

DRAFT July 2016



# Integrated Assessment, Planning, & Budgeting Process Model

Workbook Companion

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## PURPOSE

This companion document provides support and clarification for readers of the Integrated Assessment, Planning, and Budgeting Process Model workbook.

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# EXECUTIVE SUMMARY

At the outset of implementing the strategic plan some big questions arose, questions like:

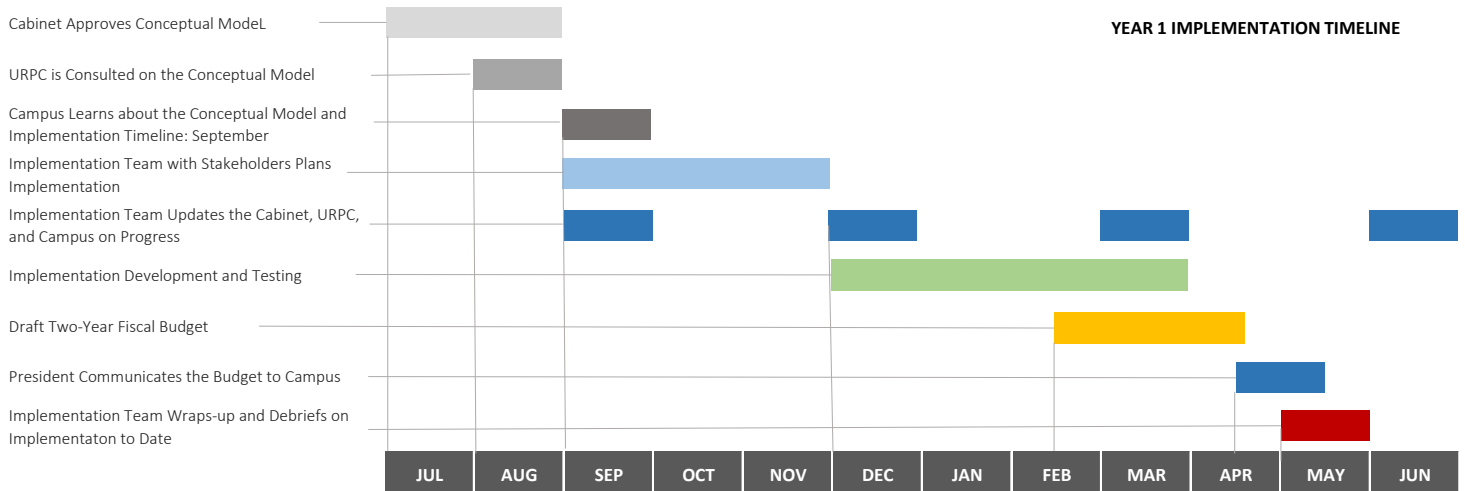
- How do we know we are making progress on the plan?
- How do we make sure the priorities are properly being funded?
- How do we know what we changes need to be made and do we have enough information to make them?

This moment of pause led to the creation of a working group to come up with an ideal budget (money, people, facilities, equipment, and brand) and planning process model to answer these questions. What quickly became clear was that achieving this would not just be an improved system, but would take a transformation of thinking.

The working group developed a list of principles and assumptions. Here are some of the key themes: HSU needs to focus on transformation versus addition and this will happen through a culture of evidence not justification. Leadership must lead this change and not defer or take shortcuts in decision making.

Integrated Assessment, Planning, and Budgeting Process Model Features:

- A two year planning and budgeting cycle that is updated annually.
- Campus leadership that signals to campus short-term and long-term priorities and adjusts plans accordingly.
- The planning and budgeting cycle is a continuous loop of assessment, planning, implementing, and assessment.
- The whole campus is on the same calendar and planning and budgeting cycle.
- All units are focused on progressing the strategic plan.
- Hard decisions are made, explained, and implemented.



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How do we get there? It's going to take time.

- Year 1: The first things we need to work on are the assessment processes. If we are going to make progress, we are going to know how progress is measured. To help with this we are going to expand institutional research into an institutional effectiveness function.
- Year 2: Knowing our assessment will be incomplete we need to progress even with imperfect information. We will use our current campus-wide baseline of assessment to complete a two year budget plan, and improve our assessment as needed.
- Year 3: Using our two years of practice in assessment we will take a look at our progress on the two-year plan and make corrections as we plan another year out. This will involve looking at the Integrated Assessment, Planning, and Budgeting Process as a whole, making adjustments where needed
- Year 4: Revisit & Repeat and make improvements as needed.

*“The degree to which institutions can harness their resources to achieve their objectives will depend on the clarity of these objectives and the institution's willingness to set priorities and solve its problems. This requires assessing current status, designing a change process, developing and educating senior leaders, and the obligation and nimbleness to make significant widespread change at all levels.”*

*—American Council on Education*

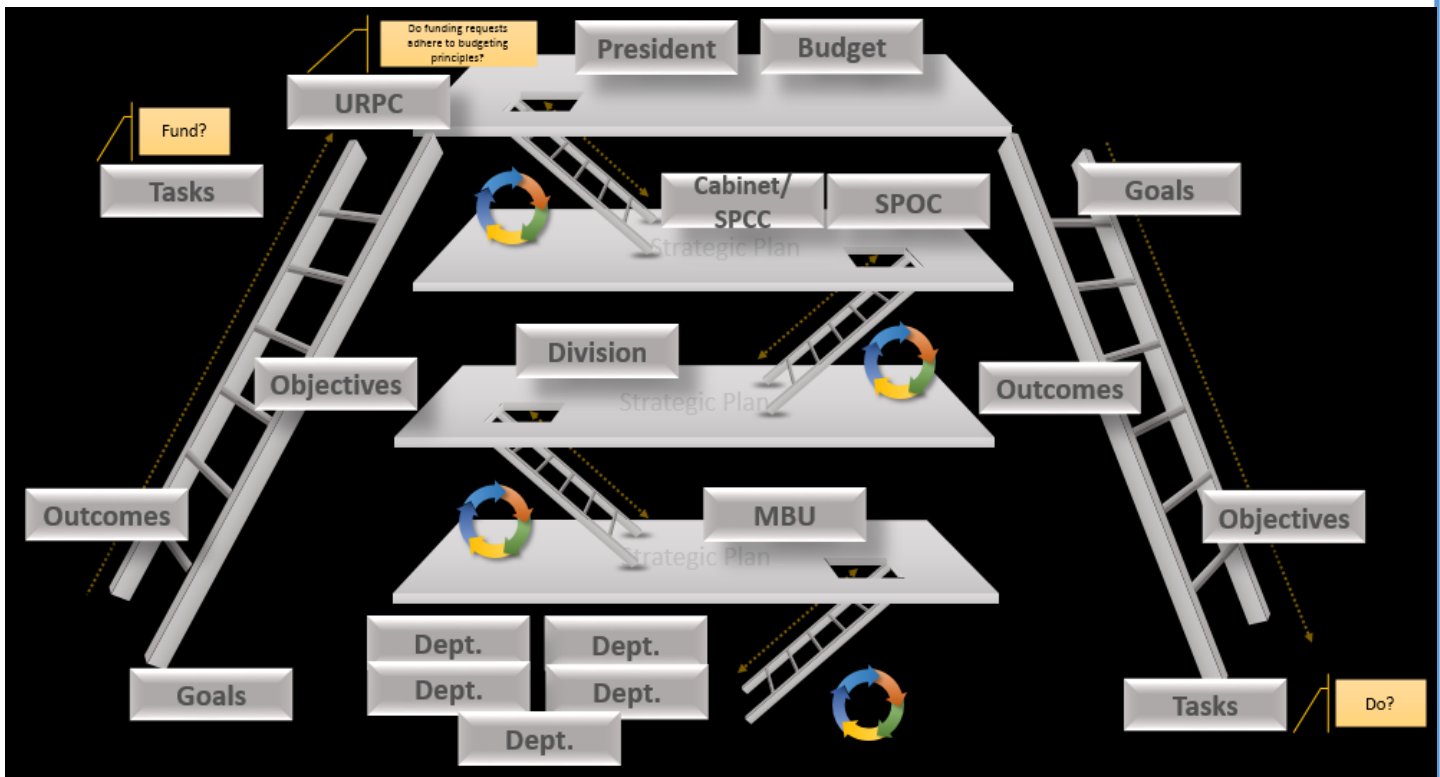
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# EXECUTIVE SUMMARY (continued)

(Continued from page 4)

Who will do all of this work? Everybody.

How will we manage the phase-in/transition to the new model? Messy, awkward, and complicated. Requires consistent re-assurance and recognition and re-enforcement. The plan is for this process to be done at all levels. If you work here you will be participating in this process in some way. Below is a graphic representation of how resource planning is going to be done from the department/working group level to Cabinet and URPC.



## CHARGE

The charge supports Strategic Plan Goal 4. The working group will outline a campus-wide (Dept > MBU > DIV > Campus) process that:

- Links annual goal setting, assessment and review with the annual budget process;
- Includes an integrated resource request and allocation process;
- Fits within the framework of the strategic plan and strategic budget, for both long-term and short-term purposes, and Works within the context of shared governance.

## APPROACH

- Fulfill the charge in three phases:
  1. Develop Concept: Simplicity trumps comprehensiveness. Review with Cabinet and URPC by summer 2016.
  2. Test Concept with real scenarios and by real people: Testing will be comprehensive, but not exhaustive. Fiscal Year 2016-2017
  3. Implement Solution Across Campus: Fiscal Year 2016-2017 and beyond.
- Ensure that all team members have a basic understanding of the campus annual budgeting process and each other's areas goals and assessment processes. These will be the baselines for this effort.
- Vet the conceptual model first using the high-level asset categories defined in the Strategic Budgeting Overview.

## WORKING GROUP MEMBERS

### Champion

Joyce Lopes, VP Administrative Affairs

### Chair

Lisa Castellino, Director of Institutional Research and Planning

### Subject Matter Experts

Amber Blakeslee, UBO

Jená Burges, Academic Programs

Mary Glenn, Academic Programs

Rebecca Ingerson, Student-at-Large

Robin Jones, Enrollment Management/Student Affairs

Volga Koval, Academic Affairs

Angela Rich, RISS

Josh Smith, ITS

Mary Virnoche, Faculty

Travis Williams, Advancement

### Support:

Marisa D'Arpino, UBO

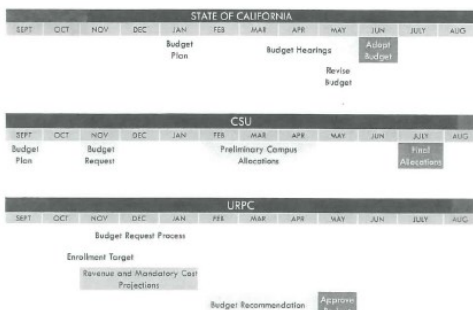
# CONCEPT and CONTEXT: WORKING GROUP OVERVIEW

## OUR JOURNEY

1. Initial discussions focused on clarifying the task of the group: construct a model that connects a coordinated shorter-term budget process to the longer-term Strategic Budgeting priorities and allocation decisions. Subsequent discussions identified the Goal, Outcomes, Sub-outcomes, and Objectives for the group's work.

2. We surveyed the current status of assessment

### Budget Timelines

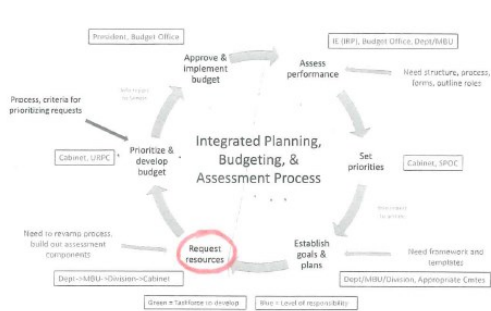


processes across the university and budget timelines at URPC, university, and state levels.

Incorporating assessment of a unit's effectiveness and its needs into planning for resource use prompted the move from a one-year budget cycle based primarily on historical allocations to a two-year budget cycle informed by evidence.

3. We reviewed resource request examples, noting the information that was included as well the information that would need to be added for the purpose of making an informed decision.

4. We mapped an initial process integrating planning, budgeting, and assessment with the resource requests built in.



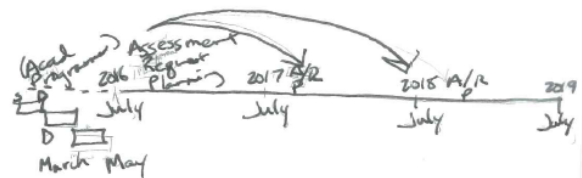
5. Discussion of the above cycle led to the realization that the process needs to be the same whether or not new resources will be requested; use of existing resources should be subject to the same assessment/planning cycle, so requests for additional resources (based on

assessment evidence) constitute an optional additional sub-cycle.



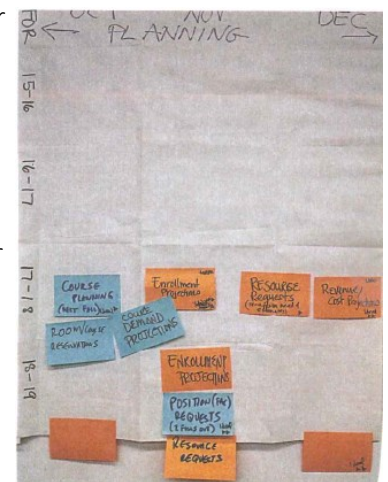
5. We started shaping the components of the model: planning process for setting high-level goals and outcomes; outcomes assessment cycle; and resource planning processes.

6. We began defining the timeline for the integrated process by overlaying the assessment cycle on the budget cycle.



7. Smaller subgroups focused on developing specific aspects of the model, its integration, and its timeline. They tested portions of the model [resource requests, assessment cycle, task identification for different levels within the university].

8. We crafted a four-year map accounting for the foundational 2016-2017 year, during which some of cycles have begun, and moving on to one year of phase-in followed by the first full two year cycle, representing the flow of simultaneous and sequential activities at multiple levels and in multiple organizational locations.



9. To accompany and contextualize the process model, the group refined a list of explicit Principles and Assumptions (see page XXXXX).

## MODEL DEFINITION & BENEFITS

Resource planning and assessment are vital components of educational planning and are foundational for institutional change. We define assessment as the processes of systematically gathering information that is used in making decisions about our educational programs and institutional progress. Resource planning is a process where we align our money, time and attention, and other assets to strategic plan priorities.

By incorporating the Integrated Assessment, Planning, and Budgeting Process into how we work will benefit our:

- Students in all forms of our student success efforts
- Faculty and staff by focusing activities that will drive progress towards
- Campus in support of its accountability for public money and accreditation reaffirmation and by focusing its resources on the activities that will have the greatest impact for the university

## MODEL REQUIREMENTS

The conceptual model is designed to:

### Overall

1. Establish a consistent approach to assessment, measurement, and resource management (including terminology) across campus and at all levels (department/program, MBU/College, Division, and Campus) and for one-, two-, three-, and five-year planning.
2. Support HSU's Strategic Plan Objective 4.1 ("Develop and implement a unified, transparent, and evidence-based budget model that reflects institutional priorities and the actual cost and size of programs") and WASC Self-Study Component 7: Sustainability: Financial Viability; Preparing for the Changing Higher Education Environment– CFR 3.7 ("The institution's organizational structures and decision-making processes are clear and consistent with its purposes, support effective decision making, and place priority on sustaining institutional capacity and educational effectiveness.").
3. Maximize how the university uses its resources now and in the future with the expectation that the State's budget allocation will not increase and that it will come with more strings attached.

*(Continued on page 9)*



# CONCEPT and CONTEXT: CONCEPTUAL MODEL

*(Continued from page 8)*

## **Conceptual Model**

1. Have campus-wide annual resource allocation and decision-making processes that dovetail into long-term budget planning.
  - Ensures that clear, consistent, and transparent logic is involved the in the needs assessment.
  - Allows for flexibility within each organization (department and MBU) on how annual resource requests are funneled up to divisional authority.
  - Provides a simple structure for budget managers to aggregate resource requests and ultimate authority to access priority and capacity.
2. Develop guidelines for each organizational level to create baseline assessments.
3. Develop a method to build and manage resource capacity.
4. Develop a mechanism for executive leadership to review and deliberate on requests on University-level requests prior to submitting its recommendations to the University Resources & Planning Committee (URPC).
5. Develop a mechanism for URPC to review and deliberate on executive leaderships recommendations.

## **Conceptual Model Test**

1. Tested and assessed conceptual model (outside of existing software systems).
  - Design test.
  - Run test.
  - Evaluate the test results.
  - Adjust the conceptual model based on test assessment and recommendations and review by the Cabinet through URPC.

## **Model Implementation**

1. We deliver and support an integrated, centralized software solution.
  - Leverage existing systems when they productively (efficiently and effectively) support the model.
  - Assess model against resources and infrastructure (implementation plan).
  - [Additional Objectives may follow once we get closer to planning for this phase].

## PRINCIPLES & ASSUMPTIONS

The Integrated Assessment, Planning, and Budgeting Process Model is based on the following principles and assumptions. Principles are foundational rules that must be in place for this institution to function successfully with this model. Assumptions are circumstances and events that need to occur in order for this model and its implementation to be successful.

### PRINCIPLES

1. The focus is on transformation, as opposed to addition, achieved through intentionally building a culture of evidence to replace the current emphasis on justification.
2. Data informs decisions by providing a transparent method and basis of understanding issues through evidence rather than from the perspective of advocacy.
3. Decisions are made by the appropriate deciding body or individual and not by consensus. Decisions, once made, are acted upon promptly, not delayed or rescinded by a vocal minority, and seen through to completion.
4. Changes and transformations are communicated to the campus community through simple structures, standardized formats, and transparent processes.
5. University assessment and planning processes are part of the campus culture and are recognized by all as an important part of day-to-day work.
6. University assessment and planning processes measure progress on strategic plan implementation and connect the importance of all campus work.
7. Campus leadership use the strategic plan to focus our progress on the priorities and avoid wasted time on non-priority possibilities.



“HSU has a record of finding ways to avoid hard decisions and failing to complete initiatives.” --  
WASC Visiting Team  
recommendation 2010

## ASSUMPTIONS

1. Leadership will follow the processes consistently, individually and collectively.
2. Upcoming priorities, expectations, and changes will be communicated, from executive leadership on down, at the beginning of each cycle to guide planning and decision making efforts.
3. An Institutional Effectiveness (IE) function, which will work across all university units, will monitor progress in implementing the strategic plan and signal next steps. The appropriate resourcing for the IE function is foundational to the implementation and success of this model and data-informed decision-making.
4. Training, practice, and follow-up will occur to develop and sustain skills for implementing strategic priorities (e.g., assessment “pig weighing,” effective meeting planning, project management, problem solving, communication, decision making “RACI” process).
5. Resource planning will take on a holistic approach, taking into account time, attention, space, tools, and budget.
6. Consultation with stakeholders takes a form different from token membership.
7. Membership in working groups and committees will be based upon expertise rather than representation and advocacy.
8. Implementation of the model will be incremental (“fail fast”), working towards a robust two- and five-year planning/budget cycle that is updated annually. Short-term: get everyone to a baseline of assessment and resource planning that is not focused on acquiring new resources.
9. Course Scheduling and Registration will change from semester-by-semester to full academic year in order to align with other multi-year planning cycles, fully utilize the planning function of uDirect, and enhance student success.
10. Existing process timelines will be changed to align with the Integrated Assessment, Planning, and Budgeting process timeline for resource requests (e.g., IT Prioritization, Facilities projects, etc.).

## UNRESOLVED ISSUES

Unresolved Issues are items that were identified by the working group, in addition to the Principles & Assumptions, that require attention and resolution in order for the model to be accepted and used across the university.

### THE ISSUES

1. The need for a fully developed implementation plan that includes testing the model and creating rubrics and a way to monitor the university's performance against its strategic goals.
2. The ability to coordinate activities in the instructional units in order to reduce workload of the Chairs.
3. A method to minimize or eliminate competing and conflicting priorities.
4. The awareness that this effort is an example of our "flying the plane while we are building it."
5. The fact that there have been several attempts over the years to implement a similar model. The implementations started, however the efforts weren't sustained.
6. WASC is clear in its criteria for its re-affirmation review that we demonstrate our continuous improvement and institutional effectiveness models that are being used to allot resources and that the models will be sustainable over time.
7. The need for training and practice with supporting processes like: resource estimation and management, project management, collaborative problem solving, etc.
8. The need to be able to monitor the process to ensure that the activities occur on time and that key information is communicated.
9. The criteria used to know when (ex. size, scope, etc.) a Resource Request must be approved by which level of the organization.



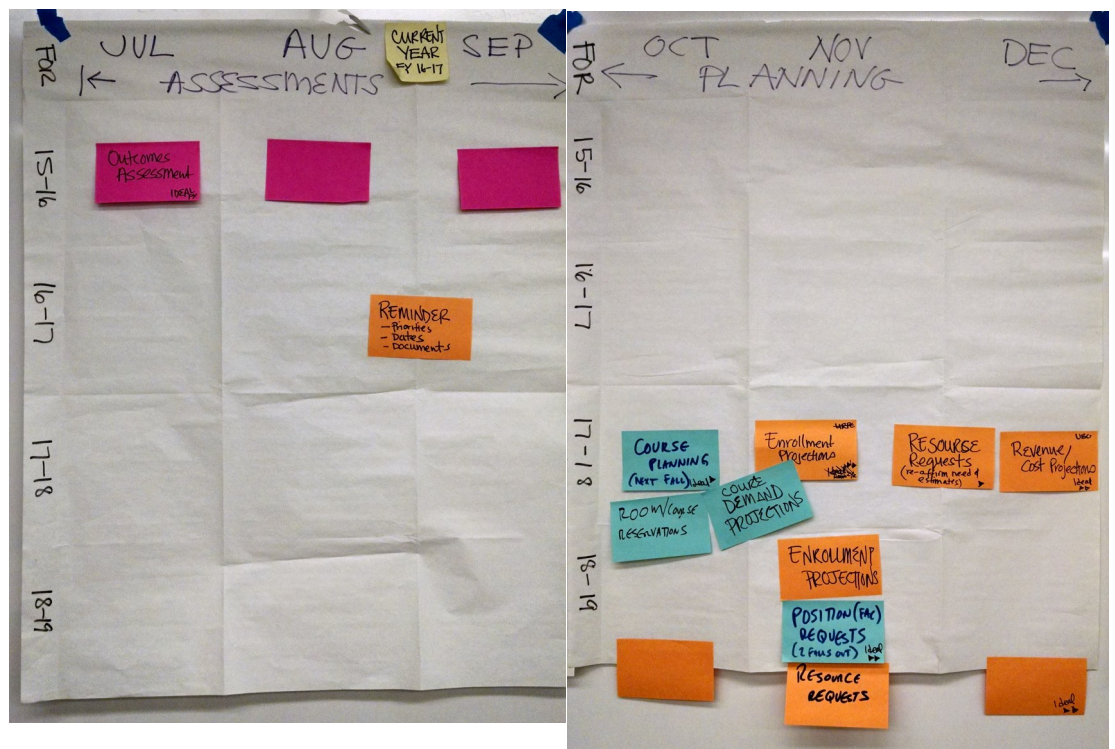
## BUSINESS PROCESS TIMELINE

Assessment, Planning, and Budgeting activities that are performed during the current year are related to information from the past year (for Assessments), for the current year (for re-affirmations of Priorities, Plans, and Budgets), and for future years (Plans and Budgets).

Each set of activities primarily occur within three month spans:

- July-September for Assessments
- October-December for Planning
- January-March for Decision Making & Prioritization
- April-June for Finalizing Decisions & Prioritizations and Communicating these to the Campus

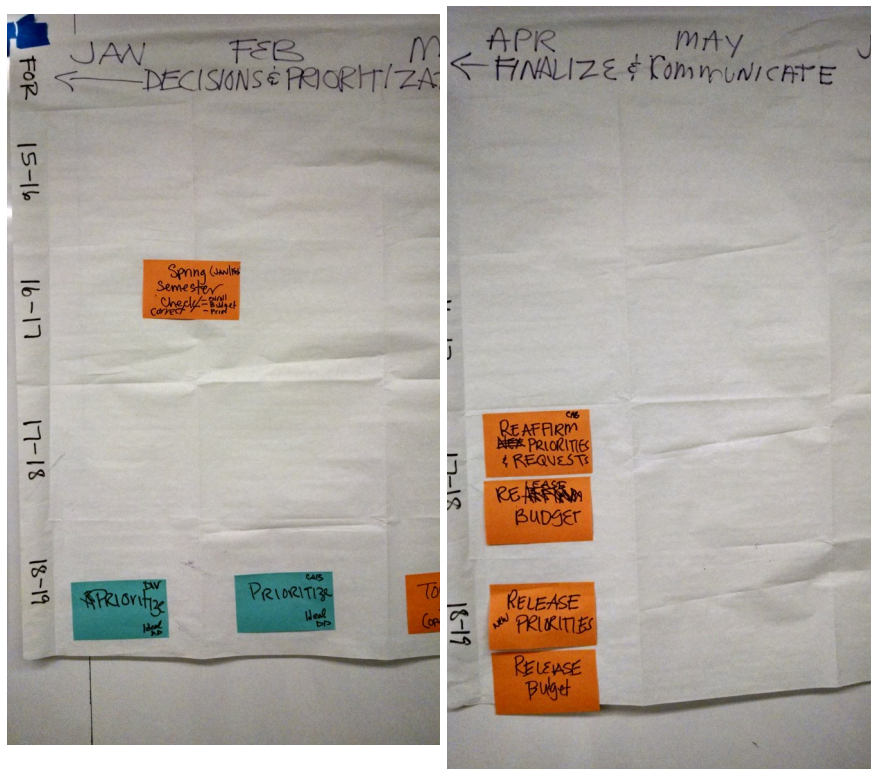
These snapshots from the working group's discussion show the current fiscal year across the top (example is 2016-2017) with year that the information is for across the left side, and sticky notes showing the specific activity.



# TIMETABLE & ACTIVITY: TIMELINES

## IMPLEMENTATION TIMELINE

Implementing the Integrated Assessment, Planning, and Budgeting Process Model is a multi-phased and multi-year effort starting in July 2016. During the first year the model will be validated (tested and adjusted) using instructions and templates and the results will be used to create the business and functional requirements for an integrated software solution. The following year will include a review of current systems and the research of other systems to determine what the software solution will be and setting a timeline for rolling out the software solution to the campus.





## ACTIVITIES

Assessment, Planning, and Budgeting activities recur each year and starts with Assessment that drives our continuous improvement loop. Everyone will have a role to play in one activity or another. Assessment, Measurement, Goal Setting guides with definitions are available from the Institutional Effectiveness (formerly IRP) department.

## ACTIVITIES OUTLINE

Assessments may identify activities to stop, activities to revise, or activities that need new or re-allocated resources. When the assessment identifies a need for resources or the HSU Strategic Plan Blueprint priorities are for a new effort, the Resource Request process starts within the Department and based on the size and scope of the Resource Request may end at the Department, MBU/College, Division, or University level. Information in the Resource Request is used in a variety of ways:

- To look for alignment with the Strategic Plan Blueprint and Priorities
- For comparison with other higher education organizations

### Resource Request High-Level Steps

1. Create an Action Plan that includes Outcomes, Objectives, and Tasks. The Action Plan defines what the Activity is going to be, how its going to be completed and by whom.
2. Identify the Milestones and expected Completion Dates. Milestones are used as checkpoints on the progress of the Activity.
3. Identify the Activity's Purpose. Is it related to Compliance/Regulation/Safety, Innovation/New Ideas, Operations, or Sustain/Replacement?
4. Identify the Function of the Activity. Is it related to Instruction, Academic Support, Student Services, Research, Instructional Support, Public Service, or Operations and Maintenance? These categories are associated with FIRMS and NACUBO codes.
5. Estimate the one-time and on-going: monetary costs, personnel time, or other measurement by Asset Category (Personnel, Facilities, Equipment, Materials, Collections, Students, Programs, and Brand).
6. Describe the pros and cons of this request and that of other options.
7. Identify the Campus Impact. Is the direct, indirect, or no connection to the campus' core functions.

*(Continued on page 17)*



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8. Review the Resource Request for:
  - Completeness
  - Accuracy
  - Alignment with Strategic Plan Blueprint priorities
  - Other review criteria to be developed
1. Determine whether to approve as written, approve with modifications, or decline. Repeat this step, as necessary, up to the next organizational level.

## ROLES & RESPONSIBILITIES DEFINITIONS

The following roles and responsibilities make up the resources involved in the Assessment, Planning, Budgeting, Alignment, Implementing, and Monitoring processes. Their level of involvement is defined by RACI(S) (see graphic below).

### RACI(S) DEFINITIONS

**R**

Responsible: The role that actually carries out the process or task assignment.

**A**

Accountable: The role (only one per task/deliverable) with ultimate ownership and decision authority for the process or task assignment being completed appropriately.

**C**

Consulted: The role that is sought for opinions, skills, and knowledge before a decision or action is taken.

**I**

Informed: The role that receives information and updates about the process or task assignment.

**S**

Supporting: Resources allocated to the Responsible role and assist in completing the task.

## RUBRICS

A rubric is a scoring tool that lays out the specific expectations for an assignment. Rubrics divide an assignment into its component parts and provide a detailed description of what constitutes acceptable or unacceptable levels of performance for each of those parts.” (Stevens & Levi, 2005, p.3)

XXXXXX

XXXXXXX

## PERFORMANCE MONITORING

XXXXX

XXXXX

XXXX

## DEFINITION

Cccccc Request can be at the Outcome, Objective, or Task levels.

## PROCESS

1. **Consultation** is for estimating the scope, level of effort, risk, and resources (not approval or prioritization) should start a the department level and is mandatory at the MBU level.

## DELIVERABLES

### Phase 1

1. Defined methodology for assessment of current state vs. goals that leads to an understanding of needs/opportunities.
2. Guidelines for each organizational level to create baseline assessments.
3. Process and criteria on how to stop doing something, including where the monetary savings will go (departments will want to keep some).

### Phase 2

### Phase 3

## ASSUMPTIONS

## PRINCIPLES

1. Based on “evidence” versus “justification.”
2. Involves clear, consistent, and transparent logic.
3. Opportunities/needs informed by goals and outcomes.
4. Failure to reach a goal is a learning experience and not used for blame.
5. Performed by person(s) closest to the task.
6. What is going to make a difference vs. a meaningful difference?

## RECOMMENDATIONS

## DEFINITION

Cccccc Request can be at the Outcome, Objective, or Task levels.

## PROCESS

1. **Consultation** is for estimating the scope, level of effort, risk, and resources (not approval or prioritization) should start a the department level and is mandatory at the MBU level.

## DELIVERABLES

### Phase 1

1. Request process that connects it to Goals, Outcomes, and Objectives.
2. Request form.

### Phase 2

### Phase 3

## ASSUMPTIONS

1. The task plans, by virtue of coming from the strategic plan, do not need to be re-prioritized, nor approved/disapproved, at the department, MBU, or Division levels.
2. Submitted by the person who *actively* manage and participate in the effort.
3. Collaboratively developed with input and review by all stakeholders.

## PRINCIPLES

1. Based on assessment results.
2. Reallocation of a campus resource or re-scoping of an initiative/operation are a viable options.
3. Estimates (since implementation would be two years out) will be revisited (along with need) prior to implementation.
4. Considers legal and community implications and restrictions.

## RECOMMENDATIONS

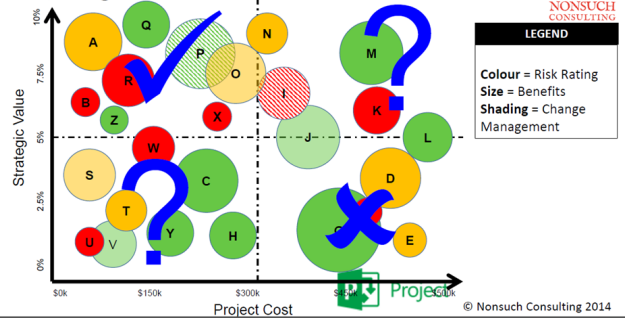
## DEFINITION

Ccccccpriorities, SP, Comp

At University level—performed by IE.

## PROCESS

### Analysing the Portfolio





# BUSINESS ALIGNMENT

## DELIVERABLES

Phase 1

Phase 2

Phase 3

## ASSUMPTIONS

## PRINCIPLES

1. Look for opportunities to combine efforts.
- 2.

## RECOMMENDATIONS

## DEFINITION

Follows Business Assessment and Alignment. First pass for best and second for next best projects. Money, people,

## PROCESS

# RESOURCE ALIGNMENT

## DELIVERABLES

### Phase 1

1. .

### Phase 2

### Phase 3

## ASSUMPTIONS

## PRINCIPLES

1. Efforts categorized as 'Compliance' will be funded and resourced first.

## RECOMMENDATIONS

## DEFINITION

Review and approval at each level and can stop at each level. Reasons for approval or denial entered.

## PROCESS

## DELIVERABLES

### Phase 1

1. .

### Phase 2

### Phase 3

## ASSUMPTIONS

## PRINCIPLES

1.

## RECOMMENDATIONS

DEFINITION

PROCESS

Cornerston of a succesffuly implementation clearily and consistelnly defined criteria for prioritation for funding decisions

# PROGRESS MONITORING

## DELIVERABLES

### Phase 1

1. .

### Phase 2

### Phase 3

## ASSUMPTIONS

## PRINCIPLES

1.

## RECOMMENDATIONS