

THE CONTEXT FOR PLANNING:
PRESERVING THE PAST, PROVIDING FOR THE PRESENT, PREPARING FOR THE
FUTURE

TO INFORM THE ANNUAL UPDATE OF THE USP FOR FYS 00, 01, 02, 03, AND 04

VOLUME 3:1

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Executive Summary	1
<i>Shared Understandings</i>	1
<i>Process – Four-year & Annual</i>	2
<i>Outcomes</i>	2
Section 1: Guidelines for Institutional Planning	3
<i>Background</i>	3
<i>Visionary & Procedural Linkages</i>	3
Section 2: Shared Understandings	5
<i>Land-Grant Heritage</i>	5
<i>Mission and Vision for the Future</i>	5
<i>Distinctive Characteristics</i>	6
Section 3: Strategic Planning Framework	8
Section 4: Criteria for Decision Making & Prioritization	9
Section 5: Strategic Planning Goals & Objectives	11
<i>Goal 1: Integrated Learning</i>	11
<i>Goal 2: Research & Scholarship</i>	11
<i>Goal 3: Outreach</i>	12
<i>Goal 4: University Community</i>	12
<i>Goal 5: Physical & Financial Resources</i>	13
Section 6: Annual Planning and Budgeting Processes	14
<i>Planning & Budgeting Process Interaction</i>	14
<i>Process Components</i>	15
<i>Outcomes</i>	19
Section 7: Process for Updating the Context for Planning	21
Appendices:	
<i>Appendix A: Committees Identified in P&B Process</i>	22
<i>Appendix B: Planning Update Timelines – Four-year and Annual</i>	23

“The essence of a land-grant university is responsibility for and responsiveness to societal change. Colorado State University is an evolving land-grant institution in a rapidly changing environment. As a public university, Colorado State faces the challenge of reshaping itself to meet the educational needs of its many constituencies. It also has the obligation to provide society with new information, reasoned analysis, discussion of alternatives, application of knowledge, and intellectual leadership directed toward achieving a better future.”

-- Preamble, *The Future of Colorado State University: The Context for Planning*
August 1992

EXECUTIVE SUMMARY

Colorado State University bases its planning and budgeting activities upon the premise that periodic clarification and communication of the University’s land-grant mission, goals, objectives and priorities will support the institutional agenda for excellence. By examining and updating the institution-wide vision every four years, the *Context for Planning* refreshes the *shared understandings* that are the foundation of the University’s planning and budgeting *processes*, from which specific *outcomes* derive that direct resources toward institutional priorities.

The vision presented in this third Context for Planning is refined but consistent with its first iteration. *The planning process, however, has changed significantly over the years*, becoming less administratively burdensome and more in tune with the natural planning and reporting relationships within the academy.

This Context for Planning guides annual planning and budgeting activities for the five Fiscal Years 2000 through 2004 (FYs 00-04), beginning with the *Annual Update of the University Strategic Plan for FY 00* (June 1999).

1. *Shared understandings* reaffirm the essential elements of who and what we are as a University:

- *Land-grant heritage* as recognized in Colorado statute: “*Colorado State University shall be a comprehensive graduate research university with high admission standards offering a comprehensive array of undergraduate programs consistent with the tradition of land-grant universities*”
- *Distinctive institutional characteristics* of commitment to: excellence; academic freedom and integrity; shared governance; integrated learning; research, scholarship, artistry, and graduate education; outreach; community; diversity; and internationalism.
- *University mission and vision statement*: “**Colorado State University belongs to the people.** True to its land-grant heritage and responsibilities as a student-centered major research University, Colorado State is committed to excellence in advancing the frontiers of knowledge, providing intellectual and cultural leadership, preparing students for life-long roles as productive citizens and thinkers, and striving always to improve the human condition. Colorado State’s learning community is grounded in intellectual curiosity and high ethical standards empowered by personal integrity and respect for the diversity of peoples and cultures.”

- **Goals** that organize programmatic and infrastructure planning in terms of five statements of fundamental institutional intention and purpose: (1) **Integrated Learning**; (2) **Research & Scholarship**; (3) **Outreach**; (4) **University Community**; and (5) **Physical & Financial Resources**.
 - **Objectives** that identify areas of emphasis within these Goals that are relevant to the University's current and projected environment for the coming four year planning cycle.
2. **The planning process** incorporates mechanisms for translating our shared understandings into unit plans that are aggregated into institution-wide planning and budgeting. Timeline and component detail is provided in **Appendix B**. In general terms:
- The **four-year planning process** updates the *Context for Planning*, refreshing our institutional vision and the procedures by which we fulfill our responsibilities through annual planning.
 - The **annual planning and budgeting process** identifies institutional priorities and directs resources (financial, human and infrastructure). The **Strategic Planning Framework (SPF)** communicates priorities to all units of the University through institutional Goals, Objectives, and annually updated Key Strategies/ Implementation Plans. **Decision making criteria** (quality, centrality, need, cost, external mandates, and unanticipated requirements and opportunities) provide guidance in identifying and considering specific activities for support.
 - **Unit plans** are developed at all organizational levels of the University and are consistent with institutional priorities. With the majority of existing resources controlled within unit budgets, the opportunity and responsibility to make annual resource allocations to address the priorities of the USP reside largely in the units.
 - **Consolidated Academic Plan and Academic Support Plans** are developed by the Provost working with the Council of Deans, and Vice Presidents and President working with their respective division directors. The Consolidated Plans identify and aggregate key items in support of institutional priorities from unit plans for consideration during the central Planning & Budget Hearings.
3. **Outcomes:** A product of extensive dialogue and institutional introspection, the *Context for Planning* identifies annual planning and budgeting processes focused in support of University excellence. The following are specific outcomes of these processes:
- The **Annual Update of the University Strategic Plan (USP)** addresses challenges facing the entire institution, identifies the highest priority strategies, reports on budget allocations, and informs unit planning activities. Using the decision making criteria, activities are identified and resources allocated toward **Key Strategies/Implementation Plans (KS/IPs)**. Other elements of the USP - the **10-year Physical Development Plan** and **University & College Development Campaign Priorities** – are developed in support of University priorities.
 - The **University Budget** is developed annually and addresses mandatory items, KS/IP priorities and, occasionally, other exceptional needs. The central budget allocations to the USP's priorities are documented in its *Annual Update*

Section 1: GUIDELINES FOR INSTITUTIONAL PLANNING

“Preserving the Past, Providing for the Present, Preparing for the Future”

The *Context for Planning* provides the context – visionary and procedural – within which an informed University community conducts its strategic planning and budgeting activities. This is the third iteration of the Context for Planning and provides significantly simplified processes to support our common understandings and institutional priorities.

Background

In early 1991, President Yates charged the University community to take stock of our institution, to codify our values and culture, and empower the people of Colorado State University to work for change. For the next 18 months, we engaged in probing analysis and dialogue, from which we built consensus and defined our mission and goals in terms consistent with our heritage as a land-grant University. This undertaking resulted in *The Future of Colorado State University: The Context for Planning*. True to its name, as of its publication in August 1992, the University community has been able to look to the future, planning our path to excellence upon a solid foundation of shared history, common goals, and identified mechanisms for ensuring responsiveness to the needs we serve.

As part of the first *Context for Planning*, a process was established that “offers not a rigid structure, but rather a framework that can guide our decision making and justify our efforts.”¹ This Strategic Planning Framework organizes all planning and budgeting systems around the institution’s highest priorities and results in the *Annual Update of the University Strategic Plan*, the University Budget, and informed unit plans.

Approximately every four years, the University community is given the opportunity to participate in revisiting and reaffirming the *Context for Planning* to maintain its relevance.

Visionary and Procedural Linkages

The strength and viability of the annual planning and budgeting processes at Colorado State University are largely due to their ability to provide immediacy and focus in implementation while remaining faithful to the shared understandings presented in the *Context for Planning*. Our strategic planning process permits real-time assessments that impact and direct University activities and programs.

Key elements of this interactive strategic planning process are summarized in the following table. Further detail is available in the referenced sections of this document.

¹President Albert C. Yates, *The Future of Colorado State University: The Context for Planning*, August 1992.

<i>Item</i>	<i>Published in</i>	<i>Duration</i>	<i>Purpose</i>	
Shared understandings (Section 2)	<i>Context for Planning</i>	Fixed for 4-yr period of <i>Context</i>	Enunciates mission, vision, distinctive characteristics, Goals, and Objectives	
Strategic Planning Framework (Section 3)	Goals (Section 5)	<i>Context for Planning and Annual Update of USP</i>	Statements of fundamental institutional mission and purpose	
	Objectives (Section 5)	<i>Context for Planning and Annual Update of USP</i>	Provide specificity to the Goals and direct KS/IP and unit-level planning	
	Key Strategies/ Implementation Plans (KS/IPs)	<i>Annual Update of USP</i>	<ul style="list-style-type: none"> Primarily multi-year due to complexity and associated resource issues Reviewed annually for phased implementation until completed <ul style="list-style-type: none"> Focuses institutional planning on greatest challenges and priorities Guides central resource allocation/reallocation for maximum effect over time 	
Decision Making Criteria (Section 4)	<i>Context for Planning</i>	Fixed for 4-yr period of <i>Context</i>	Establishes criteria for evaluation, prioritization, and action plan development and budgeting	
Annual Planning & Budgeting Processes (Section 6)	Priority Identification	<i>Annual Update of USP</i>	Focus on next FY in context of phased implementation	
	Resource Allocations	<i>Annual Update of USP</i> reports E&G allocations to University and unit-level budgets	<ul style="list-style-type: none"> Base allocations and reallocations One-time allocations 	
	Accountability	<i>Annual reports for University constituencies</i>	Focus	
		<i>President's Letter</i>	Accomplishments by Goal; budget analyses; Colorado Legislative update	
<i>Annual Academic Planning Report</i>		Reports on: USP process, goals, KS/IPs, and progress made; proposed new degree programs; and academic directions contemplated within next two years		
<i>Proposed KS/IP Call for Comments</i>		KS/IP developments: previous FY KS/IP accomplishments; current FY KS/IP overview; and proposed next FY KS/IPs		

Section 2: SHARED UNDERSTANDINGS

At the heart of Colorado State University's strategic planning and budgeting processes are shared understandings of our heritage, the beliefs and values to which we are committed, and their manifestation in a statement of mission and essential Goals. This awareness of institutional purpose and responsibility permits University-wide decision making to focus on identification, implementation and support of programs of the highest quality and relevance.

The Land-Grant Heritage

Established in 1870 as a land-grant college under the Morrill Act of 1862, Colorado State has become a comprehensive Carnegie Class I research university. The Morrill Act brought together liberal and practical education for the first time and opened higher education to qualified students including those previously confined to vocational areas. No longer were economically disadvantaged groups to be deprived of the opportunity to participate fully in the benefits accruing from higher education. The land-grant experiment in mass higher education has been copied worldwide because the educational environment created by its combination of liberal education for a lifetime and professional education for productive employment has proved to be the key to a better future.

The Morrill Act also linked higher education to the productivity of the American economy by emphasizing service to "agriculture and the mechanic arts," the dominant segments of the economy at that time. This function was actualized by the Hatch Act of 1887, which created experiment stations as a means of enhancing economic growth through the development of knowledge. The Smith-Lever Act of 1914 charged land-grant schools with application of new knowledge by taking it directly to the people through Extension programs.

The University's present charge is defined in Colorado Revised Statutes, 23-101-1988:

"Colorado State University shall be a comprehensive graduate research university with high admission standards offering a comprehensive array of undergraduate programs consistent with the tradition of land-grant universities."

That tradition is embodied in the concept of the inseparability of the tripartite activities of teaching, research and scholarship, and service. Each activity supports and enriches the other and the overall campus environment, and contributes to the integrated learning experience of students and quality services provided to our many constituencies.

Mission and Vision for the Future

Colorado State University's mission statement strives to preserve its rich past, provide for the present, and prepare for a future of changing social demographics and worldwide needs:

"Colorado State University belongs to the people. True to its land-grant heritage and responsibilities as a student-centered major research University, Colorado State is committed to excellence in advancing the frontiers of knowledge, providing intellectual and cultural leadership, preparing students for life-long roles as productive citizens and thinkers, and striving always to improve the human condition. Colorado State's learning community is grounded in intellectual curiosity and high ethical standards empowered by personal integrity and respect for the diversity of peoples and cultures."

Mediated through history, traditions, leadership, governance groups, and all members of the University community, our mission statement expresses our sense of place, pride, commitment, values, behavior, leadership, decision-making philosophy, and focus on excellence.

Distinctive Characteristics

A great University is characterized by distinctive beliefs, values and actions. At Colorado State University, these include institution-wide commitment to:

Excellence Colorado State University is committed to the pursuit of excellence among our faculty, students, and staff that comes from the fusion of quality students, a faculty of active scholars, and staff dedicated to supporting the vitality of the academy.

Academic Freedom & Integrity Academic freedom and integrity are the basis for excellence at a university. Academic freedom provides the members of the University community with the right and responsibility to express themselves freely and openly. Intellectual integrity requires the pursuit of truth with full disclosure, the freedom to question established beliefs, and the scrupulous examination of societal issues.

Shared Governance The University is committed to shared governance in which all constituency groups in the University community participate in the decision-making process, recognizing their respective roles and responsibilities.

Integrated Learning An integrated learning environment gives priority not only to what and how faculty teach, but to what and how students learn. Putting students first requires effective recruiting and retention strategies, responsive advising, a cohesive and integrated curriculum, and opportunities for interaction with faculty and peers through co-curricular activities outside the classroom.

Research, Scholarship, Artistry & Graduate Education Faculty research, scholarship and artistry serve society, enhance lives, enrich the classroom, and foster a love for learning in all our students. It is through these scholarly pursuits that graduate students are trained and prepare themselves for careers that require advanced education.

Outreach We are committed to serving the public interest of Colorado, the nation and the world. Our success will rest on our ability to forge partnerships with those whom we serve and who support us. University outreach supports educational opportunity, economic development and other public endeavors, and enhances quality of life.

Community The University values human potential and provides opportunities for each member of the University community to reach his or her highest personal and professional capabilities. We strive to respond to the special needs of each constituency group in a safe and respectful environment.

Diversity

Diversity is as essential to the University as books, classrooms and laboratories. Therefore, Colorado State University is committed to enhancing its diversity in all its forms: intellectual, age, ability, race, ethnicity, gender, sexual orientation, religious beliefs, and the socioeconomic and geographic composition of its faculty, staff, and students. Our campus – as a microcosm of society – works toward the ideal of harmony and a welcoming environment. This environment produces a diverse campus where differences are celebrated and respected within a community of shared beliefs and values.

Internationalism

As part of the rapidly changing global environment, Colorado State University emphasizes international education, study abroad, international student programs, and international research and training programs directed toward preparing students to live in a global society.

These distinctive characteristics are intrinsic to our community. Together with our [land-grant heritage](#), these characteristics underlie the [Goals, Objectives, and Key Strategies](#) of the University Strategic Plan with which we seek to interpret our mission and vision with action.

Section 3: STRATEGIC PLANNING FRAMEWORK

The link between *Context for Planning* vision and action plans is provided by the *Strategic Planning Framework*, which is *used to identify and organize implementation activities and associated resource requirements during the course of annual planning and budgeting*. The Strategic Planning Framework links the *Goals* and *Objectives* of the *Context* with the *Key Strategies/Implementations Plans* at the heart of the *Annual Update of the University Strategic Plan*. Application of *decision making criteria* (identified in Section 4) within this framework lead to informed resource allocations.

Goals

The strategic planning process is guided by five major University Goals that are statements of fundamental institutional intention and purpose. Because Goals define essential aspects of Colorado State University, they are not prioritized and remain essentially fixed. Three programmatic Goals highlight our institutional commitment to (1) *an integrated learning experience*, (2) *research, scholarship and artistry*, and (3) *outreach*. The two remaining Goals recognize that programmatic excellence can only be fulfilled by a (4) *University community* of capable, dedicated people whose activities are supported by appropriate (5) *physical and financial resources*.

Objectives

Objectives provide increased specificity and current relevance to the five broad Goals that anchor the USP. The Objectives inform identification of critical challenges that lead to development of Key Strategies/Implementation Plans of institutional priority. They facilitate orientation of unit planning to broad programmatic opportunities and partnerships. Objectives are formally reviewed every four years by the *Strategic Planning Committee (Appendix A)*, in partnership with the *Council of Deans, Executive Budget Committee, and Faculty Council*.

Key Strategies/ Implementation Plans (KS/IPs)

Key Strategies identify the highest priority challenges, issues, needs and opportunities facing Colorado State University that must be addressed to fulfill our mission. The complexity and cost considerations associated with Key Strategies generally require development of phased, multi-year Implementation Plans. KS/IPs are reviewed annually and developed in tandem with financial assumptions about the coming fiscal year.

Recognizing the critical importance of the Council of Deans in effective communication between unit and central planning, the COD works with the SPC following the Planning & Budget Hearings in reviewing and identifying Key Strategies for implementation development during the next year.

Section 4: CRITERIA FOR DECISION MAKING & PRIORITIZATION

Having established common frame of reference through shared understandings and statements of the fundamental Goals and Objectives of Colorado State University, the University community must recognize and use consistent assessment criteria when developing plans and in making support decisions. Planning and budgeting processes must also be open, honest, and allow broad input from internal and external sources.

The following criteria are used across the institution when evaluating and prioritizing proposed courses of action:

Quality

Quality is a primary consideration in all decisions. All programs must be of high quality and strive for continuous improvement toward excellence in the fulfillment of the University mission. Although quality is a subjective concept and difficult to measure directly, attempts must be made to assess the implications of all decisions on quality. Quality can be demonstrated by reference to independent evaluations, regional and national comparisons of program accomplishments, observable indicators of scholarship and achievement, and other metrics.

Centrality

The centrality of an activity is the extent to which the activity is an indispensable part of the University's mission. Thus, centrality can be judged by the aggregate of such assessments as:

- Is the activity essential to the University's role and mission?
- Is the activity consistent with or even necessary for future directions of the University?
- Does the activity significantly contribute to other programs that are critical to Colorado State's mission?
- What impact does the activity have on institutional culture and values, institutional distinctiveness, our vision for the future, students, faculty, and staff?

Need

The University must make decisions that are in concert with the needs of the university community, the state, and its broader constituencies. Need can often be supported by indicators such as student demand, placement of graduates, and areas of distinction or emphasis. The determination of need requires sound academic and professional judgment as well as objective information.

Cost

Cost cannot be ignored and must be considered within an overall balance of programs and in relation to one or more factors, such as cost benefit considerations and on-going vs. one-time cost requirements. Cost reviews should indicate how a decision optimizes use of resources.

External Mandates

The University recognizes that it is subject to external influences such as federal and state statutes, CCHE requirements, regulatory agency mandates, etc. These mandates vary widely and include legislative priorities, the Americans with Disabilities Act, Cost Accounting Standards, Title IX, etc. Confirming safety in the workplace, assuring the academic and environmental quality, guaranteeing individual rights, and adhering to the law of the land direct decisions that affect the University community.

Unanticipated Requirements & Opportunities

Planning is as much an art as a science, and while critical to any organization, it cannot anticipate each and every event that may occur. The planning and budgeting processes of the University are closely connected, but both demand some level of flexibility to respond to unexpected issues that arise outside the boundaries and schedule of the process.

Use of the above decision making criteria is essential for unbiased assessment and identification of priority activities in support of [University Goals, Objectives, and Key Strategies/Implementation Plans](#). Once identified, further prioritization occurs following the [Planning & Budget Hearings](#) in recognition of the finite nature of fiscal, human and infrastructure resources.

Section 5: STRATEGIC PLANNING GOALS & OBJECTIVES

The five University Goals enunciated in this *Context for Planning* derive from our land-grant heritage and responsibilities and reflect the distinctive characteristics that bind our community. The Goals are non-prioritized statements of essential and fundamental aspects of Colorado State University's mission and operational focus. All planning and budgeting activities at the University are grounded in one or more of these Goals.

Objectives (1.1, 1.2, etc.) provide increased specificity to their respective Goals and inform unit planning of programmatic challenges and opportunities. Objectives may be updated during annual planning and as KS/IP implementation is achieved.

Goal 1. *Integrated Learning:* Provide an integrated University learning experience designed to meet the current and future needs of undergraduate and graduate students by developing critical thinking, communication skills, problem solving capabilities, subject matter and technical expertise in selected majors, appreciation and incorporation of diverse and multicultural perspectives.

1.1 Improve the undergraduate and graduate learning experience, including courses, curricula, and programs to assure that students are prepared for lifelong learning and living in a global, multicultural, technological, and interdependent society.

1.2 Facilitate timely graduation by ensuring that students have adequate access to required courses, articulating clearly the relationship between major courses and the academic Core.

1.3 Increase the size and improve the quality of the undergraduate and graduate student body.

1.4 Meet the challenges associated with the increased size and diversity of the undergraduate and graduate student body.

1.5 Assure graduate students have appropriate support and access to quality courses, learning environments and facilities.

1.6 Enhance and reward effective teaching and academic advising that contributes to an integrated learning experience.

1.7 Improve learning by integrating appropriate technologies into instruction and utilizing teaching techniques that accommodate a diversity of learning styles.

Goal 2. *Research & Scholarship:* Provide an environment that supports excellence in scholarly inquiry by faculty, undergraduate and graduate students to foster discovery, enrich the learning experience, enhance lives, and serve society.

2.1 Enhance support for areas of research, scholarship, and artistry that demonstrate excellence or significant potential for addressing critical state, national, and international issues and needs.

- 2.2 Provide the technological, academic support, and library resources for the research, scholarship and artistry necessary for the university to achieve its education, research and outreach missions.
- 2.3 Diversify the sources and increase the amount of external support to enrich University research, scholarship, and artistry.
- 2.4 Support research, scholarship and artistry that is inclusive of all viewpoints, especially those of historically under-represented groups.
- 2.5 Strengthen the transfer of technology and knowledge resulting from the University's research and scholarly activities.

Goal 3. Outreach: Enhance the capability of Colorado State University to fulfill its land-grant responsibility to serve the needs of the people of the state, the nation, and the world by developing and sharing knowledge through meaningful partnerships.

- 3.1 Strengthen alliances with K-12 schools and institutions of higher education to increase educational opportunities, effectiveness, and access to resources at Colorado State University.
- 3.2 Increase and reward the involvement of faculty, staff, and students in outreach activities in the areas of cultural enrichment, economic development, agriculture, natural resources, multicultural education, human resources and community development..
- 3.3 Expand continuing education and distance-learning opportunities utilizing effective technology-based delivery systems where appropriate..
- 3.4 Improve communication of the university mission, goals, and accomplishments to internal and external constituents.
- 3.5 Facilitate stronger alliances and working relationships with civic, business, community, educational, and ethnic organizations in Fort Collins and throughout the state to foster a community environment inclusive of all people.

Goal 4. University Community: Provide an environment at Colorado State University that encourages and supports students, staff and faculty from all segments of our pluralistic society to participate to the full level of their capabilities.

- 4.1 Increase compensation for academic faculty, administrative professional employees, and graduate assistants to improve Colorado State's standing relative to peer institutions.
- 4.2 Support efforts to appropriately classify and provide career advancement opportunities for state classified employees.
- 4.3 Foster a better understanding and appreciation of diversity through education, professional development, co-curricular experiences, and student support programs.

- 4.4 Increase the diversity of Colorado State University through recruitment and retention of students, faculty and staff with emphasis on those who have been historically under-represented.
- 4.5 Improve the efficiency and effectiveness of Colorado State University's administrative and shared governance systems.
- 4.6 Increase the effectiveness and job satisfaction of all University personnel through enhanced training, professional development, mentoring and support services.
- 4.7 Strengthen programs that assist students in making the transition to careers and professions.
- 4.8 Build Colorado State University traditions and a strong sense of university community.
- 4.9 Clarify and improve the processes used to define faculty and staff responsibilities and effort distribution, and evaluate performance.

Goal 5. *Physical & Financial Resources:* Provide modern, safe and accessible facilities, financial resources, and up-to-date management practices essential to Colorado State University's accomplishing its mission.

- 5.1 Construct, restore and properly maintain the physical infrastructure (including buildings, site improvements, and utilities) to provide high quality facilities that meet programmatic needs and are attractive, efficient, environmentally safe and accessible.
- 5.2 Increase funding from private, public and self-generated sources and reallocate resources from low priority programs to support higher priority university activities.
- 5.3 Define, develop, implement and apply an improved information technology infrastructure and provide the necessary support services to assure effective utilization.
- 5.4 Institute and improve practices and policies for university personnel, and business, budgeting and financial management.
- 5.5 Assure personal and overall campus safety and security in an environment of growing enrollment and increasing programmatic activity at the various Fort Collins campuses.
- 5.6 Develop and implement intra- and inter-campus transportation, parking, and circulation plans, including mass transit, automobiles, bicycles, and pedestrians.

Section 6: ANNUAL PLANNING & BUDGETING PROCESSES

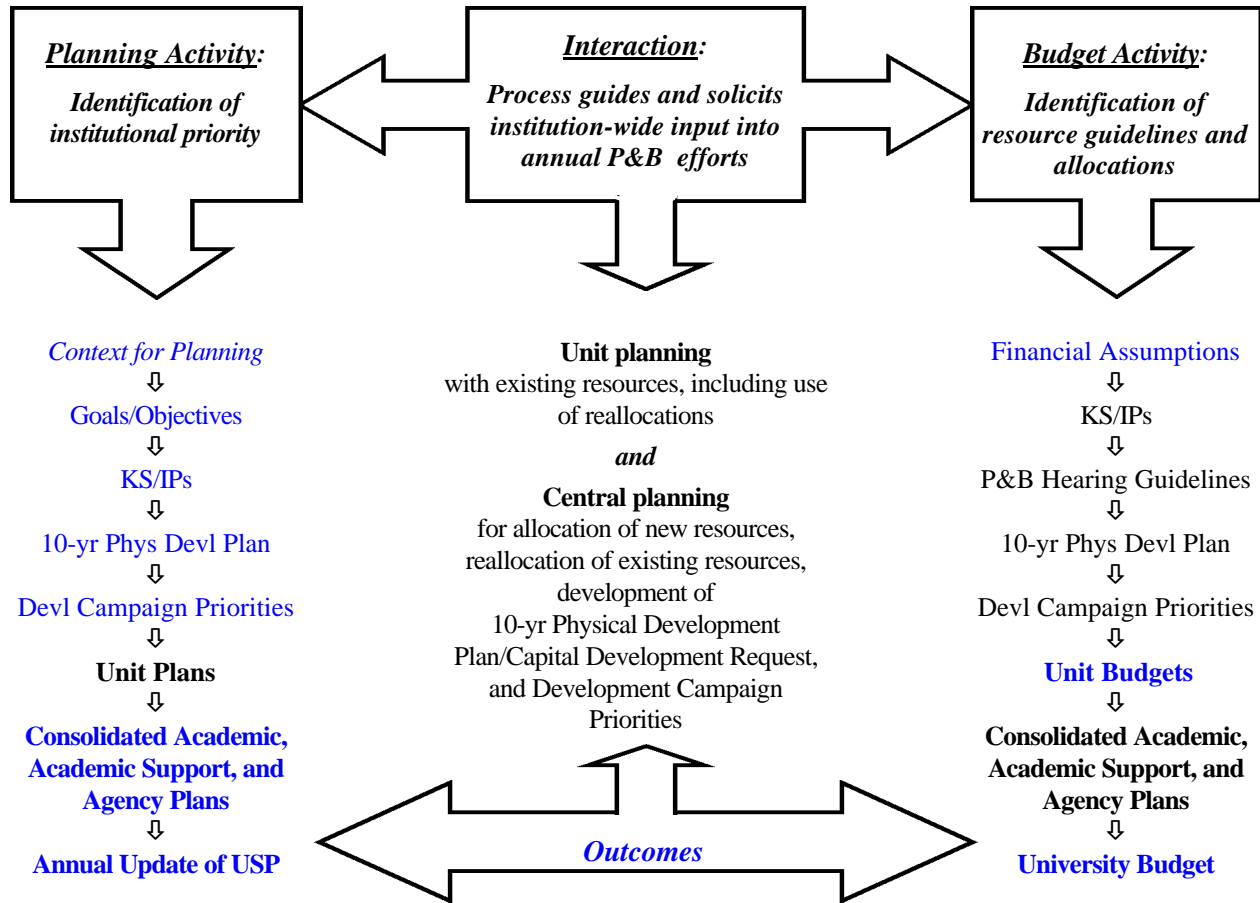
PLANNING & BUDGETING PROCESS INTERACTION

The University has developed annual planning and budgeting processes to facilitate coordination between long- and short-term planning across the institution. These processes are composed of multiple activities that ultimately define institutional priorities, formulate action plans and identify associated resource allocations and reallocations, and establish the budget of the University.

The process described in this *Context for Planning* is greatly simplified from previous efforts; and assumes:

- Strategic planning should organize and streamline processes throughout the institution, not complicate them.
- Collectively and individually, members of the University community are committed to excellence and are accountable for fulfilling Colorado State University’s land-grant mission.
- Planning and budgeting occurs at two operation levels: (1) the operational unit where the majority of the University’s resources reside, and (2) the University level, which allocates E&G increases to identifiable institutional priorities.

With interaction between the University community, SPC and EBC, strategic planning formally integrates the planning and budgeting processes at key junctures by providing essential and consistent information to inform deliberations at all organizational levels:



PROCESS COMPONENTS

The following text identifies the salient components of strategic planning and budgeting at Colorado State University, and how they interact in formulating the *Annual Update of the USP* and University Budget.

Key Strategies/Implementation Plans (KS/IPs)

Focuses annual central planning activities to identify and direct University resources to the highest institutional priorities

March → June Identification of Key Strategies

Following the Planning & Budget Hearings, Key Strategies are identified for development during the following fiscal year. The SPC and Council of Deans identify approximately five Key Strategies by June 15 to start the next year's planning and budgeting cycle. In doing so, these groups consider implementation status of the current KS/IPs, changes in the University's internal and external environments, inputs from the Spring University community comment period, CCHE/SBA Quality Indicators, and SBA Areas of Emphasis.

June → February Development of Implementation Plans

Due to their complexity and associated resource (financial, human and infrastructure) considerations, KS/IPs generally require multi-year plan development and implementation. This encourages phased implementation strategies and provides an opportunity to refine plans as part of the annual process.

Over the course of the Summer and into the Fall, each KS/IP committee develops their respective draft Implementation Plan, which includes an overview of the scope, principal elements, associated resource requirements and sources, and expected outcomes. Periodically during drafting of the KS/IPs, committee representatives meet with the Council of Deans and Strategic Planning Committee to discuss and clarify further development. Committee membership varies between Key Strategies, being an appropriate mix of College administrators, academic faculty, administrative professionals, classified personnel, and students. KS/IP committees are chaired by the Provost/Academic Vice President and/or Vice President(s) most relevant to the topic, which reinforces communication of priorities within Colleges and Divisions to inform local planning. The KS/IPs focus of the consolidated Academic, Academic Support, and Agency Plans prepared for the Planning & Budget Hearings.

During each annual planning and budgeting cycle, the University community has two opportunities to become directly involved and familiar with the developing KS/IPs: (1) Fall – review of pre-Planning & Budget Hearing draft KS/IPs; and (2) Spring – post-Planning & Budget Hearings – within the context of proposed outcomes as reported in the draft *Annual Update of the USP* and associated budget allocations.

Summaries of KS/IP implementation status and resource allocations are the main focus of the *Annual Update of the USP*.

10-year Physical Development Plan

Coordinates facility needs with USP priorities

October → May Identification of University Facilities/Infrastructure Priorities

Upgrading of University facilities and infrastructure must be synchronized with programmatic planning and is, therefore, an integral part of the strategic planning process. In early October, the Office of Facilities Planning requests information from every College, the Libraries, each Vice President, the Provost/Academic Vice President, the President, and the Agencies in order to prepare the 10-year Physical Development Plan. The Physical Development Committee reviews this facilities needs listing and recommends a prioritization to the EBC in early February. The prioritized 10- year Physical Development Plan is used to inform P&BH deliberations and is summarized in the *Annual Update of the USP*. It also serves as the basis for the Capital Development Budget Request for State funding sent to the President for SBA approval and submission to the CCHE in May for incorporation into its subsequent submission to the Legislature.

University & College Development Campaign Priorities

Coordinates Development campaigns in support of USP priorities

October → May Identification of Development Campaign Priorities

The Vice President for University Advancement works with each College during the Fall to develop a prioritized list of University and College development campaign priorities. This prioritized list is forwarded to the EBC by February before Presidential approval and inclusion in the *Annual Update of the USP*.

Resource Allocations and Reallocations

Considers, existing and future fiscal, human and infrastructure resources to facilitate realistic planning across the institution.

August → November CCHE/Legislative Budget Request

Each Fall, the Colorado Commission on Higher Education (CCHE) develops a statewide higher education budget request. The details of this request are developed in cooperation with the chief financial officers of each of the higher education systems in the state. This request follows some general patterns, but is subject to change on a year-to-year basis based on legislative interest or actions. Currently, the plan follows a format like this:

- The CCHE requests a percentage increase to the general fund base appropriation for higher education equal to the Denver/Boulder CPI for the current calendar year.
- There is a request for additional base funding for any enrollment changes from previous levels of funded enrollment.
- Special statewide higher education initiatives may also be proposed for funding, based on specific legislative interests (e.g., technology) or actions (the H.B. 1219 Quality Indicators process).
- Requests may also be made for additional funding for the [CCHE Programs of Excellence](#) awards.
- Additional funds are requested for the statewide financial aid program.

In addition to increased appropriations, the CCHE will also request increased cash revenue authority, primarily in the form of tuition increases. The rate of this increase has also been linked to the Denver/Boulder CPI.

This budget request document is sent to the chief executive officers of the higher education systems for final review, then on to the CCHE commissioners for approval, and then to the Office of State Planning and Budget and to the Joint Budget Committee (JBC) of the legislature. Generally, the JBC holds a hearing later in the fall during which the CCHE presents the request. Often this hearing also provides an opportunity for the higher education CEO's to address specific questions from the JBC members.

Final action on the request comes later in the Spring during the legislative session.

October → December Financial Assumptions

The EBC and Office of Budgets & Institutional Analysis (OBIA) prepare financial assumptions each Fall that include projections of revenue from all sources for the coming fiscal year. University-wide resource issues (fiscal, human and physical – new, existing, and reallocated) are examined by the COD/EBC, and opportunities identified for support of the priorities identified in the KS/IPs. The outcome of this examination of resource issues is provided to the University community for review with the draft KS/IPs. These guidelines about future resource expectations are intended to facilitate constructive planning within realistic parameters.

November → January Planning & Budget Hearing Guidelines

In collaboration with the Council of Deans and Faculty Council Committee on Strategic & Financial Planning, the EBC drafts P&B Hearing Guidelines in the Fall for recommendation to the President for approval in January. The guidelines define what can be brought forward at the hearings (mandatory items, matters related to KS/IP priorities, extraordinary opportunities or challenges requiring institutional response, and responses to unit-specific programmatic and budgetary questions posed to the presenters). Because there are limits to what can be considered for new allocations or reallocations from central sources, all proposals considered at the Planning & Budget Hearings must clearly identify associated resource needs and practicable sources of support. The guidelines identify these limits so that other activities can be developed realistically, understanding from the onset their need to identify feasible new sources of external support or reasonable reallocations within existing budgets.

January → February Consolidated Academic, Academic Support, and Agency Plans

Using the P&B Hearing Guidelines, the Provost works with the Council of Deans, and each of the other Vice Presidents, Agency Directors, and the President work with their respective Division/Agency leadership in preparing Consolidated Plans for consideration at the P&B Hearings. The Consolidated Academic Plan summarizes priority activities directed toward the KS/IPs coming from individual College plans. Similarly, each Vice President and the President consolidates their respective Division's planning inputs into Consolidated Academic Support Plans. The Provost works with the Agency Directors and a Consolidated Agency Plan is presented at the P&B Hearings.

Early March Planning & Budget Hearings

P&B Hearings are held to gain broad-based input that will inform recommendations for resource allocation and reallocation to the University's highest priorities. The Consolidated Academic, Academic Support and Agency Plan proposals focus upon the priorities identified in the KS/IPs. The presenters (Provost, Vice Presidents, President's Office, Agency Directors) also address specific programmatic and support issues within their units as requested by the EBC in the guidelines. Opportunity is also provided to identify any

extraordinary needs or opportunities that require institutional attention. Any need to modify, remove, add Strategic Planning Framework Objectives to maintain currency, relevance and priority is also addressed at the Planning & Budget Hearings.

March → April Preparation of University Budget Proposal

Following the P&B Hearings, the EBC prepares draft University Budget proposal recommendations for the next fiscal year. These recommendations recognize that although all activities proposed through the Consolidated Academic, Academic Support, and Agency Plans have merit, resource limitations place constraints on implementation possibilities. Having established sound resource data (existing funds from all sources, new revenues and reallocations, human and infrastructure), budget allocations are determined on the basis of the following criteria. These criteria are applied to all proposals for new activities – whether for consideration of central support or allocation/reallocation of unit resources:

1st priority ***Mandatory*** (salaries, O&M of new and existing facilities, inflation, external mandates, etc.)

2nd priority ***KS/IPs***

3rd priority ***Other*** (extraordinary need and/or opportunity)

The proposed budget recommendations are given to the Council of Deans, Faculty Council (S&FP), other governance and constituency groups ([Appendix A](#)), and to the University community in early April for consideration and comment. Based on these comments, the EBC refines the proposal for submission to the President for review, and forwarding to the State Board of Agriculture for final approval in May.

March → April Preparation of Annual Update of USP for the Following Fiscal Year

Utilizing information from the Planning & Budgeting Hearings, and with input from the University community, Executive Budget Committee, and Faculty Council, the Strategic Planning Committee identifies and proposes draft recommendations for the *Annual Update of the USP*. These recommendations address organization and refinement of the KS/IPs and associated proposed resource allocations, advise of any potential changes to the Objectives, request input for development of the next year's KS/IPs, and may include other materials relevant to that year's effort.

Governance, constituency groups and members of the University community are asked to review and comment upon these recommendations. University review of the draft 10-year Physical Development Plan and University & College Development Campaign Priorities is also solicited in early April.

OUTCOMES

The quantitative measure of a process is the sum of its outcomes. The outcomes of strategic planning are palpable activities, statements of institutional commitment and priority, and an enhanced sense of University community. The strategic planning and budgeting process seeks to develop increasingly straightforward mechanisms in support of direct and effective communication and interaction within the institution and with its external relationships and constituencies. This is accomplished through reiteration of shared understandings and reliance upon members of the University community to utilize common decision making criteria as they identify activities appropriate to the University vision, mission, Goals, Objectives, and Key Strategies/Implementation Plans during the course of annual planning and resource allocation efforts.

Annual Update of the University Strategic Plan

Summarizes central priority planning and budgeting decisions for the coming year that address the long-term direction of the University, and includes: Goals, Objectives, KS/IPs, 10-year Physical Development Plan, University & College Development Campaign Priorities, and Projected E&G Budget Allocations

May → June Adoption of Annual Update of USP

Based on inputs received during the post-P&B Hearing comment period, the Strategic Planning Committee refines the draft update of the USP, which is then submitted to the President in May for consideration and approval. As part of this input, the Faculty Council provides its comments directly to both the SPC and the President. The *Annual Update of the University Strategic Plan* is published in late June, prior to the beginning of the fiscal year it describes.

The academic portions of the approved University Strategic Plan inform the Annual Academic Planning Report to the SBA that is required by CCHE.

University Budget and Unit Level Budgets

Directs resources to activities

April → June Adoption of Budgets

The University Budget developed each Spring allocates funds to the highest priorities of the University Strategic Plan. The adoption of the budget by the SBA completes the annual planning/budgeting cycle, and is used in turn to clarify unit budget allocations and reallocations.

Accountability Reports

Communicates planning accomplishments and associated resource allocations to internal and external University constituencies for information and utilization

June → August President's Letter

The *President's Letter* serves as the annual report to the University community of the past year's achievements of the University and its members - students, faculty, staff, alumni and friends. In addition to celebrating these achievements, the previous year's budget allocations are analyzed against USP priorities, and projected budget allocations for the coming fiscal year are detailed. The past legislative session, which both impacts the budget and provides important input for the coming planning cycle, is also discussed.

December *Annual Academic Planning Report*

The *Annual Academic Planning Report* is prepared by the Provost in conformity with CCHE planning efforts and presented to the SBA. The report offers information regarding the University's planning process, the main goals and strategies of the strategic plan, progress made on the plan during the past year, academic decisions contemplated within the next two years, and specific information regarding proposed new degree programs.

November → December *Proposed KS/IPs Call for Comment*

Each Fall, the University community is requested to review and comment upon the proposed Key Strategy/Implementation Plans that have been developed for funding consideration in March at the Planning & Budget Hearings for the next fiscal year. Because of the multi-year, phased nature of the KS/IPs, previous year accomplishment background is provided in the *Proposed KS/IPs Call for Comment*. This information, combined with an overview of the current year's KS/IPs, serves to bring the University community up to date on these critical activities.

Section 7: PROCESS FOR UPDATING THE *CONTEXT FOR PLANNING*

The *Context for Planning* serves as the foundation for institutional planning and budgeting by reaffirming [shared understandings](#), fundamental University **Goals**, and identifying **Objectives** to further clarify and focus development of activities within identified processes. It is reviewed and refocused by the University community approximately every four years, and subsequently guides planning and budgeting activities of all organizational units over the next four-year planning cycle.

October → May Review and Revise Context for Planning Every Four Years

The Strategic Planning Committee develops a draft update of the *Context for Planning* by incorporating changes in the process that have been implemented during the course of the previous four annual planning and budgeting cycles. This draft considers requests for language and process clarification, changes in our internal and external environments that may impact processes and/or focus of the [Strategic Planning Framework](#) (Goals, Objectives, Key Strategies/Implementation Plans), and other critical concerns that may be identified. The draft is submitted to the University community for review and comment. In addition to a general call for comment, governance and constituency groups are contacted and their input solicited. Fora are held to describe the draft Strategic Planning Framework and planning/budgeting process in order to clarify the proposal and solicit further comment. The Strategic Planning Committee will make revisions based upon these comments before the proposed planning framework and planning/budgeting process are submitted to the President for approval by the end of the Spring Semester

Appendix A: DESCRIPTION OF CHARGE AND COMPOSITION OF UNIVERSITY COMMITTEES IDENTIFIED IN THE PLANNING & BUDGETING PROCESS

- **Faculty Council Committee on Strategic & Financial Planning (S&FP):**

Charge: To recommend policies to the Faculty Council related to planning and budgeting activities that affect the academic function of the University; to review the procedures, outcomes, and accountability of the University's strategic planning processes and plans, for example, the Academic Initiatives Report, the periodic University Strategic Plans, and associated *ad-hoc* reports; to present the standing committee's evaluations and recommendations on such planning processes and plans to the Faculty Council for approval or disapproval on a semiannual basis; to review University proposals, policies and procedures as they affect the academic programs and structure of the institution; to recommend priorities for resource allocations to achieve University academic planning goals; and to recommend policies for the distribution of faculty compensation increases.

Members: One academic faculty representative from each College and the Libraries, one undergraduate student, one graduate student, one Dean (*ex officio*), the Provost/Academic Vice President (*ex officio*), the Director of Budgets & Institutional Analysis (*ex officio*), and the Chairperson of the Faculty Council Executive Committee (*ex officio*).

Appointed by/reports to: Elected by members of the Faculty Council. Reports through the Faculty Council Executive Committee to the Faculty Council.

- **Council of Deans (COD):**

Charge: To serve as a deliberative body to provide guidance and advice to the Provost/Academic Vice President.

Members: Provost/Academic Vice President, Deans of the eight academic colleges (Agricultural Sciences, Applied Human Sciences, Business, Engineering, Liberal Arts, Natural Resources, Natural Sciences, Veterinary Medicine & Biomedical Sciences), Dean of the Graduate School, Dean of Libraries. *Ex officio* members include the Associate and Vice Provosts, Chair of Faculty Council, and such other administrators as the Provost/Academic Vice President shall designate.

Appointed by/reports to: Provost/Academic Vice President.

- **Executive Budget Committee (EBC):**

Charge: To coordinate, facilitate and implement university budget decisions in compliance with fiscal regulations and university priorities as identified through the planning/budgeting process.

Members: Provost/Academic Vice President, Vice President for Administrative Services, Vice President for Research & Information Technology, Vice President for Student Affairs, Vice President for University Advancement, and Director of Office of Budgets & Institutional Analysis (*ex officio*).

Appointed by/reports to: President.

- **Strategic Planning Committee (SPC):**

Charge: To coordinate and facilitate University planning efforts.

Members: Provost/Academic Vice President, four Vice Presidents, two Deans, Chair of Faculty Council, Chair and Vice Chair of S&FP, one faculty member-at-large, one undergraduate and one graduate student, one State Classified representative, and one Administrative Professional representative.

Appointed by/reports to: President.

Appendix B: PLANNING UPDATE TIMELINES – FOUR-YEAR AND ANNUAL

Four-year Update of the *Context for Planning*

Updated approximately every four years, this is the third update of the *Context for Planning*:

1. *Context for Planning for FYs 93 through 96*
2. *Context for Planning for FYs 97 through 00 – amended to FYs 97 through 99*
3. *Context for Planning for FYs 00 through 04*

This revision is being made one year ahead of the original update schedule to communicate and recognize the significant process simplifications and improvements that have been made over the past few years.

The next scheduled evaluation and update of the *Context* will be for the:

4. *Context for Planning for FYs 05 through 08*

The next update is anticipated to follow a timeline similar to the current process, which is projected as follows:

Activity Period and/or Target Date	Responsibility	Activity
October 2003	Strategic Planning Committee	Review and evaluate process; draft revised <i>Context</i> for consideration by University community, including governance groups
December 2003 → February 2004	University community	Comment period on draft <i>Context</i> ; following its February meeting, Faculty Council provides recommendations to SPC
February → March 2004	Strategic Planning Committee	Comments incorporated and <i>Context</i> finalized for recommendation to President
April 2004	President	Considers <i>Context</i> recommendations from SPC and Faculty Council; approves or returns to SPC for revision.
May 2004	Strategic Planning Committee, Council of Deans	New <i>Context</i> used in identification of KS/IPs for the next fiscal year.
June 2004	Strategic Planning Committee	<i>Context</i> published
July 2004 → June 2008	University community	<i>Context</i> informs central and unit planning and budget decision making and development of <i>Annual Updates of USP for FYs 05 through 08</i>

Annual Update of the University Strategic Plan

Category	Activity Period and/or Target Date	Responsibility	Activity
Finalization and publication of the Annual Update of USP for the next FY	June	Strategic Planning Committee and Council of Deans	Identify Key Strategies for Implementation Plan development
		Strategic Planning Committee	Annual Update of USP for the FY beginning July 1 is published, including: relevant KS/IPs and Key Strategies to be developed for the following year; 10-year Physical Development Plan; University and College Development Campaign Priorities.
Finalization of KS/IPs and preparation of Consolidated Plans	November → January	Strategic Planning Committee, Council of Deans, KS/IP committees	Draft KS/IPs published for University community review and comment; finalized and provided to Planning & Budget Hearing Proposal preparers with Hearing guidelines
	January	Provost/Council of Deans, other Vice Presidents/division directors, President	Development of Consolidated Academic and Academic Support Plans, building from unit plans and focusing on KS/IPs, mandatory, and/or extraordinary needs or opportunities.
Development of next FY's proposed budget, USP and KS/IPs	March	Provost, other Vice Presidents, President, Agency Directors	Presentation of Consolidated Academic and Academic Support Plans at Budget & Planning Hearings for FY commencing July 1.
		Executive Budget Committee, Strategic Planning Committee	Prepares budget proposal (EBC), drafts Update of USP and recommendations for the next FY's KS/IPs (SPC)
	March → April	University community	University comment period on the next FY's: budget proposal, draft Update of USP, and KS/IP recommendations
	April	President, Executive Budget Committee	Reviews budget proposal
	April → May	Faculty Council	Makes recommendations on Update of USP to President and SPC
Approval and publication of next FY's budget and Annual Update of USP	May	State Board of Agriculture Budget Committee	Reviews budget and Physical Development Plan proposals
		Strategic Planning Committee	Integrates inputs into revised Update of USP and provides to President for approval
	June	State Board of Agriculture, Office of Budgets & Institutional Analysis	Approves (SBA) proposed operating budgets; releases (OBIA) budget allocations to University
		Strategic Planning Committee, Council of Deans	Finalize identification of Key Strategies for development of Implementation Plans during FY commencing July 1.
		Strategic Planning Committee	Publication of Annual Update of USP for the next FY (commencing July 1)