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1 OVERVIEW

1.1 INTRODUCTION

The University at Albany’s management team is instituting a compact planning process as means to establish priorities for action by academic and administrative units, as well as by the university as a whole. Compact planning is a cyclical process that provides the means for identifying and resolving critical issues that affect the quality and effectiveness of the university. This is a university-wide process designed to align university goals and strategies. Specific performance and outcomes measures are used to hold units, and the university as a whole, accountable, and to demonstrate publicly the quality and impact of our programs and services.

Compacts, a series of memorandums of understanding between superior and subordinate units, across both the academic and administrative spheres of the university, are the formal planning documents that drive the university’s resource allocation and budget process. Compact plans, because they reflect shared and agreed upon understanding of unit and university goals and priorities, are used to shape various other planning and decision-making processes, including the following:

- Updating university-wide goals and priorities from the bottom-up, and aligning those with the budget process.
- Updating our long-range capital improvements plan and university master plan.
- Creating comprehensive enrollment and marketing plans.
- Budgeting for 2006-07 and for 2007-08.
- Establishing priorities for a major capital campaign.
- Soliciting advice and external validation from the university’s Board of Visitors.
- Performance evaluations of vice presidents, deans, department chairs, and directors.
- Annual Meeting and Reviews by the President and Provost with the faculties of each of the colleges.

1.2 THE COMPACT

A compact is an annual, bilateral, written management agreement between an academic or administrative unit and the university administration. It is the result of a series of meetings in which the unit leadership, as informed by its faculty and/or staff, presents priorities and issues and develops feasible strategies and targets in consultation with university administrators. A compact is jointly written between the unit and its supervisory authority, and delineates directions and actions, respective responsibilities, investments, outcomes, and mutual performance expectations in the context of unit and university long-range goals. The compact represents a pledge by both parties to pursue and support the initiatives summarized in the compact document.

Compacts are developed by the faculty and/or staff within units under the direction of the unit head and through the interactions between the unit head and the supervisor. Extensive faculty/staff participation in the development of unit compacts is required in order to fully align
university and unit goals and directions for the duration of the compact period. Department
chairs are required to initiate formal consultation regarding their department’s compact
initiatives with school/college governance bodies. For academic compacts, the base unit will be
the department. For administrative compacts, the base units will be determined by the vice
president at a level appropriate for compact purposes, which normally encompasses units that
have a director with budgetary authority and which are accountable for particular services and
performance. Base unit compacts will be bound together within the dean’s or vice president’s
compacts, and are integrated into the larger group’s overarching priorities, issues, and
performance measures. To support the university’s faculty bylaws and commitment to the
principle of faculty governance, the compact planning process contains provisions to ensure that
initiatives receive faculty governance consultation and/or approval, as needed and appropriate.

Writing the compact is an iterative process. It begins when each unit drafts a compact that
identifies its ongoing activities, high priority initiatives, and outlines how they address key issues
(See: Section II: Instructions). Through a series of two or three meetings between the unit head
and deans, vice presidents, and other university administrators, with formal written feedback to
initiating proposals by deans and vice presidents, proposed compacts will be refined until the
final documents have reached a mutually agreed-upon form.

Initiatives requiring special funding will be selected based on the results of recent reviews and
program evaluations, the unit's history with regard to key performance measures as detailed in
the unit’s assessment plan, the alignment of initiative goals with unit and university goals, and
the commitment of matching unit funding. Some initiatives may take two or more years to
complete, and some may be completed within a single year. In either case, the compact
summarizes the steps to be taken through the end of the next fiscal year, and beyond, as
appropriate.

In addition to outlining core operating activities, compact planning relates the unit's long-term
goals and aspirations to a specific, annual action agenda of initiatives to be pursued. For each
initiative, the compact describes strategies and suggests specific measures that the unit believes
are appropriate in defining progress toward desired outcomes and results. It also describes any
resources, financial and otherwise, necessary to achieve the outcomes and will propose realistic
sources for that support, including the reallocation of resources from less to more important
programs, and targets for development activities. The compact planning process links plans to
resource allocation at both the university and unit level by creating a set of priorities from which
budgets and the faculty workforce can be developed. It informs the budget process by requiring
analyses of assessment results. And it provides a blueprint for the university capital campaign.

Final compacts will be published on the World Wide Web in order to keep the university
community well informed, and to promote public accountability. However, preliminary drafts
and documents leading up to the final compact are considered confidential working documents
by the units and faculty governance representatives and will not be published.
1.3 Participating Units and Parties

Deans, vice presidents, and the executive vice president and provost will establish compact planning processes with their departments and units. The provost, vice presidents, and the president’s direct report units negotiate compacts with the president; deans and directors of Academic Affairs administrative units negotiate compacts with the provost. Each party may include a small number of appropriate staff in compact meetings. After each round of negotiation, comments from the supervisory authority to the proposing unit will be provided in writing to promote openness, transparency, and rigor in proposals. A list of the units that will prepare compacts under the direction of which administrators has been developed in consultation with the provost and each vice president, and is available at the Units link found on the compact planning web page <http://www.albany.edu/academic_affairs/cp/>.

Each dean and vice president will be provided a compact planning liaison, designated by the University Senate, to provide advice on moving initiatives efficiently through the governance process. The liaison facilitates the formal faculty consultation process and does not substitute for it. Deans are also required to engage in formal consultation with school/college governance bodies in accordance with university and school/college bylaws.

At the end of the third round of negotiations, which is when the provost and vice presidents have formed divisional compacts with their deans and direct reports, respectively, initiatives from across divisions that have been justified and moved forward from the preceding rounds will be forwarded to the provost and executive vice president for initial university-wide prioritization, and compacts, in their entirety, will be forwarded to the University Planning and Policy Council (UPC) for governance consultation. The provost will confer with the University Senate Executive committee and UPC in evaluating and recommending initiatives for funding, and the Executive Committee will work to facilitate timely governance consultation with Senate councils.

In addition, a Selective Investment Committee, constituted by the president and provost, will be an advisory group to the president and provost that will weigh and judge proposed initiatives based on their rigor, commitment to evaluating performance, and alignment with University goals and priorities.

1.4 Preparing the Compact

Within the office of the Provost and Executive Vice President for Academic Affairs, Dr. Bruce Szelest, Assistant Vice President for Strategic Planning and Assessment and Dr. Melinda Spencer, Vice Provost for Administration and Planning have been assigned the task of assisting in the preparation of compacts and with clarifying ambiguities that arise during their preparation. The Director of Assessment, Ms. Barbara Wilkinson, is charged with assisting academic units in the preparation of the student learning outcomes assessment component of their compacts.

Web links to compacts developed at the University of Texas - Austin, at Utah State University, the University of Minnesota, and at North Carolina State University, are provided at the UAlbany compact planning web page <http://www.albany.edu/academic_affairs/cp/>.
1.5 **Concluding the Compact Planning Process**

The president and provost will meet with the deans of the schools and colleges, and with the vice presidents to review their final compact proposals. They too will provide formal feedback, in writing, to the deans and the vice presidents with regard to their compacts and the initiatives they contain. In addition to being evaluated by the provost and president, compact initiatives that are proposed for special initiative funding will also be evaluated by a Selective Investment Committee constituted by the president and the provost. During the Spring Semester of 2006, a Board of Visitors, an invited group of nationally respected higher education leaders and policymakers, will be brought to campus to assess the outcome of the planning process, to provide advice about the strategic direction of the university, and to communicate their external perspective about the University’s planning and budgeting processes to University faculty and staff, and to the people of New York State. The results of the university’s compact planning process will also be presented to the University Council, the SUNY Chancellor and Board of Trustees, the University Senate, and student government.

2 **First Round of Compact Planning - Instructions**

**In the first round:**

Academic department and administrative unit heads, working closely with their faculty and staff, take the first step in building a compact agreement with their supervising dean or vice president by drafting a document that has the following format:

2.1 **Introduction**

Provide a brief introduction describing your unit mission, and the unit’s academic or administrative core functions. Such an introduction will be useful in providing a context when final compacts are published. This introduction should include the unit’s goals and objectives, and where relevant, national rankings or locally derived benchmarks.

2.2 **Initiatives**

A major component of the compact is in the initiatives and accompanying summaries of the steps to be taken, schedule of activities and progress reports, resource needs, and measures of outcomes and results.

For each initiative, provide the following information:

1. a short title,
2. a clear, brief, description of the initiative and what you want to achieve,
3. strategies and a logistics schedule for pursuing the initiative. Strategies include actions to be taken that are consistent with the financial reality of what can be accomplished within:
   a. the unit’s existing budget,
b. funds which are agreed to be provided by a supervisory authority and which are therefore included in the compact,
c. (non-recurring) special initiative funds requested within the compact planning process,
d. new faculty line resources requested from the campus financial plan, and
e. a clear description of how you will evaluate specific outcomes of the initiative, how you will quantitatively measure progress toward the desired results, and the dates that progress reports will be sent to the provost.

Strategies should not be conceived of, or developed as, requests to the unit’s base budget. However, if either new or reallocated resources (operating, personnel, or capital) are required, and include a financial plan identifying costs and possible sources of funding.

Initiative proposals should be limited to three pages or less.

While not all initiatives require funding, many will require funding for more than one year or multiple revenue sources for full implementation. It is not necessary to restrict the compact to those initiatives that can be resolved within the next fiscal year, nor to those that require additional resources to implement. Initiatives requiring more than one year to implement should be so identified, and a feasible schedule regarding their implementation and specific measures to gauge their success in meeting stated objectives should be developed accordingly.

There are six kinds of initiatives:
1. those supporting university goals,
2. those arising from unit issues and priorities,
3. those related to enrollment management,
4. those arising from a review of past performance or related to performance aspirations,
5. those supporting interdisciplinary programs and activities, and
6. those designed to enhance revenue.

Please respond to each type as described below.

### 2.2.1 Initiatives Supporting university Goals

As informed by previous planning exercises such as the SUNY Mission Review II process, ongoing conversations with the University Senate, deans, vice presidents, faculty and staff, students, and prospective students and their parents, nine goals and priorities for enhancing the university on the whole through the compact planning process have been identified. They are:

1. Strengthen the recruitment, retention, graduation, and placement of a diverse and appropriately prepared student population in such a way as to place Albany in the front
rank of the University Centers in the SUNY system on both these measures and in terms of student satisfaction surveys, as well as to elevate the University to the second tier of U.S. News rankings of undergraduate education.

2. Enhance graduate programmatic excellence in disciplines which are already at the top tier, and further develop programs with the potential to join that tier. Establishing fifteen graduate programs in the top twenty-five of National Research Council (NRC), U.S. News, or other such rankings, and driving federal funding of research to a level that will make the University equal to its peers are important, although not exclusive, markers for success in this regard.

3. Expand the size of the faculty by one-hundred full time members as part of a strategy to reduce the faculty-student ratio and better personalize the educational experience.

4. Internationalize the University by attracting more international students, providing opportunities for the majority of undergraduates to study abroad, by supporting international research collaboration, and by inclusion of international perspectives in graduate and undergraduate curricula.

5. Develop successful athletic, recreational, alumni, and public relations programs to help build University identity and spirit.

6. Foster new partnerships that permit the University to be engaged with the City of Albany, with K-12 public education, with other institutions of higher education in the region, and with supporting foundations.

7. Target private philanthropy, and a stronger flow of dollars from the federal government and for-profit corporations, as means to expand and diversify the revenues of the University.

8. Launch and complete a comprehensive capital campaign targeted at alumni involvement, foundations, corporations, and private philanthropists with particular but not exclusive emphasis on building the scholarship and fellowship base of the university and addressing the campus physical plant and technology support services that are vital to attracting the best and brightest students and faculty.

9. As we begin to adopt planning and budgeting processes that are responsive to University goals and driven by a commitment to measure what we value, each and every academic and administrative unit is responsible and accountable for re-examining the centrality of its function and the quality of its deliverables.

All units: Develop at least one initiative (and possibly several) that your unit will pursue as a contribution to achieving these university goals.
2.2.2 Initiatives Arising from Unit Issues and Priorities

Develop initiatives based on your review of:

a. your unit's aspirations and recent progress toward its goals,

b. results of recent program evaluations such as accreditation reviews, assessments, survey results, or

c. program and curriculum reviews.

Initiatives may address any key aspect of your unit's mission or any administrative function. As appropriate, you may wish to consider, for example, changes in academic degree programs; developing or enhancing honors programs; initiatives to improve the quality, effectiveness, and efficiency of departments, programs, and services; faculty and staff development activities to improve productivity; recruitment and retention of students, faculty and staff; advancing technology to extend the reach of your programs and services; opportunities for interdisciplinary and cross-functional activities; the diversity of the perspectives represented among faculty, students, and staff; efforts to promote external partnerships; and other efforts to improve the quality of services.

2.2.3 Initiatives Related to Enrollment Management

“Enrollment management” includes recruitment and retention efforts designed to achieve planned enrollment levels. Initiatives related to enrollment management involve strategies to recruit new students in specific numbers and with specific entering characteristics, as well as strategies to improve retention through efforts focused on student satisfaction, degree completion, development of programs to meet current and emerging student demands, etc.

Enrollment planning is an iterative process. Compact planning provides an opportunity to test university targets against the sum of school/college targets, which are developed from department targets, adjusting each as may be necessary. This process will also help administrative units prepare for changes to enrollment levels.

Academic units:

Baseline Enrollment Plan –

The enrollment plans of each academic unit are also detailed in this section of the compact. Each unit must detail its planned enrollment levels in the following categories:

- Graduate headcount by degree level (all programs with graduate enrollments)
- Undergraduate majors (all programs with undergraduate programs)
- Undergraduate minors (all programs offering a minor)
- Student credit hours, enrollments, and courses generated toward General Education and other service courses
The initial response should be based on the historical data provided by the Office of Institutional Research, data generated by the department from the PeopleSoft data warehouse, as well as the department’s internal plan for enrollment previously developed within school/college planning. Data and PeopleSoft queries regarding these metrics can be found under the Data link on the UAlbany compact planning web page <http://www.albany.edu/academic_affairs/cp/>. These initial plans should be based on current resources. Please use the form shown below, which is provided for this purpose under the Forms link on the compact planning web page <http://www.albany.edu/academic_affairs/cp/>.

Five-Year Enrollment Planning Form

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<tr>
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<th>Historical</th>
<th>Estimated</th>
<th>Enrollment Plan</th>
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<td>Fall 2005</td>
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<td>Graduate Total</td>
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Academic departments with undergraduate programs are responsible for providing for their majors, their minors, and for contributing to the General Education program and other service courses. Any planned departures from recent undergraduate (or graduate) enrollment levels should be discussed within the context of how those changes affect or are affected by available or planned unit resources, including assistantship and fellowship support, and overall university enrollment targets.

Academic departments have direct control over graduate program inputs, and therefore the responsibility to be proactive in monitoring and ensuring that planned enrollment targets are met. The Vice Provost for Enrollment Management, Graduate Admissions, and the Office of Institutional Research are available to assist graduate program directors in managing and monitoring their student enrollments.
COMPACT INITIATIVES RELATED TO RECRUITMENT, RETENTION, GRADUATION, AND PLACEMENT OF STUDENTS

Compact initiatives related to enrollment management concerns of recruitment, retention, graduation, and placement of students should reflect departmental aspirations beyond the current enrollment levels (departures from current enrollment levels should be discussed within the context of resources and impact on overall University enrollment goals).

Examples of areas and issues to develop enrollment management initiatives around might include, but not be limited to:

   a. new academic programs, majors or minors, or expansion of current programs, based on measurable student demand
   b. recruiting and improving access to students from under-represented minority groups,
   c. developing on-campus activities,
   d. promoting health and safety,
   e. the further development of the Educational Opportunity Program,
   f. expanding opportunities for service learning,
   g. promoting civic responsibility and volunteerism,
   h. enhancing the quality of student pre-major and in-the-major advisement,
   i. engaging undergraduates in research,
   j. efforts to revitalize on- and off-campus housing,
   k. establishing living-learning centers,
   l. proposals for a university-wide honors program,
   m. providing career services and placement assistance,
   n. promoting leadership training,
   o. enhancing course availability, and
   p. efforts to promote success in nationally competitive scholarship and fellowship programs (e.g., Rhodes, Marshall, Goldwater, Truman, and such).

The University’s enrollment goals are provided under the Enroll Plan link on the compact planning web page <http://www.albany.edu/academic_affairs/cp/>. Expectations for school/college contributions to achieving undergraduate enrollment targets will be articulated by the provost to the deans for incorporation in all three rounds of compact negotiation.

Each Compact initiative related to enrollment management should include a measurable anticipated outcome (e.g., change in enrollment, change in entering characteristics, change in graduation rate). Assistance in developing these initiatives is available from the Office of Provost through Wayne Locust, Vice Provost for Enrollment Management, and Sheila Mahan, Assistant Vice President for Academic Affairs.

Administrative units: Describe the impact on your unit of the planned undergraduate and graduate enrollments made available under the Enroll Plan link on the compact planning web page <http://www.albany.edu/academic_affairs/cp/>. Similarly, describe the impact on your unit of planned stability/growth of faculty also indicated at the URL referenced above. Develop compact initiatives needed to support these projected student and faculty levels, and related
impact on library, facilities, and other related resources. For example, Residential life should be careful to consider housing needs and services, Information Technology Services should consider the impact on technology resources and service levels.

2.2.4 Initiatives Addressing Performance Review and Aspirations

Some initiatives may be called for as a result of reviewing your unit’s performance on selected measures or indicators. In order to demonstrate to ourselves and to communicate to our constituencies that we are committed to improving quality and service, each unit is asked to monitor its effectiveness and efficiency and implement strategies for improving performance. The end goal of this part of the compact is to provide units the means to:

1. Improve. No matter how good we already are, we can always do better - whether in the classroom, the research laboratory, or in delivering important services out in the communities we serve, and to

2. Demonstrate that the University at Albany is a responsible steward of the public investment made by the citizens of New York State.

For academic units: Each unit is asked to address its academic, research, and service performance. The Data link on the compact planning website <http://www.albany.edu/academic_affairs/cp/> includes measures, and links to measures available from various university offices, that are common to all academic units. Units are invited to add other measures that may be more effective in describing their performance. Comment on the performance of your unit using these measures, as appropriate. Where possible, compare your unit's performance to peers' performance on the same measures. Develop compact initiatives that will lead to improved performance.

Academic units are also required to evaluate their effectiveness in achieving desired student learning outcomes and to develop compact initiatives that will contribute to improved teaching and learning. Departments that have existing assessment plans are asked to briefly describe their assessment activities and how their assessments have been used by the program to improve teaching and learning. Assessment plans and activity reports should be appended to the department compact. Units that do not have existing assessment plans are asked to work with the Director of Assessment, Ms. Barbara Wilkinson, to develop an assessment plan and implementation schedule to be included as an appendix to the unit compact. Assessment plan guidelines are available at http://www.albany.edu/assessment/prog_review.html. Departmental assessment plans need not be finalized to initiate the second and subsequent rounds of compact planning, but they should be completed by March 2006 when initiatives will begin to be prioritized by the provost and the Selective Investment Committee. This section of the compact should include proposed assessment-related initiatives, as well as a brief discussion of existing assessment activities.

For administrative units: At this time, no common measures have been identified for evaluating the performance of administrative units. It is therefore necessary for the unit to
develop performance measures. For the first compact meeting, identify at least three, specific performance measures appropriate for your unit, and identify an accessible source of data. Comment on your unit's recent performance using these measures. Remember, we should measure what we value, not value what we measure. Where possible, compare this performance to peers' performance on the same measures. As part of its inaugural compact, each administrative unit should also develop an assessment plan and implementation schedule, as outlined in Appendix E of the Institutional Assessment Plan, which is available at <http://www.albany.edu/assessment/iap.html>.

2.2.5 Initiatives Supporting Interdisciplinary Programs and Activities

For academic Units: Interdisciplinary programs and interdepartmental collaborations across the teaching, research, and service missions of the university are a means to leverage resources toward achieving collective ends. Academic units are encouraged to detail one or more initiatives that support interdisciplinary programs and activities. Initiatives with an interdisciplinary focus will receive high priority consideration in each round of negotiations.

For administrative units: As appropriate, administrative units should develop initiatives that support interdisciplinary programs and activities. Codicils, formal agreements between two or more academic and/or administrative units are encouraged.

2.2.6 Initiatives Designed to Enhance Revenue

All units: In the absence of a formal responsibility-centered or incentive-based budgeting model, the compact planning process will be used to detail initiatives (business models), which may or may not require special funding, to develop revenue enhancing activities (e.g., distance learning, continuing education, corporate partnerships, public-public partnerships, other external funding opportunities). These initiatives should describe incentives and rewards for entrepreneurial activities that generate new revenue, and which:

1. are consistent with university goals and priorities,
2. do no harm to other units, and
3. are permitted within the scope of SUNY and Middle States’ regulatory oversight.

In this section of the compact, details of how new revenue streams are shared between the unit and centralized units should be included. For example, if department X wishes to launch an initiative to offer non-degree distance courses to particular target populations, and the delivery of that instruction requires University-wide resources (e.g., IT support, library resources, Registrar services), then the proposed fiscal model might be to allocate 60 percent of revenues to the unit, 30 percent to a University-wide overhead account, and 10 percent to the special initiative account for supporting other initiatives. The details of actual distributions of revenues would be dependent on the proposed business model.
Regardless of whether revenue enhancing initiatives are proposed, each unit should provide a
two-year historical and three-year projection of its All-Funds operating budget, and briefly
describe its projected revenue and expense profile within the context of current and planned
activities, including proposed initiatives. The budget template shown below, and available under
the Forms link at the compact planning website <http://www.albany.edu/academic_affairs/cp/>
should be used to provide an overview of the unit’s fiscal condition. This form does not replace
existing budgetary procedures and protocol for implementing unit budgets, but is rather a
simplified fiscal summary to support discussion and analysis during the compact planning
process.
## All Funds Budget Profile for Compact Planning

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<td><strong>Indirect Cost Recovery Allocated to Unit (Incentive Allocation)</strong></td>
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For each revenue/expenditure category, please list the budget accounts used to tally the category total on the second worksheet within this Excel workbook.
3 **Subsequent Rounds of Compact Planning – Process and Negotiation**

The first round of proposed compact documents, meetings, and formal written feedback from supervisory to proposing units provides the foundation for the next steps in compact planning. Like the discovery phase of an investigation, the first round provides a forum for the department heads, deans and provost, on the academic side, and the vice presidents and divisions directors on the administrative side of the university to identify issues facing the institution.

The second round of compact planning will complete this discovery phase and give greater attention to identifying discrete, alternative initiatives that will move each unit and the university as a whole toward their goals. As compacts mature into the second and third round, deans are required to initiate formal faculty governance consultation with school/college and university governance bodies for (unfunded as well as funded) initiatives as required under faculty bylaws. In the third and final round, compact planning will converge with budgeting as high priority initiatives are selected for action beginning in 2006-07 or thereafter.

In the second and third rounds of the planning process, the emerging compact drafts will continue to consist of the following three parts.

- **Part One** - Introduction providing a brief description of the unit and its long-term vision for enhancing its position and programs
- **Part Two** - Initiatives related to: a) university goals, b) unit goals, c) future enrollment, d) performance and outcome measures, e) interdisciplinary programs, and f) revenue enhancements
- **Part Three** - Summary of initiatives, their deliverables, and their costs.

Following each of the compact meetings: between deans and department heads; vice presidents and directors; and the provost to the deans, the supervisory authority will provide a written response to the draft proposals and offer guidance about how these drafts can be refined and improved. A compact planning representative, designated by the university Senate, will work with the deans and vice presidents in finalizing their school/college or vice presidential compacts, and will help identify initiatives that should be presented to the Senate for consultation and/or approval, as appropriate. After department chairs meet to negotiate with their dean, unit directors with their vice president, and the deans with the provost, both parties in each meeting are expected to respond in writing to the comments, written and oral, made during and following those meetings. In some cases, these responses may well cover issues not directly related to any particular initiative but that bear instead on the general operation of the unit. In most cases, these formal communications will answer questions raised in an earlier response letter. Most importantly, this process of written demand and response (a flow of questions and answers between the parties) means that the bases upon which the parties are negotiating about initiatives and resources are clearly stated. These response and demand documents provide information and context supporting the compact discussions, but they do not belong in the final compact itself.

Deans, department heads, and directors of administrative units are expected to consult with their faculty and staff in the development of their overall college and division compacts. In addition,
just as the provost is negotiating school/college compacts with deans and administrative unit compacts with directors, deans and vice presidents are expected to negotiate department and divisional compacts with their respective academic and administrative unit heads. Academic department compacts initiated in the first round will not be finalized, in most instances, until the school/college compact between the dean and provost is finalized, as the dean-provost negotiations in the third round will impact issues and initiatives proposed in the first and second round. A complete set of departmental compacts signed by both department head and dean will eventually accompany the final compact to be co-signed in the spring by the provost and the appropriate dean or director.

Prior to the second round of formal negotiations – which take place between the deans and the provost, and the vice presidents and the president - draft school/college and divisional compact proposals and any supplemental reports are due to the provost’s office one week prior to the beginning of meetings between the deans and the provost, and the vice presidents and the president. Logistics for vice president meetings with the president should be coordinated with the provost’s office. These second round negotiations should commence by November 28. Deans and vice presidents should deliver five, three hole-punched, hard copies of their proposed school/college or divisional compacts to the provost’s office and send an electronic copy to Bruce Szelest at Bszelest@uamail.albany.edu by November 23.

4 FORMAT FOR SCHOOL/COLLEGE AND VICE PRESIDENTIAL COMPACT PLANS - INSTRUCTIONS

4.1 PART I - INTRODUCTION

Briefly describe your school/college or division mission and list the constituent departments, centers, and other constituent units. Provide a context for the initiatives that follow with a concise review of your unit's recent history (e.g., reorganizations, events with significant impact, results of external reviews, remarkable achievements and strengths, etc.) and your unit's upcoming challenges (e.g., new partnerships, demographic or regulatory changes, accreditation reviews, etc.). Schools and Colleges should characterize the current standing of their programs relative to those at institutions that they compete with for students and faculty.

Then, describe your unit's vision for the next three to five years and beyond. Describe your unit's aspirations in terms of the next higher level of performance and standing. This discussion should center on program and process outcomes, not on management of resources. That is, schools and colleges should focus this discussion on teaching, research, and service programs in the various disciplinary and multidisciplinary areas, rather than on organizational, resource, or policy issues – citing appropriate metrics. Administrative units should focus on services provided to faculty, staff, and students. What hurdles must be overcome in order to reach this new level of performance? By what strategic indicators will we know that your unit has reached that level? If available, use data to show current position and to project future standing.
A formal mechanism should be articulated for ensuring that department and unit assessment plan implementation occurs. Department and administrative unit assessment plans should be appended to the school/college or divisional compact.

Finally, summarize how your school/college or division will contribute to the institutional mission of the University. Your unit’s understanding of this contribution will assist in an upcoming re-examination and re-articulation of the University’s mission and focus.

4.2 Part II - Initiatives

Consistent with the university's overall instructions for compact planning, initiatives should be identified for one or more of the following six categories:

1. those supporting university goals,
2. those arising from unit issues and priorities,
3. those related to enrollment management,
4. those arising from a review of past performance or related to performance aspirations,
5. those supporting interdisciplinary programs and activities, and
6. those designed to enhance revenue.

Initiatives should describe efforts to be completed in 2006-07 and 2007-08, and beyond. Not all initiatives will require special funding.

Each initiative is a discrete activity representing an alternative investment that the dean, vice provost, or university might make. Initiatives should be selected and prioritized on the basis of their contributions to improving the school, college, division, or university's performance. For each initiative, please provide:

1. a short title, so the initiative can easily be referred to,
2. a very specific description of what will be achieved in programmatic terms (not in resource terms), how, and why it is important to the unit and/or to the university,
3. a description of the impact or outcomes to be enjoyed by students, faculty, staff, external client, or other beneficiary. State outcomes in specific, measurable terms,
4. a list of the codicils that have been arranged with other units, and
5. a financial resources summary, illustrated on the next page, and which can be found under the Forms link on the compact planning web page <http://www.albany.edu/academic_affairs/cp/>. This form, which includes the dean and vice president’s priority ranking for each initiative, should be included with all school/college and divisional compacts. At their discretion, deans and vice presidents may require their units to use this form in creating unit compacts.
# Financial Resources Summary Form: To be included in all School/College and Divisional Compact Proposals

## Total Resource Requirements (in dollars)

<table>
<thead>
<tr>
<th>Priority</th>
<th>CP #</th>
<th>University Goal and/or Initiative Categories</th>
<th>Initiative Title</th>
<th>Request from Selective Investment Pool</th>
<th>Request from Another Unit</th>
<th>Commitment of School/College or Unit Funds</th>
<th>Total 2006-07</th>
<th>Name of Codicil Partner(s)</th>
<th>Comments</th>
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The compact planning process is meant to encourage collaboration among departments, schools and colleges, and administrative units in building interdisciplinary and inter-administrative agreements. For example, the College of Arts and Sciences and the College of Nanoscale Science and Engineering might wish to fashion an initiative to identify and nurture UAlbany minority and female undergraduates interested in UAlbany’s nanoscale graduate programs; or Rockefeller College might wish to partner with the College of Arts and Sciences and the School of Business in developing a program to broaden language and cultural understanding to better advantage UAlbany students in an age of increasing globalization. In those instances where new initiatives require partners beyond the immediate unit preparing a plan, there should be a codicil developed and signed by the parties indicating their agreement to work together, their requisite responsibilities, and the identification of resources.

4.3 **PART III - SUMMARY**

List by the date promised and by short title the reports and projects for initiatives to be completed within the 2006-07 and 2007-08 academic years. Initiatives requiring more than two years for full implementation should be so noted.

Following negotiation with their departments and units, deans and vice presidents will prepare a compact using the format described above. When final compacts are submitted, a copy of the compacts for each constituent department and/or administrative unit that reports through the larger unit should be attached. All of the codicils should also be included with these agreements.

5 **SCHEDULE OF IMPORTANT EVENTS**

5.1 **ACADEMIC DEPARTMENTS - PLANNING TIMELINE AND PROCESS**

<table>
<thead>
<tr>
<th>Date</th>
<th>Event Description</th>
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<tbody>
<tr>
<td>Sept 8</td>
<td><strong>Information meeting</strong> – All department chairs (or designee) required to attend. Overview, data, format, and instructions will be provided. Extensive Q&amp;A on the process will also occur.</td>
</tr>
<tr>
<td>Sept 9 – Nov 4</td>
<td><strong>Round One:</strong> Focus on departmental vision, goals, and preliminary list of initiatives to achieve objectives. Department faculty/staff, led by chair; draft initial department compacts.</td>
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<tr>
<td>by Nov 4</td>
<td><strong>Department draft compacts due to deans; deans schedule meetings with chairs.</strong></td>
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</table>
| Nov 7 – Nov 23| **Department compacts refined with dean and proposed school/college compacts initiated**  
|               | 1. Dean meets with chairs to negotiate department compacts.  
<p>|               | 2. Based on dean’s input and formal written feedback, chairs |</p>
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<tr>
<th>Date Range</th>
<th>Description</th>
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<tbody>
<tr>
<td>Nov 23</td>
<td><strong>School/College draft compacts due to provost; provost schedules meetings with deans.</strong></td>
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</table>
| Nov 28 – Jan 13     | **Round Two:** Focus on revising departmental compacts and school/college-level prioritization.  
  1. Provost meets with deans to begin negotiating school/college compacts.  
  2. Based on provost’s input and formal written comments, chairs revisit department compacts with their faculty and staff.  
  3. Deans revise school/college compacts and establish priorities.  
  4. Deans meet with provost to discuss priorities and coordinate inter-school/college initiatives. Provost provides input and formal written comment. |
| by Jan 13           | **Provost provides formal written feedback to deans on school/college compact proposals** |
| Jan 16 – Feb 28     | **Round Three:** Focus on university prioritization and cost refinement.  
  1. Incorporating provost’s input, deans finalize school/college priorities and refine cost estimates.  
  2. Deans meet again with provost to finalize school/college compacts. |
| by Feb 28           | **Deans prioritize departmental and school/college initiatives requiring special funding and send revised draft compacts to provost and University Policy Council (UPC).** |
| Mar 1 – March 31    | **Buffer Period:** Provost prepares Academic Affairs compact proposal  
  1. President and provost meet with deans regarding school/college compacts.  
  2. Board of Visitors and others review University compact.  
  3. Provost’s staff prepares materials for budget process. |
| by March 31         | **Provost forwards refined initiatives requiring funding to Selective Investment Committee for evaluation and recommendations.** |
| April 3 – April 28  | **Budget Setting:**  
  1. Provost consults with UPC and Senate Executive Committee |
by April 28

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<thead>
<tr>
<th>Event</th>
<th>Description</th>
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<tr>
<td>2.</td>
<td>Selective Investment Committee forwards its recommendations for initiative funding to provost and president.</td>
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<tr>
<td>3.</td>
<td>Provost forwards funding recommendations to president.</td>
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May 1 – May 5

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<th>Event</th>
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<tr>
<td>Round 4:</td>
<td>President selects initiatives to be funded.</td>
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<tr>
<td>1.</td>
<td>Based on president’s decisions, departments and deans make final changes to compacts to reflect funding decisions.</td>
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<td>2.</td>
<td>All compacts are signed.</td>
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### 5.2 Administrative Units - Planning Timeline and Process

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<thead>
<tr>
<th>Date</th>
<th>Event</th>
<th>Description</th>
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<tbody>
<tr>
<td>Sept 8</td>
<td>Information meeting</td>
<td>All administrative unit directors (or designee) required to attend. Overview, data, format, and instructions will be provided. Extensive Q&amp;A on the process will also occur.</td>
</tr>
<tr>
<td>Sept 9 – Nov 4</td>
<td>Round One: Focus on unit vision, goals, and preliminary list of initiatives to achieve objectives.</td>
<td>Department faculty/staff, led by director; draft initial unit compacts. Draft compacts due to vice presidents, and vice presidents schedule meetings with directors</td>
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<td>by Nov 4</td>
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<tr>
<td>Nov 7 – Nov 23</td>
<td>Unit compacts refined and divisional compacts initiated</td>
<td>1. Vice president meets with directors to negotiate unit compacts. 2. Based on vice president’s input and formal written comments, directors meet with their staff to revise compacts. 3. Vice president meets with directors to discuss revised compacts. 4. Directors and vice presidents, working with Senate compact planning liaisons, send initiatives requiring governance consultation to appropriate councils. 5. Concurrently, vice president begins developing divisional compact.</td>
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<tr>
<td>by Nov 23</td>
<td>Divisional draft compacts due to provost’s office (on behalf of the president) and president schedules meetings with vice presidents</td>
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<tr>
<td>Nov 28 – Jan 13</td>
<td>Round Two: Focus on revising departmental compacts and prioritization at the divisional level</td>
<td>1. President meets with vice presidents to begin negotiating divisional compacts. 2. Based on president’s input and formal written feedback, vice presidents revisit unit compacts with staff.</td>
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<td>Date Range</td>
<td>Event Description</td>
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<tr>
<td>by Jan 13</td>
<td>President provides formal written feedback to vice presidents on divisional compact proposals</td>
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<td>Jan 16 – Feb 28</td>
<td>Round Three: Focus on university prioritization and cost refinement.</td>
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<td>1. Incorporating president’s input, vice presidents establish divisional priorities and refine cost estimates.</td>
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<td>2. Vice presidents meet with President to finalize divisional compacts.</td>
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<td>3. Divisional compacts forwarded to University Planning and Policy Council (UPC) for governance consultation.</td>
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<td>by Feb 28</td>
<td>Vice presidents prioritize unit and divisional initiatives requiring special funding and send revised draft compacts to provost (on behalf of president) and University Policy Council (UPC).</td>
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<td>Mar 1 – March 31</td>
<td>Buffer Period: President and provost prepare draft university compact.</td>
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<td>4. President and provost meet with vice presidents regarding divisional compacts.</td>
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<td>5. Board of Visitors and others review University compact.</td>
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<td>6. Provost’s staff prepares materials for budget process.</td>
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<tr>
<td>by March 31</td>
<td>President and provost forward refined initiatives requiring funding to Selective Investment Committee for evaluation and recommendation.</td>
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<td>April 3 – April 28</td>
<td>Budget Setting:</td>
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<td>4. President and provost consult with UPC and Senate Executive Committee regarding prioritizing initiatives from across divisions for funding.</td>
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<td>5. Selective Investment Committee forwards its recommendations for initiative funding to provost and president.</td>
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<td>6. Provost forwards recommendations to president.</td>
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<tr>
<td>by April 28</td>
<td>Round 4: President selects initiatives to be funded.</td>
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<tr>
<td>May 1 – May 5</td>
<td>3. Based on president’s decisions, units and vice presidents make final changes to compacts to reflect funding decisions.</td>
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<td>4. All compacts are signed.</td>
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6 ROUND ONE COMPACT TEMPLATE

Below is a suggested format to be used by all units for first round compact plan proposals. For additional details on the content to be included in each section shown below, see the appropriate section of the Compact Planning Handbook.

First Round Compact Plan
Unit Name: ____________________
Date

Contact Person
Name _______________________
Telephone #__________________
e-mail address _______________________

I. INTRODUCTION
1-2 pages for most units

II. INITIATIVES
A.1 Initiatives Supporting University Goals (One or more initiatives should target one or more of the nine University goals)
   1. a short title,
   2. a clear, brief, description of the initiative, which University goal it addresses, and what you want to achieve,
   3. strategies, financial requirements, and a logistics schedule for pursuing the initiative.
   4. proposed method for evaluating desired initiative outcomes, and its reporting schedule
A.2
   1. a short title,
   2. a clear, brief, description of the initiative, which University goal it addresses, and what you want to achieve,
   3. strategies, financial requirements, and a logistics schedule for pursuing the initiative.
   4. proposed method for evaluating desired initiative outcomes, and its reporting schedule
etc…

B.1 Initiatives Arising from Unit Issues and Priorities
   1. a short title,
   2. a clear, brief, description of the initiative, which issues or priorities it addresses, and what you want to achieve,
   3. strategies, financial requirements, and a logistics schedule for pursuing the initiative.
   4. proposed method for evaluating desired initiative outcomes, and its reporting schedule
B.2
eetc…
C.1 Initiatives Related to Enrollment Management
Academic Units: Complete the enrollment planning template and describe the context for any planned initiatives related to enrollment management issues.

All units should include the following information for each initiative:
1. a short title,
2. a clear, brief, description of the initiative, how it related to enrollment management issues, and what you want to achieve,
3. strategies, financial requirements, and a logistics schedule for pursuing the initiative.
4. proposed method for evaluating desired initiative outcomes, and its reporting schedule

C.2
eetc…

D.1 Initiatives Addressing Performance Review and Aspirations
All units: Include an assessment plan, and the following for each proposed initiative:
1. a short title,
2. a clear, brief, description of the initiative, how it relates to unit performance or aspirations, and what you want to achieve,
3. strategies, financial requirements, and a logistics schedule for pursuing the initiative.
4. proposed method for evaluating desired initiative outcomes, and its reporting schedule

D.2
eetc…

E.1 Initiatives Supporting Interdisciplinary Programs and Activities
1. a short title,
2. a clear, brief, description of the initiative, how it supports or promotes interdisciplinary programs or activities, and what you want to achieve,
3. strategies, financial requirements, and a logistics schedule for pursuing the initiative.
4. proposed method for evaluating desired initiative outcomes, and its reporting schedule

E.2
eetc…

F.1 Initiatives Designed to Enhance Revenue
All units: Complete the All-Funds budget template, and for each proposed initiative provide:
1. a short title,
2. a clear, brief, description of the initiative, how it will enhance unit or University revenue streams, and what you want to achieve,
3. strategies, financial requirements, and a logistics schedule for pursuing the initiative.
4. proposed method for evaluating desired initiative outcomes, and its reporting schedule

F.2
eetc…

III. PROPOSED CODICILS
Identify and briefly describe proposed agreements with other units. The actual codicils will be included in later versions of the compact.
IV. SUMMARY

Provide a brief statement (1-2 pages) summarizing the unit’s aspirations or goals as reflected by the unit’s initiatives.
7 OUTLINE FOR THE ASSESSMENT COMPONENT OF AN ACADEMIC PROGRAM SELF-STUDY REPORT

Adapted from Attachment A of the Provisional Procedures for Joint Review of Established Graduate and Undergraduate Programs

I. Mission and Learning Outcomes of Undergraduate and Graduate Programs – state:
   A. the overarching mission of the program
   B. the goals and objectives associated with accomplishing stated mission. The goals and objectives should be stated as learning outcomes in undergraduate programs
   C. how the program’s mission coalesces with the University at Albany’s strategic goals

note: Sections II through IV of the program review self-study guidelines are not applicable to developing an academic program assessment plan.

V. Assessment Plan and Outcomes
   A. Assessment Plan – describe/identify:
      1. the timeframe and the faculty/student involvement at each stage of the assessment plan
      2. specific types of assessment (direct and indirect) and types of instruments used to elicit the information (see Appendix A of the Provisional Procedures assessment examples at <http://www.albany.edu/assessment/Prog_rev_procedures.doc>)
      3. steps taken to ensure the quality of instruments in both qualitative and quantitative approaches to assessing outcomes in the program
      4. how direct assessment instruments map onto learning outcomes (where appropriate)
      5. how student academic advisement is assessed
      6. how the program involves student input in the design and implementation of its assessment activities
   B. Assessment Results – present:
      1. any results of assessment activities performed in the years preceding the self-study
      2. results of direct outcomes assessment activities performed in the current year of the self-study (e.g. capstone courses, course embedded exams, performances, etc.)
      3. results of indirect outcomes assessment activities performed in the current year of the self-study (e.g. student/alumni surveys, interviews, focus groups, etc.)
      4. results of indirect measures of student satisfaction/program effectiveness in the current year of the self-study (e.g. SIRF results, time to graduation, awards, honors, retention and graduation rates, etc.)
C. Improvement Loop – describe or detail:

how the program will use the information gleaned from assessment to improve its quality
plans (e.g., hard-copy reports, newsletters, postings on the departmental or University’s assessment Web site, etc.) for communicating assessment plans and annual assessment activity reports describing recent activities and/or how assessment results are being used to various campus constituencies
assessment activities to be performed in the coming year(s)
how the program will assess the assessment plan
The following template outlines the steps most often incorporated in an administrative unit assessment plan.

I. Formally Specify Mission and Goals
   A. Review University and division mission statements. Review and/or develop unit mission statements which include program goals.
   B. It is highly recommended that defining unit mission statements and program goals should be a collaborative process within the unit or department to ensure shared purpose and sense of direction.
   C. If applicable, review criteria and external standards of certification
   D. Prioritize goals to assist in later developing a timetable for implementing the assessment plan. Again, this should be a collaborative and participatory process within the unit or department.

II. Formulate Detailed Objectives for Each Goal
   A. Identify current and anticipated activities for each goal.
   B. Identify activities that affect multiple goals, and implications for those that do.
   C. List anticipated outcomes (end products) that should occur as a result of each activity, and also think about unintended outcomes that might result from these activities.
   D. Establish performance benchmarks, either internally developed or pegged to national benchmarks, if available.

III. Develop Assessment Metrics (preferably qualitative and quantitative) to Gauge the Achievement of Objectives
   A. Consider assessment methods already in use (e.g., satisfaction surveys, work flow monitoring, other direct and indirect measures).
   B. Use assessment instruments already accepted in the field (e.g., professional associations, accrediting boards, accepted best practices, etc.) to identify benchmarks and assessment tools.
   C. Use multiple measures to assess outcomes and processes if possible.
   D. Both qualitative and quantitative measures are acceptable, and a blend of the two is most desired.

IV. Identify the Logistics of the Assessment Plan
   A. Create a timeline for each assessment activity.
B. Identify individuals, committees, or groups and what each is responsible for (e.g., instrument design, data collection, analysis, report writing, communicating results back to students, staff, and faculty).
C. Identify resource needs.
D. Where appropriate, identify how student input should be built into the assessment process.

V. Collect and Analyze Data

IV. Collect data
V. Analyze results; note important findings; discuss challenges and areas for improvement.

VI. Describe the Unit’s Improvement Loop

A. Identify target audiences, including students, where appropriate.
B. How will results be disseminated and feedback solicited?
C. Describe how the unit or department will use the information gleaned from assessment to improve effectiveness.
D. Describe assessment activities to be performed in the future. A five- to seven-year implementation cycle is recommended.
E. Describe how you will assess the assessment plan.