



Criterion 5. Resources, Planning, and Institutional Effectiveness

The institution's resources, structures, processes and planning are sufficient to fulfill its mission, improve the quality of its educational offerings, and respond to future challenges and opportunities.

5.A. Core Component

Through its administrative structures and collaborative processes, the institution's leadership demonstrates that it is effective and enables the institution to fulfill its mission.

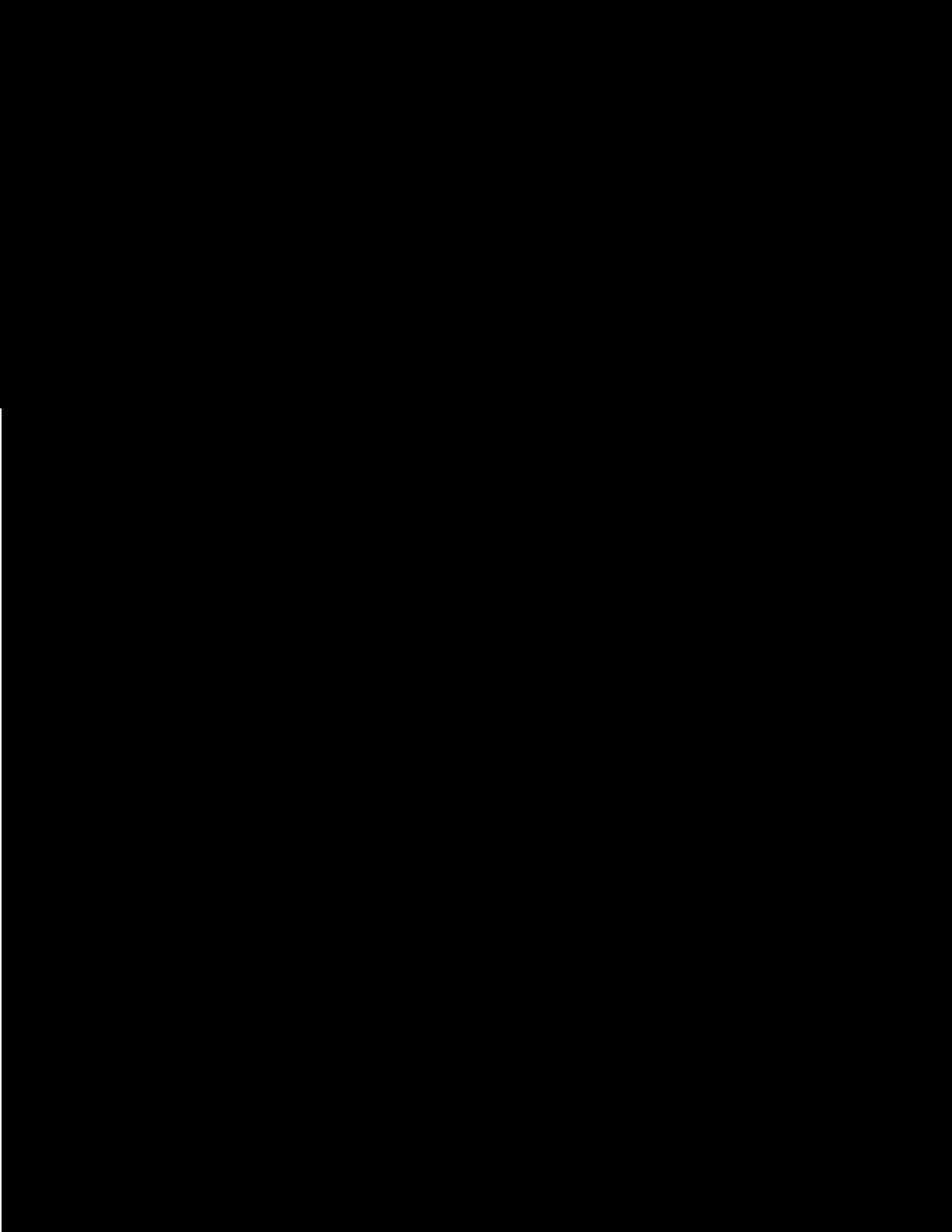
1. Shared governance at the institution engages its internal constituencies—including its governing board, administration, faculty, staff and students—through planning, policies and procedures.
2. The institution's administration uses data to reach informed decisions in the best interests of the institution and its constituents.
3. The institution's administration ensures that faculty and, when appropriate, staff and students are involved in setting academic requirements, policy and processes through effective collaborative structures.

Argument

5.A.1. Shared governance at the institution engages its internal constituencies—including its governing board, administration, faculty, staff and students—through planning, policies and procedures.

DU employs policies and procedures to engage internal constituencies—including board members, administration, faculty, staff, and students—in University governance. While the [Chancellor](#), [Chancellor's Cabinet](#), [Provost](#), [Vice Provosts](#) and [Deans](#) represent senior administrative decision-makers, shared governance across all levels informs University policies and practices. In DU IMPACT 2025, the institution affirms commitment to shared governance: “While we understand that there is one governing board, many issues require the expression and authentic engagement of many voices” [[Shared Governance Commitment](#)]. Annually, the Provost hosts a conference for all faculty, staff, administrators, and students on significant topics. The 2020 theme was shared governance and highlighted connections between shared governance and the public good [[Provost's Conference Webpage](#)].

To facilitate shared governance, DU is organized into committees, councils, advisory groups, task forces, and other entities that keep the community apprised of and engaged with activities and initiatives. All groups serve distinct purposes and represents various constituencies.

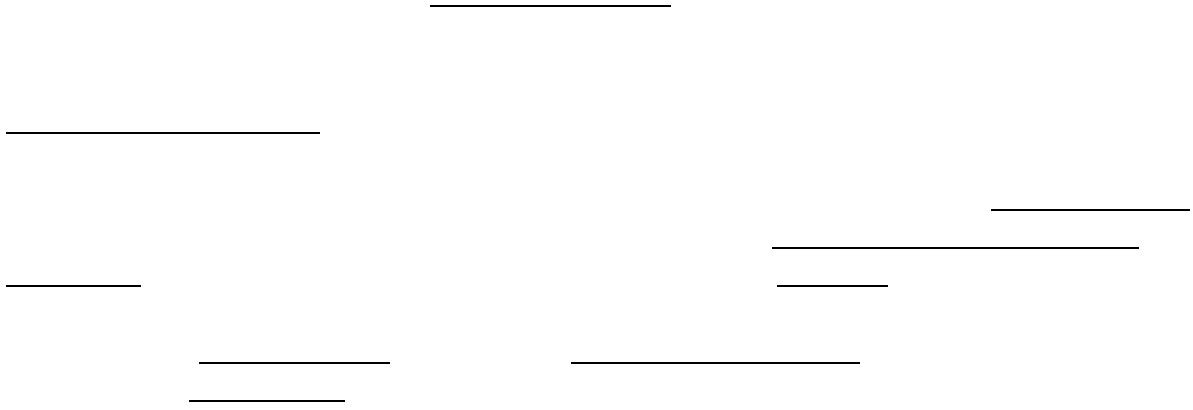


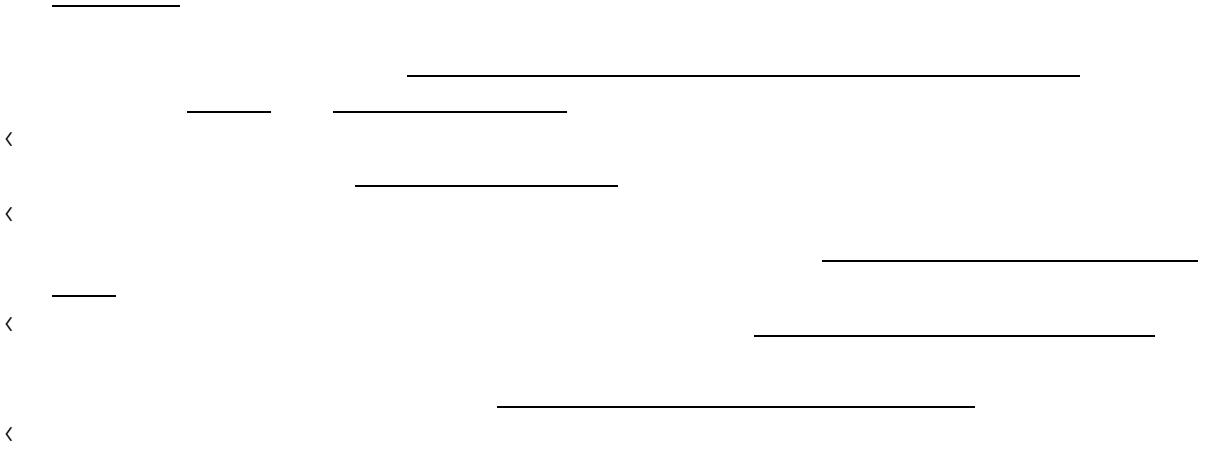
benefitted faculty lines. The Faculty Senate continues to uphold strong Shared Governance principles through the COVID-19 pandemic [[Highlights](#)].

In 2007, faculty renewed a chapter of the [American Association of University Professors \(AAUP\)](#) comprising faculty members frommg

In analysis of the Composite Financial Index (CFI), DU's CFI for FY2019 of 5.76 and the projected CFI for 2020 of 2.80 depict a healthy financial institution responding to volatility caused by COVID-19.

In spring 2020, DU managed the financial implications of the COVID-19 crisis and maintained high liquidity despite refunding room and board fees. As of May 2020, days cash on hand tracked consistently with





The overall calculation indicates that DU is healthy financially and should focus resources strategically to remain competitive. While the five-year trend for the CFI is downward, DU remains well above the midpoint, and recent financial performance is impacted by DU IMPACT 2025 expenditures.

Because DU is not beholden to any superordinate entity, there is no disbursement of revenue to such entity.

5.C. Core Component

Endowment Fund; sustainability initiatives; capital projects; employee compensation and equity adjustments; and employee wellness and healthy living initiatives.

As research is vital to DU's mission, numerous sources of [internal funding](#) support scholarship and creative activity. The [Professional Research Opportunities for Faculty](#) fund makes awards up to \$20,000 for individual faculty and \$45,000 for teams of investigators to increase external funding. The Faculty Research Fund offers awards up to \$3,000 to stimulate scholarship and creative activity. [Faculty Internationalization Grants](#) award up to \$8,000 to support international research endeavors. The [Public Good Fund for Faculty](#) has an annual pool of \$100,000 to promote public good research and outreach. The [Interdisciplinary Research Incubator for the Study of \(In\)Equality \(IRISE\) offers](#) awards up to \$5,000 to facilitate interdisciplinary research, scholarship, and creative works that deepen understanding of inequalities. The [Knoebel Institute Research Pilot Proposals fund](#) has \$250,000 to support pilot projects in research on aging. Many colleges have their own sources of funding. The College of Arts, Humanities and Social Sciences (CAHSS) offers almost a [dozen sources of funding](#) for scholarship and creative activity, including the Creative Arts Materials Fund which awards up to \$5,000 to offset the expense of arts materials.

The University directly supports student research. The [Undergraduate Research Center \(URC\)](#) offers \$1,500 Partnership in Scholarship awards for undergraduate students to work with faculty on collaboratively generated research projects. Additional grants allow students to present at conferences and conduct summer research projects. Individual units also encourage undergraduate research. CAHSS [awards students grants](#) up to \$3,400 for unpaid summer internships and up to \$1,250 for student research.

As discussed in Criterion 1, two priority areas for increased institutional funding within Chancellor Haefner's strategic imperatives are [diversity, equity and inclusion](#) and [sustainability](#). In the last ten years, DU has created or elevated positions in DEI, creating new infrastructure, including: [Office of Diversity, Equity and Inclusion](#); [Inclusive Pedagogy](#); and [Equity Education](#). While DU has made progress in many areas, such as recruiting [a more diverse student body](#) through this focused resource allocation, we recognize that our efforts have [not always reached those who need it most](#). DU also has made significant investments in sustainability. In 2017, [the University and the BOT agreed](#) to establish a revolving "green fund" with an initial \$5 million to investigate efforts related to sustainability in University operations. In 2012, the University designated resources to create a [Center for Sustainability](#) and a full-

planning proforma are reviewed and approved by Planning and Budget and the Provost prior to implementation.

In addition to in-depth [program-level assessments](#) by OTL, detailed in Criterion 4, a five-year financial and enrollment review of new programs is shared with deans and the BOT. Programs that do not perform as expected are evaluated for adaptation or closure through discussion with the unit dean and faculty.

DU also links evaluation of operations to planning and budgeting. Units that report to the Vice Chancellor for Business and Financial Affairs complete an annual Balanced Scorecard/Enterprise Risk Management (BSC/ERM) report of metrics in four areas: strategic goals supporting the University's mission and strategic plan; reliability of reporting; effective and efficient use of resources; and compliance with applicable laws and regulations. [Physical Environment](#) and [Financial Environment](#) reports are provided to the Chancellor and the Provost.

The Office of Business and Financial Affairs (BFA) has a direct relationship to how well the University accomplishes the goals of DU IMPACT 2025 [[BFA Connection of Student Experience](#)]. Student Financial Services (SFS) directly impacts students' academic progress by making financial information accessible to students and their families [[FY19 SFS Balanced Scorecard](#)].

5.C.3. The planning process encompasses the institution as a whole and considers the perspectives of internal and external constituent groups.

The University's principle planning documents, DU IMPACT 2025, the Denver Advantage Campus Framework Plan, and academic and administrative unit plans were crafted with extensive input from internal and external constituencies.

Creation of DU IMPACT 2025 began in December 2014 when a [27-member advisory body](#) was convened and divided into three working groups that consulted with the DU and Denver community. In 2015, the working groups engaged over 2,500 people—students, faculty, staff, alumni, friends, and business and civic leaders—to learn how DU can best fulfill its mission. Over the summer, the working groups drafted a document based on hundreds of conversations, approximately 1,000 pages of notes, and research from around the country. In September, they

Within academic units, external advisory boards provide guidance to maintain relevance with industry experts. The [Daniels College of Business \(DCB\) Executive Advisory Board](#) includes a spectrum of industry leaders who provide input and support for strategic activities; assist with recruiting prospective students and career opportunities for alumni; act as sounding boards and serve as ambassadors for DCB; and share best practices and lessons from their experiences. Individual departments within DCB host their own boards of advisors.

The Graduate School of Professional Psychology (GSPP) Board of Advisors supports and advances unit values, mission, and goals through fundraising and community connections [[GSPP Strategic Plan](#)]. The Board consists of 12-21 members who serve as ambassadors, connectors, and donors [[Board Packet, 2019-2020 Board Members](#)].

5.C.4. The institution plans on the basis of a sound understanding of its current capacity, including fluctuations in the institution's sources of revenue and enrollment.

The institution plans based on sound understanding of our current capacity, including fluctuations in institutional sources of revenue and enrollment, and long-range budget planning. Analysis and reporting of the University's financial operations is imperative to successful oversight of the institution. With University operations driven largely by tuition, this critical performance indicator is analyzed closely throughout the year. Business officers in each academic division develop a forecast four times annually to share with the Assistant Controller and Budget and Planning using MYFAB. Financial forecasts are submitted along with a narrative of the division's enrollment, registration, tuition, and discount projections for undergraduate and graduate programs.

Other important performance indicators of University operations are routinely reviewed by the Controller's Office, including cash flow, reserve balances, capital projects, minor capital spending, and historical operating comparisons. The Controller's office receives reports from other campus divisions. Undergraduate and graduate admission and enrollment reports, student receivables and bad debt analysis, and tuition forecasts generated by SFS are reviewed at the beginning of each quarter to inform overall operations and working capital cash flow.

DU uses external sources of forecasting and trends, including the Higher Education Price Index and reports from groups like the Educational Advisory Board and National Association for College and University Business Officers. When determining changes to cost of attendance, senior leadership considers internal and external factors, including student enrollment, annual giving, inflation, employee merit increases, the rising cost of utilities, proposed minimum wage increases contemplated by the City and County of Denver, the addition of new buildings to campus, and affordable housing. DU utilizes metrics for budgeting and funding like the [Higher Education Price Index](#) (HEPI), which measures the inflation rate applicable to United States higher education. In October 2019, [DU announced a tuition increase](#) of 2.4%, below the HEPI rate of 2.6%.

DU adjusts its expense base up or down depending on expected revenue. During fiscal years 2014-2018, DU responded to the nation-wide decline in law school enrollment with voluntary relinquishment of tenure by 10 faculty members, eliminating 10 staff positions, and reducing operating expenses. Conversely, the Graduate School of Social Work (GSSW) is experiencing increased online enrollment and we are investing in that division to accommodate growth. In FY14, GSSW had 72 full-time faculty and staff positions; in FY20, they had 114.

5.C.6. The institution implements its plans to systematically improve its operations and student outcomes.

Ten [implementation teams](#) were created in April 2016 to implement DU IMPACT 2025 and improve operations and student outcomes. While implementation structures changed as initiatives evolved, most teams are led by an administrator and faculty or staff member. Co-leads and key partners form the [DU IMPACT 2025 Steering Committee](#), which ensures progress of the plan. In fall 2019, Interim Provost Lengsfeld doubled the size of the committee, adding members with specific expertise [[Steering Committee Charge](#)].

Within implementation teams, co-leads create smaller working groups, with many meeting bi-weekly or monthly to ensure forward progress [[Internationalization Team](#)]. Some working groups have become permanent entities. The Office of Career and Professional Development

