

Criterion 5. Resources, Planning, and Institutional Effectiveness

The institution's resources, structures, processes and planning are sufficient to fulfill its mission, improve the quality of its educational offerings, and respond to future challenges and opportunities.

5.A - Core Component

Through its administrative structures and collaborative processes, the institution's leadership demonstrates that it is effective and enables the institution to fulfill its mission.

1. Shared governance at the institution engages its internal constituencies—including its governing board, administration, faculty, staff and students—through planning, policies and procedures.
2. The institution's administration uses data to reach informed decisions in the best interests of the institution and its constituents.
3. The institution's administration ensures that faculty and, when appropriate, staff and students are involved in setting academic requirements, policy and processes through effective collaborative structures.

Argument

5.A.1. Shared governance at the institution engages its internal constituencies—including its governing board, administration, faculty, staff and students—through planning, policies and procedures.

The University of Denver employs policies and procedures to engage its internal constituencies – including board members, administration, faculty, staff, and students – in the University's governance. While the [Chancellor](#), [Chancellor's Cabinet](#), [Provost](#), and [Deans'](#) Council represent senior administrative leadership decision-makers, shared governance across all levels informs University policies and practices. In DU's strategic plan, DU IMPACT 2025, the institution affirms commitment to shared governance: "While we understand that there is one governing board, many issues require the expression and authentic engagement of many voices" [[Shared Governance Commitment](#)]. Annually, the Provost hosts a conference, open to all faculty, staff, administrators, and students, on significant topic areas. The theme for the 2020 Provost conference was shared governance and the event highlighted connections between shared governance and the public good [[Provost's Conference Webpage](#)].

To enact our commitment to shared governance, DU is organized into many committees, councils, advisory groups, task forces, and other entities that keep the community apprised of and engaged with activities and initiatives. Each of these groups serves distinctive purposes and represents the various constituencies of the University.

As discussed in Criterion 2.C, the Board of Trustees (BOT) is DU's governing body. The BOT delegates to the Chancellor broad responsibility for management of the University and day-to-day operations. The BOT welcomes input from both faculty and students through their elected representatives. The presidents of the Faculty Senate, Undergraduate Student Government (USG),

Graduate Student Government (GSG) and the Student Bar Association provide reports at each meeting of the full Board [[FAQs](#)]. Faculty members hold voting memberships on two of the standing committees: Finance and Budget Committee (F&B) and Faculty and Educational Affairs Committee (FEAC). The Faculty Senate President is an ex-officio representative on the full BOT.

The [Chancellor's Cabinet](#) works across the University to implement the mission and vision. Guided by DU IMPACT 2025, the cabinet members connect with students, faculty, staff, alumni, and neighbors to guide their efforts toward creating an inclusive community. Cabinet meetings focus on strategic issues such as the [web overhaul](#), [chancellorship transition](#), and the [Equity into Action plan](#).

In bimonthly Deans' Council meetings, the Provost, [deans](#), vice provosts, and select vice chancellors work together on curricular development, educational policy, financial issues, and student concerns. In 2019, meeting topics ranged from [graduate student differential tuition](#) to [budget development](#). During the adjustment to all online course delivery in the spring 2020 quarter, the senior leadership teams met daily for planning and discussion of COVID-19-related concerns.

University Council consists of senior staff members, deans, and division heads. University Council is a forum for communicating institutional and divisional initiatives and projects, providing and gathering feedback, and thinking strategically together. It unites people as colleagues, contributing to a vibrant culture of collaboration. The Council meets twice per quarter and focuses on critical issues such as [enrollment and rankings](#), [Denver Advantage projects](#), and the [budget](#).

As discussed in Criterion 3, there are four councils that recommend policies regarding academic programs to the Provost, all of which embody faculty governance. The [Undergraduate Council](#) reviews and approves policy concerning undergraduate education. The [Graduate Council](#) reviews and approves policy concerning graduate education [[Membership](#)]. The [Distance Learning Council](#) reviews online/distance curriculum. The [Internationalization Council](#) oversees and advises the Vice Provost for Internationalization on all international and internationalization activities, including international education.

The Faculty Senate, composed of elected faculty representatives, is another body through which faculty members participate in the shared governance of DU. The purpose of the Faculty Senate, as outlined in the [Faculty Senate Constitution](#), is to concern itself with policies affecting educational activities and academic personnel matters. The power and duties of the Faculty Senate are to recommend policy, review finances, consider conduct of University officers, recommend appointments to University committees, call general faculty meetings, invite consultants, and enact [by-laws](#). The [minutes](#) of Faculty Senate meetings are available to the university community [[Oct 2018 Meeting Minutes](#), [May 2019 Meeting Minutes](#)]. Much of the work happens in the various faculty senate committees. For example, in the Committee on Committees, in 2018-2019, they analyzed issues related to faculty representation on university-wide committees [[Committee Summary](#)]. Faculty members also have a responsibility for shared governance. In the University's "[Policies and Procedures Relating to Faculty Appointment, Promotion, and Tenure](#)," participation in shared governance is explicitly listed as an evaluative criterion for appointment, annual review, reappointment, promotion, and (where appropriate) tenure for all benefitted categories of faculty (including both tenure-line and non-tenure line).

The [USG](#) and [GSG](#) foster the growth and welfare of the students [[USG Constitution](#) and [Bylaws](#), [GSG Constitution](#) and [Bylaws](#)]. The USG and GSG presidents and vice presidents sit on the DU IMPACT 2025 Steering Committee, helping to guide the implementation of the strategic plan.

The mission of the [Staff Advisory Council](#) (SAC) is to unite and support staff through advocacy and collaboration. The SAC lobbies to get policies and procedures implemented that directly affect staff members' morale, interests, working conditions, and professional development [[March 2020 Agenda](#), [November 2019 Agenda](#), [Draft Shared Leave Bank Proposal](#)].

5.A.2. The institution's administration uses data to reach informed decisions in the best interests of the institution and its constituents.

The University's administration utilizes data to make informed decisions at all levels of administration through systematic, sustained, and thorough use of qualitative and quantitative measures and processes.

Information gathered from students, faculty, and staff are used to assess engagement and perceptions of the institution's constituents. These assessment tools include the [National Survey of Student Engagement](#) (NSSE), National Institute for Transformation and Equity's [Culturally Engaging Campus Environments Survey](#) (CECE) for graduate and undergraduate students, [ModernThink survey](#) for faculty and staff, and [COACHE survey](#) for faculty. The administration uses the results to change policy and enact new programs or modify existing ones.

To improve data usage and communication across the campus, the institution maintains a data users group called the [Information, Measurement, and Analysis Council \(IMAC\)](#). IMAC meets each quarter to share and discuss new technologies launched, institutional research and projects conducted, and data/data processing issues [[December 2019 Agenda](#), [November 2018 Agenda](#)]. The Council enhances collaborations and reinforces data literacy.

As presented in Criterion 2.B, institutional resources include the Annual Budget Transmittal, [the University Factbook](#), and a variety of other dashboards. The [Office of Institutional Research and Analysis](#) (IR) maintains a resource-rich website to inform community members of data appropriate to decision-making. For example, through IPEDS Data Feedback Reports, IR provides extensive data and reports comparing DU's performance with that of [peer institutions](#) [[Admission and Test Scores](#), [Employee FTE and Faculty Salaries](#), [Retention and Graduation Rates](#)].

Two examples of how the University has used data to inform decisions include the undergraduate tuition pricing study and the Art and Science (A&S) study. The Provost, Vice Provost for University Budget, Planning, and Administration, and the Vice Chancellor for Enrollment Management worked with Lawlor and Associates to survey 1700 prospective students and parents to learn what actionable steps were needed to realize more student interest and matriculation. In September 2019, the tuition rate information was presented to FEAC. The full report was also shared with relevant stakeholders, including senior leadership. From this work, senior leadership determined the most appropriate tuition increase level for fall 2020 given this market analysis.

The A&S study was used to inform the University's undergraduate strategies (academic/co-curricular, communications, etc.) that will distinguish it in a competitive market and positively affect application and enrollment decisions of prospective undergraduates. In December 2018, A&S presented their final recommendations to the working group and to the BOT in April 2019. After the University received the final recommendations, some of the more significant recommendations were included in the next phase of the University's strategic planning implementation, including the development of the strategic imperatives.

On a local level, departments use data to make informed decisions. For example, the IT Help Center uses feedback received from the ticketing application ServiceNow to improve performance and customer satisfaction [[Incident Satisfaction Survey](#)]. In addition, Facilities Management utilizes Sightlines to report on metrics and benchmark with peer institutions on the stewardship of campus facilities. This analysis is used to influence operational procedures, advocate for resources and more.

5.A.3. The institution's administration ensures that faculty and, when appropriate, staff and students are involved in setting academic requirements, policy and processes through effective collaborative structures.

Academic requirements, policies, and processes are adopted through an effective and collaborative structure. Administrative leaders and faculty have presence in governing committees and students serve as voting members on both the Graduate and the Undergraduate Councils [[Undergraduate Council Bylaws](#), [Graduate Council Bylaws](#)]. This structure ensures that students are appropriately involved in setting academic requirements, policies, and processes and that changes in policies and programs are disseminated to students.

Faculty Senate's [standing committees](#) are the regular, but not exclusive, forum for the formulation of faculty recommendations on policies and plans likely to affect the University. Three committees specifically focus on academic requirements, policies, and processes:

- 1) The [Academic Planning Committee](#) (APC) recommends to the Senate policies pertaining to curriculum and quality of instruction, research and scholarship funding, instructional and scholarly technology, and long-range planning. The APC appoints representatives to serve on various councils and committees, including Undergraduate Council, Library Advisory Committee, Graduate Council, Internationalization Council, Athletic Committee, and Distance Learning Committee [[2019-2020 Committee Summary](#)].
- 2) The Student Relations Committee (SRC) investigates and makes recommendations regarding academic and non-academic components of student and alumni life. The SRC participates in oversight of student support services, such as the Driscoll Center, Ritchie Center, and bookstore, and reports on the progress of the Inclusive Learning Environments Initiative. SRC meets at least once per quarter with Vice Provosts in the undergraduate and graduate areas and in CLIE, as well as with a representative from the Office of Alumni Relations
- 3) The Personnel Committee (PC) evaluates and recommends to the Senate all matters of policy regarding academic freedom, tenure, rank, advancement, and evaluation, as well as improvement of services, salaries, and retirement annuities for faculty. PC also evaluates

requests for sabbatical leaves and recommends recipients for University faculty honors
[\[Committee Summary\]](#)

Collaboration among relevant faculty, administrators, staff, students, and the BOT is the norm when finalizing university-wide academic requirements, policies, and procedures. For example, as detailed in depth in Criterion 3.B, a study of the common curriculum for undergraduates was undertaken in 2017 by a [General Education Review and Inquiry \(GERI\)](#) committee in consultation with the Faculty Senate, administrators, and Campus Life and Inclusive Excellence (CLIE).

As another example, the [Policies and Procedures Relating to Faculty Appointment, Promotion, and Tenure](#) (APT) were crafted in collaboration between faculty, administrators and the BOT. The Faculty Senate drafted the APT, and changes were made through negotiation among the faculty, senior administration, and the BOT. Faculty Senate leaders also met with the faculties of all academic units to discuss the proposed changes to the APT. The most recent version of the APT was revised in January 2015, retitled the faculty series of “Lecturers” to “Teaching Professors” and gave multi-year contracts to non-tenure-line faculty, the length of which was determined by the ranks of Assistant, Associate, or Full Professors in their respective faculty series (which included Teaching Professors, Clinical Professors, Research Professors, and Professors of the Practice). The result was a path breaking document featured in an *Inside Higher Education* article, [“More than Adjuncts.”](#)

5.B - Core Component

The institution's resource base supports its educational offerings and its plans for maintaining and strengthening their quality in the future.

1. The institution has qualified and trained operational staff and infrastructure sufficient to support its operations wherever and however programs are delivered.
2. The goals incorporated into the mission and any related statements are realistic in light of the institution's organization, resources, and opportunities.
3. The institution has a well-developed process in place for budgeting and for monitoring its finances.
4. The institution's fiscal allocations ensure that its educational purposes are achieved.

Argument

5.B.1. The institution has qualified and trained operational staff and infrastructure sufficient to support its operations wherever and however programs are delivered.

Human Resources:

The [Human Resources and Inclusive Community](#) (HRIC) Division assists in recruiting and retaining excellent faculty and staff, provides personal and professional development opportunities, and supports effective decision-making by providing information and guidance related to human resource processes, systems, and data.

Upon employment, new staff employees attend New Employee Orientation. In September 2019, HRIC was [recognized for their efforts](#) in revamping the onboarding experience by *Business Officer Magazine*. DU focuses on consistent and competitive salaries in order to attract and retain a high-quality workforce to successfully fulfill the mission. DU's [compensation program emphasizes market value](#) and recognizes the internal equity and value of jobs.

Faculty and staff are encouraged to attend professional development activities to build their skillsets to serve the mission more effectively. For example, the HRIC People Development Team focuses on development opportunities throughout the entire employee life-cycle. On-campus professional development is offered through several learning programs, events, and practices to accommodate learning styles and preferences [[Leadership Academy](#), [Professional Development Speaker Series](#), [Colorado 14ers People Development Program](#), [Customized In-Service Classes](#), [Mentor Program](#), and [DU Toastmasters Club](#)]. In FY19, a total of 1,154 employees attended learning programs, not including the online learning count of 1725 via LinkedIn Learning. In addition, all full-time employees are eligible to benefit from the [tuition waiver program](#).

Academic and administrative units also provide professional development funds for activities such as web seminars, conference attendance fees, travel to conferences, certifications and more. For example, the [College of Arts, Humanities and Social Sciences](#) (CAHSS) provides funding of up to \$1,000 for professional development per staff member per year. As another example, the faculty in the University Writing Program Teaching Professor series each receive up to \$1000 per year for

professional travel and up to \$500 for other professional expenses, including books, supplemental teaching materials, and professional memberships. All teaching faculty in the Writing Program, including adjuncts, receive modest stipends to participate in off-campus all-day professional workshops organized by the program [[Faculty Handbook](#)].

Fiscal, Physical, and Technological Infrastructure:

The University has fiscal, physical, and technological infrastructure sufficient to support its operations. It continuously evaluates the resources and infrastructure to support its operations as changes occur.

Each year, the BOT approves the budget as outlined in the Budget Transmittal, which provides a summary of the financial infrastructure [[FY2020 Budget Transmittal](#)]. The transmittal also provides the proposed budget for the fiscal year, a review of the current financial status, and an overview of DU IMPACT 2025 projects and costs. The FY2021 budget transmittal outlines the current financial position of the University [[FY2021 Budget Transmittal](#)].

The University's endowment was valued at \$689.2 million as of March 31, 2020, representing a net increase of \$439 million since June 30, 2009. The University has operated with a positive operating margin for more than 25 years and the operating revenue budget has increased from \$352 million in FY2010 to \$518 million in FY2020. Bond rating agencies have given DU strong ratings. Moody's and Fitch have recently rated the University of Denver A and AA, respectively [[Moody's Report 2017](#), [Fitch Report 2019](#)]. DU operates on a sound financial basis, as shown on the financial statements for FY19 [[FY19 Financial Statement](#)]. As stated in the FY 2019 audited financial statements, as of 6/30/2019, the University had total assets of \$1.87 billion and total net assets of \$1.49 billion, which represents a 3% growth rate from 6/30/2018. The University also completes an analysis of the [Composite Financial Index \(CFI\)](#). DU's CFI for FY2019 was a 5.76 and the projected CFI for 2020 is 2.80, which depicts a healthy financial institution responding to the volatility caused by COVID-19.

In spring 2020, DU managed the financial implications of the COVID-19 crisis. The University maintained high liquidity despite refunding our student's room and board fees for the spring quarter. As of the beginning of May 2020, days cash on hand was tracking consistently to the prior year. [Student Accounts Receivable](#) was also consistent with the prior year with collections continuing as expected. Cash flow forecasting remains strong through June 30, 2020 due to continuing spring enrollments and is positive through August with increased enrollments in the summer term [[Board of Trustees Bi-Weekly Update](#)].

The FY2021 compensation budget reflects effort to reduce expense and increase flexibility. The University created a temporary pay reduction program to begin July 1, 2020. To reduce compensation equitably, the University deployed a progressive scale that places the highest burden on the highest-paid employees. Additional expense reductions include a hiring slow-down, reducing non-benefitted employee work hours, reducing discretionary spending, freezing travel, cellphone and car allowances, and delaying many capital projects. In addition, the University placed approximately 40 employees on extended administrative leave beginning July 1, 2020. Also beginning July 1, the University reduced the matching retirement plan contribution to a maximum of 4% (from 8%). Because the pre-COVID budget-to-actual variances were positive

with an increase to the University's bottom line and coupled with strong reserves, DU will complete FY20 in a financially stable position.

DU is located on a 125-acre campus with 112 buildings totaling five million square feet. Since 1995, 72% of its facilities have been either built or renovated. The University follows and annually reviews the Integrated Facilities Plan (IFP), which is the central planning tool with which the Facilities Department prioritizes construction, renovation, and maintenance projects. In 2007, the University completed a comprehensive survey of its buildings to develop the IFP and identify, prioritize, and fund its most significant deferred maintenance needs. The IFP was updated in 2010, 2015, and [2018](#).

Since 2010, the University has added nine buildings, including Ruffato Hall, Ritchie School of Engineering and Computer Science, and the Sie Complex addition, as well as completed multiple major renovations including the [Anderson Academic Commons](#) and the [Denver Tennis Park](#). In FY19, there were 164 active construction and renovation projects in process, totaling \$295 million. In November 2018, DU began construction on [Denver Advantage](#), three new buildings that will transform the student experience and improve the University's ability to function as a student-centered research university. These projects will be described further in 5.B.2.

The [Information Technology](#) (IT) Division offers a complete range of technology services that uphold industry standards. All buildings on campus have wireless networking. IT also maintains audio/visual (AV) equipment. The course scheduling of 110 of DU's [193 classrooms](#) is centrally controlled by the Office of the Registrar and these classrooms are equipped with AV technology, including projection capability.

IT provides extensive assistance to students, faculty, and staff on their computer hardware and software needs. IT [maintains computer labs and equipment](#) across campus; develops and supports the use of [software](#) such as Adobe Creative Cloud, Microsoft Office 365, and antivirus protection; and supports off-campus network access. Additionally, IT administers [PioneerMobile](#), oversees the [Video Creation Studio](#), and provides both an in-person and by-phone [Help Center](#). Specific support is provided for Canvas, DU's learning management system, video recording and content tools (Kaltura, Zoom), electronic portfolio websites, and instructional feedback devices (DU Portfolio and Clickers).

Some units have software applications specific to their needs. These are cloud-based and integrated with applications such as Banner [[Software Ecosystem](#)]. For example, the Offices of Enrollment and Graduate Education use Slate, a cloud-based, comprehensive CRM application designed to manage the higher education admission process, for event management, recruitment, travel management, outreach and communication efforts, application reading and review, real-time admission data reporting and more. Slate allows DU to effectively manage the logistics of the admission process while building and maintaining relationships with students, families and organization contacts throughout the admission cycle. Once students are admitted to DU, their records are transferred to Banner Student, and the registration process and academic record is maintained in the Banner ERP.

5.B.2. The goals incorporated into the mission and any related statements are realistic in light of the institution's organization, resources, and opportunities.

The University relies on financial assistance from friends and donors because the University's goals cannot be fully realized from tuition alone. As DU prepares for a forthcoming campaign, the deans and vice chancellors have become involved in campaign themes and narratives, some with their volunteer boards [Summer 2019 [Deans Retreat Agenda](#) and [Reflections on Advancement](#)]. Unit strategic plans are in alignment with DU IMPACT 2025, ensuring that the campaign supports goals derived from the mission [[CAHSS](#), [NSM](#), [MCE](#)].

DU IMPACT 2025 operationalizes DU's mission to promote student learning and provides a roadmap for doing so [[Strategic Plan Summary](#)]. The senior administration recognized the need to dedicate resources to the implementation of the strategic plan. Since the initiation of the strategic plan, the institution has allocated \$1.6 million in the base budget and has transferred \$4-8 million from year-end, building a fund specifically dedicated to projects that fall outside of normal budget development process that accelerate the goals of the strategic plan. Some of the pilot projects have received seed funding in order to test ideas that might be of interest to donors and friends. Collaboration with the Office of Advancement, the Senior Vice Chancellor of Finance, and the Vice Provost of Budget, Planning, and Administration has helped the institution allocate resources in a realistic manner. In the 2019 budget cycle, units began proposing successful pilot projects in their base budget requests. The Offices of the Chancellor and Provost worked closely with units to ensure open communication through that process, including revisiting conversations due to the impact of COVID-19 on the budget.

As of February 2020, DU had invested in 26 projects, in addition to administrative and other one-time funding costs, that advance the four transformative directions (TD) outlined in DU IMPACT 2025. Examples of projects include:

- **TD 1:** Student-centered projects, including [DU Dialogues](#), a program focused on building community, learning dialogue skills, and exploring issues of identity and equity; and the [ePortfolio](#) curriculum, which helps students make meaningful connections across their experiences (academic, co-curricular, and community) while developing critical thinking and reflective engagement skills [[DU Dialogues Proposal and Evaluation Report 2019](#), ePortfolio [Memo](#) and [Evaluation Report 2019](#)].
- **TD 1:** Academic infrastructure projects, including the development of an internal Online Management Program [[OPM Proposal 2019](#)].
- **TD 2:** Research projects, including allocating \$1.2 million over six years to bolster interdisciplinary faculty research through the Knowledge Bridges Incubator [[Knowledge Bridges Proposal 2018](#)].
- **TD 3:** Community engagement projects, including the [DU Grand Challenges program](#), a family of programs that bring together university and community change-makers to address the most difficult and far-reaching issues facing our society today [[DU Grand Challenges Proposal 2018](#)].
- **TD 4:** Exemplary employer projects, including allocating over \$300,000 for a Backup Care Family Supports and Discounted Child Care program [Equity into Action [Proposal](#) and [Budget](#) 2019].

As an extension of DU IMPACT 2025, the university embarked on a campus master planning initiative in 2016 with the selection of firm Ayers Saint Gross. Based on feedback and after thoughtful planning, DU revealed the Denver Advantage Campus Framework Plan (CFP)

summary in May 2018 with a [presentation to the community](#). The [CFP](#) provides a long-term, flexible framework for development that supports the current and future needs of campus as funding for capital projects becomes available.

Within the DU IMPACT 2025 process as well as the master planning process, the institution identified the need to construct three new buildings, referred to as the [Denver Advantage](#): a community commons, a first-year residence hall, and a career services hub.

Located at the heart of campus, the new [community commons](#) is designed to be a central hub bringing together faculty, staff, students, alumni, and community members. The commons will feature a central food hall, an array of student services, meeting spaces designed to foster collaboration, and a series of indoor-outdoor programming spaces. Construction is to be completed by mid-December 2020.

The [Dimond Family Residential Village](#) will house 500 first-year students and some programs. The design fosters community and a sense of belonging with pods of approximately 24 students, a “tree canopy” programming space for a hall of 500 students, and an outdoor gathering space. This allows co-curricular initiatives to thrive and for meaningful interactions, dialogues, and relationships to be cultivated between students. Construction is to be completed by August 2020.

The [Burwell Center for Career Achievement](#) will focus on student career development, employer engagement, and alumni activities. The facility will house Career and Professional Development, Employer Engagement, and Alumni Relations staff. The building is on track to be completed by July 2020 and certified as LEED Platinum.

5.B.3 The institution has a well-developed process in place for budgeting and for monitoring its finances.

The Provost is responsible for the development of the University’s annual operating budget. The annual resource allocation process begins with the Chancellor setting priorities with input from the BOT. The [Office of University Budget, Planning, and Administration](#) (Budget and Planning) supports the Provost and institutional leaders in the development of a budget aligned with the University mission and DU IMPACT 2025. The office conducts in-depth analysis and facilitates discussion with leadership to set tuition levels, merit increase pools ([Merit Analysis and Merit Proposal Fall 2018](#)), and models for the multi-year budgetary impact of programs. In addition, Budget and Planning also trains and supports unit-level business officers on systems and processes [[FY20 Business Officer Training Presentation](#)].

Phase one of the budget process begins with a budget kick-off meeting in mid-fall where the budget development process, timeline, and strategic priorities along with the results of the prior year are discussed with the campus community [[FY20 Kick-Off Presentation](#)]. Over the next two months, the budget team works with the business officers, colleges, and divisions to develop their budget proposals. Meetings are then scheduled with the Provost, Vice Provost, Dean/Director and Business Officer of each unit to review their proposals. Once all meetings are complete, Budget and Planning compiles the information to evaluate the full impact of funding decisions in light of available resources. This analysis is shared with University Council [[FY20 University Council](#)].

[Update Presentation](#)]. The Provost, in consultation with the Chancellor, then finalizes the budget for the Budget and Planning team to share with each division.

During FY19, Budget and Planning launched a new Multi-Year Forecasting, Analysis, and Budgeting system (MYFAB). In 2019, business officers were required to propose four additional years of revenue and expense projections [[Multi-Year Planning Tool](#)]. These five-year plans are the financial representation of the units' strategic plans. This new platform allows University leadership to see how the requests would influence DU's financial statements, allowing for multiple-scenario evaluation.

In May, the Provost and Vice Provost present the [budget transmittal](#) to the F&B committee, who vote to move the budget proposal forward to the full BOT at their June meeting. Once approved, the information is communicated to the campus for implementation [[Campus-Wide Email FY20](#)].

Several bodies monitor the University's finances throughout the year. The Administrative Budget Group (ABG) meets monthly throughout the fiscal year and includes the Provost, Vice Chancellor of Business and Financial Affairs, Budget and Planning staff, and Controller's Office staff. The charge of the ABG is to track and report variances from the budget, which allows for the re-allocation of positive variances into the strategic reserves. In addition, the Chancellor's Cabinet and Deans Council discuss the budget in depth on a regular basis, ensuring a broad perspective.

Each quarter, the Faculty Senate president and the Financial Planning Committee meet with the Provost, Vice Provost for University Budget, Planning, and Administration, and the Senior Vice Chancellor for Financial Affairs and Treasurer to discuss the current state of the budget and finances, plans for budget development for the next year and the future, and any fiscal concerns or issues [[FY21 Faculty Senate Budget Presentation](#)].

As detailed in Criterion 2.A, three BOT committees also provide leadership on financial matters: F&B, the Investment Committee, and the Audit Committee.

5.B.4. The institution's fiscal allocations ensure that its educational purposes are achieved.

Article 7, Section 1 of the BOT bylaws states:

The preparation of the annual budget for approval of and presentation by the Chancellor to the Board of Trustees shall be carried on under the supervision of the Provost, working under the direction of the Chancellor and with the Vice Chancellor for Financial Affairs [[Bylaws](#)].

Having the preparation of the budget supervised by the chief academic officer, the Provost, under the direction of the Chancellor and with final approval by the BOT, ensures resources are allocated to DU's educational responsibilities in accordance with the academic mission. For example, DU prioritized community safety by closing the campus and sending students home when the COVID-19 threat was imminent. The second priority was academic support for faculty ensuring that DU's educational purposes were achieved even during the course of a pandemic.

Throughout each fiscal year, the University analyzes budget-to-actual variance to ensure that the annual operating budget is performing as projected. The ABG review monthly financial activity and consider implications for revenue and expenditure changes. Unit forecasting is conducted

within each academic term and these projections inform interim financial reporting. Updates are provided to the BOT F&B committee and to the full Board in a quarterly summary financial report.

At the conclusion of each fiscal year, as the University completes financial audits, attention is focused on analyzing financial performance, ratios, and trends. In FY19, for the first time, the University's financial statements included a comprehensive, unaudited management review to describe financial activity throughout the year. This report is supplemental and describes complex operations for multiple constituencies, including the BOT, faculty and staff, rating agencies, financial institutions, donors, and grant funding agencies.

Compilation of financial ratios, particularly through analysis of the CFI, allows DU to consider whether resources are sufficient and flexible enough to support the strategic mission, whether capital debt is appropriately managed, and whether DU is living within the resources available. The overall calculation indicates that DU is a healthy financial entity that should focus resources strategically to remain competitive. While the five-year trend for the CFI calculation is downward, the University remains well above the midpoint and acknowledges that recent financial performance is impacted by the implementation of DU IMPACT 2025.

Because DU is not beholden to any superordinate entity, there is no disbursement of revenue to such an entity.

5.C - Core Component

The institution engages in systematic and integrated planning and improvement.

1. The institution allocates its resources in alignment with its mission and priorities, including, as applicable, its comprehensive research enterprise, associated institutes and affiliated centers.
2. The institution links its processes for assessment of student learning, evaluation of operations, planning and budgeting.
3. The planning process encompasses the institution as a whole and considers the perspectives of internal and external constituent groups.
4. The institution plans on the basis of a sound understanding of its current capacity, including fluctuations in the institution's sources of revenue and enrollment.
5. Institutional planning anticipates evolving external factors, such as technology advancements, demographic shifts, globalization, the economy and state support.
6. The institution implements its plans to systematically improve its operations and student outcomes.

Argument

5.C.1. The institution allocates its resources in alignment with its mission and priorities, including, as applicable, its comprehensive research enterprise, associated institutes and affiliated centers.

As discussed in 5.B.3, the Chancellor and Provost, with input and eventual approval from the BOT and support from Budget and Planning, develop strategic budget priorities for each fiscal year in accordance with the overarching themes of DU IMPACT 2025, ensuring the University adheres to its mission and priorities.

As evidenced by actual expenses, the budget allocates 38% for instruction, 3% for research, 3% for public service, 18% for academic support, 12% for student services, 16% for physical plant and 10% for auxiliary. With 71% of resources allocated to instruction, academic support, student services, and research, the institution clearly prioritizes the [mission](#) of the University [[FY19 IPEDS Report](#)].

As also discussed in 5.B, Budget and Planning is responsible for creating a [budget transmittal](#), which is presented to the BOT for approval and shared with the faculty and staff upon approval. This document contains data and narrative describing the development of the budget, factors shaping its development, the current university and higher education climate, and other budget-drivers considered in the recommendation of the budget. The transmittal also contains an overview of current DU IMPACT 2025 projects and costs. This narrative ensures that the institution is transparent about how its resources are allocated in alignment with its mission and priorities. Providing the community access to the budget transmittal is essential especially in years of significant change, such as those related to COVID-19.

Two significant drivers in the budget development process are enrollment projections and desired compensation increases. [Compensation and other labor-related issues](#) represent the largest single expenditure. In considering compensation increases, new positions, and equity issues, units are encouraged to consider overarching institutional priorities, including diversity and inclusion initiatives, technology infrastructure upgrades, communication and marketing initiatives, affordability and access plans through investment of quasi-endowed funds in the University's Consolidated Endowment Fund, sustainability initiatives, capital projects, employee compensation and equity adjustments, and employee wellness and healthy living initiatives.

As research is a key component of DU's mission, there are numerous sources of [internal funding](#) to support scholarship and creative activity. For example, the [Professional Research Opportunities for Faculty](#) (PROF) fund makes awards of up to \$20,000 for individual faculty members and up to \$45,000 for teams of investigators with the purpose of increasing external funding for scholarship and creative activity. The Faculty Research Fund (FRF) offers awards of up to \$3,000 to stimulate scholarship and creative activity by faculty. [Faculty Internationalization Grants](#) offer awards of up to \$8,000 to support international research endeavors. The [Public Good Fund for Faculty](#) has an annual pool of \$100,000 to promote public good research and outreach. The [Interdisciplinary Research Incubator for the Study of \(In\)Equality \(IRISE\) offers](#) awards of up to \$5,000 to facilitate interdisciplinary research, scholarship, and creative works that seek to deepen our understanding of inequalities. The [Knoebel Institute Research Pilot Proposals fund](#) has a total of \$250,000 to support pilot projects in research on aging. Many separate colleges have their own sources of funding to support scholarship. For example, the College of Arts, Humanities and Social Sciences (CAHSS) offers almost a dozen sources of funding for scholarship and creative activity, including the [Creative Arts Materials Fund \(CAMF\)](#), which awards up to \$5,000 to faculty members to offset the expense of arts materials.

The University also directly supports student research. The [Undergraduate Research Center](#) (URC) offers \$1,500 Partnership in Scholarship (PINS) awards to undergraduate students to work one-on-one with faculty members on collaboratively generated research projects. Additional URC grants allow students to travel to conferences to present their research and to engage in summer research projects. Individual academic units also encourage undergraduate students to participate in research. For example, CAHSS [awards undergraduate students grants](#) of up to \$3,400 for unpaid summer internships and up to \$1,250 for student research.

Two priority areas for increased funding that emerge from the strategic plan and continue to be prioritized within Chancellor Haefner's strategic imperatives are diversity, equity and inclusion and sustainability. In the last ten years, the university has elevated and created new positions, including but not limited to: Vice Chancellor for Diversity, Equity and Inclusion, Director of Inclusive Pedagogy in OTL, Senior Advisor to the Chancellor on Native Issues, and Director of College Access and Pipeline. DU has also created new offices, including but not limited to: Office of Diversity, Equity and Inclusion; Inclusive Pedagogy; and Equity Education. DU has also recruited a more diverse student body because of the increase in and focus of resource allocation [[Newsroom Story](#)].

The University has also made a significant investment in sustainability. In 2017, [the University and the BOT agreed](#) to establish a revolving "green fund" with an initial \$5 million to investigate new efforts related to sustainability in the operations of the University. In 2012, the University designated resources to create a [Center for Sustainability](#) and a full-time sustainability position

[\[Timeline\]](#). These resources have funded numerous sustainability initiatives across campus, including faculty research, curriculum development, implementation of sustainability best practices in operations, and support for student-led projects that advance DU's sustainability mission and goals [\[Sustainability Annual Report\]](#).

5.C.2. The institution links its processes for assessment of student learning, evaluation of operations, planning and budgeting.

The University links its assessment of student learning, evaluation of operations, planning and budgeting through policies, required procedures, and intentional support.

For the creation, review, and monitoring of academic programs and outcomes there are well-developed processes and procedures at the program, college, and university levels described in Criteria 3 and 4 that include budgetary and assessment information [\[New Program Proposal Proforma Analysis Spreadsheet\]](#).

Combining the review of assessment, resources, and program plan is key in the evaluation of the viability of a new academic program. Assessment and program plans are reviewed by the undergraduate and/or graduate councils. The resources and planning proforma are reviewed and approved by Planning and Budget and the Provost prior to implementation. The University is currently developing three distinct proforma processes for undergraduate, graduate, and online program offerings to distinguish the unique indirect costs of each type of program.

In addition to the in-depth work of the [program-level assessments](#) conducted by OTL, detailed in Criterion 4, there is a five-year financial and enrollment review of new programs [\[2018 and 2019\]](#). The report is shared with Deans, as well as FEAC and F&B. Programs that do not perform at the level expected are evaluated for adaptation or closure through discussion with the dean and faculty of the unit.

DU also links the evaluation of operations to planning and budgeting. For example, the units that report to the Vice Chancellor for Business and Financial Affairs complete an annual Balanced Scorecard/Enterprise Risk Management (BSC/ERM) report of metrics that focus on objectives in four areas: strategic goals, aligned with and supporting the University's mission and strategic plan; reliability of reporting; effective and efficient use of resources; and compliance with applicable laws and regulations. Two reports, [Physical Environment](#) and [Financial Environment](#), are provided to the Chancellor and the Provost.

The work of the Office of Business and Financial Affairs (BFA) has a direct relationship to how well the University accomplishes the goals of DU IMPACT 2025 [\[BFA connection of student experience\]](#). For example, the work of Student Financial Services (SFS) has a direct impact on a students' academic progress by making financial information accessible to students and their families [\[FY19 SFS Balanced Scorecard\]](#).

5.C.3. The planning process encompasses the institution as a whole and considers the perspectives of internal and external constituent groups.

The University's principle planning documents, DU IMPACT 2025 and the Denver Advantage Campus Framework Plan (CFP), were crafted with extensive input from both internal and external

constituencies. The academic and administrative unit plans were also crafted with extensive input from both internal and external constituencies.

The creation of DU IMPACT 2025 began in December 2014 when a [27-member advisory body](#) was convened and divided into three working groups and charged with consulting broadly within the DU and Denver community. From January to June 2015, the working groups engaged over 2,500 people - students, faculty, staff, alumni, and friends - as well as business and civic leaders, to learn how DU can best fulfill its mission. Over the summer, the working groups created a draft document based on hundreds of conversations, approximately 1,000 pages of notes, and research from around the country. In September, the working groups shared a draft proposal with the campus community, and over 1,600 people shared their feedback and helped refine the document. DU IMPACT 2025 was drafted in constant consultation with and approved by the BOT in January 2016 [[Timeline of process](#)].

The current DU IMPACT 2025 [Steering Committee](#) is composed of a diverse group of administrators, faculty, staff, and students. As of March 2020, there are over 30 administrators, 100 faculty, 75 staff and 10 students on the various sub-teams involved with developing recommendations for the focus areas and implementing DU IMPACT 2025 [[Teams List](#)]. In addition, internal and external partners relevant to the work are consulted on a regular basis [[DU Grand Challenges Program Formation](#)]. In the fall of 2019, Chancellor Haefner introduced five strategic imperatives after working with the BOT and senior leadership over the summer. Through the fall, winter and spring quarters, the Steering Committee helped refine these imperatives [[Charge to Committee](#)].

The [CFP had input and feedback from 1,000 participants](#) and incorporates the findings of an array of experts in sustainability, mobility, space analytics, graphic design, and real estate economics, as well as the needs and aspirations of our community. The CFP Advisory Council included faculty and staff from across campus, a Senior Aide to District 6 of the Denver City Council, and the Executive Director of the Latino Leadership Institute.

Within the academic units, external advisory boards provide guidance essential to maintaining relevance with industry experts. For example, the [Daniels College of Business \(DCB\) Executive Advisory Board](#) consists of a broad spectrum of industry leaders who provide input and support for the strategic activities of DCB; assist with recruitment of prospective students and career opportunities for alumni; act as a sounding board and serve as an ambassador for DCB; and share best practices and lessons learned from their collective experience. Many individual departments within DCB also host their own boards of advisors.

The Graduate School of Professional Psychology (GSPP) Board of Advisors was developed to support and advance the unit values, mission and goals through fundraising and community connections [[GSPP Strategic Plan](#)]. The Board consists of 12 to 21 members who are charged with serving as ambassadors, connectors, and donors to the school [[Board Packet](#), [2019-2020 Board Members](#)].

5.C.4. The institution plans on the basis of a sound understanding of its current capacity, including fluctuations in the institution's sources of revenue and enrollment.

The institution plans on the basis of a sound understanding of its current capacity, including fluctuations in the institution's sources of revenue and enrollment. One of the ways the University

does this is by long-range budget planning. Analysis and reporting of the University's financial operations is imperative to the successful oversight of the institution. With University operations driven largely by tuition revenues, this critical performance indicator is analyzed closely throughout the year. Business officers in each academic division develop a forecast four times each fiscal year to share with the Assistant Controller and Budget and Planning using MYFAB. The financial forecasts are submitted along with a narrative of the status of the division's enrollment, registration, tuition, and discount projections for undergraduate summer term and graduate programs [[FY20 GSSW Forecast](#), [CAHSS Forecast](#), and [NSM Forecast Narrative](#)].

Other important performance indicators of University operations are routinely reviewed by the Controller's Office, including cash flow, reserve balances, capital projects, and minor capital project spending and historical operating comparisons. The Controller's office also receives reports generated by other campus divisions. [Undergraduate](#) and [graduate](#) admission and enrollment reports, [student receivables and bad debt analysis](#), and [tuition forecasts](#) are key reports generated by SFS and are reviewed at the beginning of each academic quarter. These reports not only inform overall operations but also working capital cash flow.

The University also maintains connection to external sources of forecasting and trends, including the Higher Education Price Index and reports from groups like the Educational Advisory Board and the National Association for College and University Business Officers. When determining any changes to the cost of attendance at DU, senior leadership takes into consideration internal and external factors, some of which include: student enrollment, annual giving, inflation, employee merit increases, the rising cost of utilities, proposed minimum wage increases contemplated by the City and County of Denver, the addition of new buildings to campus, and affordable housing. DU utilizes metrics for budgeting and funding like the [Higher Education Price Index](#) (HEPI), which is a measure of the inflation rate applicable to United States higher education. For example, in October 2019, [DU announced a tuition increase](#) of 2.4%, which is below the HEPI rate of 2.6%.

As appropriate, the university adjusts its expense base up or down based on expected revenue. During the fiscal years 2014-2018, DU responded to the nation-wide decline in enrollment in law schools by obtaining the voluntary relinquishment of tenure by 10 faculty members, eliminating 10 staff positions, and reducing additional operating expense. Conversely, the Graduate School of Social Work (GSSW) is experiencing an increase in online student enrollment and the University is investing expense authority in that division to accommodate the growth. In FY14, GSSW had a total of 72 full-time faculty and staff positions and in FY20, they had a total of 114 full-time faculty and staff. In 2020, during the COVID-19 pandemic, the university lost revenue due to room and board refunds and other factors. In March, Chancellor Haefner instituted three expenditure guidelines that informed senior leadership decision-making until June 30, when the BOT could evaluate the broader financial picture more accurately: slowing down hiring, reducing spending, and postponing non-essential capital projects [[Email to Faculty and Staff](#)].

5.C.5. Institutional planning anticipates evolving external factors, such as technology advancements, demographic shifts, globalization, the economy and state support.

The precursor to DU IMPACT 2025, the 2013-2014 Strategic Issues Panel on Higher Education (SIP), examined the environment of higher education and considered a strategic framework that might be used to address the challenges facing colleges and universities. The SIP presented its findings in "[Unsettling Times: Higher Education in an Era of Change](#)." There were 21 members

of the panel composed of Trustees, administrators, faculty, and external community members including the Editor of the *Denver Post*, the President of the University of Northern Colorado, and the Director of the Colorado Forum.

The University continues to anticipate emerging factors, including demographics. In 2017, DU commissioned a strategic pricing and positioning study, utilizing the firm Art and Science. Throughout the fall quarter in 2019, Chancellor Haefner, interim Provost Lengsfeld and Vice Chancellor of Enrollment Rinehart visited academic and administrative units to present on trends facing higher education and DU specifically, including enrollment trends. This has helped the institution to focus and amplify work on strategic goals based on a sound understanding of both external factors and internal capacity.

As discussed in 5.C.2, the budget development process requires schools and colleges to submit a narrative that addresses emerging factors, providing an opportunity to express a variety of concerns that are often outside their control. Most take this opportunity to discuss technology needs, potential changes in student enrollments, and the need for program enhancements to improve curricula, student support programs, or compensation and equity issues [FY 21 [HRIC Budget Request](#), [UCOL Budget Request](#), and [GSPP Budget Request](#)].

DU realizes higher education is a technology-driven environment and therefore system enhancements/replacement are a constant focus. Whether it involves classroom delivery methods such as Zoom, Canvas, or 2U platforms, or new systems implemented for improving operations such as MYFAB, Kronos, and Concur, the University routinely invests in technology with an eye on continued instructional and operational efficiencies.

To address the needs of potential DU students and stay abreast of the national trend toward online education, University College launched DU's first online program in 1997. DU's presence in the online environment has grown substantially yet cautiously so as not to expand beyond its fiscal capacity. In 2017, DU partnered with 2U in launching two online programs [[Press Release](#)]. Three other programs have since been added. DU now has 20 degree programs that are entirely online. Eight additional degree programs have blended online and on-campus courses. In 2019, [DU IMPACT 2025 approved \\$900,000](#) to set up an internal [Online Program Manager](#) to support individual units in conceptualizing, testing, developing, and executing online programs, or in offering new online options for existing programs.

The University also adapts to the changing nature of relationships with other countries and continuously monitors external risk factors. Based on those factors, DU develops and implements strategies around risk assessment and management, providing confidence to travelers, including students, faculty, staff, and their families when traveling abroad for research, teaching, study abroad and other purposes [[Coronavirus Travel Policies, International Travel Risk Enterprise Management](#)].

5.C.6. The institution implements its plans to systematically improve its operations and student outcomes.

In order to implement DU IMPACT 2025, which was designed to improve operations and student outcomes, 10 [implementation teams](#) were created in April 2016. While the implementation structure has changed as initiatives have evolved, most implementation teams are led by an administrator and a faculty or staff member. These co-leads, in addition to key partners, form the

[DU IMPACT 2025 Steering Committee](#), whose role is to ensure the progress of the plan. In the fall of 2019, Interim Provost Lengsfeld doubled the size of the committee with the addition of people charged with the implementation of academic unit strategic plans [[Steering Committee Charge](#)] because of the need for additional shared knowledge.

Within each implementation team, co-leads created smaller working groups [[Internationalization Team](#)]. Working group formats differ, however, many of them meet bi-weekly or monthly to ensure continuous forward progress. Some of the working groups have become more permanent entities. For example, the Office of Career and Professional Development recognized the importance of faculty voices in planning and implementation. Therefore, an interdisciplinary working group evolved into the [Faculty Council on Undergraduate Professional Development](#), a permanent body.

In order to implement the goals outlined in DU IMPACT 2025 and academic unit strategic plans, faculty, staff, and students are eligible to apply for funding through DU IMPACT 2025. Proposals must include an evaluation plan upon submission and are required to submit progress reports annually [[Evaluation Plan Template, End of Year Evaluation Process](#)]. This has allowed the University to utilize data on the impact of the programs for future funding decisions. For example, after reviewing the evaluation report for the National Center for Faculty Development and Diversity membership, the Chancellor and Senior Vice Chancellors decided to fund it for another two years as a pilot [[NCFDD Evaluation Report](#)]. As another example, after reviewing the Public Impact Fellows evaluation report, the Chancellor and Senior Vice Chancellors agreed to add the budget request to that department's request for base budget funding [[PIF Evaluation Report](#)]. This funding has allowed the University to improve our operations, often in ways that were not anticipated. For example, the [Knowledge Bridges Incubator](#) demonstrated the power of institutional incentives. In spring 2018, the university issued [an RFP](#) to faculty members offering up to \$300,000 for three years in funding for one or two interdisciplinary research ideas. The Provost's office received 23 proposals that included almost every faculty member on campus. This process resulted in otherwise unexpected and productive collaborations. The two winning proposals were supposed to be announced in early spring 2020, but with the Coronavirus pandemic, this funding was put on hold until a clearer financial picture is available.

It is essential that throughout implementation of the strategic plan, the campus is informed of progress. To that end, progress reports are disseminated on a regular basis by updating the website and by sending a quarterly e-newsletter [[Spring Quarter 2018, Fall Quarter 2019](#)] to all faculty, staff, and students. In addition, there have been several larger reports sent by hardcopy and electronically to pilot various methods of communication [[Fall 2018 DU IMPACT 2025 Letter](#)]. These updates are also regularly shared with other University constituents, such as the BOT and alumni. In addition, a snapshot of the University's accomplishments is provided each year in the Chancellor's Annual Report [[2019 Annual Report](#)].

Academic unit plans detail how they will systemically work to improve operations and student outcomes. For example, as a part of the College of Natural Sciences and Mathematics strategic plan, the college aims to build pathways that ensure equitable access to high-quality science and math education. As a part of this initiative, they are establishing new Academic Excellence

Workshops, adopted from a model used successfully in the E-STEM program [[NSM Strategic Plan](#)].

As a part of implementation, it has also become essential to measure success and document evidence of impact on operational and student outcomes. While we do so on a programmatic level through the funding process, the University also commits to assessing its performance in other ways. As described in 4.B.2, the University assesses student learning and the achievement of learning goals. As described in 3.C.3, the University evaluates faculty members' performance in all areas of their job responsibilities. As described in 4.C.2, the University collects data on student retention, persistence, and completion of its programs. And as described in 4.A.1, the University conducts regular program reviews.