STRATEGIC DIRECTION #6: Performance, Accountability, and Funding

FINAL REPORT

Presented to:
The Strategic Planning Subcommittee of the Board of Trustees
May 3, 2006

Chancellor Joseph W. Westphal, Chair

A Value-based Holistic Approach
A Vision for Performance, Accountability, and Funding

• UMS Accountability to the Citizens of Maine

• Supporting the Public Agenda

• An integrated and holistic approach based on:
  • core values;
  • measurable inputs and outputs;
  • realistic goals and timeframes;
  • and open dialog.
A Vision for Performance, Accountability, and Funding

Chancellor and BOT
- Oversight
- Set benchmarks
  - Performance
  - Budget
- Evaluate progress and take action

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Performance Measures
- UMS Core Values; orientated for University mission.
- Benchmarks (targets) for each institution based in part on peers and other information; determined by open dialog.
- Timetable for reaching benchmarks.
- System central services also held accountable.

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A Vision for Performance, Accountability, and Funding
Performance and Accountability

- Performance – current state
- Benchmark – future state with timetable
- Accountability – progress toward reaching benchmarks
Layered Approach for Measures

Common thread

UMS Accountable to the Citizens of Maine

UMA
UMF
UMFK
UMM
UMPI
USM

Determining the measures systematically

Based on missions

UMS Core Values

#6s
Reports for advocacy and internal review
Designed for different stakeholders
• At System level
• At University level
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Funding Process
- Based on guiding principles
- Benchmarks – for each institution based in part on peers and other information; determined by open dialog.
- Incremental funds distributed based on inflation, performance, and new initiatives.

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A Vision for Performance, Accountability, and Funding
Guiding Principles

• Mission based
• Simple, straightforward, and transparent
• Providing stability and predictability
• Promoting efficiency and collaboration
• Encouraging campuses to compete for external funds
• Balanced between institutional autonomy and Trustee priorities
• Reflecting emerging state priorities
• Based on full costs and revenues
• New initiatives
  • Applied to new incremental funds
Proceed Cautiously…

- Potential to be highly politicized, debated, and contested.

- The Chancellor, Presidents, and BOT must refine and endorse process – include vetting with campus communities and the public.
A Vision for Performance, Accountability, and Funding

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Accountability
- Equate funding with performance
- Evaluate new initiatives
- Identify successes and setbacks
- Determine barriers

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Integration
“Checks and Balances”

Accountability

Performance

Funding
A Value-based Holistic Approach

• Based on open dialog
• Not a spreadsheet approach
• Informed decision-making process
• Data driven discussions
Next Steps…

• For the System, the Chancellor, Presidents, and BOT will refine and endorse a new mission statement, core values, and determine appropriate performance measures, benchmarks, and timetables.

• Each University will recommend a set of performance measures based on its mission. This is followed by determining appropriate peer groups, benchmarks, and timetables.

• Using this information, the Chancellor, Presidents, and BOT will refine the budget process.

• The overall budget process will then be vetted with campus communities and the public.
A Vision For Excellence

**UMS Core Values**

![Diagram showing the intersection of Knowledge, Community, and Student Success]

- **Knowledge**
- **Community**
- **Student Success**
- **UMS Mission**
The University of Maine System unites seven distinctive public universities in common purpose to provide quality higher education at affordable cost, to strengthen the Maine economy through research and outreach, and to improve the lives of all the citizens of Maine. The System, through its seven universities, carries out the traditional tripartite mission of the public university - teaching, research, and public service. The System advances this mission as a major resource for the State, linking knowledge, student success, and community. (11/18/96, as modified xx/xx/xx)
Accountability to the Citizens of Maine

The University of Maine System is dedicated to and accountable for serving the high purposes shared by all public universities, the needs of our state and its citizens, and the aspirations of our students, both traditional and non-traditional. In an era when knowledge and high-order skills are essential to economic success and effective citizenship, all involved join together to build strong universities that are open to a changing world, efficient in their operations, supportive of their employees, and responsive to the unique and abiding role entrusted to them by the people of Maine.
Knowledge

The University of Maine System is dedicated to the discovery, teaching, application, and dissemination of knowledge. Knowledge of self, others, the world, and of different ways of thinking and being foster understanding and nurture the human community. Research and discovery—expressed in a wide range of intellectual, scholarly, and creative activities—generate new knowledge, enrich the lives of Maine people, strengthen Maine communities, enhance student success, and increase our national and international recognition. Students and faculty share in the discovery of knowledge and the learning that proceeds from it, including the abilities, discipline, attitudes, and habits of the heart and mind that true learning confers and contributes to a high quality of life.

Possible Measures:

• Grants, contracts, and patents
• MEIF investments
• Student research
• Faculty creative output
• Degrees conferred by program
Student Success

The University of Maine System promotes student success by active engagement in strengthening K-12 public education in Maine, by removing real and perceived barriers to public higher education, and by continuing improvement of its quality. University life builds on earlier experience and learning, and offers a gateway to and foundation for lifelong success. Student success means active engagement in the process of learning and discovery, and persistence through to graduation; development of critical thinking and effective communication skills; cultivation of civic awareness and acceptance of social responsibility; participation in the larger communities, both local and global, of which we are part; and an enduring commitment to ethical behavior and appreciation of diversity.

Possible Measures:

- First-year retention rates
- 4th and 6th year graduation rates
- Affordability measure (i.e., number of low-income students)
- Access measure (i.e., breakdown of student body; first-time, first-year in-state enrollment)
- Average class size
The University of Maine System works to strengthen Maine's many communities, to foster sustainable economic development, to enhance the natural and built environment, and to contribute to the local, regional, national, and international communities of which we are part. Each university in the System plays its part through a rich set of connections and contributions to the communities it serves, and through adherence to a mission that embraces teaching, research, and public service to advance these communities' purposes. The System and its seven universities – its faculty, students, and staff – value excellence, efficiency, and high performance, and seek to become the employer of choice in their areas.

**Possible Measures:**

- Student off-campus activities (service learning)
- Faculty off-campus activities (public service)
- Distance education (degree and non-degree)
- Degrees conferred in critical areas of need
- UMS economic impact on the State