

# Working Group 6 Report Template

## Standard VI: Planning, Resources, and Institutional Improvement

1. **Overview of Working Group's Charge:** This group is responsible for fulfilling all aspects of the general Working Group charge with respect to **STANDARD VI: Planning, Resources, and Institutional Improvement** and will do the following:
  - a. Determine to what extent CU (Commonwealth University) meets Standard VI and its Criteria, Requirements of Affiliation #8, #10, and #11, and Accreditation-relevant federal regulations for Verification of Compliance.
  - b. Consider how Institutional Priorities #1, #2, and #3, and Intended Outcomes #1, #2, #3, and #4 are addressed in Standard VI.
  - c. Collect and examine relevant data, policies, processes, and procedures for Standard VI.
  - d. Identify the University's strengths, challenges, and opportunities for improvement for Standard VI, recommend strategies for improvement, and implement strategies where feasible.
  - e. Develop draft reports and incorporate feedback into a final report for Standard VI according to established timelines.
2. **Description of Lines of Inquiry** This group pursued the following lines of inquiry to determine to what extent CU meets the Standard and Criteria:
  - a. To what extent are institutional objectives stated clearly, assessed appropriately, linked to mission and goal achievement, reflect conclusions drawn from assessment results, and used for planning and resource allocation?
  - b. To what degree does the evidence support the assertion that planning and improvement processes are clearly documented and communicated?
  - c. What does the evidence reveal about constituent participation and use of assessment results in planning and improvement processes?
  - d. To what extent is the financial planning and budgeting process aligned with the institution's mission, goals, and strategic plans/objectives?
  - e. How does the evidence support the premise that the University's financial, human, physical, and technological resources adequately support its operations?
  - f. Are decision-making processes well-defined with clear assignment of responsibility and accountability?
  - g. What evidence shows that the University engages in comprehensive planning for facilities, infrastructure, and technology linked to the institution's strategic and financial planning processes?
  - h. Is an annual independent audit conducted that confirms financial viability with evidence of follow-up on any concerns cited in the audit's accompanying management letter?
  - i. To what extent do strategies measure and assess the adequacy and efficient utilization of institutional resources required to support the institution's mission and goals?
  - j. What does the evidence reveal about the University's periodic assessment of the effectiveness of planning, resource allocation, institutional renewal processes, and availability of resources?

### 3. **Collaboration with the Working Groups**

Collaborations exist with Collaborations included Working Groups 1-7, Academic Affairs, Enrollment Management, Student Success and Campus Life, University Advancement,

University Affairs, Institutional Effectiveness, Facilities Management, Fiscal Affairs, Human Resources, Information Technology.

#### 4. Assessment Information Utilized to Evaluate the Lines of Inquiry

Evidence included but is not limited to Mission and Goals, Strategic Plan, Divisional and Unit Assessments, Audited Financial Statements, Master Plans, Board Minutes, Organizational Charts, Position Descriptions, Employee Handbook, Enrollment Management Plan, Key Performance Indicators and Dashboard, Institutional Research and Program Review Dashboards, Comprehensive Planning Process (CPP) Narrative and Workbook.

#### 5. Analytical Report

### STANDARD VI

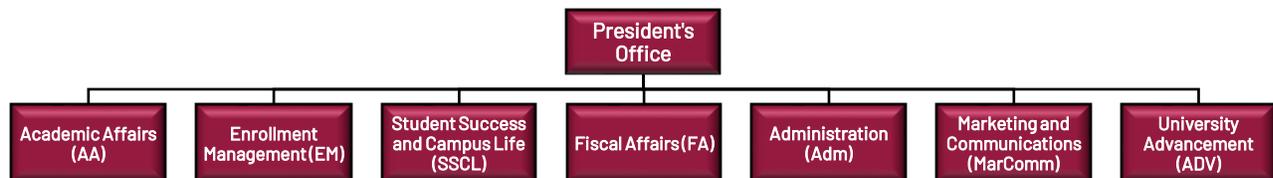
*The institution's planning processes, resources, and structures are aligned with each other and are sufficient to fulfill its mission and goals, to continuously assess and improve its programs and services, and to respond effectively to opportunities and challenges.*

### INTRODUCTION

Commonwealth University (CU or the University) has established integrated processes, resources, and structures to fulfill its mission, priorities, and goals. These processes and plans exist at Pennsylvania's State System of Higher Education (the State System), University, and divisional/unit levels and align with each other. Provisions ensure decisions are well informed and allow for emergent strategies. Two comprehensive reviews commissioned by the Board of Governors (BOG) and the Pennsylvania General Assembly established a foundation for a System Redesign, which influences all State System universities' top-level goal setting, financial planning, and budgeting as described in this chapter. At the institutional, divisional, and unit levels, the planning, resource allocation, and assessment processes provide for the integration of System Redesign and ongoing assessment into actions that continuously improve all aspects of the University.

The organizational structure includes the President's Office and seven divisions organized around key functional areas in higher education. Figure 6.1 shows the high-level structure with each functional division led by a vice president.

**Figure 6.1: High-Level Organizational Structure**



Within this basic structure, the President's Office encompasses the functions of institutional effectiveness, facilities management, and executive administrative support. Leadership within the President's Office and divisional vice presidents, a collective known as the President's Cabinet, remain accountable for planning, assessment, process improvement, and resource allocation for the implementation of institutional, divisional, and unit action plans.

## **INSTITUTIONAL OBJECTIVES (CRITERION 1)**

***Institutional objectives, both institution wide and for individual units, are clearly stated, assessed appropriately, linked to mission and goal achievement, reflect conclusions drawn from assessment results, and are used for planning and resource allocation.***

### **Institutional Priorities and Goals Linked to Mission and Assessed**

CU's mission, vision, values, priorities, and initiatives are clearly stated and posted on the website. In developing these statements, CU and Blue Beyond Consulting gathered stakeholder input, reviewed periodic system- and university-level assessments, and accessed extensive research conducted for the northeast implementation plan for integration. The strategic statements, core commitments, priorities, and goals draw upon the system- and university-level research ensuring alignment between state and local levels. CU's Institutional Effectiveness Plan summarizes the key planning, resource allocation, assessment, and continuous improvement processes at all levels, ensuring that both institutional and unit goals are stated, aligned, assessed, and guide continuous improvement.

The Institutional Effectiveness Plan includes the information in Standard I, Table 1.1, which shows how CU's priorities and goals, Comprehensive Planning Process (CPP) goals and associated board-affirmed metrics, 2025 State System Priorities, and MSCHE Standards align with each other. Complementary to the Strategic Plan, the CPP serves as a System and university planning toolset, capturing university goals in areas that the BOG has prioritized. The CPP also includes strategies for measuring and achieving those goals through board-affirmed metrics, program array, net price strategies, and budget and financial strategies.

Periodic assessment of institutional and unit goal achievement ensues through the CPP, institutional dashboards, surveys, and interim and year-end annual reporting. As noted previously, the CPP uses board-affirmed metrics and three university goals related to sustainability and linked to university and System priorities, creating a cohesive foundation to support informed, transparent decision making about key budgetary levers (e.g., pricing and institutional aid). Multi-year targets are established for student success (i.e., enrollment and student outcomes) and university success (i.e., student support ratios, university financial strength, student affordability, and private giving). CPP goals for academic program array, enrollment growth, and staffing levels support achieving these sustainability metrics, many of which also serve as key performance indicators (KPIs). The September and May CPP submissions provide an opportunity to reflect on results, refine goal setting, and consider adjustments to CU's strategic initiatives and multi-year projections.

Numerous dashboards are available on the IR web page and updated in real time once data becomes available for given measures (e.g., on fall freeze date for enrollment and retention). In particular, a high-level dashboard was developed with tabs for the 22 KPIs and the Strategic Plan selected metrics used to demonstrate progress in achieving institutional priorities and goals. Institutional survey results are also published on the survey web page. The President's Cabinet reviews the dashboards at least quarterly and survey results when available and reports results to key stakeholders at university forums. These checkpoints offer opportunities to determine if interim adjustments to plans, measures, and targets should be made. Year-end reports for all administrative units and academic programs are used to determine divisional and unit progress toward supporting Strategic Plan priorities, initiatives, and operational targets. Based on these annual reports, the CU Assessment Council and its subcommittees prepare assessment summaries and recommend to the Strategic Planning Committee and President's Cabinet actions that may lead to continuous improvement or necessitate change to the Strategic Plan.

The Institutional Effectiveness Plan also describes how planning and resource allocation are aligned to ensure adequate resources support strategic priorities. The budgeting process occurs within the context of the State System’s CPP planning and budgeting guidelines and directives. The CPP contains detailed revenue and expense projections for E&G, auxiliary, and restricted funds. The operating projections included in the CPP are based on the University’s annual budgeting process, and divisions must align funding requests above base operational allocations to CU’s strategic initiatives as described in Criterion 3.

## Unit-level Goals and Initiatives Linked and Assessed

The strategic priority areas and institutional goals (including CPP goals) inform planning at all levels in the organization. Divisions and units articulate goals, initiatives, measures, and targets in the planning and assessment platform, Nuventive Solutions Premier. The mapping feature allows each unit to align institutional to unit goals, and the reporting tools generate an audit to ensure all priorities/initiatives are adequately supported. For example, the initial mapping report revealed that the financial literacy initiative could be supported better, which generated conversations within Enrollment Management EM and across divisions. Nuventive also provides a central location to report divisional and unit assessment results and action plans at year end. After which, IE reviews the plans, provides a rubric rating, and offers feedback. The units use this feedback alongside of assessment results to inform next year’s planning as described in Criteria 8&9. [ PROVIDE A UNIT PLAN EXAMPLE FROM 2023-24]

Table 6.1 features sampling of data-driven divisional or in some cases, multi-divisional strategies that were planned and implemented to support SP core commitments and priorities.

<b>Table 6.1: Data-Driven Strategic Plan Strategies</b>			
<b>SP Core Commitment or Priority</b>	<b>Division</b>	<b>Strategy</b>	<b>Data Source</b>
<b>Academic Excellence, University Success</b>	AA, FA	Implement advanced technology classrooms, (weConnect-5, Innovative Zoom-50, Standard Zoom-11), funded by through a PASSHE provided integration budget; Lifecycle technology policy has been implemented and funded; IT Subcommittee; Modification of building locations to create space for Nursing Program; Advancement team secured funding for Nursing & Radio Programs; Expansion of BS and MS Programs; Larger and additional laboratory space identified i.e. Digital Forensics (Data Source – periodic meetings with a Dean). TFH – community impact – identify additional funding through RACP grant program;	Information Technology Plan
<b>Student Success, University Success</b>	EM, ADV, FA	Renew merit- and need-based aid strategy to increase enrollment and retention leveraging institutional and foundation funds	RNL Studies, CPP, Institutional Data
<b>Academic Excellence, University Success</b>	ALL	Roll out three fundraising campaigns, one for each campus, to raise a combined \$130M linked to Strategic Plan priorities for all divisions. BL’s Campaign launched Fall 2024 with notable gifts of \$5M for an honors college and \$5M for nursing education benefiting students at all campuses	Case Statements, Feasibility Study, Matching Donor Interest with priorities
<b>Welcoming and Inclusive Community, University Success, Student Success</b>	ALL	Allocate over \$300,000 of PASSHE funding through mini-grants to fund proposals that support DEI recruitment and retention initiatives	Climate Survey, Institutional Data

## **CONSULTATIVE PLANNING AND IMPROVEMENT PROCESSES (CRITERION 2)**

***Clearly documented and communicated planning and improvement processes that provide for constituent participation, and incorporate the use of assessment results***

CU established planning and improvement processes and structures which are documented and communicated on Institutional Effectiveness web pages for planning, assessment, and program review. Included on the website, the Institutional Effectiveness Plan describes the integrated planning, resource allocation, assessment, and improvement processes that involve constituent participation. University forums, workshops, and emails also provide updates and guidance on processes and progress.

Key institutional planning processes use leadership and divisional team retreats, university forums, representative committees, task forces, and working groups to provide opportunities for input from stakeholders across the university. As noted in Standard 1, Blue Beyond Consulting led the university in a two-phase, consultative process to co-create and align a shared mission, vision, and values (phase 1) and Strategic Plan (phase 2). Following comprehensive engagement strategies (e.g., workshops, interviews, focus groups, surveys, and campus visits), deliberation by a representative Strategic Planning Committee, and myriad opportunities to vet draft documents with key stakeholders, the COT endorsed the strategic statements in 2022 and the Strategic Plan in 2023. The Strategic Planning Committee charge transitioned from plan development to oversight to ensure a representative body remains engaged in overseeing and recommending changes during the life of the Strategic Plan.

During the past two years, legacy and current shared-governance and committee structures also afforded key stakeholders participation in planning and improvement processes. Town halls, council meetings (with groups for deans, department chairs, and leadership team members), and M&D forums alongside the representative university Senate, campus assemblies, and subcommittees involved key stakeholders by sharing information and soliciting insights. Prior to COT endorsement, the Strategic Plan was presented at each Local Assembly and then Senate per its bylaws. The Senate and its subcommittees are also instrumental in data-informed policy development and revision as described in Standard 7.

The divisional and unit planning processes for setting goals, measures, targets, and initiatives at each level include participation as well. Vice presidents engage with their leadership teams in retreats and meetings, and departmental/unit leaders conduct unit planning. Input from these planning processes identifies gaps and refinements in the Strategic Plan, resource plans, and unit plans, thereby providing both a top-down and bottom-up planning approach to arrive at final plans for process improvements that drive resource allocations.

While assessment data is reviewed throughout the year and emergent strategies occur, leadership and divisional team members engage in discussions that inform year-end assessment reporting for both academic programs and administrative units. Resulting from research of Assessment and Accreditation FIT subgroup, CU modified and adopted BL's systematic Program Assessment Review (PAR) process for academic program annual assessment reporting. Administrative, Educational, and Student Support programs follow the systematic process adapted from LH's unit reporting in Nuventive. User guides, web resources, training, and dedicated IE staff are available to engage assessment coordinators and points of contact across CU. Year-end assessment results are entered into Nuventive, and CU's platform requires action plans informed by those results. After plans are submitted, the IE staff use a rubric to evaluate the plans and offer feedback toward improving the assessment process. The feedback includes comment on how well action plans incorporate assessment results toward

continuous improvement. These rubric ratings and qualitative feedback are shared with assessment coordinators, points of contact, deans, vice presidents, and in aggregate, with assessment committees.

The CU Assessment Council includes representatives from academic, administrative, educational, and student support units to oversee, review, and reinforce assessment processes. Developed by an Assessment and Accreditation FIT subgroup, the proposed assessment structure and roles support the University-wide council with three separate committees, college assessment coordinators, department/program coordinators, administrative points of contact, a faculty liaison, and IE staff. These bodies are responsible for assessment and continuous improvement. Ultimately, the CU Assessment Council forwards recommendations to the Strategic Planning Committee and President's Cabinet.

## **FINANCIAL PLANNING AND BUDGETING PROCESS (CRITERION 3)**

*A financial planning and budgeting process that is aligned with the institution's mission and goals, evidence-based, and clearly link to the institution's and unit's strategic plan/objectives.*

### **Overview of the Budgeting Process**

Under the direction Fiscal Affairs VP, the Director of Budget leads the budget office and oversees the financial planning and budgeting. The university finance committee reviews the university budget and finances in general and provides feedback to fiscal affairs. The budgeting process occurs within the context of State System planning and budgeting guidelines and directives, comprising the CPP. The CPP was implemented in September 2020 as a key component of the System Redesign. The CPP is an integrated multi-year approach that consolidates and automates data reporting by streamlining and replacing multiple existing reports into a single Excel workbook and narrative document that includes a budget report, sustainability plan, board-approved metrics, academic program planning, goals, targets, and strategies.

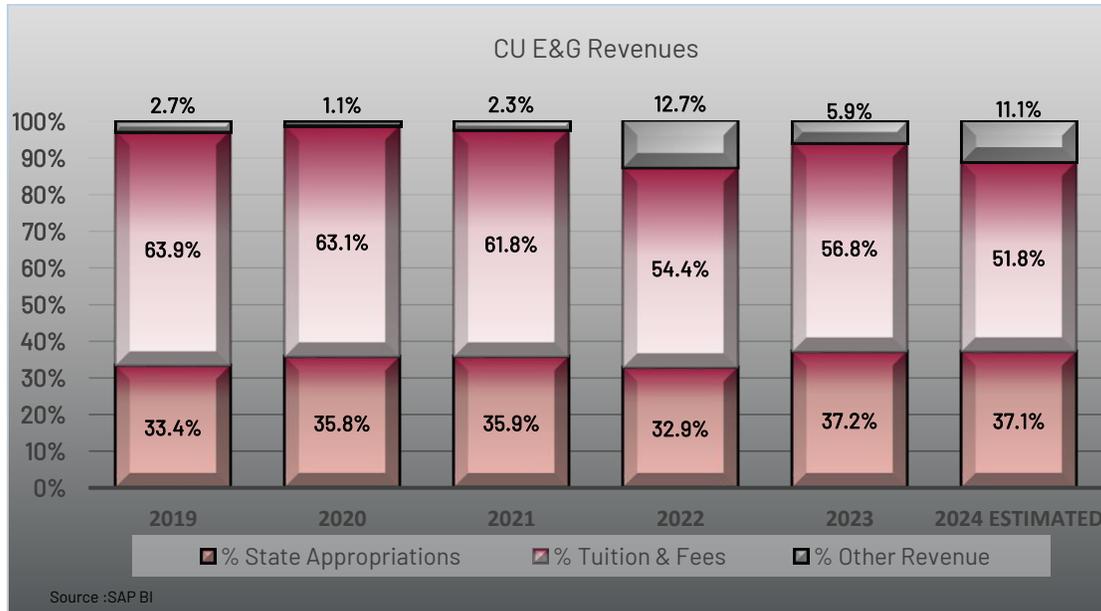
The CPP financial templates contain detailed revenue and expense projections for E&G, auxiliary, and restricted funds, along with supporting enrollment and workforce projections, key assumptions, and the Board-affirmed student success and university success metrics as critical performance measures. Both the University COT and State System BOG review and approve the CPP.

The operating projections included in the CPP are based on the University's annual budgeting process which begins in January. The President announces the total discretionary operating budget to be allocated to the University's divisions. Budget templates are distributed to divisional vice presidents and their fiscal points of contact (PoCs) for completion. The budget office meets with PoCs throughout the budget process as they develop budgets based on the University's Strategic Plan and objectives. The budget templates are submitted to the budget office by April 1 followed by budget meetings with the President, divisions, and the budget office through mid-April to determine if additional operational funding is needed to align with operational needs and Strategic Plan initiatives before finalizing the budget. Divisions must link additional funding requests to CU's Strategic Plan priorities and initiatives. These budget allocations roll up into the University's CPP that is due mid-May. Budgets are loaded in SAP by June 30 and available for personnel and operational spending on July 1.

As shown in Figure 6.2, the main funding sources are tuition/fee revenue and annual state appropriations from the Commonwealth as allocated by the State System. Revenue projections included in the CPP are determined in the spring of each year as the enrollment outlook for the

year becomes clearer. A well-established and regularly evaluated enrollment projection tool is used to forecast future enrollment levels using historical retention rates, projected CU graduating students and targeted new first-time and transfer students, with appropriate adjustments made as definitive fall registration data becomes available. The System's Budget Office provides multi-year estimates of appropriation funding levels and tuition rates, as they are set by the BOG. Projections of other student fee rates are provided in accordance with COT decisions. Thus, reliable revenue projections flow from combining the enrollment projections with established tuition and fee rates and estimated state appropriations.

**Figure 6.2: E&G Revenues**



Tuition rates for in-state students are set by the BOG at their April meeting; in addition to a firm rate for the next academic year, they determine provisional rates for the following year to support multi-year planning. Student fees – E&G, room, and board – are set by the COT by February of each year. They also determine a provisional rate for the second year out as well as set firm rates for the upcoming year. Thus, reliable revenue projections can be made by combining the enrollment projections with established tuition and fee rates and a solid estimate of state appropriations.

On the expense side of the budget, the following well-established processes are in place for all elements of cost:

- Personnel costs (which account for about 70% of the total) are projected using the Personnel Budgeting Module (PBM) of the SAP system which contains salary and benefit detail information for all existing personnel; compensation provisions of collective bargaining agreements (CBAs), which cover about 87% of employees; and current and projected costs of each component of fringe benefits and payroll taxes. PBM also projects the cost of vacant positions and pool lines for items such as seasonal hires, temporary faculty lines, summer session contracts, and overload/overtime. The majority of personnel complement positions remains stable from year to year with changes determined through the annual report process which includes requests and justification by academic departments for additional faculty lines.

- Institutional student aid is estimated by EM based on projected yield and retention rates for students who have been offered merit- or need-based aid.
- In consultation with executive staff, the President determines operating and student employment budgets based on the preliminary enrollment and financial outlook for the upcoming year. Top-down totals are distributed within each division using the aforesaid divisional planning and assessment process that employs an incremental budgeting approach, adjusting unit allocations based on priorities and data-driven actions that support the mission and Strategic Plan
- Facilities and technology expenditures are estimated using the processes discussed under Criterion 6.
- Utility costs are based on historical consumption levels and incorporate rates built into multi-year contracts for electricity and natural gas.
- Charges for centrally managed services are set forth in Consolidated University Operations budgets prepared by the OOC; reviewed by the Council of University F&A VPs; and approved by the Executive Leadership Group comprised of the university presidents.

## **Linkage Between Planning and Resource Allocation**

The University budget reflects the planning and resource allocation decisions that are made as part of the planning process described under Criterion 1. For example,

- Changes to personnel lines (e.g., new lines, changes to temporary lines, alternate workload and overload assignments) that are identified during the annual report review process are included in the PBM functional reporting.
- Aligned with institutional goals, specific initiatives undertaken to support departmental goals are funded in various fund centers (e.g., technology fee, academic equipment, non-discretionary accounts, department operating budgets) and included in the CPP submission.
- Institutional student aid is included in the CPP based on decisions made during the planning process on changes to merit- and need-based programs.

Several sub-processes focus on key areas that are critical to the University mission (e.g., academic program and student support services planning) and encompass the major components of resource allocation (e.g., personnel, facilities, and technology). Linkage to University SP and unit objectives is embedded into the University, divisional, and unit planning processes described under Criterion 1 and is a prerequisite to resource allocation. The results of institutional planning are compiled in the Strategic Plan, divisional and unit planning, and in the CPP, which provides financial projections covering these plans for the current and upcoming fiscal years.

## **Capital Budgeting**

Capital projects appropriations and annual Key '93 allocations, (established by Act 50 of 1993, Keystone Recreation, Park and Conservation Fund Act for deferred maintenance), from the Commonwealth represent a significant source of funding for E&G facilities renewal and repair projects. Following BOG Policy 2000-02-A: Capital Facilities Planning, Programming and Funding, State System universities submit a capital spending plan to vie for a portion of the roughly \$70 million in annual capital funding. Funding allocations are based upon factors like the University's project priorities, academic benefit, aligning space with enrollment and sustainability, cost savings, and the deferred maintenance backlog. A capital project justification for each proposed project outlines the need for it and linkage to the Strategic Plan. The Space and Facilities subcommittee reviews the capital project list in the fall semester which is

presented at the March COT meeting for review and approval. The plan is then submitted to the OOC and used to prepare the five-year system-wide capital plan. Recommendations from past campus Facilities Master Plans are being combined with the developing space needs alignment analysis based on projected student enrollment counts to adjust/re-direct approved capital work/funds to better meet the CU operational and programmatic needs within the reality of the current/projected student enrollment counts and academic needs. Some current capital project work impacted by this realignment process include:

- BL's McCormick building renovation (\$20MM), under construction with completion in summer 2025 to increase nursing student capacity
- LH's Robinson Learning Center and Stevenson Library renovations (\$17MM and \$22MM respectively), redirecting design development to upgrade current space while demolishing inadequate older space/buildings
- MA utilities infrastructure upgrade (\$24MM), upgrading failed portions; eliminating portions to targeted demolition buildings; and expanding IT network distribution/capacity

Key '93 funds, derived from a portion of PA real estate transfer taxes/fees, has provided approximately \$11M during the current and past two fiscal years. While annual amounts vary with the real estate market, the annual amount has typically ranged from \$2-4M. These funds are directly applied to campus deferred needs. Deferred maintenance refers to necessary maintenance, repairs and upgrades or replacements that are put on hold until some time in the future. Maintenance and repairs may be postponed for a number of reasons, but most common cause is the lack of necessary funds needed to complete a project. Maintenance can also be deferred due to lack of manpower, available resources, and many other reasons. In order to address these needs, prioritization, available funding, and access to location is used to complete the work.

## **ADEQUATE RESOURCES (CRITERION 4)**

***Fiscal and human resources as well as the physical and technical infrastructures adequate to support the institution's operations wherever and however programs are delivered.***

As articulated in the BOG Policy 2019-01: University Financial Sustainability, the State System "has established annual reporting mechanisms that allow all stakeholders to have greater awareness of each university's academic, financial, and operational conditions. These tools (e.g., financial risk assessment, university financial statements, and CPP) provide data for each university at the local and system levels." This policy is intended to ensure the long-term financial sustainability of each university, which is critical for the long-term financial wellbeing of the System.

The associated PASSHE Procedure/Standard 2019-40-A: University Financial Sustainability identifies four financial indicators that are measured annually, including performance expectations based on NACUBO standards by which to address deficient performance. These indicators, annualized FTE enrollment, operating margin, primary reserve ratio, and minimum reserves, focus on adequacy of resources and management thereof.

**Table 6.2: Commonwealth University Unrestricted Financial Projections**

Projections as of September 15, 2023

*Dollars in Millions*

Unrestricted Budget Projections <i>as of September 15, 2023</i>	FY 2022-23	FY 2023-24	% Change from Prior Year	FY 2024-25	% Change from Prior Year	FY 2025-26	% Change from Prior Year
<b>Total Unrestricted (E&amp;G and Auxiliary) Budget</b>							
<b>Total Revenues</b>	\$297.0	\$302.6	1.9%	\$303.1	0.2%	\$306.8	1.2%
<b>Total Expenditures and Transfers to Plant/Other Funds</b>	\$304.2	\$310.2	2.0%	\$309.8	-0.1%	\$317.8	2.6%
<b>Revenues Less Expenditures/Transfers to Plant Funds</b>	(7.3)	(7.6)		(6.7)		(11.0)	
<b>Surplus/(Deficit)—Excludes Transfers to Plant/Other Funds</b>	(4.5)	(6.5)		(3.8)		(7.5)	
<b>Total Estimated Unrestricted Net Assets</b>	\$101.0	\$95.1	-5.9%	\$88.9	-6.4%	\$78.3	-11.9%
<b>Total Estimated End of Year Cash Balance</b>	\$122.6	\$116.6	-4.9%	\$110.5	-5.2%	\$99.9	-9.6%

Source: CO-CPP Fall Update-24

CU's FY 2022-23 metrics were mixed, with the viability ratio meeting the target level and cash balances just under target levels showing evidence of the University's good reserve levels. However, continued declining enrollment trends that resulted in negative operating margins indicated signs of financial stress. In Table 6.2, financial data shows the University's available net assets are substantial in relation to annual expenditures and debt levels, providing evidence that financial sustainability is not threatened in the short- to medium-term.

Stabilizing enrollment levels is essential to ensuring the University's long-term financial sustainability, and CU implemented actions to achieve that end. Enrollment levels have been adversely affected by well-documented declining demographic trends leading to fewer traditional-age students, increasingly intense competition among all higher education sectors, and challenges associated with integrating three universities. In assessing causes of the enrollment decline, it became clear that CU needed to expand its use of institutional student aid to effectively recruit prospective students and retain current students. The University enlisted Ruffalo, Noel, Levitz (RNL), a consulting firm specializing in using technology-enabled solutions and services for enrollment, student success, and fundraising. Aid programs were largely expanded in 2023-24, and RNL helped implement a more sophisticated approach to leveraging aid for the Fall 2023 cohort. In addition to expanding institutional aid, multiple other measures address enrollment concerns such as altering program array to meet occupational demand and attract students, implementing recruitment initiatives recommended by RNL, and enhancing retention initiatives. CU is developing pathways and improving/expanding student support services to increase persistence and reduce the time and cost to degree, which should reduce the total cost to the student and improve enrollment, retention, completions, and graduation rates. Discussed in Standard IV, early results from these initiatives are encouraging, with 2023-24 enrollment levels stable based on an increase in new students and improvements in CU's overall retention-to-second-year rates with Fall 2020 and 2021 cohorts at 73.3% increasing to 74.8% for the Fall 2022 cohort.

Essential to the financial health of all public universities is stable, reliable state appropriations. CU received approximately \$84.6 million (or 15%) of the System's \$552.5 million state appropriation, comprising almost 37% of the University's E&G revenue as discussed in Criterion 3. The FY 2022-23 System's appropriation from the Commonwealth of Pennsylvania included an unprecedented 15% increase, demonstrating a renewed partnership between the State System and the state. This historic increase in state funding allowed the State System to hold tuition flat for the sixth consecutive year.

Effective July 1, 2022, the BOG approved revisions to BOG Policy 1984-06-A: Allocation Formula. The updated formula distributes state appropriations to the universities based on two components: core operations and enrollment. The core operations portion provides funding to cover expenses associated with running a university with single and/or multiple campuses, regardless of the number of students, as well as differentiation by mission and integration status. The remainder of the formula (i.e., 75%) is enrollment driven, recognizing the State System's mission to support all students, undergraduate and graduate, in-state and out-of-state. The enrollment component also layers additional funding, in an additive manner, to support student success around several categories: URM students, Pell-eligible students, progress toward degree, and program level. It is anticipated that this appropriation allocation formula will be more stable than has been experienced in recent years. The implementation of the new formula, combined with the System's state funding increase, resulted in allocating CU \$2.5 million more in FY 2022-23 state appropriations than originally budgeted and 4.5% in 2023-24.

In addition to receiving the largest single-year increase in state general fund appropriations, the state's FY 2022-23 budget also provided \$125 million in one-time American Rescue Plan Act funding to the State System in support of System Redesign. To date, \$17.1 million of these one-time resources have been awarded to CU for integration activities completion and implementation of its strategic priorities that align with the System's priorities. In addition, CU continues to expend previously designated one-time funds from the System in support of integration actions; these funds and associated costs are excluded from the CPP projections.

Similarly, CU continues to seek out new funding sources to include matching state grants for capital projects (see Facilities Planning section), pursuing other grants and sponsored activities, and partnering with campus foundations and other affiliated organizations. These actions help to meet multi-year fundraising goals with the launch of a comprehensive capital campaign.

These combined efforts are anticipated to increase revenue and eliminate the University's reliance on UNA by FY 2026-27, while still maintaining a reasonable level of reserves and cash and generating a positive operating margin. The strategic use of these one-time resources to invest in CU priorities in the short term should result in long-term financial sustainability.

## **Personnel**

CU maintains a complement plan with faculty and staff positions approved under the current budget. The plan lists all labor costs (e.g., salary and benefits), permanency of position (e.g., temporary or permanent), position classification level, union affiliation, and assigned full-time equivalency (FTE). The plan is the basis for calculating the student/faculty and student/staff ratio performance indicators. State System benchmarks for student/faculty and student/non-faculty ratios indicate that the University maintains more than adequate faculty and staff. The University's metrics indicate that both faculty (16.6 versus 17.3 State System average) and non-faculty (13.0 versus 15.7 State System average) staffing levels fell below system averages when measured on a per student FTE basis (CCP Plan Projections Workbook, 2020-21 data). Aligning the University complement with enrollment trends and State System benchmarks remains a primary CPP goal. The CPP narrative describes how CU plans to adjust resources

and processes to stabilize CU and ensure financial sustainability. Strategies include reducing the workforce complement through an internal “need” review process and streamlining processes and services as efficiencies are realized through integration. Since June 2022, CU reduced faculty and staff by X FTE and plans additional reduction of XX FTE by XX (to be completed after May CPP). When a need to hire is identified by the divisional vice president, each vacancy is evaluated by the President and associated divisional vice president for need and/or re-purposing to meet critical staffing needs and financial sustainability goals. Over the last year, comprehensive reviews of the University organizational structure and personnel lines have led to strategic changes that support institutional priorities and elevate efficiency and effectiveness.

## Private Giving

Private support serves as a catalyst for improvement and innovation for CU’s engagement, programmatic, infrastructure, recruitment, and retention initiatives. CU has planned a comprehensive campaign with launch events at the BL campus in 2024, LH campus in 2025, and MA campus in 2026 for a combined CU campaign working goal of \$130M. Campaign priorities benefit individual campuses and CU overall. In addition to generating significant strategic resources, the campaign messaging and shared theme will educate alumni and friends from all campuses on the value of CU and increased benefits to our students.

The first year of integration, e.g., 2022-23, positioned CU well for the planned campaigns. All three campuses met or exceeded their fundraising goals, and notably, LH doubled their giving total from FY2021-22 with nearly \$3M raised in 2022-23. In year two (2023-24), CU and its affiliates will receive a projected \$24M in collective donor commitments, compared to \$10M in FY2022-23, a 100% plus increase as BL exceeds \$20M in commitments, a record-breaking year. LH will significantly increase commitments for the second straight year and launch a wrestling campaign while MA stands up a campus-specific new foundation to increase alumni giving. Markedly, CU received two \$5M gifts to name the *CU School of Nursing* and the *CU Honors College*. The resources from both gifts benefit all CU campuses and students.

Facilities Management will assist with managing the Redevelopment Assistance Capital Program (RACP) grant. This funding stream can be used for the design, acquisition, and construction of a regional economic, cultural, civic, recreational, and historic improvement project and generate substantial increases or maintain current levels of employment, tax revenues, or other measures of economic activity. Currently, RACP grant requests totaling \$4M have been submitted for the redevelopment of MA’s North Hall and LH’s Thomas Field House. These projects have multiple phases. Phase 1 of North Hall and Thomas Field House totals \$9,235,100 in renovation and construction.

Advancement seeks to operate with a cost effective, streamlined approach to administrative services. Most back-office services for all three campuses will be provided by one foundation. This structure across the campuses reduces cost, increases efficiency, and elevates productivity. Implementing this new structure fulfills a long-range plan for the campus foundations to use the same systems, processes, procedures, and vendors.

## Physical Assets

A space needs analysis for each campus was conducted using the established PASSHE space to student enrollment standards/criteria for the campus space types as defined in the NCES – Postsecondary Education Facilities Inventory and Classification Manual (FICM): 2006 Edition. This analysis established that in the five major educational space types, Classroom (110), Teaching Laboratory (210), Research Laboratory (250), Offices (310), and Study Facilities (410), each had significant excess capacity as would be expected with reduced student

enrollment. The level of excess capacity for these space types varied from 45-61% at BL 73-82% at LH and 78-93% at MA. CU is using each campuses' past master plan reports (i.e., BL in 2014, LH in 2015, MA in 2016) as background information and an Excel file structured to allow for space manipulation (reduction/adjustment) to examine various scenarios' impact on each building individually and the overall buildings' space type inventory. An iterative process is being conducted to identify the best building(s) combination to meet the necessary academic / programmatic space needs, maintaining adjacency for educational critical mass, and still reduce each campus's overall space and the associated support costs. Once the final recommendation is processed through the governance steps, it is anticipated to be a 5-10 year process with demolition funding provided by PASSHE during this period as space reduction is a PASSHE priority as well.

## **Technological Infrastructure**

The University has extensive reliable and redundant technology resources, infrastructure, and external and internal connectivity. The BL and LH campus fiber optic infrastructure connects all campus buildings with our fully redundant datacenters at each campus. Each building has fiber connected to each of the local datacenters, with physical path redundancy built in. Each datacenter can handle the storage, computing, and networking load for the entire respective campus should one datacenter become inoperative. Both datacenters on both campuses have diverse external carrier links, full battery and generator power backups, redundant HVAC, fire suppression, and robust physical security. All four datacenters are classified as Tier III based on standards published by The Uptime Institute. Most on-premises university datacenters, outside of institutions classified as R1: Doctoral Universities, are typically either Tier I or Tier II; CU's datacenters significantly exceed these standards. The MA campus datacenter is classified as Tier 1, with a major upgrade planned for the Summer of 2024. Fiber optic connectivity on the MA campus requires a lifecycle upgrade and is currently in the planning stages. All three campuses are linked together by multiple protected 10-Gigabit DWDM links across diverse carriers.

The University also employs the "private cloud" model for on-campus resources, running most applications fully virtualized in redundant VMware clusters. Some applications are being moved to the Subscription-as-a-Service (SaaS) model, and those workloads are running in the public cloud. In addition to application software, some employee desktops are also virtualized and can be accessed from anywhere in the world with proper credentials.

The Information Technology Master Plan guides the prioritization of university technology projects. A Technology Funding Plan is updated each year and provides a five-year outlook for technology investment requirements with funding sources identified. A separate funding stream from the Technology Tuition fee is dedicated to instructional technology support. Technical infrastructures have been upgraded regularly in accordance with the Information Technology Master Plan including data center components, network infrastructure, and instructional technology.

## **RESPONSIBILITY AND ACCOUNTABILITY (CRITERION 5)**

### ***Clear Assignment of Responsibility and Accountability.***

As defined in Figure 6.1, CU's organizational structure includes the President's Office and seven divisions (i.e., AA, EM, SSCL, FA, ADM, MarCOMM, and ADV). Functional responsibility follows the organization chart, which shows positions and reporting relationships and documents responsibility and accountability. Moreover, the job descriptions developed for each position more specifically outline duties and responsibilities, and the management evaluation

process establishes individual goals and expected outcomes based upon each position and responsibilities. The planning documents also assign responsibility for supporting institutional, divisional, and unit goals.

The leadership team is vital to achieving mission and goals and effective operations. The President's Cabinet, comprising the president and his direct reports meet weekly to discuss and decide on key issues of managing and operating the University and making clear assignments to staff.

As discussed under Standard VII, Act 188 clearly articulates the decision-making authority of the President, COT, Chancellor, and BOG. The COT provides guidance to and evaluation of the President, general oversight of the University, and exercises limited approval authority. The COT oversees strategic and fiscal planning and receives divisional reports at quarterly COT meetings on key priorities and initiatives. For example, the COT reviewed and endorsed the Strategic Plan in August 2023. The President is also accountable to and evaluated by the Chancellor of the State System, as the System's chief executive officer, and the System's BOG.

## **FACILITIES PLANNING (CRITERION 6)**

***Comprehensive planning for facilities, infrastructure, and technology that includes consideration for sustainability and deferred maintenance and is linked to the institution's strategic and financial planning processes.***

### **Physical Assets and Infrastructure**

Construction projects that are needed to sustain and improve overall campus physical assets fall into four general categories: large scope-capital (> \$5M), medium scope-renewal (>\$ 3M & < \$5M), small scope-repair (<\$3 M), and operational scope-maintenance (in-house staff work). Funding for these categories is derived from multiple sources, including institutional funds, Key '93 state funds for deferred maintenance as allocated by the State System, the Commonwealth of Pennsylvania capital funding as authorized by the State System and administered by the Department of General Services (DGS), state and federal grants, private grants, and donor funding. Approximately \$70 million in the state-funded capital project work is planned annually through the System's capital planning process in accordance with BOG Policy 200-02-A: Capital Facilities Planning, Programming and Funding and System Procedure/Standard 2011-01-A, Capital Planning and Programming. Allocation of these capital funds is approved annually by the BOG through the System's five-year capital spending plan. For the period of FY 2022-23 through FY 2025-26, \$73.3 million has been allocated for major facility and infrastructure projects on CU's campuses.

The identification of short- and long-term physical assets improvement and construction needs is a multi-level and dynamic process which originates from the campus communities through (1) staff-initiated work requests for repairs; (2) repair/replacement installation of equipment and/or systems identified as end-of-life-cycle through a preventative maintenance program; (3) a project request form for non-maintenance or large initiatives driven by programmatic changes in academic, student support, or other campus units' functional needs, and (4) capital construction initiatives identified by campus master plans or facility assessments. New construction, technology equipment upgrades, or building renovation projects, beyond nondiscretionary repair and replacement work, are reflected within the annual construction projects program, as summarized in the University's annual projects schedules. These schedules are reviewed by executive staff for alignment with strategic priorities and shared/discussed with the Finance committee and its Space and Facilities subcommittee within campus governance. Emergent or immediate needs are addressed on an ad hoc basis; a \$3.5M university-wide contingency fund is maintained for unforeseen significant emergency repair responses. Specifically, in support of

campus integration costs, the State System provided a \$9.2 million reimbursement budget for integration related expenses (to be expended FY 2020-21 through FY 2025-26), in which \$3.5M applies to necessary software improvements/additions and \$3M to advanced technology classroom development. Integration related expenditures are neutral providing no impact to the University's CPP as the expense and revenue for payment is an exact match.

## Technology

IT ensures that students, faculty, and staff have both adequate technology and access to that technology, 24 hours per day. IT support activities are divided among five departments including technology support services, infrastructure and data centers, enterprise applications, cybersecurity, and operations. University technology needs are funded through student technology fees and institutional funds for the scheduled replacement of all mission-critical systems and services necessary to ensure the effective delivery of academic programs and administrative services. A rolling five-year life cycle replacement plan has been in place for more than a decade. The plan is highly detailed, addressing all servers, local and wide area network devices, fiber optic cabling, wireless access points, lab and classroom computers, printers, scanners, classroom presentation systems, institutional and specialized software, and electronic library services. The plan is developed/reviewed with deans, academic department chairs, program directors, and managers based on their respective unit, department, or program goals and objectives. A review is conducted annually with adjustments made as necessary.

A key educational delivery element of the CU updated academic program(s) is the leveraging and use of the Fall 2023 completed advanced technology classrooms, (weConnect-5, Innovative Zoom-50, Standard Zoom-11). This work was executed through a PASSHE-provided integration budget. This technology is deeply collaborative, in real time environment, while delivering a unique and advanced tool for learning by interconnecting students in class virtually, regardless of campus or physical location, representing a physical manifestation of the "Power of Three" advantage of the CU campuses. The weConnect rooms enable the delivery of education through small groups to large groups with state-of-the-art video, conferencing, sound, and analytics available only in this format, and they, along with all 61 Zoom Rooms, were completed and operational at the start of the Fall 2023 academic semester.

CU uses the Slate CRM system which enables enrollment management to seamlessly manage admissions and allows admissions staff to work collaboratively across all campuses. Used within the graduate school, athletics, and marketing and communications, Slate tracks enrollment, camps, events, and conferences while delivering advanced analytics.

In Spring 2023, as a member of the first transition cohort, CU began the implementation process to a new PASSHE system-wide student information system (SIS), Banner OneSIS. Uniquely at CU, this effort required the integration of three disparate, on-premise operating student information systems into a single, integrated, uniform, cloud-based SIS. This effort/task was unique in that no other PASSHE school had these circumstances, and Ellucian Banner had never before conducted an implementation of this nature, three into one. The implementation, and the associated Ellucian contract, is funded by PASSHE through a reimbursement account similar to what was provided for the integration expenditures and, as such, are neutral having no impact to the University CPP as the expense and revenue for payment is an exact match. Because of the unique challenge at CU with the three disparate SISs, supplemental funding of \$2.25 million was provided/transferred to CU, and as a funds transfer, it is reflected in the University's CPP.

Technology resource allocation employs a multi-year planning process that identifies when current platforms will reach end of life and vendor product support, desired product upgrades

and new capabilities, and evolving delivery platforms (e.g., web-based and mobile). Table 6.3 below shows that the Information Technology Funding Plan encompasses three major areas – instructional technology, infrastructure, and administrative software applications.

<b>Table 6.3: Three Areas of the Information Technology Funding Plan</b>	
<b>Area</b>	<b>Purpose</b>
<b>Instructional Technology</b>	Projects are funded largely from the technology tuition fee and are based on input from faculty regarding the effectiveness of the classroom technology and by monitoring system usage and the equipment life cycle. Projects include updating classroom instructional technology to a standard classroom configuration, refreshing computer labs, and enabling distance education classrooms with Zoom video capability.
<b>Technology Infrastructure</b>	This area addresses the processing, storage, network, and security components that enable instructional technology to be used without interruption, delay, or degradation. A major project was undertaken to minimize single points of failure in the campus network; the project included renovation of the main data center, upgrade of the campus fiber optic network, and the addition of a fully redundant secondary data center to support business continuity. Infrastructure components in the datacenters are upgraded on a rolling-lifecycle basis, and capacity is designed to meet any spike or peak in demand.
<b>Administrative Software Applications</b>	Substantial resources are allocated from the operating budget for the student information system, classroom scheduling software, student housing and dining applications, and other critical functions.

## **INDEPENDENT AUDIT (CRITERION 7)**

***An annual independent audit confirming financial viability with evidence of follow-up on any concerns cited in the audit’s accompanying management letter.***

Each year, the System commissions an independent financial statement audit of each university and the System. No concerns have been noted in the management letters accompanying the annual financial audit.

## **ASSESSMENT OF PLANNING, RESOURCE ALLOCATION, INSTITUTIONAL RENEWAL AND AVAILABILITY OF RESOURCES (CRITERIA 8 AND 9)**

***Strategies to measure and assess the adequacy and efficient utilization of institutional resources required to support the institution’s mission and goals.***

***Periodic assessment of the effectiveness of planning, resource allocation, institutional renewal processes, and availability of resources.***

The Institutional Effectiveness Plan outlines CU’s key oversight structures and assessment processes at all levels, including those specific to this Standard. Periodic assessments occur at the State System, institutional, and divisional/unit levels; many take place annually, but some are scheduled at other intervals.

### **System-level Assessment Processes**

CU assessment processes occur within the context of the State System’s assessment processes, which include the CPP, board-affirmed metrics, financial risk and sustainability assessment, the annual external financial audit, and academic program array assessment. The State System has a long-standing practice of monitoring university financial health and risk and reviewing the annual results with university and System leadership, including governance bodies. In 2019, this practice was enhanced and codified with the approval of BOG Policy 2019-01, University Financial Sustainability and the associated System Procedure/Standard 2019-40-A, University Financial Sustainability, that outlines expectations for and levels of financial health. Expected performance ranges are specified on four indicators of financial sustainability

including change in enrollment, operating margin, primary reserve, and minimum reserves. The results of the annual sustainability indicators and the multi-year CPP documents—which include financial, enrollment, workforce, academic program array, and key performance indicator actual data and projections—undergo an extensive bi-annual peer review process with senior leadership from all System universities and the Office of the Chancellor.

## **Annual Reports and Unit Assessments**

Each summer, CU's six divisions and more than 60 units conduct operational planning, aligning their goals, initiatives, measures, and targets to the Strategic Plan. Plans are entered into Nuventive by September 15, and results provided by June 15 for administration, educational, and student support areas. Any data points not available by the due date are added once available (e.g., year-end audited financials). As part of the year-end assessment process, units articulate how outcomes inform change in action plans as well as what adjustments were made to next-year's goals, measures, and targets, citing planned improvements for both assessment processes and unit performance. See examples from IT, HR, and facilities below:

### **Information Technology (IT)**

The Office of Information Technology undertakes an annual planning and assessment process which identifies initiatives for the year and reports end-of-year outcomes. Assessments include measurements of system availability of the student information system (SIS), campus networks, and university phone systems; turnaround time on installation of Help Desk Maintenance Orders (HDMOs); timely completion of IT infrastructure and data center work orders; customer satisfaction levels; and budget and schedule performance on technology upgrade and replacement projects. For example, an assessment of cybersecurity risks led to the decision to implement multiple multi-factor authentication tools and create a cybersecurity function within the IT operation. This resulted in improved protection of networks, early detection and resolution of users' compromising operations, and the distribution of instructional tools for all users.

### **Facilities**

Through a PASSHE System contract with Gordian, an annual performance and service production evaluation is conducted for facilities operations which evaluates maintenance and capital funding actions of the past year, work order and preventive maintenance completion counts and rates, utilities/energy consumption data and rates, staffing levels for custodial, building/mechanical maintenance, grounds activities, and a customer feedback survey. The completed report contrasts the collected performance data with that collected for the other PASSHE universities, and to those other state university systems Gordian has determined as peer institutions. This report creates both a broad-brush overview of operational effectiveness supported with focused performance statistics for each facilities' functional component. This data provides feedback as to where current operations and services are performing satisfactorily, and likewise those areas requiring improvement and more focused attention. The multiple years of reports also creates a reliable trending history useful in evaluating the effectiveness of past "improvement" actions.

### **Human Resources**

[Provide narrative]

Following the annual report submission, the IE staff uses a rubric to evaluate each section of the annual report, providing a summary evaluation of each unit's planning and assessment processes to the appropriate vice president and unit points of contact. A high-level summary

report of submissions and aggregate rubric scores are also provided to the Administrative, Educational, and Student Support Assessment Committee and vice presidents for review. Following the first summary report and Fall 2023 committee meeting, the committee recorded their suggestions in a brief survey which informed the changes to the administrative assessment process including updating the user guide and website, conducting additional training using an exemplar unit in Nuventive, and revising the scoring rubric to place more emphasis on plan quality and target attainment.

## **Committees**

Relevant oversight structures include the CUAC and its sub-committees, Strategic Planning Committee, the President's Cabinet, and COT. The committees are supported by the Office of Institutional Effectiveness. Collectively, these bodies assess the effectiveness of planning, implementation, assessment, resource allocation, and/or financial health and sustainability.

As discussed under Criterion 2, the CUAC meets annually to review and consider assessment processes related to institutional effectiveness. The subcommittees, charged similarly with a more narrow focus, include an academic program assessment committee; administrative, educational, and student support assessment committee; and with a dotted reporting line, the GE Council (GEC) that oversees GE curriculum and assessment. Council/committee members serve as conduits to divisions and unit members to share information and advance assessment concerns and recommendations to the committees. Year-end reports are submitted by the CUAC to the SPC and Cabinet.

Upon Strategic Plan endorsement, the SPC was parlayed into an oversight committee and charged with the ensuring the plan is implemented and evaluated through planning, monitoring, and assessment across all divisions and units. Reports from OIE on Strategic Plan progress and from the CUAC on divisional and unit assessment are used to inform change. These reports are submitted to Cabinet and results shared with the COT.

Assessment and continuous improvement occur through the University Senate Subcommittees, e.g., finance, IT, and space and facilities, which provide recommendations on policy revision and improvements. For example, working with the IT subcommittee, the Office of Technology receives guidance and recommendations on policies which can enhance the use of technology across the University. Faculty, staff, and student surveys are completed each semester regarding satisfaction and performance. This data has led to an increase in training opportunities for the newly implemented Student Information System (SIS), the use of weConnect technology, and has enabled the Office of Information Technology to establish a systemic technology vision for CU. The Finance Committee serves in an advisory capacity to the VP for Fiscal Affairs and receives requests and reports on matters relating to the University budget and budgeting procedures. Examples are forthcoming as the committee is new.

## **Resource Allocation**

A multi-year Strategic Plan is the blueprint for generating revenue growth and effectively and efficiently aligning available fiscal, human, and physical resources to achieve key strategic priorities and outcomes. The Strategic Plan and institutional goals inform planning at all levels in the organization; they guide the development of the institutional, divisional and unit plans and budgets. Linkage to the strategic planning process and goals at the university, divisional, and unit levels is essential to the resource allocation process. CU's ongoing budget process utilizes a fully integrated strategic methodology, working within the university planning and assessment process and the President's Cabinet to ensure resources are appropriately aligned with institutional priorities and strategic initiatives at all levels of the organization. The institutional

dashboard and board-affirmed metrics assist in assessing key areas to determine where additional resources may be needed.

The University budget, as reflected at a summary level in the CPP, is also reviewed and approved by the COT and the BOG. Ultimately, the BOG authorizes the annual allocation of state funding to the University—both for operational and capital purposes—dependent upon the general fund appropriations and capital funding provided to the System by the Commonwealth and its equitable distribution to all System universities based on the allocation formula (described above), the multi-year capital planning and prioritization process, and the limited availability of other one-time resources. In addition, the BOG sets tuition rates, the technology fee, which is 1% of the tuition rate, and establishes compensation requirements as articulated in CBAs.

## 6. Areas of Strength

- **Criterion 1: Institutional Objectives**  
The Working Group concluded that the University is in the final states of developing the shared governance/faculty Senate which will provide a thorough and robust planning scheme aligned with the Self Study Planning Model. The University's master planning documents (Mission Statement and Strategic Plan) and divisional planning documents (developed and in the development stage) will serve the Executive branch well and allow the university to respond to challenges and opportunities.
- **Criterion 2: Consultative Planning & Improvement Processes**  
The Working Group concluded that the University has a thorough and robust evaluation plan of all Programs. Academic Affairs (Academic Plan), Finance and Administration (FA Plan/Independent Audit), Enrollment Management and Student Affairs (Climate Survey) and Advancement (TBD). The University utilizes data from these evaluations to inform change and respond to University needs.
- **Criterion 4: Adequate Resources**  
The Working Group concluded that the fiscal, human resources, and technical resources are currently sufficient to support the institution's operations. However, the Working Group notes that the use of reserve funds may affect the institution's ability to support its programs.
- **Criterion 5: Responsibility & Accountability**  
The Working Group concluded that personnel in the Executive branch are highly qualified and they understand the responsibilities associated with each of their respective divisions.
- **Criterion 6: Facilities Planning**  
The Working Group concluded that a comprehensive and robust plan for facilities and technology infrastructure support and renewal exists, and the plans will be tied to the institution's strategic and financial plans.
- **Criterion 7: Independent Audit**  
The Working Group confirmed, after review of the independent audit, that CU continues to be viable.
- **Criterion 8 Utilization of Resources & Criterion 9 Assessment of Planning and resource allocation**  
The Working Group concluded that the work of the Finance Committee and CPP process will be adequate to assess the adequacy and efficient utilization of institutional resources to support its mission and goals.

## **7. Opportunities for Improvement and Innovation**

- Criterion 3: The Working Group identified one minor gap in the area of Financial Planning & Budgeting Process- A resource for linking planning process, strategic goals and resources must be developed
- Criterion 4 – The Working Group identified one major gap in the area of Adequate Resources – Ongoing Financial Deficit
- Criterion 4 - The Working Group identified one minor gap in the area of Adequate Resources – Surplus Space

## **8. Initial Strategies on Continuous Quality Improvement**

- Financial resources were not adequate to cover expenses in FY 2023-24, resulting in university reserves balancing the budget. A similar use of reserves is expected in FY 2024-25. Increased enrollment, the identification of new revenue and a reduction in operational costs must occur.
- A new budget process needs finalized/documented.
- Campuses' right-sizing space plan needs to be implemented.
- Streamline Fund Center inventory in new CU financial structure.