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MEMORANDUM

September 10, 2003

TO: George Fair, Dean, School of General Studies
John Ferraris, Interim Dean, School of Natural Sciences and Mathematics
Robert Helms, Dean, Jonsson School of Engineering and Computer Science
Dennis Kratz, Dean, School of Arts and Humanities
Bert Moore, Dean, School of Behavioral and Brain Sciences
James Murdoch, Dean, School of Social Sciences
Hasan Pirkul, Dean, School of Management

FROM: Hobson Wildenthal, Executive Vice President and Provost

REFERENCE: UT System's Compact Process

In a memorandum to the Presidents of The University of Texas System, Chancellor Mark G. Yudoff provided guidelines for the System's new "Compact Process" (see attached). According to Chancellor Yudoff, the "Compacts will provide a common, systematic, and integrated planning framework for the System" as well as "provide a consistent framework to reflect the unique goals and character of each institution." Dr. Larry Redlinger, Executive Director, Office of Strategic Planning, has been designated as the University's Compact liaison and is responsible for coordinating the Compact development process.

To facilitate the timely completion of the University's Compact, President Jenifer has requested that the academic deans provide "Compacts" for their respective schools. I am enclosing a copy of the Compact Development Timeline 2003-2005 and an example of a Compact (Compact for the College of Liberal Arts) provided by Chancellor Yudoff. The scheduled date for submission of your Compact to the Office of the Provost is Friday, December 5, 2003. We will hold a meeting soon to discuss the various implications of the "Compact" process. Dr. Terry at 2271 and Dr. Redlinger at 6186 will serve as contacts as this process proceeds.

Xc: Franklyn-Jenifer
Larry D. Terry
Larry Redlinger

RECEIVED

SEP 10 2003

Office of Executive
Vice President & Provost



PHONE: 512/499-4201 FAX: 512/499-4215

September 4, 2003

MEMORANDUM

TO: Presidents, The University of Texas System
Dr. Charles A. Sorber
Dr. Larry R. Faulkner
Dr. Juliet V. García
Dr. Franklyn Jenifer
Dr. Diana S. Natalicio
Dr. Miguel Nevárez
Dr. W. David Watts
Dr. Ricardo Romo
Dr. Rodney H. Mabry
Kern Wildenthal, M.D.
John D. Stobo, M.D.
James T. Willerson, M.D.
Francisco G. Cigarroa, M.D.
John Mendelsohn, M.D.
Kirk Aquilla Calhoun, M.D.

FROM: Mark G. Yudof

SUBJECT: System Compact Guidelines

I am writing to share with you the guidelines for The University of Texas System's new Compact Process.

As we have discussed at System Council meetings earlier this year, the Compacts will provide a common, systematic, and integrated planning framework for the System. They will provide a consistent framework to reflect the unique goals and character of each institution. Succinct written agreements between the Chancellor and each president, the Compacts will summarize the institutions' major goals and priorities, strategic directions, and critical issues, relating to but not replacing budget or longer-term planning materials. They will also establish a means for consistent communication and evaluation of institutional goals and accomplishments, identification of opportunities for cross-institution collaboration, and commitments on the part of the System to assist institutions in implementing their priorities.

The Compact Process includes the following steps. A full schedule appears on page four of the attachment.

1. Compact liaison named by president for each institution; names and contact information due to Chancellor's office by October 1, 2003.
2. Compact meetings in October – early November 2003 to discuss presentation of institutional goals, priorities, and strategies in the Compact framework.

- a. The purpose of these meetings is to address relevant issues, expectations, and any areas needing clarification in advance of drafting the Compact document.
 - b. Institution participants in these meetings should include the president, the Compact liaison, and anyone else the president may wish to participate. System participants will include the respective Executive Vice Chancellor, the Academic or Health Affairs compact liaison, and Geri Malandra.
 - c. The System office will arrange these meetings. They will take place by videoconference if scheduling permits. Alternatively, they will take place in person either in Austin or at the home institution.
3. Development and submission of the draft Compact, due to your respective Executive Vice Chancellor by February 28, 2004.
 4. Review and discussion of draft Compact, with second Compact meeting, in March to early April 2004.
 5. Completion of final Compact in May to early June 2004.
 6. The final Compacts will be posted on the System Web site.

Contacts for questions about the Compact process:

Overall Compact Process	Dr. Geri Malandra (512-499-4216)
Academic Affairs Liaison	Dr. Pedro Reyes (512-499-3789)
Health Affairs Liaison	TBA

Please submit the name of your institution's Compact liaison to Dr. Geri Malandra by October 1.

Thank you for your attention to this important project.

MGY:mk

Attachment

cc: James C. Guckian, M.D.
Dr. Teresa A. Sullivan
Dr. Geri Malandra
Dr. Pedro Reyes

The University of Texas System Compact Process Guidelines

The Compact Process

A Compact is a succinct written agreement between the Chancellor and a component institution president that summarizes the institution's major goals and priorities, strategic directions, and critical issues. It describes action plans necessary to achieve important goals, summarizes the institution's progress and outcomes, and articulates the System Administration's commitment of resources and time to support particular initiatives. Unlike regulations, the Compact does not impose a single set of rigid rules on each institution. Within a standard format, it reflects the unique goals and character of each institution. This is a System-wide, institution-level process. Although not expected or required, component institutions may choose to develop Compacts at the college/school/department level, as well.

Purposes

The U. T. System academic and health institutions engage in strategic and long-range planning, but the System lacks a process for consistent communication and evaluation of institutional goals and accomplishments, identification of opportunities for cross-institution collaboration, and commitments on the part of the System to assist institutions in implementing their priorities. The Compacts will provide this common, systematic, and integrated planning framework for the System. They will provide a written record of agreements that will result from 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 component institution presidents and the Chancellor's office.

The Compact provides a means of showing what an institution's vision is, and how strategic and tactical decisions and actions were taken to achieve that vision. It demonstrates how institution-level decision making aligns with institution and System goals, shows how an institution makes decisions and allocates resources in support of its goals and priorities, supports ongoing process improvement, and records the System's role in supporting these priorities.

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

- As a tactical document, the Compact provides an operational view of an institution's key activities over the period of one to two years.
- As a management tool, the Compact provides a context for review of academic program proposals, capital requests, and other opportunities an institution may encounter alone or jointly.

- As a communication tool, the Compact collects information in one place, and shows the relationship among all key goals and issues.

Timeframe and Relation to Other Planning Activities

The Compact framework will foster a shared plan and vision, and help develop and articulate pressing issues and standards of excellence for each institution and for the System as a whole. The process should engage faculty, staff, and students in local-level decision making.

The time frame for a Compact is 18 to 24 months, somewhat shorter than the scope of most strategic plans. In this respect, Compacts should relate to, but will not replace, an institution's longer-range plans. They also relate to but do not replace the President's annual work plan and reports. The Compacts must align as well with budget planning. In the first two-year cycle, initial Compact discussions will begin in fall 2003; Compacts covering the fiscal years ending 2005 and 2006 will be completed in spring/early summer 2004. Updates for the second year of the cycle will be reviewed in budget/compact hearings in early summer 2005 following the legislative session (see p. 3 for the complete schedule).

The Compacts should also relate to the System's broader accountability and performance framework. They will become public documents, posted on the Web and available for reference by anyone within or outside the U. T. System.

Compact Contents

A Compact need not be longer than 10 – 20 pages. It will contain the following elements. Please see Attachment A for detailed descriptions of these sections.

1. Introductory material about the institution's mission and areas of activity.
2. Major short-term and ongoing priorities and initiatives: priority and scope, objectives, strategies; resources, progress measures, any obstacles to progress; and connections to institutional, System, and State priorities.
3. Future initiatives of high strategic importance: objectives, strategies, resources, and progress measures.
4. 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 consultation process to arrive at the final Compact document.

7. System contributions: a description of the services the System commits to providing to support the institution's initiatives, e.g., assistance with fundraising, facilities planning, community relations, academic program development, etc. This section will be added by System Administration.
8. Appendices: data that will provide a ready reference and context for the discussion of priorities in the Compact.

Compact Development Process

Institutional consultation. It is vital that each institution consult actively with its faculty, staff, students, and appropriate external constituencies through the planning process. The Compact includes a section where you are asked to describe the consultation strategies your institution used to prepare this document.

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.

Compact meetings. Each institution will meet with its respective Executive Vice Chancellor twice: 1) in the fall to outline initial priorities, issues, and questions in advance of drafting the Compact, and 2) in the winter (first year) or late spring (second year) to review the draft Compact document. The primary purpose of these meetings is to hold a face-to-face discussion about the goals and priorities for each institution, and to provide guidance in the development of the Compact draft. 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 meeting schedule. The schedule of the Compact meetings will be communicated separately when dates and times have been determined.

Compact contacts. Each institution is asked to identify a key contact for the Compact process. System contacts are:

Overall Compact Process	Dr. Geri Malandra (512-499-4216)
Academic Affairs Liaison	Dr. Pedro Reyes (512-499-3789)
Health Affairs Liaison	TBA

Compact Development Timeline 2003-2005

The Compact process is two-year cycle. Compacts will be developed and finalized in the even (non-legislative session) year; updates will be developed and finalized at the time of System budget/compact hearings in the odd (legislative session) year.

YEAR I	
Sept. 2003	Compact instructions distributed
Oct. – early Nov. 2003	Initial Compact meeting
Nov. 2003 – Feb. 2004	Institutions draft Compacts
Feb. 28, 2004	Draft Compacts due
March – April 2004	Second Compact meeting
May – June 2004	Compacts covering fiscal years 2005 and 2006 finalized
July 2004	Compacts posted on Web
YEAR II	
Aug. 2004	Instructions for fiscal year 2006 updates
Sept. – Oct. 2004	Compact meetings (1)
Nov. 2004 – Jan. 2005	Updates drafted
Feb. 2005	Draft updates due (post P&T)
June 2005	Budget hearings/Compact meetings (2)
July 2005	FY 2006 Updates finalized and posted on Web

Attachment A

Compact Outline and Instructions

The Compact narrative need not be longer than ten to twenty pages; suggestions for maximum length of each section appear below.

FORMAT: Please use the following outline. Prepare document in MS Word, WordPerfect, or other standard word-processing software, using 12-point font and 1-inch margins. Number each page.

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

Briefly describe the mission and scope of the institution, 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)

Provide brief summaries of your three to five highest short-term and three to five highest long-term priorities. These may relate to student access and success; teaching, research, and health care excellence; collaborations with and service to communities; organizational efficiency and productivity.

Consider the following illustrative examples of initiatives you may wish to address: status of academic programs and programmatic priorities; initiatives to improve the quality of selected schools or departments; opportunities for interdisciplinary and inter-institutional collaborations; enhancing technology transfer efforts and results; productivity of faculty and staff; enhancing access and success in the undergraduate experience; enhancing health professional education; diversity of staff and faculty; status and plans for organized outreach activities; external partnerships; quality and service improvement initiatives; strengthening development and/or alumni relations.

For each initiative, describe the:

- **Priority:** Indicate the priority and scope.
- **Objectives:** Describe 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 targets; increasing research funding; tangible marks of academic and health care excellence.
- **Strategies:** Actions taken and planned to achieve stated objectives.
- **Resources:** A summary of the financing plan, including past allocations and proposed resource plans, e.g., sources and amounts of needed funding.
- **Progress Measures:** Explain how you plan to 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.
- **Major obstacles** to progress, if any.

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

Provide brief summaries of 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 targets; 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 your institution is pursuing that fall outside the Compact framework, and any crises 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, discuss briefly 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.