

THE UNIVERSITY *of*
NEW MEXICO

**The University of New Mexico
Academic Affairs
University Council on Academic Priorities**

Final Report

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Academic Affairs
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Planning**

June 2012

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Provost's Overview:

“Let us in education dream of an aristocracy of achievement arising out of a democracy of opportunity.” Thomas Jefferson

In these difficult economic times, the higher education system in the United States is under siege. It is only natural that when stressed, the taxpayers look for immediate and short-term solutions to problems that require long-term planning. Against this backdrop, the office of Academic Affairs at the University of New Mexico has undertaken a self-examination that will culminate with an Academic Plan that resists quick fixes and will become a major component in the UNM strategic plan, UNM2020.

Before focusing on the process and its outcomes, it was important to review the history of research Universities in the United States and learn from their successes and challenges. Higher education in the United States forms a remarkably diverse and robust ecosystem, one that combines the resources and the interests of federal and state governments, private industry, citizens, and individuals. While doing so, this ecosystem has resulted in economic and cultural benefits, and allowed citizens to contribute to their own and the common financial, cultural, and social welfare. Periodically however, shifting national and local priorities, limited resources and changing demographics challenge the system. Under stress, individual Universities, UNM included, continue to make tactical and strategic choices that avert immediate crises but do not address the longer-term challenges.

In going forward, the University of New Mexico must affirm its values and mission, while rebuilding its own ecosystem.

Rather than start with where we are today and project forward, the academic planning exercise focused on where the UNM academic enterprise should be in 2020. A consensus quickly emerged that UNM should be a *more engaged, more efficient and productive, and a model*

research university of the “newly emerging American majority.” The last goal bears some discussion as it couples excellence with access in the spirit of Thomas Jefferson’s quote.

UCAP participants rejected the idea that access to higher education should be severely limited and agreed that our University must be a “pump and not a filter.” It was clear however, that none advocated that unprepared students should be admitted and then forgotten, but rather that the University as a whole follow the practices of some professional schools (business & law) who manage to bring along a cohort of widely diverse students. In the presence of limited resources, access coupled with excellence is the mantra will that will drive our actions and strategies.

I. Executive Summary

Provost Chaouki Abdallah, and Architecture and Planning Dean Geraldine Forbes Isais, led a year-long exercise in academic year 2011-12 on University academic priorities. They convened a group of campus leaders comprised of academic deans, senior administrators, faculty, staff, and students to form the University Council on Academic Priorities (UCAP). UCAP members met periodically in plenary sessions and small groups to develop a list of critical priorities for the University to address in the near future, and to suggest concrete actions for doing so, that would position us for reaching our desired state in 2020.

The purpose of UCAP was to provide a forum for the academic leadership of the University to take a broad-based look at U.S. higher education in general, and UNM in particular. The intent was not to produce a strategic plan but develop a precursor or preamble to one. UCAP’s approach was to identify crosscutting themes and vital issues that would affect all parts of the University in the near and medium futures and to suggest ways to achieve mutual success.

The discussions were also effective in building trust among the participants, who in many cases had no direct connection with each other, or indeed did not even know each other. The participants engaged in open discussions about common issues and problems and learned about each other's circumstances, problems, and desires in a mutually supportive setting.

To facilitate and broaden the discussion, the Provost invited four distinguished educators to campus to publically address and engage UCAP members and the academic community in substantive discussions. President Don Randel of the Mellon Foundation spoke on "Disinvesting in Universities, Disinvesting in Ourselves;" Smith College President Carol Christ spoke on "Selective Forgetting and Innovation in Higher Education;" USC Business School Dean James Ellis spoke on "Creating the Next Generation of Leaders;" and University of Texas-Austin President Emeritus Larry Faulkner spoke on "Evolution or Revolution in America's Universities."

At the end of the process, UCAP endorsed five essential priorities together with recommendations for achieving them:

1. Transform undergraduate and graduate education/research.
2. Create an environment that fosters quality and innovative service for all constituents.
3. Nurture stable leadership.
4. Promote service learning and community and civic engagement.
5. Embrace diversity.

II. The UCAP Process

Rationale

The Board of Regents approved UNM's Consolidated Master Plan on September 13, 2011. The document projects the growth of the University's physical environment over the coming decades. By contrast, UNM's most recent academic plan was completed more than a decade ago and approved by the Regents on December 11, 2001. The intervening

decade has brought significant changes in the nation and the world, including and especially in higher education. It also has witnessed repeated changes in the University's academic leadership. The time seemed ripe therefore, at the onset of a new administration, both to review our academic priorities, to update the academic plan and to link it to the newly completed physical master plan.

The Provost convened UCAP as the first step in this process. The Council's task in AY 2011-12 was to lay the groundwork for a formal strategic planning initiative expected to begin in AY 2012-13 with the arrival of the new president.

Charge and Composition

All too often, University communities tend to view strategic planning as a necessary evil with few tangible results for the institution as a whole and their units in particular. The time and effort involved are considered an overall waste and consequently most members of a University community, both academic and administrative, pay scant attention to the process. Not surprisingly, it becomes a self-fulfilling prophecy.

The UCAP exercise followed a different process. Instead of starting discussions at the level of the units, it began with the University's top priorities and engaged a large but representative constituency. Instead of focusing on individual departments and sections, it concentrated on the institution as a whole. Instead of asking administrators to consider the University in light of their own sections, it required that they consider their sections in light of the entire University and of higher education in the country in general.

The charge to UCAP was to **consider the major academic, social, political and ethical issues that confront higher education in**

general and UNM in particular, and in light of that, to develop a list of essential priorities for the University to address in the next decade, accompanied by recommendations for concrete actions to do so.

These recommendations would form the starting point for the next stage of actually building the University's strategic plan. Appendix 1 lists the UCAP Council membership.

Deliberations

1. Provost Abdallah presented his ideas to the Deans' Council and the President's Cabinet in November 2011. He circulated in advance to both groups consultant Porus Olpadwala's *Discussion Note on Academic Priorities* to facilitate dialogue (Appendix 2).

2. The Provost convened the first plenary meeting of UCAP on November 30, 2011. Its agenda, list of substantive issues for discussion, and the Provost's initial conception of important questions are noted in Appendix 3.

3. At the plenary meeting, the Provost requested participants to submit their personal list of "big questions and ideas." Twenty-eight individuals responded. Their individual suggestions are listed in Appendix 4. Appendix 5 groups the suggestions into twenty-five issues separated into eight major categories and cross-references them with people making the suggestions. The categories are:
 - i. Values and Value Systems
 - ii. Comparative Advantage
 - iii. Internal Governance
 - iv. Improving Undergraduate Education
 - v. New Institutional Models

- vi. Financial Analyses
 - vii. Research
 - viii. Infrastructure and Facilities
4. At the second plenary session on December 20, 2011 participants discussed this list of issues, eliminated some, and reordered the rest into the following five categories. Work groups formed for the categories based on the preferences of participants (Appendix 6).
- i. Values, Value Systems
 - a. Comparative Advantage
 - b. Infrastructure and Facilities
 - ii. Improving Undergraduate Education
 - iii. New Institutional Models
 - a. Internal Governance
 - iv. Financial Analysis
 - v. Research and Graduate Study
5. Provost Abdallah appointed chairs and co-chairs for the work groups and laid out the charge to UCAP members in a January 19, 2012 letter (Appendix 7).
6. The work groups submitted preliminary reports in mid-March and Provost Abdallah commented on them in an April 2, 2012 memorandum (Appendix 8).
7. Final work group reports were submitted to the Provost in early May (Appendices 9.1-9.5).
8. In preparation for a May 14, 2012 retreat that was intended to bring closure to the work of the Council, Provost Abdallah requested that UCAP members identify a small number of vital issues and cross-cutting themes for discussion at the retreat and subsequent inclusion

in the UCAP report to President Frank. The Provost emphasized that members were not limited to the topics of their working groups but should take into consideration all the topics and discussions of the entire UCAP process over the past six months. Twelve colleagues responded.

The following list combines and groups their submissions:

- i. Strengthen support for undergraduate education
- ii. Enhance collaboration and interdisciplinary work
- iii. Strengthen graduate education
- iv. Emphasize diversity
- v. Encourage innovation, especially in resource models and administration
- vi. Promote a culture of service and community engagement
- vii. Nurture stable leadership
- viii. Coordinate a system of higher education

9. The May 14, 2012 retreat was facilitated by Consensus Builder (CB), a well-known regional facilitator of professional meetings. CB guided participants through a day-long discussion that started with the issues noted in the previous paragraph, and through dialogue reworked them into the form presented in detail in the next section. Consensus Builder's report is added as Appendix 10.

10. UCAP discussions were significantly advanced by the visits of four distinguished educators over the course of the semester. The individuals met with Provost Abdallah, had working lunches with the UCAP membership and delivered a public address during the day. Appendix 11 lists the lecturers and topics.

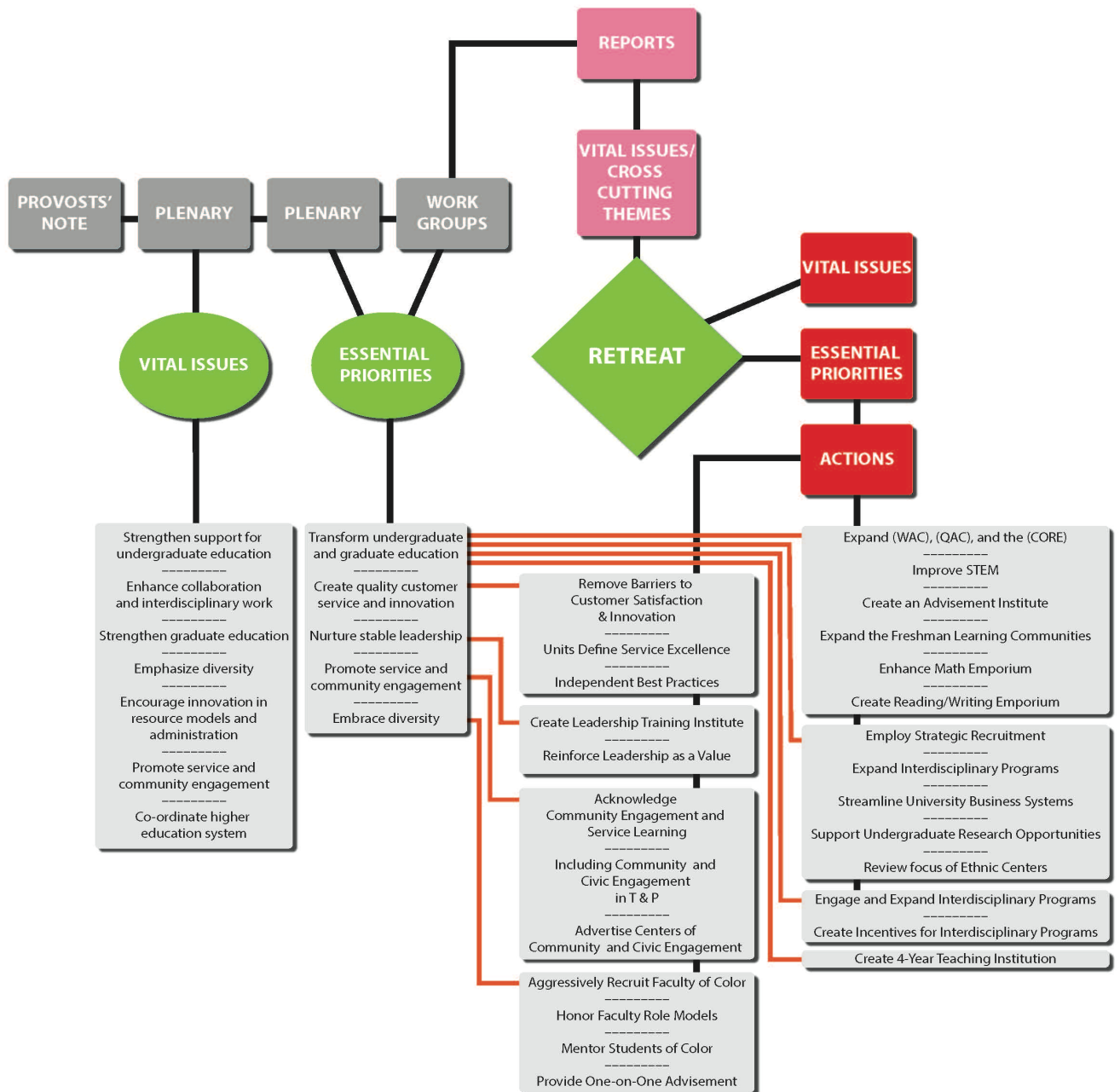
11. The University community was kept informed of UCAP efforts through a dedicated website on the Provost's page, and members were encouraged to provide feedback.

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The following graphic represents our process, vital issues, essential priorities and actions which will be discussed in more detail in the UCAP Recommendations section of this report.

10/2011 11/2011 12/2011 1/2012 5/2012 6/2012

UNIVERSITY COMMITTEE ON ACADEMIC PRIORITIES



UCAP Recommendations for Academic Priorities

The consensus reached at the retreat favored apprising President Frank of five vital issues.

1. Transform undergraduate and graduate education and research.
2. Create an environment that fosters quality customer service and innovation.
3. Nurture stable leadership.
4. Promote service learning and community and civic engagement.
5. Embrace diversity.

The narrative below describes these issues in greater detail and recommends concrete actions to address them. Many of the suggested initiatives are already underway.

1. Strengthen Undergraduate and Graduate Education

UNM is the state's flagship University and one of only two "full service" institutions of higher education in New Mexico. Therefore, teaching must remain UNM's principle societal obligation, with undergraduates as well as graduates assured broad access to a quality education.

Undergraduate Education

Our current emphasis on improving graduation rates must be intensified. A critical element in that endeavor will be to make the freshman year a foundation in that long-term success. Many promising existing initiatives need to be reinforced and expanded towards doing so:

- a. Freshman Learning Communities.
- b. The Math Emporium.
- c. Writing Across the Curriculum (WAC).
- d. Quantitative Skills Across the Curriculum (QAC).
- e. The Core Curriculum (CORE).
- f. STEM: Science, Technology, Engineering and Math.

In addition, the following two newly established initiatives would be effective in enhancing the undergraduate experience:

- a. A reading and writing emporium, and
- b. An advisement institute to coordinate student advisement across academic units.

Graduate Education and Research

We need to strengthen the identity, stature, and image of graduate studies at UNM. We should:

- a. Increase the proportion of graduate to undergraduate degree production.
- b. Increase the number and quality of minority, under-represented, and international graduate students.
- c. Enhance the graduate curriculum through more innovative, better managed and interdisciplinary graduate programs.
- d. Identify ways to adapt University business systems to provide better support for graduate education and research, e.g., streamline contract processing and introduce paperless admissions.
- e. Review the role and focus of ethnic centers and undergraduate research opportunities.
- f. Create a pipeline of graduate students with research experience by supporting undergraduate research and allowing shared credits between undergraduate and graduate levels.

2. Enhance Collaboration and Interdisciplinary Work

Interdisciplinary collaboration is critical to improving the quality of undergraduate and graduate education and doing high quality research.

We should:

- a. Implement the Provost's proposal to address ways to engage in and evaluate interdisciplinary programs (for instance, complete beta testing of interdisciplinary programs such as

Sustainability Studies, Water Resources, Native American Studies, and Nanotechnology).

- b. Provide funding and incentives for interdisciplinary work.

3. Coordinate the System of Education

As the New Mexico's flagship institution of higher education, UNM should take the lead in proposing for New Mexico a coordinated system of K-20 education within the state. This would make for a more seamless student experience from K-12 through both undergraduate and graduate levels and as well serve the system's institutional components by avoiding duplication. A first step would be to present an action plan for Regent approval to study the process for creating a comprehensive, four-year teaching institution at the UNM Rio Rancho campus. UNM currently has an ACE fellow who may be dedicated in the year 2012-2013 to study the Academic advantages and potential of such an initiative. A secondary step would be to work with the State Secretary of Education to strengthen the advising system in relation to college selection at the high school level.

4. Create an Environment that Fosters Innovation and Quality Service Campus Wide

In order to promote innovation, the University of New Mexico must build a culture of service excellence. In its absence, academic units perform at adequate levels but inefficiencies abound throughout the system. This is especially true when units suffer losses in personnel and resource and tends to cause frustration and exacerbates the feeling that the University is an impersonal bureaucracy. Alternatively, a culture of service excellence not only leads to higher standards of performance, it enfranchises its stakeholders and creates allegiance to the institution. Possible specific actions include:

- a. Create a team to identify barriers to community satisfaction and administrative innovation (e.g. business practices, contracts, and contract approvals, etc.).
- b. Require units to define service excellence in their fields and implement procedures to train people and assess their performance.
- c. Implement three best practices that overcome barriers to create a culture that prides itself on customer service that allows for innovation.

5. Nurture Stable Leadership and Pride

Universities are institutions founded on the long term; stable leadership therefore plays a major role in their success. While this is particularly critical at the highest levels, it applies also to management across levels. The following actions are suggested:

- a. Create a Leadership Training Institute aimed at creating leadership skill and retaining leaders throughout the University.
- b. Reinforce leadership as an important value through performance appraisals, and grade leaders and administrators on their succession plans.

6. Promote Civic Engagement and Communities

Community and civic engagement by all members of a University community is as highly beneficial to the students, faculty and staff who undertake it, as it is for the local partners. It also fosters a more congenial and secure environment for work, play and living. Here are some ways to further it:

- a. Acknowledge instructors engaged in the community, e.g., instructors of freshman seminars that integrate community engagement and service learning into the curriculum.

- b. Value service learning and community/civic engagement in promotion and tenure reviews.
- c. Advertise the University's centers of community and civic engagement, e.g., Institute for Public Law, Indigenous Design and Planning Institute, Design Planning Assistance Center, Popejoy Hall, Tamarind Institute, Continuing and Extended Education, campus museums and libraries, athletics etc.

7. Embrace Diversity

Parallel to the UCAP process, Provost Abdallah commissioned a new UNM Diversity Council to identify strategies that would make significant progress to more fully engage and demonstrate UNM's espoused core value of "Diversity that enlivens and strengthens our university, our community, and our society." The twenty-two member diversity council consisted of faculty, staff, and students to review prior recommendations from UNM's historical documents and diversity plans of other institutions to yield a course of action for the University of New Mexico in addressing diversity, equity and inclusion. As a first step, the Council developed an initial report in May of this year that contains a set of recommendations drawn from the work of previous Councils, as well as input from current constituents and stakeholders. The Executive summary of the process including recommendations is contained in Appendix 12.

III. Conclusion of the UCAP Process

UCAP was intended to serve as a non-traditional exercise in University decision making. Uncharacteristically, senior leadership engaged in extended discussions about the situation and prospects of UNM as a whole before turning to the discrete planning issues related to their own constituencies. The result was a heightened awareness in participants of the power of the institution as an integral unit and a deep appreciation of the circumstances of its constituent parts. These realizations, plus the trust that was built in and amongst participants

through the open discussions, can only benefit and improve the strategic planning exercise that is to follow.

IV. Provost's Goals & Strategies

At the conclusion of the UCAP process, taking all the input into account, Provost Abdallah developed the following goals and strategies in order to put the academic plan into action:

Goal 1: Engagement

- **Strategy 1:** Emphasize immediate and strong external engagement with the city, State, national laboratories, business community, K-12 system and other New Mexico colleges and universities. The university bears a strong responsibility in improving the pipeline of students, and graduating productive, culturally aware and educated citizens. In 10 years, we expect that UNM will be the pride of the State and a magnet for companies and research enterprises. It will be a link in the chain of citizenry, one that helps prepare students through its engagement with K-12 and community colleges, and adds the value of a cost-effective liberal art and professional education.
- **Strategy 2:** Prioritize internal engagement - acknowledge, nurture and take advantage of the diversity of opinions and cultures within UNM's academic community. UNM should review the diversity council report and recommendations and initiate a lecture series with speakers like Claude Steele, Freeman Hrabowski to learn from and implement best practices. Our goal is that in 10 years, the UNM academic administration and its faculty will be representative of the cultural diversity of the United States, and respected for their vigorous championship of academic freedom.
- **Strategy 3:** Leverage and increase UNM's impact in New Mexico and around the globe—UNM's national and global impact is large but also diffuse. UNM's impact on New Mexico's economy and culture

also is large but it must be increased. In 10 years, UNM will have a focused academic engagement with Latin America and will become the top destination for Latin American students and researchers of that hemisphere. UNM will also increase its international student population to 10%.

- **Strategy 4:** Consider a funding model for higher education that rewards societal engagement—While UNM remains a good value proposition, implementing many of the proposed initiatives will require new sources of funding in addition to cutting costs and improving efficiencies. Over the next 10 years, UNM will become a university where socially engaged students and volunteers register for community outreach courses for official college credit. Funding for such courses may be obtained from organizations that sponsor the volunteers.

Goal 2: Efficiency & Productivity

- **Strategy 1:** Increase graduate enrollment and degrees—Many UNM academic programs have capacity at the graduate levels and moreover, jobs in New Mexico and elsewhere will require advanced (graduate and professional) degrees. UNM must recruit and graduate more of these students. In collaboration with the national laboratories, a sustained effort to recruit and fund more graduate students (domestic and international) will start shortly. In 10 years, graduate students will compose more than 40% of the total student population at UNM.
- **Strategy 2:** Lower administrative burdens and encourage a service culture. The University will continuously improve its support functions, and implement a performance-based reward system. In 10 years, UNM will be a model of efficiency and transparency. All

internal processes will be simplified and support for faculty, students, and staff will be exemplary.

- **Strategy 3:** Encourage and fund interdisciplinary activities. Interdisciplinary educational programs are frequently mentioned but seldom funded. Academic Affairs is currently finalizing a plan to properly evaluate and fund new programs, and where necessary, close existing ones. In 10 years, UNM will have at least 25% of its offerings in the interdisciplinary category.
- **Strategy 4:** Extended University/Continuing Education - An emerging trend in higher education is to leverage online tools and technologies in order to reach more students more efficiently. At UNM, Extended University and Continuing Education are the units engaged in non-traditional education. The two should be merged and an immediate evaluation of the underlying economic model must be initiated. More importantly, in 10 years UNM will have a fully established model for quality distance education that remains economically beneficial in a very competitive environment.
- **Strategy 5:** Data-driven decision making—The Office of Institutional Research (OIR) must be revamped to adjust to the fast-paced environment of current higher education. Data, and more importantly information, must be available quickly and accurately to decision makers and constituents. OIR's output should guide our tactics and resource allocation decisions. In 10 years, UNM will have a model office of institutional analytics that is nationally known and locally trusted.
- **Strategy 6:** Decrease the cost of degree completion. Compared to its aspirational peers, UNM is inefficient in producing degrees at all levels. Preliminary data suggests that UNM students attempt too many credits and graduate at around 45% in 6 years. While the 6-year graduation rate may not capture all our degree productivity, other metrics (degrees per 100 students) are also low. In order to reduce costs and invest elsewhere in the academic enterprise, it is imperative that UNM raises its 6-year graduation rates to at least 60%. In 10 years, UNM will have in place a system of placement,

advising, coaching and support that will move undergraduate students more efficiently and will have a graduation rate of at least 60% by 2020.

Goal 3: The Model Research University

- **Strategy 1: Provide Access & Excellence.** UNM will continue to provide accessible education but will strive to raise the actual and perceived value of a UNM degree. UNM will pursue strategies to prepare students before their arrival to UNM, but will also put in place data-driven strategies to measure the learning outcomes of courses and degrees and to continuously raise them. In 10 years, UNM will be known for its quality and value in the State of New Mexico and across the nation.
- **Strategy 2: Provide every student with a tailored educational experience.** With the generalization of higher education, access, quality, and cost are seen as the vertices of an iron triangle; adjusting any of the three will certainly affect the other two, and one is not able to move any two in a positive direction without negatively affecting the third. Technology, however, provides us with the potential to deliver an effective educational experience to an increasing number of students. As a high-end research university, UNM will investigate and measure some of these approaches and when appropriate provide academic support starting with K-12 and moving through 2-year colleges, to the undergraduate years. UNM will elevate and reward novel and effective teaching, and will encourage the fusion of research into the undergraduate curriculum.
- **Strategy 3: Pursue excellence in unique research areas (spheres of excellence).** While UNM is engaged in many research endeavors, more emphasis should be placed on areas that are New Mexico centric and national laboratories relevant. In 10 years, UNM will be a leader in areas such as water resources and climate, cybersecurity, energy, and health. Space weather and high energy and power applications are not of global interest but New Mexico's

national laboratories and UNM play an oversized role in their research and applications.

APPENDICES

Appendix 1

University Council for Academic Planning
Membership 2012

Member Name	Department		Title
Geraldine Forbes	Architecture	and	Dean & Chair of UCAP
Porus	Planning		Consultant for
Olpadwala	Architecture	and	UCAP Interim
Chaouki	Planning		Provost
Abdallah	Provost		Chief of Staff
Melissa Vargas	Office		Assoc. Provost for Academic

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Martha	University Libraries	Dean
Bedard Holly	HSC - IT	Assoc. Vice President
Buchanan	Anderson School of	Dean
Doug Brown	Management	Vice Provost
Jeronimo Dominguez	Extended University	Sr. Vice
Michael	Provost Office	Provost Vice
Dougher Julia	OVPR	President Sr.
Fulghum Jean	College of Nursing	Assoc. Dean
Giddens	College of	Executive Associate Dean for Education
Don Godwin	Pharmacy IT	Chief Information Officer
Gil Gonzales	Human Resources	Vice President
Helen	Student Affairs	Assoc. Vice President
Gonzales Tim	College of	Dean
Gutierrez	Education	University Planning Officer
Richard	University Planning	International Rep, Associate
Howell Mary	Provost Office	Provost Acting Dean
Kenney	University College	Dean
Natasha Kolchevska	Continuing	President-
Kate Krause	Education Faculty	elect Interim
Rita Martinez-Purson	Senate	Dean
Amy Neel	College of Arts & Sciences	President
Mark Peceny	GPSA	President
Katie	ASUN	Dean
Richardson	M	Branch Rep, Dean of Instruction
Jaymie Roybal	School of	Assoc. Vice President
Catalin Roman	Engineering	Dean
Richard Sax	Valencia Branch	Student Regent

Appendix 2

Discussion Note

Provost's Committee on University Priorities
University of New Mexico

Porus Olpadwala
UCAP Consultant and Dean Emeritus,
College of Architecture, Art and Planning, Cornell University

November 2011

Decentralized operation is a leading characteristic of United States higher education. Thousands of colleges and Universities make innumerable decisions that essentially are independent of each other and outside influences. But as in all decentralized systems they require broadly accepted themes and goals to guide choice and avoid anarchy.

Themes and goals need to be amended from time to time as external circumstances and internal considerations evolve. This would be one such time for UNM. Externally all higher education has suffered a steep decline in public trust and financial support. Internally, the University is in the midst of renewing its most senior leadership. This is an opportune moment to take stock and weigh options.

The two most common ways of taking academic stock are through central high-level commissions and more participatory approaches that start in departments and administrative units and build upwards. Each has its pros and cons but both are inclined to be parochial. Whether for department or University, the tendency is to accentuate and gild the positive, overlook or discount the negative and proclaim how much better things would be with more resources. Most such efforts generate little enthusiasm while underway and scant change when complete.

Higher education's current predicament demands a considerably more thoughtful approach. We are in the unenviable position of having all our constituencies unhappy at the same time. Students and parents complain about ratcheting costs, burdensome debt and inadequate attention from faculty. Legislators, some alumni and the public add to that unpreparedness of graduates to join the work force, the quality of faculty scholarship, and a perceived leisurely lifestyle. Faculty are displeased by endless budget stringency, uninterrupted grant writing, growing pressures to become more entrepreneurial, expansions in non-academic bureaucracies and administrative intrusions into academic terrain. Non-academic employees are even more unsettled by budget cutbacks, layoffs and added job duties.

A business as usual outlook would only prolong the disquiet and postpone the day of reckoning. Instead, before broaching the achievements and prospects of individual units, we might examine first how the University conceived of its roles and responsibilities historically, how it does so today, and what has been the practical impact of the conscious and subconscious changes in philosophy and mentality. We may term these first order of considerations. It is only after this that we should get to the more traditional second order approaches rooted in the accomplishments and desires of separate units.

It is possible to generalize the most salient changes that have taken place in research Universities over the past half-century. They include, in no particular order, tuition increases beyond the rate of inflation, regular building sprees, steep increases in the per capita cost of maintaining science and scientists, a vastly increased temporary (contingent) faculty, greatly enlarged business interests and activities, significant investments in media and publicity, expanded electronic and geographic reach, increasingly intense competition in more aspects of their operations, and defensiveness and denial in the face of external criticism.

Most of these characteristics are interrelated. Two in particular have the widest reach—the inability to control costs and the presence of intense competition. They also have the greatest mutual interconnection and so are prime candidates to begin the exploration of first order considerations.

“Follow the money” is as useful an adage in academia as elsewhere. A full-cost analysis of where financial resources come from and what they are spent is a key starting point toward discerning changing mores and norms. The accounting goal would not be to compare relative gains and losses of individual units (that comes later) but to detect changes in University priorities and direction and try to interpret the academic and social dynamic behind them.

Any discussion of following the money would involve also the nature and role of academic competition. The explosion in the scope and intensity

of institutional rivalry is a defining feature of recent decades. We seem often to compete just for sake of competing, without much regard for consequences and with scant introspection about why we do so. Is so much vying really necessary? What is the purpose and what does it achieve? The issue needs urgent airing in light of egregious contention's harmful consequences.

The two inquiries will combine to shed substantial light on the other first order issues—why we build so much, why we employ so many contingent faculty, why we always are looking to grow... As and more important, they will lead to deeper considerations of ethos, outlook and philosophy—our *raison d'être*, who we are as an institution and as a profession, who we serve and who we are meant to serve.

Out of these deliberations will emerge building blocks and decision criteria to apply to the second order review of where we stand and where we wish to go? Implemented this way, the exercise should be more interesting and the results more actionable. Even if, at its close, we choose not to do too many things too differently, it still would have been worth it, for we will have made our choices with a greater awareness and knowledge of our situation and the tasks before us.

Appendix 3

University Council on Academic Priorities Wednesday, November 30, 2011 5:00 pm

Agenda

1. Welcome (Provost)
2. Brief self- introductions
3. Plan of work (Provost and UCAP chair Forbes)
 - a) Tentative project schedule
 - b) Resource people for data
 - Mark Chisolm (student and faculty data)
 - Curtis Porter (financial data)
 - (physical plant, buildings and properties)
 - (personnel)
 - c) Discussion of substantive issues (below)
 - d) Decide leadership for sub-groups
 - e) Next meeting date
4. Other business

Substantive issues

You are provided maximum flexibility in your deliberations and suggestions regarding academic priorities. However, I do require your thoughts on the following as part of what you produce.

1. Most academic plans start from the university's current configuration and then think of the changes that may be needed. An alternate method would be to begin by visualizing what a brand new university ideally would look like that

was designed to meet today's needs and then reconcile that with the existing institution. This would free us, at least in theory, from "history's burdens" and I would like for you to devote some time to this exercise.

2. No matter what method is chosen for academic re-appraisal, values invariably are at the core. Please note for me the value systems you have chosen to apply. In particular, I would like for you to consider (a) whether all citizens have a right to higher education and (b) what are the essential purposes of public universities in our time and how do they differ from private universities.

3. Four important features of higher education in the past half century have been (a) the inability to contain costs, (b) a proclivity for growth, (c) an increase in the intensity and reach of competitive behaviors and (d) commercialization of the academy, including and especially outsourcing instruction to contingent faculty. Were these developments inevitable or might we perhaps have taken alternate courses?

4. Now focusing on UNM specifically, we need to evaluate (a) our essential purpose, i.e., who were we created to serve? what are our essential obligations and to whom? and (b) how this may have changed over time and why.

Academic priorities

With these as substantive background, we can turn to the review of our academic priorities. Once again, you are welcome to explore as widely as you like but please also be sure to include the following in your deliberations.

1. How should we balance accessibility, quality and standards to best serve all our constituents and in particular underprivileged minority populations.

2. How should we relate to other institutions of higher education in the state? Should NM have a state university system along the lines of Cal and SUNY and what should be our place in it?

3. What should our approach be to the idea of competition between colleges and universities? Who decides who are our competitors and on what bases is this done?

4. How should we relate to the city of Albuquerque and the State of New Mexico?

5. What is the state of internal governance in the university? Does the faculty have a key role here or are important decisions made in other forums?

6. Last but probably most important, what about costs? Why do we need to

keep raising tuition beyond inflation? What place does competition? big science play? in this.

Appendix 4

University Council on Academic Priorities (UCAP) Feedback on the “Big Questions & Ideas” December 2011

Chaouki Abdallah (his notes from the November 30 kick-off meeting)

My Questions:

- 1) UNM should be what? Who do we serve? Are we New Mexico’s university or the University of New Mexico? What would we want UNM to be in x years? These should be our priorities.
- 2) Global Footprint. How big should it be and where?
- 3) Can we leapfrog other institutions? Who, if anyone, should we emulate? Can we hold tuition constant yet still make money? Can we do it using other models (pay more after graduation?)
- 4) What can we eliminate from our current portfolio? (Services as well as programs).

- 5) Do departments and schools still make sense? Can we save by eliminating departments/schools? How do we pay for new services if we do not take things out?

Focus Areas:

- 1) Geographical Influence: Local Impact (education, economic), Global Impact.
- 2) Lasting impact (over time, fundamental education/research). The main difference between a flagship research university & others is the timeframe: We educate for life, while they educate for immediate employability.
- 3) How do we tap our Alumni/friends?

Porus Olpadwala

At our November 30 gathering the group hinted at their greatest concerns by spending most of the time on:

1. Improving undergraduate education.
2. Defining UNM's place in and contributions to New Mexico's higher education establishment.
3. Determining the university's comparative advantage -- locally, nationally and globally.

To analyze these three, and possibly all the others that the Council comes up with, we also will need to :

4. Produce a detailed understanding of university finances.
5. Evaluate what we feel about the principle and practice of academic completion.
6. Construct a common understanding of the essential purpose and role of higher education, to include especially UNM.

Each of major focus areas we choose would be the purview of a committee.

Each topic will incorporate secondary issues to be addressed by subcommittees. Taking undergraduate education as an example, we have questions of openness, accessibility, cost, time to graduation, methods of instruction including the use of contingent faculty, experience while on campus, etc. Similarly, an analysis of university finances would cover a whole range of sub-issues including the cost of big science, the effects of competition and the impact of commercial operations.

Since the major focuses will be deeply interconnected it would be advantageous to encourage member-overlap between sub-committees. For instance, one of the members of the cost of education subcommittee could participate profitably in a subcommittee on university finances.

This type of formulation suggests a higher likelihood of the separate inquiries coming together at the end into a discrete set of interconnected ideas and suggestions and not remain amorphous or diffuse.

1. Most academic plans start from the university's current configuration and then think of the changes that may be needed. An alternate method would be to begin by visualizing what a brand new university ideally would look like that was designed to meet today's needs and then reconcile that with the existing institution. This would free us, at least in theory, from "history's burdens" and I would like for you to devote some time to this exercise.
2. No matter what method is chosen for academic re-appraisal, values invariably are at the core. Please note for me the value systems you have chosen to apply. In particular, I would like for you to consider (a) whether all citizens have a right to higher education and (b) what are the essential purposes of public universities in our time and how do they differ from private universities.
3. Four important features of higher education in the past half century have been (a) the inability to contain costs, (b) a proclivity for growth, (c) an increase in the intensity and reach of competitive behaviors and (d) commercialization of the academy, including and especially outsourcing instruction to contingent faculty. Were these developments inevitable or might we perhaps have taken alternate courses?
4. Now focusing on UNM specifically, we need to evaluate (a) our essential purpose, i.e., who were we created to serve? what are our essential obligations and to whom? and (b) how this may have changed over time and why.

Academic priorities

With these as substantive background, we can turn to the review of our academic priorities. Once again, you are welcome to explore as widely as you like but please also be sure to include the following in your deliberations.

1. How should we balance accessibility, quality and standards to best serve all our constituents and in particular underprivileged minority populations.
2. How should we relate to other institutions of higher education in the state? Should NM have a state university system along the lines of Cal and SUNY and what should be our place in it?
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4. How should we relate to the city of Albuquerque and the State of New Mexico?
5. What is the state of internal governance in the university? Does the faculty have a key role here or are important decisions made in other forums?

6. Last but probably most important, what about costs? Why do we need to keep raising tuition beyond inflation? What place does competition? big science play? in this.

University & HSC Libraries (Dean of University Libraries Martha Bedard & Holly Buchanan, AVP for Knowledge Management & IT for Health Sciences):

First, the whole group should discuss the Academic mission: what type of academic institution should UNM be and what are the challenges and opportunities for this.

Once the academic mission is defined, two groups should be commissioned to discuss:

1. Students: what challenges and opportunities exist in the areas of accessibility, quality, and standards.
2. The faculty and its voice: what challenges and opportunities exist in this area.

As the groups discuss topics # 1 and #2, discussion in each group should include at least two cross-cutting themes:

- a. Libraries and scholarly communication: what challenges and opportunities exist in these areas in support of the academic mission.
- b. Facilities, infrastructure, information technology, and staff: what challenges and opportunities exist in this area in support of the academic mission.

Kate Krause, Interim Director (soon to be Interim Dean) of University College

1. Are our Freshman programs rigorous enough and effective at transitioning incoming students to degree-granting colleges?
2. How (should?) we implement interdisciplinary initiatives in an institution that has formal and discrete budgetary, oversight and administrative units? (I favor interdisciplinary curriculum.)
 - 2.a. Can we come up with a format/unit/school that offers high-quality rigorous integrative curriculum to Honors and other undergraduates? How would we assure on-going quality control there?
3. How do (should) we lower administrative and bureaucratic hurdles while raising academic ones?
4. Alignment of incentives (financial, intrinsic) with mission: Good teaching is not financially rewarded or respected. Student satisfaction surveys (IDEA, ICES) get in the way of – are a disincentive to - enforcing rigor and student responsibility.
5. Low expectations insult our students and become self-fulfilling. We should foster a culture of responsible student behavior – class attendance, assignment completion, deadline compliance, academic honesty and integrity (punish academic dishonesty).

Michael Dougher, Sr. Vice Provost for Academic Affairs

1. How do we best encourage AND integrate multi/interdisciplinary programs at UNM?
2. How do we come to grips with the reality that an education at a research university is expensive and that we're kidding ourselves in trying to do it "on the cheap." Ultimately, you get what you pay for.
3. Related to #2, how do we balance accessibility and excellence, or is that just a slogan?
4. How do we objectively identify the academic strengths at the university and make the tough decisions to allocate resources accordingly? By objective, I'm not referring to strongly felt beliefs or historical or political justifications, but a real assessment of academic strength.
5. How do we attract more of the best and brightest high school students to UNM?

Donald Godwin, Interim Dean of Pharmacy

- 1) Increase HS graduation requirements to encourage seniors to continue academic preparation for College
- 2) Increase dual credit available to students while in high school, particularly in the small rural communities
- 3) Change Lottery scholarship to allow a year or two after HS graduation to start college and then provide 8 semesters (may need to increase criteria to maintain scholarship to offset cost)
- 4) Increase admissions criteria for main campus UNM and partner with branch campuses and community colleges to better prepare students for a degree program
- 5) Maintain Freshman Academic Choices to build cohorts of students, but perhaps eliminate the requirement of living together as the cost of on campus housing can be prohibitive for some students
- 6) Allow UNM students to declare major earlier in their academic career. Possibly after freshman year or even upon matriculation. This would provide them with more of an academic home within UNM

Chris Vallejos & Lisa Marbury, Institutional Support Services

- 1) What is the mix of on-line and traditional content (or other types...) going to be in the next 2 years, 5 years, 10 years?
- 2) How is the Academic Plan going to fit into the Campus Master Plan and current facilities (including analysis of space utilization)?

3) How can we drive up enrollment in international, non-resident, and graduate students?

4) How should we balance our needs of providing access for New Mexicans (as the Flagship University), providing for some remediation, and increasing admission standards?

5) How can we engage in a thoughtful and inclusive process to perform an institutional program assessment?

Kevin Washburn, Dean of the Law School

I have two that I am interested in pursuing.

One is the idea of developing community. Developing a strong sense of community among our students is key to providing a rich, supportive intellectual environment where students can succeed. We do pretty well on this metric at the law school, and I would like to discuss how we can do it better in other educational communities on campus.

Second, I am interested in the idea of how we break down barriers between departments, disciplines and even colleges toward more interdisciplinary work. I am open to the idea that universities must be completely re-organized. I am not sure if it is ultimately a good idea, but I think that it needs to be explored.

Richard Sax (Branch Campus representative – Valencia)

1. What can/should UNM do to leverage the geography and climate of its location? Should we resource more fully areas like renewable energy and solar power, even the Spaceport in south-central New Mexico?
2. Should our strategic planning include a higher percentage of residential students (especially with new dormitories opening in each of the next two years)? What can we do to develop desirable living-learning communities and the creation of “residential colleges,” perhaps thematically organized, perhaps even with residential faculty?
3. Should Branch Campuses investigate the possibility of offering a small number of stipulated bachelors programs which could be pursued wholly on their own campuses, both to serve better their respective local regional populations and to avoid overcrowding on Main Campus?
4. Should there be aspirational goals and/or limitations concerning the percentage of out-of-state and international students, both for purposes of revenue enhancement and to make the student body more cosmopolitan? Can we do this and still serve well the citizens of New Mexico?

Julia Fulghum, Vice President for Research

I think we should consider having a group look at how the new higher ed funding formula will/should/could impact graduate program development and

restructuring, and graduate student recruiting. This discussion could include: Given that the research universities are being incentivized to have MS and PhD graduates, should we foster the development of 3+2 or 4+1 programs that lead readily from undergrad to MS degrees? Should we encourage development of 1 year MS programs as a way to attract more graduate students, with the idea that we then recruit the best into PhD programs?

Are there graduate programs that could be developed that will attract more students from the national research labs and small companies? Are we effectively using our recruiting and fellowship resources? How do we use our improving relationships with the national research labs to attract in- and out-of-state graduate students?

And so on.....

Mark Peceny, Interim Dean of Arts & Sciences

How can we make UNM the national leader in providing a flagship education to the emerging American majority?

Douglas Brown, Dean of the Anderson School of Management

My big issue is UNM's laying the infrastructure needed to support multi-disciplinary programs.

Kate Henz, Associate Director for Finance, Provost's Office

1. What is the University of New Mexico's purpose?
2. What should the faculty teach, and how should they teach it?
3. Who teaches and under what terms?
4. Who measures quality, and who decides what measures to apply?
5. Who pays for education and research?
6. Who benefits?
7. Who governs and how?
8. What and how much public service is part of a university's mission?
9. What are appropriate alliances, partnerships, and sponsorships?
10. Do we continue to encourage doctoral candidates to seek T/TT positions when only 35% of all college and university positions are T/TT?
11. Does the scholarly monograph have a future? Is our research too narrowly focused?
12. Is our current structure (Colleges/Schools/Departments) help or hinder academic collaboration and interdisciplinary teaching and research?

In relation to the Master Facility Plans:

1. How will online education affect the need for classroom space?

2. What research space needs are required and where? - Lab space in Engineering/Physics & Astronomy? Who are the centers that we want to grow and nurture? Where are the emerging centers?
3. How big do we want to be?
4. Do we continue to be a commuter campus? Do we invest in parking or dorms?
5. What specialized facilities are needed to create the appropriate learning spaces for students?

Helen Gonzales, Vice President for Human Resources

I think one of the fundamental questions for the University is "what are the strengths of the University or areas of unique potential that are not being emphasized?" How can we capitalize and emphasize those strengths?

Each of the Presidential finalists was asked about retention and graduation rates. I believe the expectation on that individual is to make substantial progress in that area. I would expect the next President to focus a lot of time energy on those issues. What can this committee do to support that effort?

Catalin Roman

Aspirations:

UNM should be recognized and in fact be a force for economic development and an intellectual leader in the state.

Strategy:

UNM cannot achieve a leadership position in isolation, it has to be treated as a desirable and reliable partner by other leading scientific and cultural institutions in the state.

Marketing:

UNM should rally behind the notion of upward mobility for students, faculty, and units--all striving to reach higher levels of performance across the board.

Political Reality:

UNM attempts to increase admission requirements and to secure funding for a higher set of aspirations must entail a system-wide approach (collaboration with all UNM educational institutions and more) and a willingness to eliminate programs and units that are not able to achieve excellence.

Strategic Areas:

UNM should focus its energy on initiatives and areas the can achieve excellence and national visibility, that are critical to the future of our state, or that are unique due to our geopolitical situation.

Shedding the Vestiges of the Past:

UNM needs to move away from a culture of "personality-centered management" to one that places the institution and its aspirations above narrow personal and territorial interests.

Smart Business:

UNM needs to adopt better processes motivated by sound business models and incentive systems that reflect the values of the institution and reward excellence.

Faculty Buy-in:

UNM desperately needs to move to a merit-based compensation system, if it is to retain and recruit top talent.

Appendix 5

University Council on Academic Priorities
Preliminary Responses

FOCUS/ISSUES

	Provost	Forbes	Bedard	Brown	Buchanan	Desai	Dominguez	Dougher	Fulghum	Giddens	Godwin	Gonzales, G.	Gonzales, H	Gutierrez	Henz	Howell	Kenney	Krause	Linnell	Marbuty	Martinez	Neel	Peceny	Roman	Sax	Vallejos	Vargas	Washburn	Wellman		
Values. Value systems	x	x	x		x	x									x								x	x	x		x		10		
Who do we serve?														x														x			
Purpose of higher education																															
Service to "emerging majority"																															
Attitude towards competition														x																	
Comparative advantage	x	x											x		x									x	x				6		
UNM in New Mexico																															
Notion of a flagship university																															
Global footprint	x																										x				
Internal governance			x		x										x															3	
Role and voice of faculty																															
Improving UG education	x	x	x		x	x		x		x		x		x				x		x		x			x	x		x	x	16	
Access, affordability, standards														x																	
Retention														x																	
Incentives for good teaching														x																	
Contingent faculty																															
Community																															
On campus housing																															
Rationalize branch instruction																															
Academics and athletics																															
New Institutional Models	x	x		x			x							x				x		x				x		x		x	x	11	
Interdisciplinary the norm														x																	
Rationalize prog. assessment														x																	
Relationship to city, state																															
Smart Growth																												x	x		
Financial analysis	x	x					x								x															4	
Reduce costs																															
New tuition models														x																	
Cost to UNM of research																															
Economic impact																															
Research	x							x							x															3	
Graduate Education																												x			
Link with national laboratories																															
State funding formula																															
Infrastructure and facilities			x		x																x						x			4	
Use of space														x														x			
Libraries																															
	7	5	4	1	4	2	3	1	1	1	2	9	7	2	3	1	1	3	3	3	3	3	3	3	6	3	2	57			

Academic Plan Themes & Work Groups

Membership:

- Co-chairs were selected by Provost Abdallah & Dean Geraldine Forbes, Chair of UCAP
- Potential UCAP Member list for each group was derived from self-selection process at 12/21/11 meeting but it is not a mandatory list of members for each group
- Representation from ASUNM, GPSA, Faculty Senate and Staff Council will be solicited for each work group by the Provost's Office
- Co-chairs will be responsible for populating the remaining membership of their work groups ensuring broad representation from across campus

1. Value/Value Systems & Comparative Advantage (Co-chairs Douglas Brown & Rita Martinez-Purson)

Who do we serve?

Purpose of higher education

Service to "emerging majority"

Attitude towards competition

UNM in New Mexico

Notion of a flagship university

Global footprint

Comparative advantage

- Infrastructure and Facilities
- Libraries

(Potential UCAP Members: Martha Bedard, Holly Buchanan, Michael Dougher, Gil Gonzales, Tim Gutierrez, Gary Harrison, Mary Kenney, Mark Peceny, Richard Sax, Jake Wellman)

2. Improving Undergraduate Education (Co-chairs Kevin Washburn, Mark Peceny, Donald Godwin)

Access, affordability, standards

Retention

Incentives for good teaching

Contingent faculty

On campus housing

Rationalize branch instruction

Academics & athletics

(Potential UCAP Members: Michael Dougher, Donald Godwin, Gil Gonzales, Kate Krause, Rita Martinez-Purson, Richard Sax, Jake Wellman)

3. New Institutional Models (Co-chairs Michael Dougher, Catalin Roman)

Interdisciplinary the norm

Rationalize program assessment

Relationship to city and state

Smart growth

Role and voice of faculty

(Potential UCAP Members: Martha Bedard, Doug Brown, Holly Buchanan, Jean Giddens, Gil Gonzales, Richard Howell, Kate Krause, Rita Martinez-Purson, Catalin Roman, Kevin Washburn, Jake Wellman)

4. Research & Graduate Education (Co-chairs Julia Fulghum, Gary Harrison)

Role/cost of being the flagship Research I institution in the State

State funding formula

Link with national laboratories

(Potential UCAP Members: Holly Buchanan, Jean Giddens, Donald Godwin, Tim Gutierrez, Gary Harrison, Richard Howell, Mark Peceny, Catalin Roman)

5. Financial Analysis (Co-chairs Curtis Porter, Martha Bedard)

Reduce costs

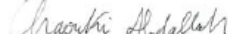
New tuition models

Economic impact

(Potential UCAP Members: Douglas Brown, Julia Fulghum, Chris Vallejos, Jake Wellman)

Appendix 7

To: University Council on Academic Priorities (UCAP) Work Group Chairs
Martha Bedard, Dean of University Libraries
Douglas Brown, Dean of Anderson Schools of Management
Michael Dougher, Sr. Vice Provost of Academic Affairs
Julia Fulghum, VP Research & Economic Development
Donald Godwin, Executive Associate Dean for Education
Gary Harrison, Dean of Graduate Studies
Kate Krause, Interim Director of University College
Rita Martinez-Purson, Dean of Continuing Education
Mark Peceny, Dean of Arts & Sciences
Curtis Porter, AVP for Academic Administration
Catalin Roman, Dean of Engineering
Kevin Washburn, Dean of Law School

From: Chaouki Abdallah, Interim Provost & EVP for Academic Affairs 

C: Geraldine Forbes, Dean of A&P & Chair of the UCAP
Porus Olpodwala, UCAP Consultant
Melissa Vargas, Chief of Staff/Strategic Planner

Date: January 19, 2012

Subject: **UCAP Instructions for Work Group Chairs**

Thank you for agreeing to serve as co-chairs of one of the five work groups of the University Council on Academic Priorities (UCAP). Your leadership will be important in facilitating inclusive discussions about the themes and how they relate to our future. With regard to membership of the workgroups, we are using the following criteria:

- Co-chairs were selected by Provost Abdallah & Dean Geraldine Forbes, Chair of UCAP
- The “potential UCAP membership list” for each group (listed below) was derived from self-selection process at 12/21/11 meeting but you are not required to choose those individuals to serve
- Representation from ASUNM, GPSA, Faculty Senate and Staff Council has been solicited for each work group by the Provost’s Office – nominations are due January 20.
- Co-chairs will be responsible for populating the remaining membership of their work groups ensuring broad representation from across campus while also keeping the size manageable.

For those of you who were available, we had an introductory meeting on January 6, 2012 to outline the process and expected outcomes. For those of you unable to attend the meeting, we want to provide additional guidance in a number of areas.

Once your work groups are assembled, we ask that you work to take the themes and add, detract, and shape the topics based on the original feedback from UCAP members and, most importantly, the ideas of your work group and develop your initial thoughts. If you have specific financial or institutional data needs during your deliberations, please direct your requests to Curtis Porter at cporter@unm.edu.

In order to maintain some degree of consistency in the draft reports, we have decided to provide desired format based on the attached sample document from the University of California (USC). It uses the following outline:

- Theme
- Questions
- Rationale
- Preliminary Ideas/Suggested Approaches
- Conclusion

If you are interested in a copy of the entire USC document, please contact jenlov22@unm.edu.

Draft reports are due to the Provost's Office on March 15, 2012. You may contact me, Geraldine or Melissa if you have specific questions.

Work Group Themes

1. Value/Value Systems & Comparative Advantage (Co-chairs Douglas Brown & Rita Martinez-Purson)

Who do we serve?

Purpose of higher education

Service to "emerging majority"

Attitude towards competition

UNM in New Mexico

Notion of a flagship university

Global footprint

Comparative advantage

- Infrastructure and Facilities
- Libraries

(Potential UCAP Members: Martha Bedard, Holly Buchanan, Michael Dougher, Gil Gonzales, Tim Gutierrez, Gary Harrison, Mary Kenney, Mark Peceny, Richard Sax, Jake Wellman)

2. Improving Undergraduate Education (Co-chairs Kevin Washburn, Mark Peceny, Donald Godwin, Kate Krause)

Access, affordability, standards

Retention

Incentives for good teaching

Contingent faculty

On campus housing

Rationalize branch instruction

Academics & athletics

(Potential UCAP Members: Michael Dougher, Donald Godwin, Gil Gonzales, Kate Krause, Rita Martinez-Purson, Richard Sax, Jake Wellman)

3. New Institutional Models (Co-chairs Michael Dougher, Catalin Roman)

Interdisciplinary the norm

Rationalize program assessment

Relationship to city and state

Smart growth

Role and voice of faculty

(Potential UCAP Members: Martha Bedard, Doug Brown, Holly Buchanan, Jean Giddens, Gil Gonzales, Richard Howell, Kate Krause, Rita Martinez-Purson, Catalin Roman, Kevin Washburn, Jake Wellman)

4. Research & Graduate Education (Co-chairs Julia Fulghum, Gary Harrison)

Role/cost of being the flagship Research I institution in the State

State funding formula

Link with national laboratories

(Potential UCAP Members: Holly Buchanan, Jean Giddens, Donald Godwin, Tim Gutierrez, Gary Harrison, Richard Howell, Mark Peceny, Catalin Roman)

5. Financial Analysis (Co-chairs Curtis Porter, Martha Bedard)

Reduce costs

New tuition models

Economic impact

(Potential UCAP Members: Douglas Brown, Julia Fulghum, Chris Vallejos, Jake Wellman)

Appendix 8

Comments on First Set of UCAP reports

March 25, 2012

General Comments:

The drafts are very preliminary. This is not surprising given our compressed time frame and the many other responsibilities of the participants. But it nevertheless is a drawback given the intention of the president-elect to embark almost immediately on strategic planning. If we wish to make a good first impression and, much more important, put our stamp on the university's future, our product needs to be perfected soon.

People initially were wary that this would turn out to be yet another standard strategic planning exercise. Yet given the opportunity to attempt something different, and being encouraged to do so, we have produced what we have wished to eschew. I think we need to think bigger and farther.

The comments below are specific to each subgroup. In some cases they may be more specific than need be at this stage, but should be taken into consideration as we move forward.

Values, value systems, competition

1. The report advances a single value proposition endorsing the combination of access cum excellence for UNM's undergraduate education. It specifies a series of goals without (a) discussing their possible prioritization or (b) suggesting how they may be furthered.

2. The document neglects a number of issues that the group developed in its initial charter. It simply mentions in a single line each (a) engagement with the community and the city, and (b) our attitude and responsibility towards our staff, particularly (c) contingent faculty. There is no reference to (d) who we should compete with and on which terms, (e) international issues, (f) whether and to what extent we should encourage academic entrepreneurship and (g) business oriented thinking and models. All these need to be covered.

3. Bullet #8. Offered for discussion: Is it a (any) university's responsibility to undertake economic development for its home region?

4. Some editorial points:

Bullet #2. What does "consistent articulation" mean and of what?

Bullet #6. I would think that a "commitment to integrity" is axiomatic in a (any) good university and thus not deserving of special highlight as a "defining attribute." Suggest leaving it out.

Bullet #7. Details needed about how the "corrosive influence of sport" is to be resisted, otherwise it remains a matter of re-stating the obvious to no

benefit.

5. “Role as flagship,” first paragraph. Surely “creating knowledge” has been a goal of our faculty through our history?

6. “Role as flagship,” fifth paragraph. What is “America’s new emerging majority?” We have been using this shorthand and I presume it to mean a Hispanic/Latino majority (or more generally minority/majority), but it will probably need to be defined in a report that will be disseminated broadly.

Improving undergraduate education

1. “Question.” Why is the focus on improving success limited to “the moment they walk into their majors” and not the entire undergraduate experience?

2. “Rationale and Central Goals.” We need to define the emerging American majority (see #6 above).

3. It seems that the piece is the core/ Arts and Science specific. We need consideration also of the undergraduate experience beyond the core and in other schools/ colleges.

4. The report acknowledges that implementing its many sensible suggestions would require “millions of dollars” of up front investment (more and smaller recitation sections, more tenure track faculty, more teaching assistants, a larger administrative apparatus perhaps, new facilities . . .). We will need to prioritize the recommendations and (eventually) cost them in conjunction with the resource allocation group, and in collaboration with the new institutional models group.

5. In this case too there are a number of issues that members included in the original charge but are not covered here: (a) enabling affordability and access for undergraduates, (b) the roles of and incentives for teaching and advising in tenure track faculty responsibilities, (c) our attitude to contingent faculty, (d) whether we should be more of a residential institution and (e) the role and place of athletics, club and varsity.

Graduate education

1. This is a comprehensive preliminary account of what might be done to expand and improve graduate education once that decision is taken. But it does not address why graduate education should be expanded relative to undergraduate study. It also does not consider the opportunity costs of doing so but seems to assume that its own increased revenues will fund the expansion. Is that guaranteed in general or only if we had out-of-state and fully-paying students? maybe the resource allocation group can produce models to show how in the long term, the funding model will work to our favor.

2. Para 4. Are there other ways of determining the appropriate proportions of graduate and undergraduate study for UNM beyond looking at the ratios of leading research universities? And are Penn, USC, Wisconsin and UT-Austin the best comparisons? how about aspirational schools with similar demographics such as ASU?

3. Para 4. Why would an increase in graduate study not affect undergraduates? (a) At a minimum, assuming there is a cap on the total number of students on the Albuquerque campus, undergraduate enrollment would be held steady or even decrease (how about considering the effect of EU/online/certificates?). (b) More sponsored research tends to increase the number of contingent faculty as tenure track professors buy out teaching time. (c) Every dollar of sponsored research brought in requires between ten and twenty cents of funding from the receiving institution. With more research, these monies would have to be found from somewhere, including undergraduate coffers. While the long-term benefit is obvious, some supporting information from the financial/resource group is needed.

4. The report needs to differentiate more closely the costs and benefits, for students and the university, between graduate study for doctorates and professional masters degrees (MBA, Law, etc.)

5. Most important, we still await a response on the research portion of the report. The subtopics that the group had identified for exploration are (a) the cost to the university of sponsored research, (b) economic impact on the university, community and state, (c) link with the state funding formula and (d) potential for collaboration with national laboratories. This is one of the most critical aspects of the entire UCAP exercise and the report and we cannot complete it without addressing these issues.

Resource Allocation Models

1. This is a “service” enterprise and further work will depend on what the other groups come up with. However, there are four critical issues that may be clarified without waiting for inputs from the rest of the groups.

2. The report presents six discrete models for resource allocation with their separate pros and cons. Is it possible to conceive of sets of hybrids that might balance and supplement the pros and cons of the individual models, for instance, we could undertake PPBS and/or RCB analyses not for direct allocation decisions but as supporting analyses for the more standard incremental budgeting? There must be other such possibilities.

3. The group should calculate for UNM the average cost to the university of every dollar of sponsored research brought in. I believe this number already exists in some form and could be updated/ refined.

4. The group should start collecting and making available to UCAP financial data

that invariably will be the base of the actual strategic planning to follow. These are listed in the appendix.

5. Perhaps most important aspect of the appendix for this group is the exercise listed under Item III -- separating categories of costs by ease of addressing or independence of control. This is a technical issue that the resource allocation group can tackle on its own.

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Appendix UCAP data requested of resource allocation group

I. How much do we spend?

Annual operating expenditure by unit

- Colleges and departments

- Library

- Administrative units and major sub-units

 - Student services, buildings and properties, alumni and development, IT, communications and media, HR, accounts, athletics, safety, health . . .

Annual expenditures by function

- Salaries

 - Academic

 - Professorial

 - Research

 - Administration

- Student aid

- Buildings and physical plant

 - New construction: GSF, NASF, cost

 - Science

 - Athletics

 - Libraries

 - Residence

 - Parking

 - Administration

 - Other

 - Maintenance, same categories

- Debt service

- Other

II. Where does the money come from?

- Tuition and fees

- State appropriations by major category

- Federal appropriations by category

- Investment distributions/ income

- Unrestricted gifts
- Restricted gifts
- Grants and contracts
- Sponsored Programs (direct and indirect cost recoveries)
 - State, federal, other public
 - Corporate
- Enterprise sales and service
- Other services and sources
- Debt

III. Controlling costs will remain critical into the foreseeable future. As such, we need maximum information on key categories.

Some costs are externally imposed and unavoidable:

- Government mandates and policy
 - Federal: OSHA, OEO, ADA, financial aid regulations
 - State: level of support; share of higher education in state budget

These expenditures also are unavoidable in practice but with some flexibility in setting levels:

- Libraries
- Information technology
- Sponsored research
- Remedial education
- Mental health services
- Career and placement services
- Competition for students and faculty
 - Enrollment management expenses
 - Student comforts and entertainment
- Maintenance of physical plant
- Parking

These outlays contain the most degrees of freedom:

- eLearning, distance learning
- Athletics
- University communications and media
- Business incubators
- Satellite campuses
- Increased support of municipal services

Appendix 9.1

UNM Council on Academic Planning Statement on Value/Value Systems and Comparative Advantages April 23, 2012

Sub-committee Members: Terry Babbitt (Enrollment); Martha Bedard (Libraries); Maralie Belonge (Continuing Ed); Sue Brawley (Consultant); Carolyn Gonzales ((Communications and Marketing); Tim Gutierrez (Student Services); Gene Henley (Public Affairs Student); Gary Harrison (OGS); Greg Heileman (Provost's office); Mary Kenney (Planning and Campus Development); Mark Peceny (Arts and Sciences); Richard Sax (Valencia); Melissa Vargas (Provost's office); Jacob Wellman (Student Regent); and Co-chairs Doug Brown (Anderson) and Rita Martinez-Purson (Continuing Ed).

Values

As the state's flagship university, we should expect to have the best undergraduate program in the Southwest, and graduate programs that compete nationally, enabling us to attract the best faculty and students. An over-arching value is our commitment to provide access and opportunity for students, while maintaining a commitment to excellence in scholarship.

Strategies to Achieve Value

- Articulation standards among colleges must be improved and enforced. New Mexico has laws that mandate articulation, but they have not been fully implemented and expanded, leading to wasted time and resources and adversely impacting degree completion.
- An emphasis in the new funding formula on degree completion will give UNM recognition for its efforts to attract returning students and for the success of transfer students. The standard six-year graduation rate metric relates only to each cohort of entering freshman. We must redouble our efforts to identify the impediments to student success and implement effective programs for Undergraduate and graduate programs. As Dr. Don Randel put it so succinctly, “We must strive to be pumps, not filters.”
- We should extend our recent efforts to attract highly competitive undergraduate and graduate students, including award-winning scholars at both levels. For undergraduates, we should place a special emphasis upon nationwide recruiting of National Merit Scholars and pursuing New Mexico’s own National Hispanic, National Achievement and Native American scholars; at the graduate level, recruiting distinguished undergraduate students from underrepresented groups who will bring both diversity and merit to our graduate programs. Targeting high-achieving students from contiguous and regional states should also be a priority. Albuquerque’s weather and proximity could be attractive to students seeking an out-of-state university, but scholarship and/or fee waiver resources are also critical enticements. Increasing assistantship opportunities for graduate students is important, but equally or more so would be to offer more fellowships and scholarships, especially for first and second-year graduate students. Expanded recruitment of talented international students at all levels provides enrichment for all and delivers on our commitment to globalization and a positive economic impact on New Mexico.
- A key to maintaining high standards while remaining accessible is to forge effective alliances with our feeder schools, especially UNM’s branch

campuses. UNM's insistence on a more rigorous high school curriculum should provide better prepared students with less need for remedial classes while maintaining our commitment to diversity. Students with substantial remedial educational needs should be directed to community colleges and/or branch campuses for this remediation.

- We must reaffirm and value our diversity as the unique strategic advantage it confers. It provides the environment where our students learn from one another to generate new knowledge to help the world understand and celebrate the value of our differences.
- To ensure that the academic enterprise remains chief among our values, we will be increasingly challenged to maintain a high level of integrity in the university's athletic program. The corrosive influence of big-money sports must continue to be resisted. The average FBS level head football coach realized a salary increase of 35% in 2011. The quaint days when Alabama's legendary coach Bear Bryant refused to accept a salary larger than the university president has given way to current Alabama coach Lou Saban making \$5M/year, which is seven times what their current well-paid (top ten in U.S. among public universities) president makes. We are indeed proud of the exemplary record of UNM athletics in excellent GPA's and graduation rates, but we must recognize that eternal vigilance is required to maintain integrity in this endeavor.
- We must forge alliances with business, government, and workforce development partners to strengthen the economic development of our state and nation.
- We must commit to engagement with our surrounding communities and to serve them through lifelong learning programs, service projects, health and wellness programs, and other meaningful forms of outreach. We demonstrate responsiveness to the constituencies which depend on our university for service.
- We should continually strive to become an employer of choice, attracting and developing excellent leadership, faculty and staff, with a commitment to diversity.

- We must maintain and equip our facilities appropriately to ensure our competitive advantage in both educational and research areas.

Role as a Flagship

Preservation of UNM's status as New Mexico's flagship university is a cherished value. Key drivers are a robust research mission, led by a diverse and nationally recognized faculty and thriving graduate and professional school programs. To maintain and grow our graduate programs, UNM should consider a system of better recruiting, tracking, and supporting graduate students. The graduate (research) enterprise should drive the undergraduate experience. Consideration should be given to encouraging undergraduate research through participation in Council on Undergraduate Research activities.

To provide a comparative advantage for UNM globally as well as nationally, UNM will need the appropriate infrastructure and facilities to support graduate and undergraduate education and the related research. While the 1996 Master Plan located research facilities in the south campus, the 2011 Consolidated Master Plan recognizes the adjacency requirements for additional research facilities on the main campus to enhance student participation. To assist with the infrastructure and facilities planning, more detailed enrollment projections and research expansion plans will need to be completed. We recognize that experience of place matters.

The various schools and colleges at UNM should be committed to helping all other units succeed. There is power in the collective success of all university endeavors that transcends the individual parts and adds strength to all.

We recognize a covenant with the state of New Mexico toward partnerships in economic development. UNM's responsibility involves commitment to economic growth, research and business partnerships, and the development of the state's workforce. Our contribution to the local economy strengthens our case for legislative support as well as voter backing on bond issues for needed capital projects. In the longer run, the resources available to UNM will depend upon the economic health of our community.

Competition and Comparative Advantages

The identity of the competition depends largely on the academic discipline concerned, and while undergraduate programs generally focus on New Mexico and regional competition, graduate programs may relate more to national and international institutions. In a similar manner, UNM's comparative advantages may vary from program to program. Among UNM's overall comparative advantages are a salubrious climate, attractive campus, an affordable lifestyle, a comprehensive academic program, and the multicultural heritage of New Mexico. A unique comparative advantage is UNM's status as the only Research I University which is both Hispanic Serving and Native American Serving. If UNM manages to "get it right" in terms of maintaining its commitment to access and diversity while continuing to make progress in student success and scholarly contributions, we could become a model for other flagship universities which are just learning how to serve successfully America's "emerging majority."

Appendix 9.2

UCAP COMMITTEE ON IMPROVING UNDERGRADUATE EDUCATION

THEME: Improving Undergraduate Education

QUESTION: How can we transform curriculum and instruction at UNM in ways that will improve the success of our students from the moment they walk through the door to the moment they walk into their majors?

RATIONALE AND CENTRAL GOALS:

Our central goal should be to make UNM the national leader in delivering a flagship university education for the emerging American majority. This emerging American majority is likely to be increasingly ethnically and racially diverse and to come from a more inequitable society where the gaps in preparation between students entering college are likely to be more rather than less extreme in the years to come. Achieving this central goal, therefore, means becoming experts in delivering an undergraduate curriculum fully consistent with flagship excellence to a more diverse, more economically disadvantaged, and less well prepared student body than is found in any other flagship university. With a new funding formula that emphasizes course completion and graduates rather than enrollment, the moment is ideal for a systematic and comprehensive effort to advance this central goal.

Although we must seek to improve the quality of curriculum and instruction across multiple dimensions, there are practical reasons to focus on what has become a central metric of student success, graduation rates. Our goal should be to achieve five in five, a five percentage point increase in four and six year graduation rates over the next five years. A five percentage point increase would improve our six year graduation rates to 50% and our four year graduation rates to nearly 20%. The preliminary ideas and suggested approaches outlined below focus most intently on reforms to the way we deliver curriculum and instruction during students' first two years at UNM that can help us achieve this goal. Once students get to the School of Engineering, the Anderson School, or any major in any College, we do a pretty good job in helping students to succeed. This is why we need to focus most of our efforts on getting students to that point.

PRELIMINARY IDEAS/SUGGESTED APPROACHES:

We have held all of our meetings in the Bruce King room at the UNM Law School. Nearly all UNM law school students complete their academic program and pass the bar exam even though they come to the school with very different backgrounds. A central element of that success has been the sense of community that students have been able to forge through a common set of courses during their first year. We can never hope to replicate fully this sense of community and shared experience with 3000+ new undergraduates each year, but we can do many things to move in that direction by ensuring that new students spend more time together in the same set of first year classes, as often as possible in small sections.

Core Curriculum

Moving in this direction demands a systematic assessment of how we deliver the core curriculum at UNM. The central goals of UNM's core curriculum are "to give all students at the University a grounding in the broad knowledge and intellectual values obtained in a liberal arts education and to assure that graduates have a shared academic experience." As presently implemented, the core does a better job of assuring breadth than in creating a shared academic experience. Although students are strongly encouraged to complete their core curriculum early in their academic careers, many choose not to do so. Those that do complete their core courses early in their careers often do not have shared experiences. Fulfilling social and behavioral sciences core requirements by taking Sociology 101 Introduction to Sociology is likely to give students a very different experience than Economics 106, Introduction to Microeconomics because each is designed more to introduce students to their discipline than to introduce students to the shared approaches of all social and behavioral sciences. One of our central challenges is to discover how to make the core curriculum the kind of shared integrative academic experience that can help our students succeed in their first year.

Writing and Speaking: WAC and the Core of the Core

Core writing is the closest thing we now have to a shared first year experience because a large majority of our students now take English 101 and/or English 102 in their first year at UNM. If we embrace a writing across communities (WAC) model for core writing at UNM, this could also provide the glue that can bind parts of the core curriculum together and help to provide the kind of integrative experience that the core now rarely provides. Because the English department has just hired five new tenure track professors with expertise in writing program administration and writing across communities, and the College of Education is collaborating with A&S to hire additional faculty in this field, we are quickly amassing the faculty strength to implement new initiatives in this area.

This integrative experience already takes place in the Freshman Learning Communities (FLCs), where topical courses from other disciplines are directly tied to companion sections of, for the most part, English 101 or English 102. A few of these FLC courses involve sections of courses that are also in the core curriculum. Next fall, six sections of English 102 will be connected to FLCs in a pilot project to develop English 102W courses that will be tied directly to subject matter outside of the discipline of English composition and led by faculty members from a variety of disciplines. In subsequent years, we should expand the FLC concept to the spring semester. The FLCs are one of the most effective mechanisms we have to create the kind of cohort effect among new students that we know advances student success and enhancing and expanding this program is one of the most important things we can do to help our students succeed. We should also tie sections of English 101 and English 102 to large lecture courses in other disciplines so that some subset of students in a large

lecture would be enrolled in a connected English composition course designed to help students learn how to write in the discipline represented in the larger lecture class. This could be an effective extension of the existing concept of the Freshman Interest Groups.

Math Emporium and QUAC

Math core has always been a greater barrier to student success than writing core. Eight of the ten courses on the list of courses with the highest failure rate for spring 2011 were math courses, including a two-thirds failure or withdrawal rate for Math 120, the gateway course to the courses that fulfill the core curriculum requirement. Our goal in fall 2012 is to mount a pilot project of the Math Emporium model for Math 120 that we plan to scale up in subsequent semesters. The Math Emporium model flips the traditional instructional model on its head. Rather than ask students to attend three live lecture sections per week and do their homework at home, the Math Emporium delivers the content on-line and then asks students to attend three hours of dedicated homework time in a specially designed and staffed learning center, which allows for interactive learning.

In another innovation for the fall, we will take our first step toward Quant Across Communities (QUAC) with an FLC of Political Science 200 American Politics tied to a section of Statistics 145. We hope this will be a first step toward replicating the practice in English composition of linking core math courses to topical courses in other disciplines, through FLCs and other initiatives similar to those being pursued in writing across communities.

Delivering the Rest of the Core

Since Arts and Sciences is enacting new requirements that ask that all entrants to the College complete the speaking and writing, math and foreign language components of the core curriculum before entering, our goal should be that all students who do not have to take IS courses complete these three elements of the core curriculum during their first year of study. We should find ways to push them to complete the rest of the core by the end of their second year.

For other areas of the core curriculum, we recommend systematic efforts to coordinate among departments that offer core courses in these areas to ensure that there is greater commonality in the student learning objectives being pursued in each area of study. When a student takes any of the core courses in the physical and natural sciences, or the social sciences, we hope they will come out of those courses with a similar set of understandings about the physical or social world. Our goal in the year to come would be to initiate those conversations across disciplines within each area of the core.

Across the core, we need to do more sensitive placement and tracking of students. Classes that are either too rudimentary or too advanced for students stifle student engagement and progress (especially in their first year). Since our incoming freshmen are quite heterogeneous in their academic preparation, we

need to take more care at new student orientation (NSO) to place them properly. For our best students, we must embrace the shift of an already successful honors program to a full-fledged honors college. For students who must take IS courses before taking UNM courses, we must deepen ties with our partners at CNM with the gateway program and at our branch campuses so that our students can come to UNM better prepared to succeed. For students who fall into neither of these categories, ACT scores and GPA are not enough to place students in the right classes. Well conceived discipline specific “placement “ tools (like the ones currently in use in Spanish and Chemistry) would really help in getting students to the appropriate classes. These could be administered on-line before Orientation and then used in a more personalized advisement protocol at NSO.

We all agree that we need to provide first semester students with greater guidance in how to survive and thrive in the university environment. Some see the need for a separate class that would focus on developing skills to succeed at UNM. Some would also like to emphasize the development of basic research and critical thinking skills in this course. Others believe that this kind of guidance could be included in some subset of classes already included in the core curriculum, perhaps as an additional one credit component tied to existing three credit classes. We also need to adopt the early warning system used by Athletics advisement to identify students who are struggling in core curriculum classes within the first month of the semester so that advisors can provide effective coaching to those who need it most. Given that our student athletes graduate at a better rate than the broader undergraduate student population, it is clear that there are many lessons we can learn from the successful student support programs of the Athletics Department.

Changing the Way We Teach the Core

Implicitly, much of the discussion above calls us to change the way we teach the core. Students learn more when they are encouraged to work together in small groups on joint projects rather than simply listening to lectures and studying alone. The FLCs provide one model that could be expanded or adopted for courses not now in the FLC program. The Math Emporium suggests another way of encouraging interactive learning that could be replicated in other disciplines. An expansion of recitation sections associated with large lecture courses could provide similar small group learning experiences. Even the largest lecture classes can include small group interactive learning experiences. As we move toward more on-line education we must ensure that teachers using this tool apply the most advanced pedagogy and take full advantage of the special capabilities available in on-line instruction.

Embracing these new models of instruction calls for changes in the way we staff the core. Today most courses in the core curriculum are taught by part time instructors who are paid \$3,000 to \$4,000 per section on a semester by semester basis. We need to increase the number of tenure track faculty at UNM and provide incentives to tenured and tenure track faculty to teach in the core

and to departments to encourage them to assign their faculty to these courses. We need to shift our most dedicated and talented part time instructors to more stable lecturer positions and conduct national searches to hire new lecturers with cutting edge training. We need to fund more graduate Teaching Assistant positions so that TAs can staff recitation and lab sections that will provide small group learning experiences. We also need more upper division students who can provide supplemental instruction, tutoring and peer mentoring. In general, we need to rely less on contingent faculty to provide core instruction and to treat the contingent faculty who continue to teach our students with greater respect.

Leadership

To bring about these important changes, we also need to establish clearer lines of authority and responsibility for delivering the core curriculum. One of the central problems we have faced for many years is that those held accountable for the success of our first and second year students have had only limited authority over the faculty delivering the core curriculum. Some suggest we need a Dean or Director of Undergraduate Education. Others prefer to identify someone in an existing leadership position and ensure that this person has the authority and resources to provide effective leadership in transforming undergraduate education at UNM.

CONCLUSION:

Implementing all of these ideas could cost millions of dollars. We may not be able to afford all of these initiatives and should concentrate on careful evaluation of the pilot projects we will initiate in the year to come to decide where we can make the most efficient and effective long-term investments. For the first time we have a state funding formula that will reward us for doing a better job in graduating our students. Investments made today will pay off in the not too distant future. If these initiatives increase graduation rates by five percentage points over five years, we will also reduce the lifetime cost of a college education for many of our undergraduates, improving the affordability of a UNM education even with modest increases in tuition and fees in any given year. If we can simultaneously invest 20% of any tuition increases in need-based financial aid, we can also keep a UNM education affordable for the students who need the most help. Everything we learn in improving student success over the next few years will help make us a national model for delivering a flagship university education for the emerging American majority.

Appendix 9.3

Report from UCAP Committee on New Institutional Models.

Although there are many ways to define institutional models, we use that term here to refer to the explicit and implicit operating procedures, policies, and structures by which the University functions. Many of these are explicitly codified in various handbooks and manuals, and others arise almost ad hoc or emerge over time as campus units adjust to changing demands and leadership environments. For this reason, it is important periodically to assess the

alignment of the institution's processes and structures with its mission and to realign them when needed. This is especially true when institutional models potentially impede the institution's ability to excel or interferes with its long-term goals and aspirations. Given that a fundamental and enduring mission of the University is academic excellence and that it aspires to become a model 21st century American university, our committee examined whether our existing institutional model is consistent with and facilitative of our current mission and long-term objectives.

Of course, academic excellence is a complex and multi-faceted issue involving many interacting components of the University. Accordingly, our discussions were both far ranging and detailed. In the end, however, there were three themes that clearly and consistently emerged from our discussions. These were: a) the need to embrace interdisciplinary scholarship where appropriate and remove obstacles to interdisciplinary research and teaching while building on our foundation in discipline-based; b) create an organizational culture and incentive structure at all levels to reward creativity, innovation and decision making that advance our strategic academic objectives; and c) systematically reward service excellence across the University in ways that keep us focused on the academic mission. These themes are elaborated below.

Enabling Interdisciplinarity

Interdisciplinary learning enhances students' educational experiences, enables path-breaking research, and allows the academy to address real-world issues in our local and global communities. UNM should actively promote

interdisciplinary studies by removing existing barriers to cross-disciplinary teaching and research and by implementing policies to promote intellectual collaborations across administrative boundaries. Possible specific actions include:

- 1) Creating interdisciplinary undergraduate courses to ‘kick-start’ interdisciplinary thinking. The proposed Honors College is clearly a critical step in that direction.
- 2) Removing penalties (buyout, overload, etc.) for faculty teaching interdisciplinary courses.
- 3) Implementing policies and mechanisms for starting, funding, evaluating, and sun setting interdisciplinary research centers and degree programs.
- 4) Creating mechanisms for staff and faculty to apportion effort between/among departments, programs and centers.
- 5) Using I&G as well as F&A to support research initiatives.
- 6) Locating interdisciplinary graduate programs in OGS and providing OGS with the resources to effectively support these programs.

Reward Creative and Innovative Decision-making

Incentives provide a more effective tool for motivating and guiding behavior than either exhortation or performance penalties. While some aspects of UNM are incentivized (the tenure process, return of F&A to departments and faculty, return of EU funds, etc.), many others are not. UNM should institute incentives to individuals and units that balance policy direction and responsiveness with the need for institutional stability and continuity. Possible specific actions include:

- 1) Linking departmental I&G funding to teaching performance and student progress at all levels.
- 2) Standardizing F&A returns to departments and PIs to establish clear and consistent expectations among faculty researchers.
- 3) Always including a merit component to raises for staff and faculty.
- 4) Including stakeholder participation in internal audits.

Establish a campus-wide culture of service excellence and systematically reward service excellence across the University. In the absence of clear expectations and incentives for service excellence, it is to be expected that institutional units will drift toward standard operating procedures that simply get the job done. This is especially true when units suffer losses in personnel and resources and are forced to operate short staffed and under pressure. This causes frustration among the students, staff, and faculty who interact with these units and exacerbates the feeling that the University is an impersonal bureaucracy. Alternatively, a culture of service excellence not only leads to higher standards of performance, it enfranchises its stakeholders and creates allegiances to the institution. Possible specific actions include in this regard include:

- 1) Instituting audits of all units to determine required levels of staffing and resources for optimal functioning and set a clear plan for getting there.
- 2) Requiring units to define service excellence and implement procedures to train and assess it.
- 3) Linking “service unit” funding to unit goals and “customer satisfaction”

Appendix 9.4

UNM Council on Academic Priorities Graduate Education and Research Committee

The UCAP Graduate Education and Research Committee met on 2 February 2012 and again on 2-16-2012 to discuss the future of graduate education and research at the University of New Mexico. Members of the committee are Julia Fulghum and Gary Harrison, co-chairs; Holly Barnet-Sanchez (Fine Arts); Holly Buchanan (Health Sciences Library); Chuck Fleddermann (Engineering); Jean Giddens (Nursing); Don Godwin (Pharmacy); Tim Gutierrez (Student Affairs); Gene Henley (Public Admin); Kevin Malloy (A&S); Deborah Rifembary (Education); Lawrence Roybal (GRC, OGS); Diana Sargent (OVPR); Elly van Mil (OVPR); Linney Wix (Faculty Senate Graduate and Professional Committee); and Travis McIntyre (Graduate and Professional Student Association).

GRADUATE EDUCATION

The focus of discussion has been upon "Excellence in Graduate Education," settling upon an overall goal of improving and strengthening the quality and diversity of graduate students at the University of New Mexico by enhancing graduate program administration, graduate recruitment, graduate community, and graduate funding. The committee recognizes that the new state funding formula for higher education provides an opportunity to enhance graduate recruitment, retention, and degree completion, as well as to raise the quality of graduate degree programs. Adopting a position taken from the UCAP Values committee, we believe that the graduate research enterprise at UNM should and will drive our undergraduate mission.

Objectives for Graduate Studies: As discussed more below, the committee believes that the University of New Mexico should 1) increase the proportion of graduate degree production relative to undergraduate degree production; 2) increase the number and quality of minority, under-represented, and international graduate and professional students through strategic recruitment; 3) develop more innovative, better managed, interdisciplinary graduate programs, as well as support services, to enhance the graduate curriculum; 4) inaugurate a development plan targeted for graduate programs; and 5) strengthen the identity, stature, and image of graduate studies at UNM; and 6) improve the administrative efficiencies of graduate education, including the full automation of paperless admissions and contract processing.

1. Increasing Graduate Degree Production and the Quality of the Graduate Student Population: One mark of many flagship research universities is a high proportion of graduate student relative to undergraduate student population. To meet peer averages, UNM should increase that percentage from its current 20% to 25% or more in the next five years.

- Growing the graduate research enterprise will strengthen undergraduate programs and the opportunities for undergraduate students to participate in research.

- Initiatives following graduate research and creative work will also attract stronger graduate and undergraduate students—resident, non-resident, and international—to UNM and help to develop a culture of scholarly and creative work at UNM.

2. Increasing the number and quality of minority, under-represented, and international graduate and professional students through strategic recruitment.

UNM must develop a robust and collaborative (among OGS, colleges, and programs) two-tiered recruitment effort in order to attract a competitive and diverse applicant pool and to matriculate the top-ranked graduate students in that pool. This objective will require the following:

- offering competitive compensation packages, including irreducible .25 and above TA/GAships, competitive RAships, and more fellowships and scholarships for graduate students;
- eliminating non-resident tuition for doctoral students to address the fact that graduate programs compete nationally and internationally for the top students;
- recruiting and retaining first-rate and diverse faculty at the cutting edge of their fields;
- developing and supporting innovative curricula, including interdisciplinary degree programs;
- and enhancing the image and community for graduate education at UNM.

3. Developing and supporting innovative curricular initiatives, including better managed interdisciplinary programs, as well as support initiatives.

Graduate recruitment could be spurred by promoting and supporting the development innovative graduate curricula, as well as the promotion of 3+2 or 4+1 Bachelor's/Master's programs which would serve as a pipeline to graduate programs for top undergraduate students from UNM, including top minority and underrepresented students, helping them move on to Ph.D. programs here or elsewhere.

- Other innovative programs, such as the Professional Science Master's degree, which has seen accelerated growth since its inception two years ago, as well as a stand-alone interdisciplinary degree program administered by OGS, a Graduate School or a College of Interdisciplinary Studies could also help UNM attract first-rate graduate students.
- In addition, a university-wide effort to promote internships and training grants would lead to innovative research and professional opportunities for graduate students, enhancing both recruitment and curriculum.
- Supporting the Graduate Resource Center (GRC) and Graduate Student Funding Initiative (GSFI), now in their second year of operation, in collaboration with longer standing graduate student organizations such as GPSA and PNMGC, the ethnic centers, and the Teaching Assistant Resource Center (TARC), will continue to expand the academic and professional development support (including thesis/dissertation boot camps, writing support groups, writing and statistics consultations, workshops and consultations on grant writing and research ethics, along with the Latina/Latino Graduate and Professional Student Fellowship and UNM Graduate and Professional Student Academy) and solidify the sense of community among graduate students from various disciplines.

4. Inaugurating a development plan for graduate programs: The UNM Foundation, collaborating with OGS and with colleges and graduate programs, must take graduate education seriously and increase its efforts to find external support for graduate programs. The Graduate Resource Center, named fellowships and scholarships, and named internships could be targeted for a campaign.

- It's important to distinguish between graduate *education* and graduate *school* (OGS); that is, make clear we're not trying to finance OGS, but graduate students and programs.
- A campaign targeting former students who received financial support for their graduate study at UNM might be productive, as well as appointing a foundation officer specializing in graduate education to work with OGS, the Provost's Office, colleges and departments might help to meet these objectives.

5. Strengthening the identity, stature, and image of graduate studies at UNM.

Graduate research and education invigorates, rather than detracts from, undergraduate education at the university. Therefore, UNM must convince the community and state leadership that faculty and graduate research is key to higher education at all levels and that placing more emphasis in and dedicating more resources to graduate research will benefit not only graduate and undergraduate programs, but the community and the state of New Mexico.

- UNM must provide graduate students (and postdocs) with opportunities to develop a strong sense of community.
- Creating a graduate/post-doctoral center to coordinate scholarly activities and the exchange of ideas could be a way to promote and highlight graduate research across disciplines.
- UNM should grow its outreach and service learning programs so that leaders in our community, in business and industry recognize the value of graduate education.
- Creating a common residential space for first-year graduate students located on main campus could help to build a sense of shared purpose among graduate students and help contribute to a sense of community and place. .

6. Improving the administration of graduate programs, including more robust data collection and management and the full automation of paperless admissions and contract processing. A comparison with the administrative structure of peer institutions shows that proportionate to graduate enrollments the Office of Graduate Studies at UNM has been working lean relative to its peers, especially with regard to faculty positions (i.e., Associate and Assistant Deans).

- OGS needs staff sufficient to work more closely with colleges and graduate units to grow and support graduate recruitment efforts, to oversee (if not administer) interdisciplinary programs, and to coordinate data gathering and reporting on graduate student recruitment, retention and placement.
- In collaboration with Enrollment Management, Institutional Research, colleges and programs, OGS must produce and maintain robust data about our graduate programs in order to produce accurate reports on enrollment and graduation trends, graduate retention, time to degree, and job placement.
- Synchronization of data systems and reporting is essential to efficient data management for graduate programs, and a concerted effort to coordinate among stakeholders—including OGS, IR, Enrollment Management, Payroll, Bursars, colleges and departments—is key to success.
- In conjunction with Payroll, the Bursar, Financial Aid, and Student Health and Counseling Center (for health insurance) OGS needs to update and implement a state of the art business management system to build more efficiencies into the assistantship contracts processes. The current system is labor intensive, requires hours spent scanning paper documents, and relies upon an outdated software system is not standardized across the business centers with which OGS must work.

RESEARCH

Main Campus Research Strategy

Mission: The research mission of the University of New Mexico separates UNM from the other educational institutions of New Mexico. UNM is a place where cutting-edge research and creative endeavors flourish and grow. UNM's environment provides a fertile ground for students to learn and have a world-class educational experience. Students work side by side with some of the world's leading scholars, scientists and engineers, contributing to the discovery and dissemination of new knowledge.

The Main Campus of UNM has a wide-ranging research portfolio encompassing both funded and unfunded research¹, scholarly works and creative activity. Broad cross-campus efforts include materials; energy, water, technology & sustainability; digital media, visualization, & modeling; technology, education water & health policy, and substance use and abuse. Areas in which UNM has smaller but cross-college efforts include cybersecurity, informatics & GIS, health disparities, and science & math education. As befits a Flagship University in the Southwest, we have strong efforts in Southwest and Hispanic research, Native American research and Latin American research. Many of these efforts will be significantly strengthened by new or planned faculty hires. Recent UNM efforts to promote research among Arts and Humanities faculty have resulted in impressive growth in proposal submissions and awards. UNM's Graduate Student Funding Initiative assists all interested graduate students with the identification of funding options and proposal preparation.

Research is the fuel for the economic engine that drives the state economy. In fiscal year 2010, 48% of UNM's expenditures were supported by out-of-state revenue sources. These funds supported \$620M in economic output, 6,839 jobs, and \$319M in UNM payroll.² UNM's significant role in driving the state economy has become increasingly pronounced during the recession of the past several years, and has included the creation of a number of new start-up companies.

The University of New Mexico thus intensely values research and its full integration with teaching and community service. In order to promote a truly transformative and intellectually stimulating academic climate, UNM seeks to provide graduate and undergraduate students the opportunity to directly participate in cooperative research inquiry with faculty and peers. These experiences, incorporated with classroom and field based learning, allow students to be engaged in the discovery and dissemination of new knowledge and empower both faculty and students as current and future contributors to social, cultural and economic development in New Mexico and beyond.

The over-arching goal is to create a research culture in which:

- Faculty, staff and student participation in research activities is viewed as critical to the University mission
- Faculty can readily participate in single PI and/or large interdisciplinary efforts without negative effects on departmental expectations, including tenure and promotion
- All efforts to obtain extramural funding are valued, regardless of award size

¹ For the purpose of this document, "research" is used to encompass both funded and unfunded research, scholarly works and creative activity. Lists are illustrative rather than all-encompassing.

² Economic impact studies of UNM and UNM-based start-ups are available at <http://research.unm.edu/publications/index.cfm>

- Undergraduate and Graduate students appreciate the value-add of attending a research intensive university and have numerous opportunities to participate in research
- Infrastructure exists to support faculty, staff and students engaged in research (minimize administrative and reporting burden, support for all aspects of extramural funding, user facilities, technical support staff, safety, compliance, etc)
- Substantive institutional partnerships are developed and nurtured, both in and out of the state, to continually strengthen existing efforts and create new research opportunities
- UNM expertise is available to assist citizens, state agencies, community groups and legislators in developing public plans, priorities and policies
- The community (citizens, legislators, federal delegation) is engaged with UNM in its contributions to quality of life and economic development through research activities

There are 4 major strategies for accomplishing this, each of which further breakdown into additional strategies, which can increase in specificity as goals become part of unit (administrative, college, department, etc) and faculty expectations and priorities. Accomplishing these strategies will require collaboration, and further goal-setting, among all aspects of the University.

1. Broaden participation in research

- Value and facilitate interdisciplinary research (links to multiple UCAP white papers)
- Promote and develop research opportunities for all faculty
- Encourage undergraduate participation in research
- Establish a reputation for excellence in graduate education (links to UCAP white paper on graduate education)
- Develop a faculty hiring strategy that includes consideration of the intertwined research and education missions

2. Foster external partnerships

- Collaborate with National Research Labs and other NM Partners
- Start a UNM is “Open for Business” campaign that facilitates industry-sponsored research and strengthens ties to the local and statewide economic development community
- Collaborate with STC.UNM to better engage business community
- Work with UNMF to expand foundation and corporation outreach and funding
- Coordinate and collaborate on STEM outreach
- Develop infrastructure that facilitates collaboration with international institutions
- Advance development of higher education funding formula to include research metrics

- Work with federal delegation, state legislature and state agencies to improve UNM and increase contributions to state and national culture, quality of life and economic development
- 3. Communicate and promote research successes and opportunities**
- Use research to inform undergraduate teaching, providing cutting-edge information and experiences for students
 - Educate and inform federal and state legislators and staff about UNM research opportunities and accomplishments
 - Increase internal and external communication of research accomplishments, including accomplishments resulting from collaborations with institutional partners
 - Nominate faculty, staff and students for national and international research awards and fellowships
 - Develop unified calendar of seminars, workshops, training opportunities, internal deadlines re interdisciplinary grad programs, major funding opportunities, limited competition deadlines, etc
- 4. Continuous Improvement of Research Infrastructure**
- Pro-active research administration and support that facilitates all aspects of extramural funding and associated compliance
 - Develop support and processes required for the data acquisition, tracking and analysis required to evaluate research progress and follow student success, including undergraduate and graduate student employment
 - Continued support and development of the research data curation, storage, and re-use infrastructure, including the UNM Research Data Storage Consortium's deployment at the Center for Advanced Research Computing and the University Libraries' continued investments in the leading edge Informatics and Research Data program.
 - Create strategic plan for South Campus Research Park that integrates research facilities and STC.UNM to promote collaborations with national research labs and technology transfer and commercialization
 - Evaluate existing user facilities and develop recommendations for sustainability or improvement, and instrumentation required to fulfill other research strategies, including a plan for technical and administrative staff
 - Pursue inclusion of interdisciplinary lab building in Campus Master Plan

Appendix 9.5

UNIVERSITY COUNCIL on ACADEMIC PRIORITIES

Financial Analysis Work Group

April 26,
2012

The attached paper, “Statement on Models for Resource Allocation,” represents the collected thoughts of the Financial Analysis work group. The group decided early in the process to focus its efforts on resource allocation. The paper discusses several allocation models- incremental, zero-based, planning, programming and budgeting (PPBS), formulaic, and responsibility centered – and provides pros and cons for each. As the academic plan develops in the upcoming months, and as it is incorporated into President Frank’s plan, a decision will have to be made regarding which of these models- or a hybrid of them- best fits with the future direction of the University of New Mexico. It is the group’s recommendation that this work be assigned to a high-level task force comprised of executive management and Deans.

The original charge of the group included economic impact and cost reduction. The group reviewed the recent study by the UNM’s Bureau of Business and Economic Research and a study emphasizing the economic impact of the arts and cultural industries in Albuquerque and Bernalillo County. These reports are available for review online, and the group concluded that in the short-run there is nothing to add to them.

The group devoted most of one meeting to a discussion of costs. A key distinction was made between “cost cutting” and underlying “cost structures.” The President’s Strategic Analysis Team (PSAT) did an admirable job of the former over a two-year period in 2010 and 2011. An analysis of cost structures is a far more complex issue. The group does agree with Porus Olpadwala’s assessment that...”Controlling costs will remain critical into the foreseeable future.” However, a thorough examination of UNM’s cost structures is a relatively long-term project. Which costs can UNM alone control? Which costs can UNM work within the State of New Mexico to control? Which costs are driven by forces outside of New Mexico? These are important questions, and much of the work necessary to answer them is cost accounting. Likewise, the proposed examination of the cost to the University of every dollar of sponsored research is both important and accounting related. The UCAP Financial Analysis group as configured, is not the appropriate venue for this analysis. A new group with some of the current members and representatives from the Controller’s Office should be tasked with answering these key questions.

Thus, back to resource allocation models. UNM currently operates with an incremental budget model. As pointed out in the paper, there have been numerous discussions, committees, etc. centered on the theme of changing that model with little result. However, recent ad hoc developments are changing the budget landscape- at least on the revenue side of the equation. The use of differential tuition by several colleges, and the recent move to put those funds totally under the control of the Deans, the new revenue-sharing model for online instruction and the forthcoming model for summer school are all performance-based enhancements to the base budgets of the colleges. The challenge in the next several months will be to incorporate these revenue models into a more comprehensive allocation model that also addresses the expenditure side of the budget.

----- Martha Bedard, Dean of University

Libraries

Curtis Porter, Assoc. Vice-President for Academic Administration

UNM Council on Academic Planning Statement on Models for Resource Allocation April 26, 2012

Sub-committee Members: Curt Porter (Provost's Office) and Martha Bedard (University Libraries) co-chairs
Ann Brooks (ASM), Terry Babbitt (Enrollment Management), Doug Brown (ASM), Barbara Busch (Staff Council nominee), Sarah Coffey (student), Phil Ganderton (A&S), Travis McIntyre (student), Amy Neel (Faculty Senate), Susan Rhymer (COE), Chris Vallejos (ISS), Barbara West (OVPR)

Question

What is the appropriate resource allocation model for UNM?

1. What is the purpose and benefits of adopting a particular model for allocating resources? (shaping what we want to happen programmatically-quality and quantity, and protecting non and low revenue generating units that support the mission)
2. What are our current revenue sources and how do we see those changing? (legislative support, differential tuition, student fees, guaranteed/planned tuition)
3. How do UNM values, particularly access, cost, and shared governance as well as teaching loads and research productivity affect the distribution and decision making process around resources allocation?
4. What are the obstacles to changing from our current incremental budgeting system?
5. How does the Health Sciences Center resource allocation model differ from Academic Affairs, and how should they be aligned?
6. What work has been done here in the past regarding resource allocation models and how should that be used?
7. How have other higher education institutions managed this process?
(<http://www.public.iastate.edu/~budget/rmm/>)
8. How do we incorporate incentive systems such as used by Extended University into a UNM model?

Rationale

Despite numerous discussions, meetings, and committees centered on the theme of changing UNM's incremental budgeting system, that system remains mostly unchanged today. Some good groundwork has been laid, but nothing has been built on those foundations. This lack of action can be attributed, in part, to the State of New Mexico's budget crisis and the mandated budget cuts passed on to UNM. In the midst of surviving successive funding cuts, there has been little enthusiasm from the administration to embark on a new resource allocation model.

It could be argued, however, that dealing with budget cuts was precisely the opportunity to solve the problem of allocating (and re-allocating) funds to further the strategic goals of the institution.

In 2009, the Provost's Budget Parameters Planning Group produced a draft document entitled "Guiding Principles for Resource Allocation." After several months of work, that group concluded that..." all resource decisions be guided by the *measurable impact* (emphasis added) that proposed resource investments will have on core UNM values and goals". The group further recommended that these allocation decisions be linked to four major elements of the institution's goals: instructional capacity and student success; research, scholarship and creative endeavors; diversity; and community engagement.

In 2005, as part of UNM's financial reorganization, the concept of Responsibility Centered Management (RCM) surfaced. Administrators rejected the "pure" RCM model, but acknowledged that a modified approach might be useful. RCM was not mentioned again in any serious way until the Legislative Finance Committee (LFC) "audit" of UNM in 2010. The Committee's staff included a recommendation in the final report that UNM at least pursue the concept. The team that performed the audit included a retired University of Minnesota administrator who was involved in that institution's implementation of a modified RCM model - Incentives for Managed Growth. That administrator, Robert Kvavik, made a presentation at UNM in 2010. He made the case for delegating operational authority to major academic units. Again, administrators concluded that RCM would not be implemented at UNM.

Recently, new sources of funding have become available through Academic Affairs. These have not replaced the traditional core funding of academic units, but are already having a major impact on the resource allocation discussion. These include the new Extended University (EU) revenue-sharing model, the upcoming move toward a more entrepreneurial summer school model and the Office of Budget, Planning and Analysis's (OBPA) policy to move differential tuition revenue directly to those units that charge it. For example, in the upcoming FY13 budget, units that charge differential tuition will have a base budget allocation plus three potential "RCM-like" revenue streams to manage; EU, summer school and differential tuition.

Additional studies have been undertaken at UNM and reports produced that have potential for informing the ongoing Academic Plan and the upcoming Strategic Planning process. Among these are:

Budget Models Matrix and Observations – June 2008

The Economic Impact of UNM on the State of New Mexico – Feb. 2011
Economic Importance of Arts & Cultural Industries in Albuquerque and Bernalillo

County – Aug. 2007

Guiding Principles for Resource Allocation Recommendations of the Budget Parameters

Planning Group – 2009/10

RCB/RCM Principles Lessons Learned, Problems and Pitfalls: A Summary –
Jan. 2009

Responsibility Center Management: Promise and Performance – Aug. 2010

Tuition and Fee Team Recommendations – Feb. 2012

Purpose, Benefits, and Selected Models

A resource allocation model is a systematic, rational and defensible method of allocating and balancing resources with expenditures. Benefits of a resource allocation model are that it:

- Delegates a large portion of financial responsibility to the colleges
- Allows financial decision-making at the point where the incentives and their potential impact are the greatest
- Leads to greater transparency of budgeting
- Adapts to a wide variety of situations and constraints while introducing financial stability
- Provides greater equity in the allocation of resources across the whole unit and its parts
- Connects behavior and incentives to the budget

Larry Goldstein's, *College and University Budgeting*, NACUBO: Washington, D.C., Third Edition, 2005 discusses common approaches to resource allocation as incremental (baseline) budgeting, zero-based budgeting, formula budgeting, responsibility center budgeting, initiative-based budgeting, and performance-based budgeting. The report also discusses the linkage of planning, programming, and budgeting processes. Goldstein's report also defines each approach as lists cons and pros of each as follows:

Incremental/Decremental Budgeting

Each program or activity's budget is increased/decreased by a specified percentage. Underlying theory or rationale: the basic aspects of programs and activities do not change significantly from year to year, and the change in resources in any given year is a small percentage of the base budget. "Appears to be the most widely practiced model in higher education, showing that, for many institutions, the need for efficiency in some administrative areas outweighs the desire for effectiveness."

Cons:

- Recognized as producing suboptimal results in terms of resource allocation.
- Because it operates only at the margins, it does not involve serious examination of what is being accomplished through the base budget, and it avoids the question of whether there are better uses for some of the resources. Difficult policy choices are circumvented.
- Maintains the status quo, and generally does not represent a budgeting approach that is

integrated with planning. In fact, planning may become relatively unimportant when incremental budgeting is practiced. When resources are allocated through an across-the board approach, there is no need to identify priorities.

Pros:

- Relatively simple to implement; easier to apply; more controllable; more adaptable; and more flexible because of the general lack of emphasis on analysis.
- Minimizes conflict because, for the most part, all institutional components are treated equally.

Zero-Based Budgeting

Opposite end of the spectrum from incremental/decremental budgeting: focuses on the individual program or activity, and assumes no budgets from prior years; instead, each year's budget begins at a base of zero. Usually not applied in practice to an entire budget – e.g., might assume that 80% of the previous year's budget will continue as a base.

Cons:

- Assumes no budget history; thus, it does not recognize that some commitments are continuing and cannot be altered readily in the short run. (This is particularly true of labor-intensive organizations such as universities.)
- In most discussions, ZBB is considered an “all or nothing” proposition, but this does not have to be the case. Can be implemented on just parts of the organization, or done on a cyclical basis (e.g., every five years).
- Consumes incredible amounts of time and generates massive volumes of paperwork, and it is frequently difficult to gain agreement on the priorities.
- Centralized preaudit of lower-level decisions robs those levels of decision-making autonomy and responsibility.

Pros:

- Users gain a much better understanding of their organization through the preparation and review of the decision packages than they would using other methods.

Planning, Programming, and Budgeting Systems

Systematically links the planning process to the allocation of resources. Primary element is cost-benefit analysis applied to organization's program budgets. Characteristics include a focus on centralized decision making, a long-range orientation, and the systematic analysis of alternatives in terms of costs and benefits. “Unfortunately, the PPBS concept generally has been more appealing on paper than in practice.”

Cons:

- Challenges for higher education: requires strong central management, agreement on what constitutes a program, and consensus on the appropriate outcomes.
- Too often, costs are assigned to individual programs through arbitrary allocations that are

unrelated to the program's activities.

Pros:

- Attempts to link planning process and budgeting.

Formula Budgeting

Formula budgeting is a procedure for estimating resource requirements through the relationships

between program demand and program cost. Relationships are frequently expressed as mathematical formulations that can be as simple as a single student-faculty ratio or as complicated as an array of costs per student credit hour by discipline for multiple levels of instruction. "It is rare to see formula budgeting applied within a college or university. It is more typically used at a system-wide or statewide level to give public institutions a foundation for developing budget requests."

Cons:

- Because it tends to rely on historical data, it can discourage new programs or revisions to existing programs.
- Given its focus on quantification, it can suffer from many of the faults identified with incremental budgeting.
- Creates incentive to retain programs or activities that contribute funding – even after they no longer contribute to the achievement of mission, goals, and objectives.
- Can have an unequal or even negative impact on participating institutions; e.g., because formulas are based on averages, institutions experiencing increasing enrollments will fare better because their marginal costs are lower than their average costs (and the converse also holds true).

Pros:

- The quantitative nature of most budget formulas gives them the appearance, if not always the reality, of an unbiased distribution.
- May increase institutional autonomy by reducing political influence in budgeting.
- Has capacity to reduce uncertainty by providing a mechanism for predicting future resource needs.
- Overall process is simplified because budget formulas tend to remain stable from one period to the next.

Responsibility Center Budgeting

Essential characteristic is that units manage the revenues they generate. Rather than a central focus on budgetary control, the emphasis shifts to program performance. Units are credited with the revenue they generate through their activities and programs, and are responsible for funding the various cost centers that serve them.

Campuses also impose a tax on the external revenues generated by revenue centers. These tax proceeds are combined with other central revenues to create a subvention pool that funds cost centers as well as revenue centers that are unable to generate sufficient revenues to finance their operations. Central administration is responsible for collecting and redistributing taxes, giving them a key role in the resource decisions for the campus.

Cons:

- Criticism that it focuses too much on the bottom line and does not respond adequately to issues of academic quality or other priorities.
- Concern that decisions made by individual units may have negative consequences for the

institution as a whole.

- Concern that a lack of coherence of planning and budgeting will evolve as units gain

greater autonomy.

Pros:

- RCB encourages a much broader understanding of institutional finances, because all support services are fully costed and all academic units are credited with their share of total institutional revenue.
- RCB creates incentives to enhance revenues and manage costs.

- Recognizes the importance of revenue sources such as tuition, sponsored programs, and their related overhead recoveries.
- Creates an awareness of the actual costs of relatively scarce campus resources such as space, computing, and telecommunications – more likely resulting in behaviors that lead to optimization of resource use.
- Encourages the removal of central controls and gives more attention to performance or outcomes measures; leads to campus service recipients being better and more demanding customers, and campus service providers becoming more responsive (particularly if outsiders may be substituted).

SPECIAL PURPOSE:

Initiative-Based Budgeting

Initiative-Based Budgeting sometimes referred to as “reallocation budgeting” is **not a**

comprehensive budget model. It is a structured approach to the establishment of a resource pool for funding new initiatives or enhancing high-priority activities. It provides side benefit of assuring that units conduct a review of existing activities to make certain that they remain productive. Resources generated through internal reallocation methods are redistributed using criteria established through the planning and budgeting process – frequently entailing some form of proposal process.

Performance-Based Budgeting

PBB focuses on outcomes. Resources (inputs) are related to activities (structure) and results (outcomes). Specific outcome measures are defined in either quantitative or qualitative terms.

Cons:

“For various reasons, difficulties have arisen in applying the newer forms of PBB in the public arena.” Difficulties have to do with:

- Development of performance measures that flow from the state to the institution – frequently not reflecting an understanding of the factors influencing the measures.
- Outcome indicators that are viewed as relatively meaningless because they are linked with program budgets only at the highest level of aggregation, which may disconnect them from the activities that actually drive the results.
- Quantitative measures being more widely employed than qualitative measures, though the latter may be more meaningful indicators of success.

- Performance measures at high levels of program aggregation are not easily linked with organizational divisions and departments.

The UNM Context

With the State's new funding formula allocating funds to UNM based on outputs (performance) is this the right time to adopt a version of **performance based budgeting** to create internal resource allocation mechanisms that acknowledge the same goals. Effective resource allocation requires a clear set of goals and identification of what the university values. Beginning with broad concepts such as, for example, research excellence, we must decide how that is interpreted

at the level of Academic Affairs (value of research in Engineering compared to research in Fine Arts), then how that impacts the support within a College (what does it take to improve research excellence in Physics compared to Philosophy?) We must agree on what we value and how we generate that value, assigning resources to the complex balance of those elements to achieve our goals. If we value quality instruction, research excellence and student achievement, then we must construct measures of those values. Previous discussions have concluded the metrics should not be focused on instruction alone, but take in to account the full array of instruction, research/scholarly activity and service. The emphasis must move from measuring inputs, to measuring the things we value—the outputs.

Instructional metrics appear to be the easiest to define, yet here the traditional measures count inputs (student credit hours) rather than outputs. Because the previous funding formula rewarded student credit hours and space allocated to instruction (two input measures) it was reasonable for UNM to maximize growth in these two measures.

Unexpectedly perhaps, measuring research and scholarly activity is both well established, as it forms the basis of annual and tenure and promotion reviews, and clearly an output of the university. Although the obvious problem of comparing apples and oranges emerges here, this can be overcome by using unit-free indexes based on discipline-specific standards and expectations.

Previous work in the area of service, or community engagement, concluded that measurement for resource allocation is difficult. While service is an important piece of the academic enterprise, perhaps the best that can be done is linking these efforts back to instructional activity, student success and faculty scholarship.

A new development in Academic Affairs this year is the **Extended University** revenue-sharing model. As a source of revenue that is distributed more directly to the units that generate it, rather than through the traditional pooling mechanism, the response of departments and colleges has caused many to rethink the way in which the university manages its budget as we approach FY13. The recently released report of the UNM Tuition and Fees Team brought forward a set of complex questions to be considered as part of any new model for resources allocation:

- When entrepreneurial units grow to the extent of the current EU entity, when should they become institutionalized, paying their own fair share of overhead and contributing to the larger academic mission of the university through cross- subsidization of other academic units that may or may not be benefitting financially from offering on-line instruction

- How should the university proceed to ensure the continuation of current on-line financial incentives that have been embraced by academic units across campus
- How can the university incentivize face-to-face instruction in a similar fashion
- What is an appropriate ratio of face-to-face instruction to on-line instruction
- How should the current EU reimbursement rate be modified to ensure the solvency of the current pooled revenues available to academic and administrative units who rely solely on this revenues stream

Differential tuition as a means of enhancing college/school revenues has grown in recent years from one school to six. The OBPA has recently moved to directly allocate these revenues to the schools involved, rather than making the revenue part of their base allocation. This makes the monitoring of this revenue much more critical for these units.

Discussions about “**tuition capture**” have also increased across campus in recent months. This essentially means a given program/class keeping the tuition it charges, rather than the money going into the central pool. This idea is particularly popular in international education. State funding with no tuition credit makes this more feasible, and is fuelling more discussion. An academic plan regarding resource allocation must address this issue.

A final area of the tuition discussion is the growing desire of student groups to know where their tuition dollars go. A simple answer is into the I & G tuition pool, but that is not proving to be sufficient. As more work is done to identify what those dollars are funding in the base, “earmarking” new tuition dollars for academic affairs initiatives that directly benefit students will become more likely.

Conclusion – Looking forward

As the UCAP work groups looking at Value/Value Systems and Comparative Advantage, Improving Undergraduate Education, New Institutional Models, and Research and Graduate Education produce reports reflecting their ideas and challenges, and a renewed Strategic Planning process commences under new leadership, we will be in a better position to determine the appropriate model or models for resource allocation at UNM. This review of the landscape of models, the work of the UCAP groups, and the efforts that have come before us at UNM and at other higher education institutions will be foundational in putting the academic mission at the center of the organization and then determining resource allocation going forward.

Appendix 10

**UNIVERSITY OF NEW MEXICO
UCAP STRATEGIC PLANNING RETREAT
MAY 14, 2012**

**STRATEGIC PLANNING AND FACILITATION BY
CONSENSUS BUILDER**

UNIVERSITY OF NEW MEXICO
UCAP STRATEGIC PLANNING RETREAT
May 14, 2012

The UNM Council on Academic Planning (UCAP) has met over the past year to develop recommendations about the University's academic direction. Five UCAP committees prepared working papers with recommendations on undergraduate education; graduate education and research; new institutional models; value systems and comparative advantages; and models for resource allocation. On May 14th, the UCAP members met in an all-day retreat to reach consensus on priorities and implementing actions that will be presented to incoming President Frank. More specifically, the objectives for the retreat were to

- Discuss vital issues and crosscutting themes surfaced through the work of the committees
- Identify steps to take action on the issues and themes
- Discuss the importance of identifying values embedded in University decisions about income and expenses
- Agree on the essential priorities to be recommended to President Frank

This report summarizes the work accomplished during the retreat. A list of retreat participants appears on the last page of the report.

Vital Issues and Crosscutting Themes

Before the retreat, Provost Chaouki Abdallah, UCAP Chair Geraldine Forbes-Isais, and UCAP planning consultant Porus Olpadwala synthesized vital issues identified by members of the strategic planning process into a condensed list. The list, as presented by Geraldine Forbes-Isais, was as follows:

1. Strengthen Support for Undergraduate Education
2. Enhance Collaboration/Interdisciplinary Work
3. Strengthen Graduate Education
4. Increase Diversity
5. Encourage Innovation (especially resource models and administration)
6. Promote Culture of Service and Community Engagement
7. Nurture Stable Leadership
8. Coordinate the System of Higher Education

Retreat facilitators Ric Richardson and Kate Hildebrand asked the participants to comment on the list. The discussion resulted in some changes in the way issues were framed without adding or removing issues from the list.

Participants saw potential links between the following issues:

- Undergraduate education (#1) and graduate education (#3).
- Undergraduate education (#1), collaboration and interdisciplinary work (#2), and graduate education (#3).
- Diversity (#4) and innovation (#5).
- Undergraduate education (#1), graduate education (#3), and diversity (#4).

In discussing clarifications of the vital issues, participants stated the list should make it clear that service within UNM as an institution should be encouraged as well as service to the broader community. Further, the vital issues should recognize that service learning is an important part of community engagement. Additional clarifications made in the vital issues list included:

- Incorporating research into the third item to read “graduate education and research”
- Revising the fifth item to include technology and customer service, resulting in the rewording “encourage ... innovation and use of technology”
- Revising the seventh issue to mention pride, resulting in the rewording, “nurture stable leadership and pride”

For some participants, the values generated ideas about opportunities for UNM to distinguish itself from other institutions of higher learning. For example, UNM could become a national leader as a flagship university that serves the “emerging American majority.” As a group, the “emerging majority” students are not only ethnically and economically diverse but also more disparate in educational preparation as well as personal perspectives and values than traditional students. Participants suggested UNM needs to strengthen how it mentors and supports students.

Another opportunity for UNM to distinguish itself is through a focus on excellence and innovation. The analogy was Apple Computer’s culture of excellence, which is reflected in the aesthetics integrated into its products. Innovation and the willingness to embrace change were mentioned several times as important ingredients in the University’s future strategic direction. Stable leadership was also seen as a key to successful planning and to becoming a national leader.

For the vital issues to be an effective tool for change at the University, they must be presented in the context of UNM's broader socioeconomic environment as well as its educational mission and vision for the future.

The following revised list of vital issues incorporates the changes that emerged from the discussion:

1. Strengthen support for undergraduate education
2. Enhance collaboration and interdisciplinary work
3. Strengthen graduate education and research
4. Increase diversity, especially among faculty and senior administrators
5. Encourage innovation and the use of technology in resource models and administration. Promote a culture of service and employee engagement.
6. Promote community engagement and service learning
7. Nurture stable leadership and pride
8. Coordinate the system of higher education

Actions for moving the vital issues and themes forward

The participants formed small groups to identify activities and initiatives aimed at taking action in the coming year on the vital issues. Each small group addressed one of the eight issues. All of the groups focused their discussions on the question, “What actions can be taken in the next 12 months to move [this specific] vital issue forward?” The small groups presented the identified actions to the other retreat participants. This process produced the action steps summarized below.

1. Strengthen Undergraduate Educations

- Align student support systems with curricular instruction
- Continue coordination of student advisement across academic units. For example between University College and Arts and Sciences
- Continue to improve STEM education and institutionalize best practices including collaboration between student services and academic units
- WAC, QAC, CORE – Enhance the freshman experience by removing barriers and continuing and expanding writing across the curriculum (WAC) and quantitative [methods] across the curriculum (QAC).
- Focus on the freshman year as a key to student success and retention; e.g., freshman learning communities, math emporium, and quantitative courses.
- Create Centers for Excellence in every school and department as well as opportunities for all undergraduate students to participate in a UNM Center for Excellence

2. Enhance Collaboration and Interdisciplinary Work

- Implement the existing proposal that addresses the formation and evaluation of interdisciplinary programs
- Complete beta tests on interdisciplinary programs such as water resources, Native American Studies, and Nanotechnology
- Create incentives for interdisciplinary work through the Provost’s Office
- Institute a process for assessing collaborative and interdisciplinary work in graduate and undergraduate academic programs

3. Strengthen Graduate Education and Research

- Review the rate and focus of ethnic centers and undergraduate research opportunities
- Create an Advisement Institute to strengthen graduate and undergraduate advisement

- Develop a model for the Office of Graduate Studies (OGS) to help academic units accomplish their stated mission
- Identify ways to adapt the University business systems to provide better support for graduate education and research, e.g., faculty contracts
- Support undergraduate research by allowing shared credits between the undergraduate and graduate levels

4. Increase Diversity

- Evaluate and honor faculty for their advisement and mentorship of students
- Develop standards for the advisement system
- Provide one-on-one student advisement to address students in need of extra support

5. Create an Environment that Fosters Quality Customer Service and Innovation

- Create a team to identify barriers to customer satisfaction and innovation (business practices, contracts, and permissions, etc.)
- Study best practices that create a culture that emphasizes customer service and allows risk taking
- Review internal practices, and measure customer satisfaction at all levels
- Carry out a pilot project within the coming year

6. Promote Communities and Civic Engagement

- Acknowledge instructors engaged in the community, e.g., instructors of freshman seminars that integrate community engagement and service learning
- Value service learning and community/civic engagement in promotion and tenure reviews
- Include a section on community and civic engagement in the faculty handbook
- Advertise the University's centers of community and civic engagement, e.g., Law Center, Indigenous Planning Institute, Design and Planning Assistance Center, Popejoy Hall, Continuing Education, museums, and athletics
- Create a program (in a physical place) for communities to receive coordinated, interdisciplinary assistance from the University

7. Nurture Stable Leadership and Pride

- Create a leadership-training program aimed at nurturing leadership and retaining leadership throughout the University
- Promote cohesive campus by displaying banners, wearing red on Fridays, and celebrating achievements and collegiality
- Reinforce the leadership as an important value through performance appraisals
- Invite inspiring leaders to address faculty deans

8. Coordinate the System of Higher Education

- Present an action plan for Regent approval and begin the process of creating a comprehensive four-year institution located at the Rio Rancho campus

Values and Access Exercise

Porus Odupadwala spoke about an exercise on values done for Cornell University. He stated that values are embedded in the way money is collected and spent; if decisions about income and expenses clash with our values, he said it is important to look at the contradictions.

There was agreement among the participants that this topic is important for the next phase of academic planning; a conversation should be initiated about how to contain costs in ways that are consistent with UNM values. Participants suggested engaging the faculty in a discussion of the cost structure of the academic enterprise and reflecting on UNM values about “who we are.” This discussion should examine opportunities to achieve system-wide efficiencies, identify ways the faculty can help to reduce costs, and consider how to support growth, especially growth that is unplanned and unfunded (such as enrollment growth spurred by the economic recession).

Essential Priorities

The participants established priorities among the vital issues, and the first step entailed a short discussion about the possible significance of various issues. Second, the facilitators introduced several criteria for weighing one issue against another; the criteria were to identify issues that were: a) clear and concise, b) complementary, and c) likely to make a difference. Third, there was a straw poll, which provided the basis for a discussion of the results. Fourth, the participants reached consensus on the priorities during the ensuing discussion. They decided UCAP report should refer to the list of vital issues as “Essential Priorities.” The Essential Priorities are as follows:

1. Transform undergraduate and graduate education and research. Two specific elements of this transformation, among others, are to coordinate the system of higher education and enhance collaboration and interdisciplinary work within UNM. (This Essential Priority combines the original vital issues 1, 2, 3, and 8.)
2. Create an environment that fosters quality customer service and innovation
3. Nurture stable leadership
4. Promote service learning and community and civic engagement
5. Embrace diversity

During the discussion of the priorities, the participants recognized diversity as a quality that relates to all the other issues. Diversity already exists at UNM and the larger community. It should be embraced more fully not only as part of the University's mission but also as an asset that distinguishes UNM from other flagship universities.

In addition, the participants agreed that transformation and the pursuit of excellence rest at the core of the essential priorities. As the academic leadership of the University, UCAP members can take action on many of those ideas from the retreat that are well supported and consistent with the President's direction. The Provost's leadership of the academic mission will be especially important to achievement of the UCAP recommendations.

Next Steps

Geraldine Forbes-Isais brought the retreat to a close. A report summarizing all of the work done by the UNM Council on Academic Planning will be submitted the Provost before June. The essential priorities along with the action steps will then be presented to incoming President Frank.

UCAP Retreat
List of Attendees:

1. Chaouki Abdallah- Provost & EVP for Academic Affairs
2. Geraldine Forbes-Isais- Chair of UCAP & Dean of Architecture & Planning
3. Porus Olpadwala- UCAP Planning Consultant
4. Melissa Vargas- Provost Office Chief of Staff/Strategic Planner
5. Michael Dougher- Sr. Vice Provost for Academic Affairs
6. Greg Heileman- Associate Provost for Curriculum
7. Curtis Porter- Associate Vice Provost for Academic Administration
8. Nicole Dopson- Provost Office Financial Analyst
9. Catalin Roman- Dean of School of Engineering
10. Jeronimo (Jerry) Dominguez- Vice Provost for Extended University
11. Mary Kenney- University Planning Officer
12. Gary Harrison- Interim Dean of Graduate Studies
13. Helen Gonzales- Vice President of Human Resources
14. Moira Gerety- Deputy CIO for Information Technologies
15. Holly Shipp Buchanan- Associate Vice President for Knowledge Management and Information Technologies (has to leave at 1:00pm)
16. Donald Godwin- Associate Dean of Pharmacy (will be in around 9:45am)
17. Carol Parker- Associate Dean of School of Law Library
18. Tim Gutierrez- Associate Vice President of Student Services
19. Mark Peceny- Interim Dean of College of Arts and Sciences
20. Kevin Washburn- Dean of School of Law
21. William (Bill) Gilbert- Acting Dean of College of Fine Arts
22. Douglas Brown- Dean of Anderson School of Management
23. Richard Sax- Dean of Instruction at Valencia County Branch Campus
24. Rita Martinez-Purson- Dean of Continuing Education
25. Marisa Silva- New President of Graduate and Professional Student Association (GPSA)
26. Jacob Wellman- Student Regent
27. Mary Clark- President of Staff Council
28. Martha Bedard- Dean of University Libraries
29. Richard (Dick) Howell- Dean of College of Education (will arrive around 12:00pm)
30. Eliseo (Cheo) Torres- Vice President of Student Affairs
31. Chris Vallejos- Associate Vice President for Institutional Support Services
32. Jennifer Love- Provost Office Program Planning Officer
33. Lauren Liwski- Provost Office Administrative Assistant II
34. Ric Richardson- Professor of Planning, Facilitator
35. Kate Hildebrand- President of Consensus Builder, Facilitator

Appendix 11

University Council on Academic Priorities Lecture Series

January 23, 2012 Donald Randel, President of the Mellon Foundation, “Disinvesting in Higher Education, Disinvesting in Ourselves”

February 10, 2012 – James Ellis, Dean of the USC Business School, “Creating the Next Generation of Leaders”

March 26, 2012 – Carol Christ, President of Smith College, “Selective Forgetting and Innovation in Higher Education”

April 6, 2012 – Larry Faulkner, President Emeritus, UT – Austin, “Evolution or Revolution in America’s Universities”

Appendix 12

Diversity, Equity, and Inclusion at the University of New Mexico ***A First-year Framework for Strategic Action***

Edited by CT Abdallah based on the diversity council, and C. Thompson, J. DeLeon, and F. Coleman recommendations

Introduction During the fall of 2011, Provost Chaouki Abdallah commissioned a new UNM Diversity Council to identify strategies that would make significant progress to more fully engage and demonstrate UNM's espoused core value of "Diversity that enlivens and strengthens our university, our community, and our society." The twenty-two member diversity council consisted of faculty, staff, and students to review prior recommendations from UNM's historical documents and diversity plans of other institutions to yield a course of action for the University of New Mexico in addressing diversity, equity and inclusion. As a first step, the Council developed an initial report in May of this year that contains a set of recommendations drawn from the work of previous committees, as well as input from current constituents and stakeholders.

However, organizing to translate many of these ideas into action is going to require significant cultural shift in virtually every corner of the University. Achieving that shift will only be possible through deliberate, strong, and consistent words and actions on the part of UNM's leadership. We first must understand the full nature of our diversity, and President Frank should champion a multidimensional definition of and model for diversity that recognizes the complex of ideas and strategies that will be required to ensure equity and inclusion. While institutions understandably gravitate towards Numerical diversity, we must recognize that paying attention to numerical representation is simply not enough to change institutional climate such that we achieve equity and inclusion on our campus. At UNM, structural diversity of the student body is apparent. However, the presence of diversity in terms of numbers cannot be mistaken for true inclusiveness and equity. Ultimately, the council affirmed its belief that diversity is not a numerical goal, but rather one means toward attaining equity and excellence.

Diversity Council Recommendations The Diversity Council yielded the following recommendations:

- Foster a common language for diversity, equity and inclusion
- Communicate commitment to diversity, equity and inclusion through clear, concise messaging and a plan for continuing the work
- Address campus climate
- Create a system of accountability for ensuring diversity, equity, and inclusion at all levels of the institution.

In addition, the Diversity Council's recommendations included focused and continued efforts on the following:

- Ensuring that the curriculum reflects our value for diversity in its content
- Continuing to recruit and retain a diverse faculty
- Ensuring that diversity, equity and inclusion research is supported and rewarded
- Continuing to commit to the success of traditionally underrepresented students (race/ethnic, gender, etc.)
- Improving community outreach efforts.

Short Term Recommendations Using the diversity council draft report as a guideline, the provost tasked Dr. DeLeon, Dr. Coleman, and Ms. Thompson to come up with a succinct set of recommendations intended to provide a roadmap that will guide the president and his administration as they take the first critical steps to create and sustain a campus that is known for a welcoming, inclusive environment that embraces, supports, and celebrates diversity in all forms.

Recommendation #1: *Clarify the vision and the message.* The vision for establishing UNM as a model campus for diversity, equity and inclusion should be articulated during President Frank's first three months in office. The message and language, once clarified, should then be incorporated into every major communication from President Frank to faculty, staff, students, parents, and the greater community, and should also be a focal point of President Frank's inaugural address in November. President Frank should immediately revisit UNM's value proposition and revise it to explicitly mention diversity, equity, and inclusion (DEI).

Recommendation #2: *Establish behavioral expectations, core competencies, and goals for executive leaders, along with a system of support and reinforcement.* For an "espoused" core value and vision to become real to the members of the institution, it must be consistently demonstrated by the leaders of that institution. Therefore, President Frank should work with his Executive Cabinet to develop and execute a plan for UNM's leadership to "go first" to become highly-visible champions of cultural change. Elements of this plan should include but

not be limited to education for leaders to develop cultural competency, progress and barriers to diversity, equity, and inclusion regularly included in executive cabinet discussions, development of leader-specific goals, and incorporation of those goals into annual performance reviews.

Recommendation #3: *Identify and engage “early adopters” within the UNM community.* UNM Professor Everett Rogers was one of the first researchers to study and describe how new – and sometimes controversial – ideas can actually make their way into society and ultimately become the social norm. In his book *Diffusion of Innovations*, Dr. Rogers suggested that innovation begins with approximately 2.5% of a population, and that an additional 13.5% are poised to become “early adopters” of that innovation. If the idea of establishing UNM as a model campus for diversity, equity, and inclusion is thought of as an “innovation,” then it follows that there are faculty, staff and students for whom this vision will strongly resonate, and for whom taking positive action will be a natural next step. Identifying and engaging those individuals during the first few months of President Frank’s term in office will be necessary to any successful effort to shift campus culture.

Recommendation #4: *Identify the key indicators of success in achieving the desired cultural shift, and align incentives with the desired state.* In any major strategic endeavor, it is critical understand and articulate how one will know when the activities, interventions, and initiatives are producing the intended results. Therefore, a set of key indicators must be developed that will enable the campus community to measure progress over time in the quest to shift the UNM culture in the desired direction. One powerful incentive for change is to see one’s respected colleagues “adopting” new behaviors. Another is to see those same colleagues being recognized and rewarded for those behaviors. Still another is to observe that words and actions that are counter to the “espoused” vision, values, and expectations are not tolerated. Establishing real consequences – both positive and negative – and following through on them will be critical to reinforcing the attributes of the desired culture.

Conclusion: Establishing UNM as a model campus for diversity, equity, and inclusion will require a bold, targeted, and sustained strategic approach to lay a firm foundation for positive change during the first year of the new administration. It is with great hope for the future and in anticipation of our collective success that these recommendations are presented to President Frank.

In addition to the above short to medium-term recommendations, other tactical recommendations are included below:

- 1) Commit to forming Permanent Diversity Advisory Council
- 2) Publish the Diversity Council Recommendations Document
- 3) Commit to Build Diversity, Equity, and Inclusion into the UNM Operating Budget
- 4) Revise Hiring Process to Require Statement Regarding Diversity, Equity, & Inclusion.
- 5) Carefully Review the recent Diversity Council Recommendations
- 6) Personally Disseminate these Recommendations to Senior Staff and request feedback
- 7) Commit to ongoing Campus Climate Study
- 8) Incorporate Equity Scorecard in Provost's Dashboard
- 9) Ask Faculty Senate to consider proposal for Diversity Requirement
- 10) Include DEI in all Vision 20/20 documents
- 11) Include DEI in Inaugural Address
- 12) Meet with membership of the Diversity Council at first opportunity.

Next Steps The provost will task 5-10 members of the diversity council to flesh out the draft report in order to present the president with a more polished and actionable report in the early Fall 2012 semester. The provost will discuss with the president how the diversity council report, along with the Academic planning report will form two of the key ingredients in the UNM 2020 process.