



Principles

- The university must carefully define its core missions and ensure that metrics used within the resource allocation process appropriately support these missions while considering differences across divisions.
- The allocation process should closely align funding with stated institutional priorities and strategies while preserving sufficient funding to allow for investment in new campus-wide strategic initiatives.
- Deans and Directors are the primary arbiters of divisional strategy; they should be given appropriate flexibility and be held accountable for successful execution.
- The system for allocating resources should include incentives for the consideration of the success of the campus as a whole, not just those at the divisional level.
- Resource allocation should be proactive rather than reactive and should include the availability of “seed funding” for strategically important initiatives.
- Resource allocation should recognize the time horizons of current financial commitments to appropriately align the pace of allocation changes with the pace of operational changes.
- All aspects of future resource management, planning, and allocation including the individual components, and the system as a whole, should be clear, transparent, and easily understandable.
- Incentives should be clearly articulated, should align with the University’s missions, and be regularly evaluated to ensure that the outcomes align with intentions.
- Implementation of a new resource allocation process should acknowledge the need to engage units and allow time for changes to be absorbed.
- Cultural differences across campus, even within divisions, need to be recognized and implementation and change management should be designed and conducted with those differences in mind.

Note: This document was drafted from the Deans Council discussion on August 8, 2012 and then vetted with the AE Advisory Committee, Administrative Council and VCA Directors. Final changes were made to the document based on a review at the Deans Council on September 12, 2012. In an attempt to capture and utilize the many thoughtful observations and considerations, a second document was drafted to provide guidance as we operationalize the process for resource allocation.

Guidance for Operationalizing Resource Allocation

- The new resource allocation system should include a specifically designed process for iteration in order to measure outcomes and allow for adjustment over time
- Implementation will take us 3-5 years to get to where we want to be. This is the first implementation step. Project planning and communication should make it clear that this is phase one of a longer term process.
- Linking funding to stated campus-wide priorities requires a clearer articulation of strategies and attendant annual priorities. Any process should also include a consideration of current activities to facilitate the phase-out of activities that are either no longer within strategic priorities or are no longer “working.”
- It will be important to outline how campus determines priorities and attendant metrics for measurement, and to be clear and transparent about how priorities are set and who is involved in the process.
- Deans and Directors will need flexibility to accomplish what they have set as priorities.
- Shared governance will play a significant role in advising the Steering Committee.
- Academic planning councils will play a significant role in advising their respective deans.
- Communication will be critical. We need to consider how we communicate as we implement, particularly with external stakeholders.
- Incentives should be designed to reward those who have already taken steps towards realizing institutional strategies and priorities.
- This process should carefully consider data requirements and data availability to ensure Deans and Associate Deans have the information they need to be successful in any new resource allocation system.
- Implementation planning should include an assessment of the gaps between current organizational, technological, and business process capabilities and those required to be successful in a future-state process.
- Successive stages of implementation should recognize the commitment to data and include objective assessments of metrics to shape necessary adjustments in the process.
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