities research. This four-day event, a collaboration between the SMU Libraries and OIT, covered coding, data ethics, and geospatial data and offered hands-on experience.

In 2019-20, SMU Libraries partnered with the Writing Center to offer undergraduate students drop-in Research and Writing Labs, which integrated the services of research librarians with writing experts.

Research librarians across campus taught over 461 sessions for nearly 8,700 students in 2019-20, up from over 350 sessions for nearly 4,700 students in 2018-19. Instructional sessions include course-integrated information literacy instruction and workshops. Workshops addressed specific and differing needs of first-year students, undergraduates, and graduate students.

The SMU Libraries' Norwick Center for Digital Solutions (nCDS) continues to digitize thousands of photographs, manuscripts, imprints, audio-video materials, and works of art held in the SMU Libraries special collections, and makes them available online via the SMU Libraries Digital Collections web site. About 73,000 items in 100 digital collections are available for viewing. The site has received millions of page views since its inception in 2008. All digitization projects are preserved in perpetuity following industry best practices.

1.6.4 Measure progress on the criteria for ranking among the top 100 academic libraries in North America.

In fiscal year 2019-20, the 3% increase to the general collections budget brought SMU Libraries closer in collections budget to the top 100 academic libraries.

1.6.5 Present exhibitions to attract robust numbers of museum visitors, including students, and increase the number of courses taking advantage of museum holdings.

GOAL TWO: TO IMPROVE TEACHING AND LEARNING

For a university to be well-regarded by its wide range of stakeholders, an embedded value of the institution must be a deep commitment to its mission of teaching and learning. This commitment occurs through formal processes such as program review, teaching evaluation, and assistance in the learning and practice of technology-supported pedagogical advances. It also occurs through faculty being actively involved with students in and out of the classroom, laboratory, and studio, as well as through service activities within the community.

GOAL TWO OBJECTIVES

Objective 2.1 Enhance teaching and learning through innovative curricula and pedagogies that lead to critical and creative thinking and problem solving, informed by research and the use of advanced technologies.

2.1.1 Gauge the effectiveness of the peer review of teaching offered by the Center for Teaching Excellence (CTE).

With the mid-semester move to remote instruction in spring 2020, CTE has pivoted to a leadership role in preparing and supporting SMU's faculty for remote teaching. With the decision to offer a hybrid of in-person and remote for fall 2020 (SMUFlex), CTE has been central to supporting faculty as they navigate the challenges. Plans to assess the peer review of teaching efforts of CTE have been deferred for the moment.

2.1.2 Increase the percentage of faculty using the Center for Teaching Excellence (CTE) annually to 33%.

This goal was exceeded in 2019-20 when CTE engaged 40% of SMU's 754 full-time instructional faculty, up from 23% (2018-19), 26% (2017-18), and 30% (2016-17). Much of this 2019-20 increase can be attributed to CTE's key role in SMU's response to COVID-19: 18.8% of full-time faculty enrolled in CTE's F2F (face-to-face) to remote instruction course. In addition, CTE hosted the annual Teaching Effectiveness Symposium, which over 160 faculty members attended. CTE, in partnership with OIT, awarded Just-in-Time Teaching and Technology grants to 15 SMU faculty, compared to 14 (2018-19), 13 (2017-18), and 19 (2016-17). These small grants promote innovative teaching through

improvements such as the use of virtual reality, digital design, and active learning techniques.

2.1.3 Evaluate, using “Quality Matters” and other appropriate processes, the quality of online teaching and make recommendations for the continued improvement of online teaching.

Although many Simmons faculty have participated in the formal “Quality Matters” training, in 2020 scaling that

and 2.1.4, will help increase intersession offerings, in which SMU faculty could attract non-SMU students.

Objective 2.2 Design, implement, and evaluate interdisciplinary programs, combining fields generally considered distinct, to reflect the interdisciplinarity of the world today.

Schools collaborate to create and support interdisciplinary degree programs. Two examples are the M.A. in Design and Innovation, jointly offered by Lyle and Meadows, and the M.S. in Engineering Entrepreneurship, jointly offered by Lyle and Cox.

2.2.2 Complete the integration of SMU Guildhall into the Lyle School of Engineering and Meadows School of the Arts and promote connections of Guildhall with other academic units.

The Lyle School and Meadows Schools are drafting a memorandum of understanding concerning the integration of SMU Guildhall into main campus, to be supervised by the two schools. In addition, promotion and tenure criteria for Guildhall tenure-track faculty are being developed based on a combination of Lyle and Meadows metrics.

In 2019-20, faculty in the Simmons School continued to collaborate with SMU Guildhall to promote connections across SMU and the broader community through research and development projects in a range of interdisciplinary fields, including Global Health (Virtual Reality Surgery Simulations funded by the Medical Research Council (MRC) and the Wellcome Trust); STEM Learning (Augmented Reality Geometry, funded by the Institute of Education Sciences of the U.S. Department of Education); and teaching computer science and computational thinking through Minecraft (funded by the National Science Foundation).

Objective 2.3 Review programs to ensure excellence and alignment with the University's strategic objectives, discontinuing programs where appropriate while accommodating new educational ventures.

2.3.1 Report annually on internal and external departmental reviews.

There were academic programs reviews for four departments in academic year 2019-20: Creative Computation (Meadows), Earth Sciences (Dedman College), Advertising (Meadows), and Political Science (Dedman College). Reviews of Dispute Resolution (Simmons), English (Dedman College), and Arts Management (Meadows) have been cancelled or delayed, in part due to the pandemic.

In 2020 the Association of Theological Schools (ATS) reaffirmed the accreditation of Perkins School of Theology. As a result of the ATS review, a Perkins School task force set forth a two-year proposal for curriculum review, revision, and transformation.

Engineering and Datacenter Systems

Southwestern Medical Center” and “Case Management for Homeless Families Being Served at Vogel Alcove in Dallas.”

Now in its eighth year, Dedman Law’s corporate counsel externship program is serving as a national model, combining a corporate counsel course with externships in corporate legal departments. Some students have chosen to attend law school at SMU because of the program. Launched in fall 2013 with 30 students, enrollment was increased to 53 students in 2016, 70 in 2017, 90 in 2018, and 86 in 2019. Due to the pandemic, the program has been moved to spring 2021 with about 100 J.D. and LL.M. students expected to participate.

The Lyle School Strategic Plan, laun

Objective 2.6 Enhance the exposure of students to ethical thinking and behavior at the undergraduate and graduate levels.

The philosophy course “Technology, Society, and Value” tackles ethical issues raised by technological advances, and has grown from two sections in fall 2016 to seven sections in fall 2020, with a projected enrollment of over 150 students.

The Graduate Leadership Certificate program in Lyle’s Hart Center for Engineering Leadership provides information about the ethical conduct of research and technical leadership.

2.6.1 Increase the number of courses fulfilling the Common Curriculum ethics requirement.

As the new Common Curriculum starts in fall 2020, 16 courses satisfy the ethics requirement. Thby 5ms.0arco15nsoTD.000ts.975 0 Toh(r)0001(ow romfd9j 7a sttytec Toh(d depTJ3(r

ies smoothed, three-year

3.1.4 Initiate and evaluate the seed grant program for enhancing research.

In 2019-20, a \$2 million seed grant program was established with OE2C savings to foster impactful interdisciplinary research that would be competitive for external grants and help boost external research funding. STEM and non-STEM proposals were reviewed separately by External Scholarly Advisory Committees (ESACs) composed of national-academy level members and important decision makers in significant foundations. Although seed grant funds are currently frozen in response to COVID-19, four STEM proposals and two non-STEM proposals identified as the most promising that ESACs will support as seed grant funds become available.

Objective 3.2 Improve infrastructure and administrative support for faculty applying for external funding to enable expanded collaborative research with corporations, foundations, governments, and educational institutions.

The Office of Research and Graduate Studies hired a Compliance Coordinator in academic year 2020 to assist faculty and faculty oversight committees, such as the Institutional Review Board and Institutional Animal Care and Use Committee), to become and remain compliant with federal regulations and standards.

In fiscal year 2019-20, Development and External Affairs hired a grant writer and a director of corporate engagement, a new position created in 2020, to support faculty and staff with outreach and solicitation of corporations and foundations.

3.2.1 Increase annual research expenditures to \$60 million by 2025.

Increasing research expenditures at SMU is important to advancing the University toward “R1” status in the Carnegie classification. “R1” designates doctoral universities with “very high” research activity. SMU is currently “R2,” denoting “high” re

The following summarizes the highlights of the 2020-21 budget.

3.2.3 Increase restricted and unrestricted funding for instrumentation, maintenance, and upgraded labs.

A \$1.5 million instrument fund was established in the Office of the Provost in fiscal year 2020 to refresh and grow SMU research infrastructure. Although currently frozen in response to COVID-19 related budgetary concerns, the fund was used earlier in 2020 to back a required 30% university match for two equipment proposals submitted to the National Science Foundation Major Research Investment Program, and to upgrade a new scanning electron microscope recently purchased with another NSF grant. Funding was allocated and projects completed related to cleaning and upgrades to the vertebrate rodent testing equipment in Dedman College.

3.2.4 Revise the overhead recovery model of the University so that the support for research infrastructure increases with the growth of research grants.

This aim was completed in 2018-19 and implemented for fiscal year 2019-20.

3.2.5 Strengthen partnerships and collaborative development and research programs with other universities and external businesses and organizations.

In fiscal year 2020, SMU joined with the Moody Foundation of Galveston, Texas, to enter into a transformational \$100 million commitment in support of graduate studies and research at the University. The result will be the creation of the new Moody School for Graduate and Advanced Studies.

In fiscal year 2020, SMU's Corporate and Foundations office completed 55 proposals to corporate and foundation entities in support of faculty and staff initiatives, including 12 proposals in excess of \$100,000. As a whole, the University received philanthropic support of \$37,791,000 in foundation funding and \$3,414,000 in corporate funding for current operations and capital projects.

Among the prominent corporate and foundation collaborations initiated in fiscal year 2020: the First Amendment Clinic with the Stanton Foundation in Dedman School of Law, the Foreign Service Officer Leadership Training Program with the Dr. Bob and Jean Smith Foundation, and the Foreign Service Institute in the Cox School of Business.

Ongoing partnerships supported in fiscal year 2020 include the West Dallas STEM School collaboration with Toyota Motor North America; DataArts: The

The following table contrasts technical specifications for the current ManeFrame II with its predecessors.

High-Performance Computing: ManeFrame II Compared to ManeFrame I

<i>Characteristic</i>	<i>ManeFrame I (retired)</i>	<i>ManeFrame II (2017)</i>	<i>ManeFrame II (2020)</i>
Computational ability (teraflops)	104	630	870
Number of nodes	1,104	349	354
Total RAM memory (terabytes)	30	115	120
Intel x86 CPU cores	8,832	11,088	11,276
Intel x86 KNL cores	0	2,560	2,560
CUDA cores (Nvidia)	0	132,608	275,968
Tensor cores (Nvidia)	0	0	17,920
Node interconnect bandwidth (gigabits / second)	20	100	100
Scratch space (petabytes)	1.4	2.8	2.8
Work space (petabytes)			0.8
Archive capabilities	No	Yes	Yes
Operating system	Scientific Linux 6	CentOS7	CentOS7

Lyle, and courses/competitions in Statistics. Also labs in two physics courses serving more than 600 students used ManeFrame II.

ManeFrame II expands SMU's overall research capabilities by assisting the faculty recruitment process because high-performance computing is attractive to computational researchers. With ManeFrame II, Dedman College was able to recruit faculty in Chemistry, Economics, Mathematics, and Statistics in academic year 2019-20.

3.3.1 Construct metrics for software and hardware for use in helping to keep SMU competitive in high-performance computing.

to be sustained.) Since 2014, the DRC has yielded nearly \$4 million in external funding.

3.4.1 Improve graduate fellowship support in selected core areas to comparable averages (in amount and duration)

Increasing SMU Ph.D. graduates is important to advancing the University

3.4.4 Increase the number of post-docs supporting research in STEM fields.

Increasing in the number of postdoctoral researchers at SMU is important to advancing the University toward “R1” status in the Carnegie classification of research universities. The number of postdoctoral researchers reported to the NSF by SMU increased from 52 in fiscal year 2019 to 58 in fiscal year 2020.

Objective 3.5 Implement an updated technology transfer program.

3.5.1 Benchmark the technology transfer office against comparable offices at cohort and aspirational institutions.

Benchmarking in fiscal year 2018 determined that there was on average one full-time employee providing tech transfer support for every 111 faculty at SMU’s aspirational peer institutions, for every 247 faculty at Colonial Group institutions, and for every 356 faculty at SMU’s cohort peer institutions. In 2019-20, SMU has one full-time employee supporting over 500 faculty, up from half a full-time employee in 2017-18. SMU is exploring means to provide enhanced support for tech transfer, including establishing ties with specialized firms to help market and license University intellectual property.

A draft “Inventor’s Handbook to Technology Transfer at Southern Methodist University” was completed in fiscal year 2020 with assistance from the University of Michigan. It will help guide faculty in developing their intellectual

3.5.3 Seed efforts and support early stage development aimed at transitioning to funded start-ups.

No funds currently exist for this effort (cf. Goal Three, Objective One (3.1.4)).

3.5.4 Develop an updated tech transfer program that is fully integrated with academic programs in the schools.

SMU's policy on intellectual property is currently in revision to update and clarify the role of tech transfer at the University.

In fiscal year 2020, the University achieved for the first time full, up-to-date compliance with federal reporting requirements for invention disclosures resulting from federally funded research.

3.5.5 Develop metrics to target specific numbers of applications, licensures, start-ups, etc., each year.

In fiscal year 2020, SMU was issued 10 patents, compared to five in 2015. Since 1995, SMU has been issued 97 patents and now holds 43 patents. Prudent pruning results from the swiftly moving research areas to which many patents apply and fiscal responsibility concerning patent maintenance fees.

4.1.1 Identify and implement best practices for programs and services that promote the retention and graduation of underrepresented minority populations.

The retention rates and graduation rates for minority students can be found at Goal One, Objective Two (1.2.10).

Since 2001 the CONNECT Student Success and Mentoring initiative has offered a pre-fall term institute and peer mentoring for about 50 first-year students. The incoming class for fall 2020 is 79 first-year students. This program develops relationships to facilitate engagement and retention of racial and ethnic minorities to become better acquainted with the support resources available and the connections between majors and careers. The program has posted strong

4.1.5 Utilize the Dr. Bob Smith Health Center to improve physical and mental health services in support of SMU students' well-being.

The Dr. Bob Smith Health Center remained open and continued to deliver both in person and virtual services to students throughout the pandemic, by instituting new protocols and safety measures. Medical staff administered COVID-19 tests for students and essential SMU personnel.

The Health Center has continued to see high utilization of its services by SMU students, although with closure of the campus due to the Pandemic, overall numbers for the recently completed year declined. Counseling services served 1,194 unique clients (down 13%) with a total of 6,045 appointments (down 10%). These appointments included

Residence Life and Student Housing (RLSH) focused its assessment on Student Leader Training, an eight-day training program in August for Resident Advisers and other student leaders before students move onto campus. The assessment suggested that this program successfully develops leaders.

The Office of Fraternity and Sorority Life (FSL) assessed FSLead, the emerging leader's program for fraternity and sorority members, to gauge participant satisfaction and the most effective learning activities. FSLead is discussed further at Goal Four, Objective Three (4.3.3).

The Office of Social Change and Intercultural Engagement (SCIE) continued assessment of the Human Rights course (HRTS 1101), "Foundations of Community, Diversity, and Inclusion," to determine the extent to which student participants satisfied the intended learning and development outcomes.

4.2.1 Strengthen and assess programming that promotes social and civic engagement and community.

Residence Life & Student Housing (RLSH) hosted 986 programs for residents in 2019-20, totaling 35,525 student contacts. Some programming efforts were truncated due to student's early departure from campus housing in March 2020 due to COVID-19; however, these numbers reflect virtual programming efforts through the end of the academic year. These programs also include Faculty-in-Residence (FiR) hosted events, Commons programs, weekly and monthly Residential Commons traditions, and large-scale events open to the campus community.

In spring 2020, Student Affairs established Engage Dallas, a place-based community engagement initiative via SMU's Residential Commons to address community needs of south and west Dallas. The initiative is a long-term, university-wide commitment led by students to form sustained relationships between each Residential Commons, local residents, organizations, and other leaders to impact positively the community. There is equal emphasis on campus and community impact stemming from the initiative. Beginning in Fall 2020, Engage Dallas will likely offer education, training, and other indirect service experiences for students. Engage Dallas includes additional critical partners of the Office of General Education and Office of Engaged Learning, allowing students to complete their Community Engagement Proficiency and Experience through the initiative.

4.2.2 Increase faculty and student engagement in co-curricular activities in each Residential Commons.

Of the 986 programs RLSH hosted for residents in 2019-20, over one-third offered opportunities for students to engage with faculty outside the classroom.

Faculty-in-Residence (FiR) are expected to offer a weekly event focused on students engaging with faculty outside of the classroom. This year there were at least 389 such scheduled programs allowing students to engage and interact with the FiRs directly. Program examples include baking events in the FiR apartment, guest speakers in the Commons, group outings to see a musical, or group tours of art exhibitions at a Dallas museum. (These figures do not include interactions such as students attending FiR office hours in each Commons or informal conversations that arise serendipitously from proximity.)

Objective 4.3 Assess critical student life programs to ensure that they provide for understanding of personal responsibility, respect for others, and diversity.

Stampede (formerly called Mustang Corral) sought to introduce new students to academic and campus life and occurred the week before classes began. Multicultural Student Affairs' staff members facilitated the "Every Mustang Will Be Valued" presentation, followed by small-group discussions about identity, cultural awareness, and micro-aggressions. Participation was not required but strongly encouraged. For 2011-19, SMU averaged an 87% participation rate from new first-year students.

During spring 2020, the course Human Rights 1101: Foundations of Community, Diversity, and Inclusion enrolled 76 students in four sections. The HRTS 1101 curriculum was designed to build on the diversity education students receive through Stampede (the successor to Mustang Corral) and in the first Personal Responsibility and Wellness class. The one-credit course focuses on student explorations of self-identity and community building in SMU's history regarding diversity

4.3.1 Strengthen programs designed to develop student leadership and cultural competence through community service.

During the spring 2020 semester, 54 student leaders, nine Residential Community Directors, and eight Faculty-in-Residence discussed potential

community needs and social issue areas within west and south Dallas. They harnessed social media to highlight the upcoming initiative to current residents,

faculty, 1st-year undergraduates, athletes, law and MBA students, as well as, new IFC and Panhellenic members had participated in at least one CIQ@SMU workshop.

The inaugural 2019 Bridge Builder's Lectur

In 2019-20, to create regular engagement and dialog between the four council chapter leaders, FSL added regular monthly All President Roundtables. Each roundtable consisted of a learning engagement session as well as a discussion, offering a venue for organizations to share current successes or obstacles in their chapters and upcoming opportunities for collaboration.

In 2020, 23 student leaders from the four governing councils attended the Association of Fraternal Leadership and Values Conference. Thirteen attended in 2019. The 2020 delegation included the highest number of Multicultural Greek Council leaders to date.

Objective 4.4 Enhance career services for all students by expanding partnerships with businesses, cultural and charitable organizations, and alumni.

Each spring since 2017, Dedman College has offered “Getting There from Here: Planning for Life after College,” a course taught by Dean Thomas DiPiero. This much-in-demand course will be offered again in spring 2021. The Dean introduces liberal arts students to a variety of careers they might pursue after college and provides shadowing opportunities. Guest speakers included several alumni from Dedman College and others, including former President George W. Bush in 2019.

4.4.1 Enhance ongoing collaboration among the Hegi Family Career Development Center, other career centers, and the schools to provide students with more seamless career counseling as well as residential and co-curricular experiences that support their careers and life goals.

Key Hegi Family Career Development Center advances in the 2019-20 academic year include the following:

14.9% increase in career counseling appointments from 1,380 (2018-19) to 1,586 (2019-20)

69.0% increase in the number of career development and employer-facing events from 87 (2018-19) to 147 (2019-20)

5.2% decrease in student attendance at the Fall All Majors Career Fair from 794 students (2018-19) to 753 (2019-20)

Resource Guide” for SMU student-athletes, providing specific career resources and foundational professional development advice for student-athletes.

4.4.4 Increase the internship and career opportunities for undergraduates, and, where appropriate, graduate students.

From August 2019 through May 2020, there were 24,341 full-time positions, 9,974 internships, and 2,059 part-time jobs posted on Handshake and hundreds of events featuring engaged employers searching to hire qualified SMU students. Employers are very intere

4.5.4 Enhance SMU's position in the National Association of Collegiate Directors of Athletics (NACDA) Directors' Cup rankings.

No 2019-20 rankings are available. Since rankings are driven by participation and advancement in the NCAA postseason and the NCAA cancelled some winter and all spring championships, the National Association of Collegiate Directors of Athletics (NACDA) Board of Directors canceled the 2019-20 Learfield IMG College Directors' Cup.

4.5.5 Establish the clear goal of postseason participation in all sports, including postseason bowls in football and NCAA tournaments in men's and women's basketball.

With truncated seasons in the spring, only five teams completed competition seasons, with three making post-season appearances (football, men's soccer, cross country). Women's indoor track & field as well as men's and women's swimming & diving qualified for post-season berths, but had championships cancelled prior to the competitions. Additionally, when spring sports seasons were cancelled, several SMU spring sports teams were well-positioned to compete for championships, led by nationally-ranked men's golf and equestrian.

4.5.6 Increase the annual Mustang Athletic Fund in Athletics by at least 3% each year.

The timing of the pandemic and market downturn overlapped the prime annual giving period, challenging annual donations for SMU Athletics. Donations remained strong but fell short of the previous fiscal year. Gifts to the Mustang Athletic Fund in the 2019-20 fiscal year totaled \$3.6 million, compared to \$4.4 million in 2018-19 (down 18.2%), and with 2,152 donors contrasted with 3,188 in 2018-19 (down 32.5%). Total giving to Athletics declined from \$18.7 million in fiscal year 2019 to \$17.7 million in fiscal year 2020 (down 5.3%), capital gifts for Athletics dipped from \$9.6 million to \$9.4 million (down 2.1%), and Excellence Fund giving rose from \$973,000 to \$1.01 million (up 3.8%).

4.5.7 Increase ticket sales and average home attendance for football, women's basketball, and men's basketball.

Starting with eight straight victories and finishing at 10-3 for the season, football saw a significant 22% attendance increase, even though season ticket sales

4.6.1 Strengthen campus programs, services, and oversight of the student experience at SMU that foster respect for and inclusivity of all diverse identities, including ethnic, racial, religious, socioeconomic status, gender, and sexual orientation.

Cultural heritage months celebrated SMU's Black, Asian, and Latinx communities. Student organizations and the Office of Social Change and Intercultural Engagement hosted 10 heritage month events in 2019-20 with over 600 participants.

Ally Training is an interactive program that helps participants better understand the lives and experiences of LGBT people

students transition to SMU and the Dallas community. ISSS supports international students in various ways such as welcome dinners for students and family members as well as workshops for international students on academic success in the SMU classroom, communicating with professors, participating in classroom discussions, understanding plagiarism, and SMU's honor code. International Week, the second week in November, highlights and celebrates the international members of SMU.

4.6.3 Expand the impact of CIQ@SMU across campus.

See Goal Four, Objective Four (4.3.2) for discussion of CIQ@SMU. Professor Maria Dixon Hall, who heads up the CIQ@SMU Initiative, was appointed as Chief Diversity Officer of SMU in August 2020. This new position, combined with the leadership role of CIQ@SMU, will enhance the impact of CIQ@SMU across the University.

Objective 4.7 Evaluate options for providing enhanced child development, child care, and family services for faculty, staff, and students.

4.7.1 Maintain the child care center and consider the feasibility of providing additional services for students, staff, and faculty with young children.

The SMU Child Care Center plans to move forward with achieving National Association for the Education of Young Children accreditation, one reflection of the Center's ongoing efforts to enhance the programmatic quality for all children and families in the Center's care.

4.7.2 Assess the feasibility of assisting members of the SMU community with access to elder care.

Starting in 2020, all benefits-eligible faculty and staff and their family members have access to Cariloop, a free caregiver support service that provides support services for those whom may be taking care of a loved one. SMU covers this benefit for full-time and part-time faculty and staff. Among other services, Cariloop's online case management portal allows employees to consult with the Care Coaches.

During 2019-20, the Lyle School initiated discussions for research cooperation and collaborative master's degree programs with three international universities: Bilgi University and Bahçe ehir University in Istanbul, Turkey and Eastern Mediterranean University in Northern Cyprus. As an example, the draft agreement with Bilgi University would allow their qualified engineering undergraduate seniors to take up to three distance SMU courses as non-degree students from Bilgi before coming to SMU for seven courses to complete an accelerated M.S. in Engineering degree.

During 2019-20, the Anthropology department executed a Memorandum of Understanding for research and educational collaborations with the University of Bangui in the Central African Republic.

Dedman School of Law signed a Memorandum of Understanding with Facultad Libre de Derecho de Monterrey in Monterrey, Mexico for a 3/1 dual degree program. This program would allow two students each year to complete their four-year LL.B. degree by attending in their fourth year SMU Dedman School of Law for the one-year International LL.M. Dedman Law is currently in discussions with other law schools in Mexico, Guatemala, Panama, Columbia, Spain, France, India, South Africa, Thailand and the Philippines.

During 2020, Perkins School of Theology signed formal agreements with Cliff College (U.K.) and Bishop Han Theological Seminary (Philippines) to promote collaboration and intercultural activities among theology faculty and students from these institutions and SMU. Creating digital resources for theological

years prior to academic year 2019-20, GTE held a total of 17 immersions with an average of 75 participants each year.

5.2.1 Implement the University-wide plan for undergraduate study abroad.

The Report of the Task Force on Undergraduate Study Abroad, submitted in summer 2018, was reviewed and approved during 2018-19. Following up on the task force recommendations, the SMU Abroad office was to survey relevant stakeholders and develop a comprehensive plan for undergraduate study abroad to be completed by late spring 2020. Development of these plans as well as all study abroad programs were put on hold by the pandemic.

5.2.2 Increase the number of undergraduates from a variety of academic programs who study abroad and advise them on how to fit study abroad into their academic careers. Increase the number of graduating SMU seniors who have studied abroad to 50% by 2025.

According to the Registrar's office, the undergraduate participation rate in study abroad for academic credit for those who graduated in 2019-20 (excluding August 2020 graduates) was 31.2%, exceeding the rates for graduates in

noteworthy that undergraduates seeking to study abroad can also find financial support from schools, departments, and programs. In addition to the SMU Abroad office and Financial Aid, in recent summers a half dozen sources provided more than \$300,000 annually for undergraduates studying abroad. SMU Abroad coordinates with Financial Aid as well as with other sources offering such funding to promote more efficient allocation of the limited study abroad funds and to avoid over-awarding any individual student or overlooking others.

5.2.4 Develop study abroad programs for intersessions.

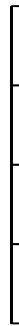
The pandemic led to the suspension of study abroad in spring 2020 and paused the further development of study abroad programs for intersessions.

5.2.5 Increase the number of courses that include an international experience during spring break.

In spring 2020, the international components of courses with international experiences during spring break were cancelled due to COVID-19 travel restrictions.

5.2.6 Increase the percentage of undergraduates who graduate having completed the third semester of a second language.

Undergraduates Who Graduate Having Completed the Third Semester of a Second Language, by Academic Year (%)



Note: Figure for 2020 does not include those awarded degrees in August.

About half of SMU's undergraduates graduate have taken a third semester or more of a second language. The figure below shows that percentage has risen from 27.1% in academic year 2015 to 41.8% in 2016 to 46.6% so far in 2020.

5.2.7 Maintain the number of courses with a robust global focus or perspective.

The University Curriculum general education program, applicable to students matriculating in spring 2020 and before, requires global engagement of SMU undergraduates. As of June 2020, 140 courses had been tagged for global engagement. The new Common Curriculum for students matriculating fall 2020 and later has a global perspectives requirement. Already, 77 courses have been approved as meeting the global perspectives requirement. That number will grow as faculty and departments seek recognition for courses that fulfill the requirement and revise others to do so.

5.2.8 Expand the number of majors who encourage study abroad in their curricular requirements.

SMU major requirements facilitate study abroad. As an annual average from 2015-20, graduating undergraduates have counted study abroad credits toward major requirements in about 52 different majors, with the actual annual count fluctuating between 45 and 57, representing 54 to 66% of the majors of the graduates. The percentage of graduating seniors fulfilling one or more requirements for a major through study abroad has grown from 13% in 2015-17 to 15% in 2018-20.

Objective 5.3 Increase the international representation of students and faculty.

deposits. For fall 2017, 281 (65%) were offered \$6.7 million in aid, and 45 (16.0%) paid deposits.

5.3.2 Increase the number of faculty engagements with prospective students around the world through speaking opportunities, courses taught abroad, etc.

Faculty participate in international conferences and engage in special outreach to international institutions to encourage international students. For example, during 2019-20, Simmons School professors Stephanie Al Otaiba, Leanne Geller, Doris Baker, Denisa Gandara, Paige Ware, and Eric Bing made presentations at international conferences attended by faculty who counsel and advise students as well as students who were, potentially, prospective Simmons students.

In spring 2020, Lyle School Dean Marc Christensen and Electrical and Computer Engineering Department Chair Dinesh Rajan visited institutions in three cities in India to entice potential students to apply to SMU. Working with Lyle's educational placement partners, they made multiple speaking appearances at universities where they exposed students to the Lyle School curriculum and research. The Lyle School has elevated the working relationships with placement partnership companies to try to recruit more of these prospective students.

5.3.3 Increase the number of strategic relationships with high schools and international educational organizations (not recruitment agents) that would promote SMU to international first-year and transfer students.

The Undergraduate Admission office continues to work closely with the Texas International Baccalaureate Schools (TIBS) organization. While this partnership directly impacts local students in International Baccalaureate (IB) programs, it also importantly connects SMU to the IB program globally. In 2020 SMU had hoped to partner with TIBS to host an IB World Student Conference to rr8 T -2.38 TD-.0003 Tw[,rl

November. The reception is hosted by the Southern Consortium, a group of 19 selective and highly selective private universities in the southeastern United States. SMU's Director of International Admission Jeremy Brown continues to serve on the Latin America Committee for the Council of International Schools.

5.3.4 Increase the number of international graduate and undergraduate student applications, admits, deposits, and enrollments resulting in 15% international students by 2025, with international undergraduates at a minimum of 7%.

In recent years, as foreign universities have risen in quality and seek to retain their own students, the climate in the United States around immigration policy continues to influence access to and perception of American higher education, resulting in many universities experiencing a decline in interest from international students. In 2020, the pandemic further reduced international applications, making an increase in international applications more challenging.

The following table presents numbers of international applications, admits and enrollments for 2016-20 calendar years.

The decline in international applications, admissions, and enrollment at SMU is most vivid among undergraduates. About 2,000 applications in 2016 and 2017 declined to 1,281 so far for 2020. While admissions numbered between 489 and 598 with an admit rate of about one-third, rising to 38.2% for 2020, the yield for those admitted fell from 25 to 30% to 13.1% so far for 2020.

The decline is less pronounced among graduate and professional applications, admissions, and enrollment. Indeed, 2020 has shown an uptick in applications and admissions from the low 2019 figures, but enrollments and the yield rate for 2020 are lower than 2019.

International Applications, Admit Rates, and Yield Rates, Undergraduates and Graduates, 2016-20

	2016	2017	2018	2019	2020
Undergraduate					
Applications	1,927	2,014	1,681	1,452	1,281
Admitted	598	573	515	494	489
Admit rate	31.0%	28.5%	30.6%	34.0%	38.2%
Enrollments	175	173	128	124	64*
Yield rate (enrolled of admitted)	29.3%	30.2%	24.9%	25.1%	13.1%
Graduate / Professional					
Applications	3,752	3,677	3,564	2,823	3,009
Admitted	1,880	1,606	1,655	1,553	1,671
Admit rate	50.1%	43.7%	46.4%	55.0%	55.5%
Enrollments	699	642	632	699	542*
Yield rate (enrolled of admitted)	37.2%	40.0%	38.2%	45.0%	32.4%

Note: * The number of deposits or commitments is considered to be the enrolled number for 2020. Data for 2020 as of mid-August 2020. The official numbers for 2020 will be available after the census date of September 8, 2020.

In spring 2020, with the backing of the Faculty Senate, SMU began allowing international students to demonstrate English proficiency using the DuoLingo English Test. This decision provided another testing options in addition to the TOEFL and IELTS. The online DuoLingo exam provided an important alternative when the TOEFL and IELTS in-person exams were cancelled worldwide due to the pandemic.

5.3.5 Enhance services for international undergraduate students that improve retention and graduation rates.

First- to Second-Year Retention Rates, International Undergraduate Entry Cohorts, Fall 2008-Fall 2015 (%)

Four- and Six-Year Graduation Rates, International Undergraduate Entry Cohorts, Fall 2008-Fall 2015 (%)

Retention and graduation rates suggest support services for international undergraduates help SMU retain and graduate these students at rates comparable to those for all SMU undergraduates. Indeed, retention of international undergraduates for the 2015-2017 cohorts matched or surpassed the overall

89.3%. The upward trend of the international undergraduate graduation rates resembles that of all undergraduates with internationals trailing all undergraduates slightly for the six-year rate, more significantly for the four-year rate. Retention and graduation rates for all undergraduates are presented at Goal One, Objective Two (1.2.8 and 1.2.9).

Objective 5.4 Share research and best practices throughout the country and worldwide through interdisciplinary programs to raise SMU's visibility and reputation to the nation and the world.

Social media outreach by SMU, detailed at Goal Six, Objective Four (6.4.3), seeks to leverage SMU's advances and progress. The \$100 million Moody Foundation gift establishing the Moody School of Graduate and Advanced Studies was a major breakthrough in terms of visibility and raising the reputation of SMU. In the years ahead the work of the Moody School itself will further support SMU's higher profile and progress.

GOAL SIX: TO INCREASE REVENUE GENERATION AND PROMOTE RESPONSIBLE STEWARDSHIP OF RESOURCES

To compete in higher education today, institutions must work proactively to maximize revenue generation and manage existing and new resources in ways that expand philanthropic opportunities, promote operational excellence, and ensure sound financial stewardship. It is important to create a transparent culture for budgets that begins with an understanding of current expenditures and metrics, along with distributed strategic budget requests that are discussed openly among all deans and vice presidents. This will provide knowledge of broad University budgets that lead to final priorities and decisions being communicated to all University leaders.

GOAL SIX OBJECTIVES

Objective 6.1 Develop, as appropriate, initiatives to improve the efficiency and effectiveness of University functions.

6.1.1 Evaluate the measures identified for each initiative to ensure that processes are effective, efficient, and that the goal of the initiative is achieved. Show amounts of funding redirected to the academic sector.

To improve the efficiency and effectiveness of University functions, currently there are seven initiatives implemented or underway with oversight from an Operational Excellence Executive Committee. A total of \$20 million annually has been saved to be redirected to the academic sector. Over the past six fiscal years, 2015-20, \$16 million in annual spending and \$17 million in one-time spending has been funded from the Operational Excellence savings.

Objective 6.2 Develop an inclusive, transparent budgeting process that recognizes strategic priorities while lowering expenses.

6.2.1 Limit the growth in positions funded through unrestricted means to those directly supporting strategic priorities.

SMU has made progress in focusing the growth in unrestricted staff positions to those strategically focused and/or supporting additional revenue sources since Organizational Design and shared services efforts were completed in 2015. In fiscal year 2020, there were 1,582 total unrestricted staff positions and 1,568 in fiscal year 2019. New positions added in fiscal year 2020 support the

University's fundraising, academic support, technology initiatives, and insourcing of functions for cost saving purposes. Business and Finance has revised the staff position management process so that review of new position requests encompasses those funded from both unrestricted and restricted resources. The review and approval of new staff positions focuses on assuring new positions support strategic priorities and new revenue sources.

As of 2019-20, all new positions, faculty and staff, are evaluated to determine their relevance to the University's strategic priorities.

6.2.2 Evaluate the percentage of the budget that supports academic functions to ensure that emphasis remains on the academic mission.

Total resources spent on the academic mission (financial aid, instruction, research, and academic support) increased since OE2C was implemented in 2014-15. The proportion of total expenses spent on financial aid, instruction, research, and academic support increased from 62.8% in 2014-15 to 67.6% in 2018-19, an increase of \$112 million dollars.

Objective 6.3 Increase levels of future private support, building on the success of past campaigns.

6.3.1 Continue momentum from the previous campaign by focusing on targeted key priorities and preparing for the next campaign.

SMU received historic levels of support through new commitments³⁵ - received 66% of total private support in 2018-19, an increase from 56% in 2017-18.

Efforts to complete funding for the Gerald J. Ford Hall for Research and Innovation (3.2.2), Owen Arts Center renovation in the Meadows School, Cox School Expansion and Renovation, and the Moody Graduate School building (1.5.2) are ongoing. Bridwell Library remodeling and Perkins Chapel renovation were fully funded, with fundraising for the Perkins Chapel Organ continuing. Funding for Athletics capital projects has been discussed in Goal Four, Objective Five (4.5.8).

Four additional new donors gave \$1 million or more in fiscal year 2020, bringing the new total to 159.

6.3.5 Continue the upward trend in planned giving support, increasing the number and value of deferred gift expectancies and matured deferred gifts through 2025.

The Office of Gift Planning continues to offer significant support for the University's overall fundraising goals. In fiscal year 2020, those expectancies for which estimates were provided totaled \$9,196,760. Planned gifts that matured and were paid during the fiscal year totaled \$2,695,157. Comparable figures for fiscal year 2019 were \$6.4 million and \$4.2 million, respectively. During fiscal year 2020, eight new donors were included in Dallas Hall Society, which recognizes those who have included SMU in their deferred giving plans.

6.3.6 Continue the focus on scholarship and endowed faculty funding priorities, adding another 750 endowed scholarships by 2025, and raising the total number of endowed faculty positions to 160 by 2025.

During *SMU Unbridled: The Second Century Campaign*, SMU donors gave annually to hundreds of scholarships and added 689 endowed scholarships, greatly exceeding the original campaign goal of creating 500 endowed scholarships. This record-breaking result raised the number of substantially endowed scholarships at SMU to 3,242. By the end of the fiscal year 2019 the total number of substantially endowed scholarships at SMU had reached 3,462. During fiscal year 2020, 47 newly endowed scholarships and fellowships were added, raising the total to 3,509.

Support for scholarships (outright gifts and pledge payments) during fiscal year 2020 totaled over \$15 million, equally divided between gifts to endowed scholarships and gifts to operational scholarships.

During *SMU Unbridled: The Second Century Campaign*, SMU donors added 54 endowed faculty positions, increasing the number to 116. Since the campaign's conclusion, six commitments, detailed in Goal One, Objective One (1.1.1), have further increased the number of substantially endowed faculty positions to 122.

6.3.7 Increase annually the number of volunteers involved in fundraising initiatives.

Overall in fiscal year 2020, 1,079 alumni volunteered to participate through Annual Giving and Alumni Relations Channels as fundraisers, admission volunteers, career volunteers, committee members, and alumni chapter leaders. This compares with 1,443 alumni volunteers in fiscal year 2018 and 1,164 in fiscal year 2017. The decrease is due to the spring 2020 postponement of SMU Giving Day until 2021.

Campaign Steering Committees newly created during the summer and fall of 2019 (including co-chairs) placed 86 campaign volunteers in new positions advocating for SMU during 2019-20.

42nd in Bloomberg *Businessweek*'s ranking of business schools in the U.S. (November 2019).

10th in the world for faculty quality and 6th in the world for "potential to network," according to *The Economist* (fall 2019).

Dedman School of Law rankings include:

23rd in mean salary of first-year law school graduates, according to data released by the U.S. Department of Education in April 2020 (based on 2016 salaries)

30th in percentage of recent graduates placed into associate jobs at the nation's 100 law firms, according to the *National Law Journal*'s "Go-To Law Schools" (March 2020).

56th in *U.S. News & World Report*'s "2021 Best Law Schools" (ranked in 2020).

Simmons School of Education and Human Development was ranked 63rd among graduate education schools by *U.S. News & World Report* (March 2020), up significantly from 105th the year before. Among national private universities, Simmons ranks in the top 25. Among schools in Texas, Simmons ranks third, behind only the University of Texas at Austin and Texas A&M University.

In the July 23rd issue of *DIVERSE Issues in Higher Education*, the annual rankings of "The Top 100 Producers of Minority STEM Graduates," SMU ranked 15th in the nation in Mathematics and Statistics, 39th in the nation in Computer and Information Sciences, and 48th in the nation in Engineering.

6.4.1 Continue to support SMU branding efforts, centrally and through schools and units.

As part of efforts to increase awareness about the quality and accessibility of an SMU education among students and parents in North Texas, SMU for a second year targeted teenagers and their parents in the region. Digital ads generated 50.1 million impressions. The campaign also generated more than 300 application submissions for the class entering in fall 2020.

For the second year SMU sponsored the Excellent Educator Awards with NBC5, recognizing outstanding elementary, middle and high school teachers in the DFW area. SMU appeared as the named sponsor on all promotions, and received advertising space throughout the NBC5 programming day, as well as online on the station's website and during streaming views. The program generated 9.9 million broadcast impressions and 3.1 million digital impressions.

6.4.2 Build external support for the goals of the *SMU Strategic Plan 2016-2025*.

In fall 2019 the 2018-19 Annual Progress Report on the SMU Strategic Plan was discussed and shared with executive boards of each school and major center at SMU.

6.4.3 Annually expand social media use to gain new audiences, increased visibility of academic progress, and more financial support.

Development and External Affairs tracked key metrics that reflect the impact of all its efforts to increase the number of higher education leaders who recognize SMU as a premier university, the number of alumni and North Texans who perceive SMU as a smart investment, and the number of prospective students who make SMU their top choice. The numbers from fiscal year 2020 demonstrate substantial improvement over the baselines established in fiscal year 2019:

Among higher education leaders in fiscal year 2019-20, there was a 16% increase in impressions, the number of times social media browsers have been shown SMU content (5.3 million contrasted with 4.6 million the previous year). This group registered a 185% increase in conversions, meaning clicks to SMU website and video completions (223,000 compared to 78,000 the prior year).

Among alumni and North Texans, because of the pandemic leading to the postponement of SMU Giving Day, there was a 36% decrease in impressions last fiscal year over the previous one (17 million versus 26.7 million), but there was a 266% increase in conversions, meaning clicks, video views, or online donations (142,000 compared to 39,000).

Among prospective students, there was a 2% increase in impressions this fiscal year over last fiscal year (51.6 million compared to 50.8 million), and a 745%

increase in conversions, meaning clicks, video views and requests for more information (269,000 compared to 32,000).

During fiscal year 2019-20, across all audiences, there was a 3% decrease from fiscal year 2018-19 in mentions of SMU over traditional media (120,000 compared to 124,000), but a 49% increase in mentions of SMU over social media (788,000 contrasted with 530,000).

SMU grew its total social media followers on its Facebook, LinkedIn, Twitter and Instagram accounts from 231,900 in 2018-19 to 250,000 in 2019-20, a 7.8% increase.

Objective 6.5 Employ investment best practices to balance potential rewards and risks to grow a diversified endowment to increase support to the University's academic priorities.

6.5.1 Outperform policy benchmarks while managing risk.

The market value of SMU's endowment totaled \$1.64 billion as of June 30, 2020. In the 2019-20 fiscal year, the endowment pool generated a return of 1.0%, outperforming SMU's policy benchmark return of 0.2%. Over the past three fiscal years, ending June 30, 2020, the endowment pool generated a return of 4.5% versus a policy benchmark return of 4.3%.

The endowment pool suffered a large drawdown in the first quarter of 2020 due to a sudden stop in economic activity as a result of the spread of COVID-19. Markets recovered quickly in the second quarter, helped by unprecedented fiscal and monetary stimulus in the US and globally. Within public markets, diversifying strategies delivered positive absolute returns and strong relative returns and provided the endowment cushion during falling markets, while public equities and fixed income asset classes trailed their respective benchmarks.

6.5.2 Ensure a total return ranked in the top 50% cohort and aspirational universities over a business cycle.

As of June 30, 2019, SMU's one-year endowment pool return was 1.0% versus the median return of -0.1% for the Cambridge Associates (CA) universe of college and university endowments. For three years ending June 30, 2020, SMU's endowment returned 4.5% versus the median return of 4.3% for college

and universities in the CA universe. SMU's endowment ended the fiscal year 2020 ranked 68th among U.S. and Canadian universities.

Over the last three years, the endowment pool has made steady progress toward achieving its long-term strategic targets. The endowment pool has increased exposure to higher returning private market assets while reducing allocation to volatile public market assets. The endowment pool is expected to reach its stated strategic targets in the next two to three years, positioning itself for higher expected risk-adjusted returns.

Objective 6.6 Promote a shared sense of community at SMU to conserve resources, establish sustainable practices, and contribute to the community's livability.

6.6.1 Work to engage students, faculty, and staff in sustainability efforts that will benefit the campus and the environment.

During 2019-20 the Sustainability Committee, made up of students, faculty, and staff from across the University, widened the usage of the standardized recycling signage on campus. Among its various activities, the committee also helped revamp the Environmental Society, the largest sustainability focused student group on campus.

6.6.2 Continue to seek appropriate Leadership in Energy and Environmental Design (LEED) designations on all new construction and renovations.

The Office of Facilities Planning and Management continues to pursue LEED certification on new construction and, when feasible, renovations. The Indoor Performance Center received LEED Silver certification in fall 2019. Gerald J. Ford Hall for Research and Innovation is expected to receive LEED Silver certification in fall 2020. Facilities completed all requirements for Dallas Hall's recertification of LEED EBOM (Existing Buildings, Operations and Maintenance) status and intend to submit the application in summer 2020.

For more information, contact:

Southern Methodist University
Marketing and Communications
PO Box 750174
Dallas, Texas 75275-0174
214-768-7660

smu.edu/AboutSMU/StrategicPlan

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