

The University of Texas System Compact Updates for 2005-06

Guidelines

Background: The Compact Process. In 2004, The University of Texas System initiated its Compact Process, to develop succinct written agreements between the Chancellor and U. T. institution presidents that summarize the institutions' major goals and priorities, strategic directions, and critical issues. The Compacts lay out specific, short- and intermediate-term action plans necessary to achieve important goals, summarize progress and outcomes, and articulate the System Administration's commitments to support particular initiatives.

The Compacts provide a key element for a System-wide, consistent and integrated planning framework. They document institutions' vision and the strategic and tactical decisions and actions planned and taken to achieve that vision. They demonstrate how institution-level decision making aligns with institution and System goals, show how institutions make decisions and allocate resources in support of their goals and priorities, support ongoing process improvement, and record the System's role in supporting these priorities.

Unlike regulations, the Compact Process does not impose a single set of rigid rules on each institution. Within a standard format, each Compact reflects the unique goals, character, and consultation at each institution. Although not expected or required, institutions may choose to develop Compacts at the college/school/department level, as well.

Compacts provide a written record of agreements based on consultations on goals, priorities, and implementation plans between presidents and the faculty, staff, and students at their institutions, and from an ongoing, iterative, and collaborative process of communication between institution presidents, the Executive Vice Chancellors, and the Chancellor's office.

This process also documents requested assistance that the System Administration will provide to institutions, for instance, help with particular development, facilities, governmental relations, program development, or management issues. Potentially, the Compacts will also provide a framework for allocating central funds in support of System priorities.

They serve a number of management and communication purposes:

- As tactical documents, the Compacts provide an operational view of an institution's key activities over the period of one to two years.
- As management tools, they provide a context for review of academic program proposals, capital requests, and other opportunities an institution may encounter alone or jointly.
- As communication tools, they collect information in one place, and show the relationship among all key goals and issues.

Relation to Other Planning Activities. The Compact framework fosters a shared plan and vision, and helps develop and articulate pressing issues and standards of excellence for each institution and for the System as a whole. The process must engage faculty, staff, and students in local-level decision making.

- Compacts outline specific practical, shorter term and intermediate steps toward a institution's longer range plans; as such they must align with and complement, but will not replace, an institution's long range strategic plans.
- They relate to but do not replace the President's annual work plan and reports, which focus on the specific activities an individual President plans to do within a given year.
- The Compacts must align as well with budget planning.

- They should also relate to the System's broader accountability and performance framework.
- When final, they are public documents, distributed to the Board of Regents, posted on the Web, and available for reference within or outside the U. T. System

Timeframe.

- The time frame for a Compact is 18 to 24 months.
- During winter 2004-05, the Executive Vice Chancellors will meet with each president and other staff, as appropriate, to review the current compact and highlight issues that need to be addressed in the update. Updates will be drafted following these meetings.
- Draft compact updates covering the fiscal years ending 2006 and 2007 will be due on May 1, 2005.
- The drafts will be considered during the joint UT System budget hearings/Compact meetings following the legislative session in June 2005 (additional information about these meetings will be distributed in April or early May).
- The updates will be completed in August 2005.
- Compact updates will be distributed to Board of Regents and posted on Web in September 2005.

Compact Update Contents. Updates will include the following elements. Please see Attachment A for detailed descriptions of these sections.

1. Update, if necessary on the institution's mission and areas of activity.
2. Update on major short-term and ongoing priorities and initiatives: scope, objectives, specific strategies, resources, progress measures, any obstacles to progress; and connections to institutional, System, and State priorities. **Emphasis should be on the measures proposed in the original compact; information and data should be provided covering the academic year 2004-05** (to the extent data are available when the update is submitted).
3. Update on future initiatives of high strategic importance: objectives, strategies, resources, and progress measures.
4. Update on other critical issues: impact of initiatives on such areas as enrollment management; diversity; community relations; finances, facilities, technology; and discussion of any unexpected opportunities and/or crises.
5. System and State priorities: if not discussed in sections 2-4, brief description of ways the institution is addressing collaborations among U. T. institutions; enhancing student access and success; increasing research funding, tangible marks of academic and health care excellence, development, and alumni relations.
6. Compact development process: a description of the consultation process to arrive at the final Compact document; **consultation must include faculty and key administrative offices.**
7. System contributions: update the list the services the System is asked to provide in support the institution's initiatives, e.g., assistance with development, facilities planning, governmental relations, academic program development, etc.
8. Appendices: data that will provide a ready reference and context for the discussion of priorities in the Compact. (Updated budget and profile data will be provided by the System.)

Compact Update Development Process

- **Compact briefings.** Overviews and updates about the overall Compact Process will continue to be made for the System Council, and Councils of Academic and Health Presidents.
- **Institutional consultation.** It is vital that each institution consult actively with its faculty, staff, students, and appropriate external constituencies through the updating process. The Compact includes a section to describe the consultation strategies the institution used to prepare this document.
- **System consultation.** In consultation with the president, the Executive Vice Chancellors will set preliminary meetings with each president and, as appropriate, other institution and system staff, to review the current compacts, and discuss relevant issues and plans for the updates that will be reflected in the drafts. Draft compacts will also be circulated to key System offices to review the requests for System support.
- **Compact drafts and budget hearings.** Compact drafts will be prepared by May 1, for discussion at the joint budget hearings/compact meetings to be scheduled following the 2005 legislative session. The final Compact will reflect the mutual discussion and agreement on these issues between the President, his or her respective Executive Vice Chancellor, and the Chancellor.
- **Compact contacts.** Please notify us if your Compact liaison has changed.
System contacts are:

Overall Compact Process	Dr. Geri Malandra (512-499-4201)
Academic Affairs Liaison	Dr. Pedro Reyes (512-499-3789)
Health Affairs Liaison	Pat Francis (512-499-4709)

Compact Update Timeline 2004-2005. The Compact process is a two-year cycle. Compacts were developed and finalized in the even (non-legislative session) year; draft updates will be developed by spring 2005, and finalized after System budget/compact hearings in 2005, a legislative session year.

Schedule for 2004-05 Updates	
October 2004	Instructions and timeline for updates distributed
Nov. 2004 – March 2005	Compact meetings (Presidents, Executive Vice Chancellors, others as requested)
May 1, 2005	Draft updates for 05-06 are due
June 2005	Joint budget hearings/Compact meetings
June – August 2005	Consultation with staff on drafts, as needed
July – August 2005	FY 2006 Compact updates finalized
September 2005	Compact updates distributed to Board of Regents and posted on Web

Attachment A
Compact Update Outline and Instructions
Preliminary Draft Due May 1, 2005

DRAFT DEVELOPMENT: Compact updates need not, and should not be drafted until each president and staff, as appropriate, has met with respective Executive Vice Chancellors to discuss relevant ideas and issues. Following these meetings, the draft should be prepared, due no later than May 1, 2005. The drafts will be completed following discussion at the late spring/early summer budget hearing/Compact meetings. Updates will be reviewed by the Chancellor and finalized in August 2005.

FORMAT: Compact updates will follow base Word documents approved and sent to presidents in August 2004. Please do not alter the formatting in the document. The Compact update need not be longer than ten to twenty pages; suggestions for maximum length of each section appear below.

DRAFT SUBMISSION: Please submit the draft updated document electronically by May 1, 2005 to: Carol Sellers, csellers@utsystem.edu.

I. Introduction: Institution Mission and Goals (1 page)

As necessary, update the description of your institution's mission and scope, the students it seeks to serve, the size and nature of its faculty, and its role in the System, in the region, and the State.

II. Major Ongoing Priorities and Initiatives (5 to 10 pages)

Emphasis should be on documenting progress over the past year on your three to five highest short-term and three to five highest long-term priorities, and describing the specific strategies and tactics to be carried out in 2005-06 to achieve these priorities. As necessary, provide updates on the plans for each.

- **Objectives:** Update the goals, objectives, and timeframe of the initiative. Note the relation to institutional goals and the relation, if any, to System and/or State goals: collaborations among health and academic institutions; Closing the Gaps student access and success goals; increasing research funding; tangible marks of academic and health care excellence.
- **Strategies:** Update the outcomes, actions taken and planned to achieve stated objectives.
- **Resources:** As relevant, briefly summarize the institutional investment in the initiative, including past allocations and proposed resource plans.
- **Progress Measures:** Report and evaluate the outcomes of these initiatives using the measures proposed in the original compact; information and data should be provided covering the academic year 2004-05 (to the extent data are available when the update is submitted).
- **Major obstacles** to progress, if any.

III. Future Initiatives of High Strategic Importance (2 -3 pages)

Provide brief updates on up to three highest-priority potential initiatives for the next ten years. Present the institution's thinking about the priority and scope of each initiative.

- **Objectives:** Note the relation to institutional goals and the relation, if any, to System and/or State goals: collaborations among health and academic institutions; Closing the Gaps student access and success goals; increasing research funding; tangible marks of academic and health care excellence.
- **Strategies:** Actions to be taken.
- **Resources:** Proposed financing.
- **Progress Measures:** Explain how you would evaluate the outcomes and measure results, e.g., quality of faculty hired; faculty retention data; quality of students; graduate placements; national and/or regional rankings or attention.

IV. Other Critical Issues Related to Institutional Priorities (2-3 pages)

A. Impact of Initiatives: Provide a brief summary of the impact your initiatives may have on the following areas, and your initial ideas for addressing them (if not discussed in sections II or III above):

- **Enrollment Management** (e.g., balance of undergraduate and graduate programs; class size; advising, student diversity, percentage of tenure/tenure-track faculty teaching lower-division courses; curriculum revision; evaluation and improvement of teaching; student services; student retention and success, including graduation rates and employment/placement success).
- **Diversity** of faculty and staff.
- **Community and Institutional Relations** (e.g., impact on or role of community in the initiative; impact on development or alumni relations activities).
- **Finances** (e.g., tuition and market issues).
- **Facilities** (e.g., facilities requirements essential to addressing a strategic priority).
- **Other infrastructure issues** (e.g., information technology needs such as software, hardware, additional wiring, electronic databases or other information sources to address a strategic priority).

B. Unexpected Opportunities or Crises: Briefly discuss any opportunities or crises that your institution is pursuing that arose in the past year outside of the Compact framework, that have had an impact on the priorities and actions your institution is taking to address its high-priority initiatives.

V. System and State Priorities (1 page)

If you have not addressed the following topics in Sections II – IV, briefly update your institution's response to the following System priorities:

- Increasing student access and success.
- Collaborations among U. T. System institutions, particularly academic-health institution collaborations.
- Increasing external research funding.
- Increasing tangible marks of academic and health care excellence.
- Development and alumni relations.

VI. Compact Development Process (1 paragraph)

Describe the internal process your institution has used to develop its Compact draft. What was the consultation process? Which groups were invited to provide ideas? Note: consultation with faculty and key institution administrative officers is required.

VII. System Contributions (1 page)

Update the list of System contributions to support the institution's initiatives, e.g., assistance with development, facilities planning, governmental relations, academic program development, etc.

VIII. Appendices (2 – 3 pages)

The appendices are designed to provide a ready reference to data that will help provide a broad context for the discussion of priorities in the Compact.

1. Budget Summary: Overview of key revenue streams and expenditures by category (by the U. T. System Budget Office)
2. Statistical Profile (by the U. T. System Accountability Office).
3. Institution-Specific Information: e.g., results of surveys; peer comparisons; other special studies that reflect the institution's unique context and characteristics. (by the institution).
4. Links to Web Resources: e.g., institutional data profiles; program Web sites, etc. (by the institution).