

Date: 18 December 2013

To: Steve Rein, Chair, Academic Senate

From: Samuel Frame, Chair, Budget and Long Range Planning, Academic Senate

Subject: Budget and Long Range Planning Quarterly Report, Fall 2013

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The Budget and Long Range Planning Committee (BLRP) had three meetings during the Fall 2013 quarter. The meetings took place on Friday 11 October, Friday 1 November, and Friday 22 November. The minutes for the first two meetings are available in the Academic Senate office, and the minutes from the last meeting are still awaiting final approval and submission. The Academic Senate Executive Committee (EC) has given BLRP the below charges for 2013-2014.

- Better understanding of the budget allocation meet with Provost/VP AFD.
- Look at strategic plan and suggest criteria for evaluating targeted growth options.
- Have Executive Committee approve procedural guidelines. Fall 2013.

This report details BLRP's efforts to address these charges, and a data collection exercise designed to better understand budget transparency.

- Last year, BLRP submitted its procedures to the EC for approval and this year's EC requested that BLRP make one small change to the procedures (specially, the minimum number of meeting dates). BLRP has made this change, and resubmitted the procedures to the EC for approval. The submitted procedures are included in this report and in the Academic Senate office.
- BLRP has established the below working groups for 2013-2014.
  - Budget: Hurley
  - Long-Range Planning: Ahlgren, Danes, Hurley, McMahan, Moez, Torres-Bustamanate

In Winter 2014, the Long-Range Planning working group will be addressing the EC charge to look at the strategy plan. At the request of the BLRP members, Frame has contacted the Academic Senate chair to clarify which strategic plan document the EC would like BLRP to consider.

- The Cal Poly 'Campus Conversations: Cal Poly's Budget Today and Moving Forward' presented the below questions to the Cal Poly community.
  - *How can we improve transparency in the budget allocation process? How do you define transparency?*
  - *What type/level of budget information are you interested in or want to hear about?*
  - *What is the preferred method of communication? Email updates? Open Forums?*

As representatives of the faculty and staff through the Academic Senate, BLRP developed a data collection exercise designed to obtain, summarize, and provide feedback to these questions. To do so, BLRP set up the below interactive website.

<http://blrp.dialogr.com>

The initial question posed to the faculty and staff of the Academic Senate is below.

*The Academic Senate Budget and Long-Range Planning Committee (BLRP) seeks your thoughts and suggestions on University budget issues. To start, BLRP would like to know how you define 'transparency' of the budget and the budget allocation process. Relative to budgeting issues, what does 'transparency' mean to you?*

In Winter 2014, will discuss the results of the exercise, may develop more questions and obtain further input from faculty and staff, and will discuss how to make BLRP's findings available.

This report includes the updated BLRP procedures and initial results of the DIALOGR survey.

## Procedural Guidelines for the Academic Senate Budget and Long Range Planning Committee

### **Responsibilities**

The Constitution of the Faculty states, "joint decision making and consultation between the administration and the General Faculty have been recognized by the legislature of the State of California as the long accepted manner of governing institutions of higher learning and are essential to the educational missions of such institutions. [T]he Academic Senate is empowered to exercise all legislative and advisory powers on behalf of the General Faculty. Advisory powers shall include, but not be limited to consultation on budget policy, administrative appointments, determination of campus administrative policy, University organization, and facilities use and planning."

The Budget and Long Range Planning Committee (hereafter BLRP) shall review and make recommendations concerning policy for the allocation of budgeted resources and long range planning decisions. BLRP shall have representation on bodies formed to review the mechanisms by which campuswide resource allocations are made. BLRP shall work cooperatively and in consultation with administrative departments, units, representatives, and staff members. Budget and long range planning tasks assigned to specific, standing committees of the Academic Senate fall within the purview of BLRP. BLRP shall continuously develop and maintain definitions of budget transparency and faculty consultation on budget and long range planning issues.

Business items may be given to BLRP by the Academic Senate, Executive Committee, and/or the Senate Chair. BLRP may send to the Executive Committee a recommendation in the form of a draft resolution in order that it be placed on the Academic Senate's agenda. BLRP's recommendations shall not be considered policy statements until formally approved by the Senate and/or Executive Committee.

### **Membership**

Shall include one voting General Faculty representatives from each college and PCS. Ex officio members shall be an ASI representative, Vice Provost/Vice President for Academic Affairs or designee, and Vice President for Administration & Finance or designee.

### **Organization**

BLRP shall organize the committee members into two working groups: Long-Range Planning and Budget. The Long-Range Planning working group will be responsible for completing the long-range planning charges given to BLRP by the Executive Committee and representing BLRP outside the committee as needed. The Budget working group will be responsible for completing the budget charges given to BLRP by the Executive Committee and representing BLRP outside the committee as needed. In general, the two units will meet and work as a team with the option to act as subcommittees on an as needed basis.

### **Responsibilities of the Chair**

The BLRP Chair (hereafter the Chair) is responsible for scheduling meetings, setting an agenda, and conducting all meetings. After each meeting, the Chair will provide meeting minutes, including votes taken by BLRP on business items. At the end of each quarter, the Chair will submit a report to the Senate Office including a summary of the BLRP's work and accomplishments. At the end of each academic year, the Chair will conduct an annual review of BLRP's work and accomplishments, and provide an evaluation on how they fit within BLRP's responsibilities.

**Meetings**

BLRP shall meet at least one per quarter. Meetings shall be scheduled during normal work hours, during the third, sixth, and ninth Friday of each quarter. Notification of meetings shall be sent at least five working days before the meeting date. A quorum is required to conduct business. A simple majority of the voting members shall constitute a quorum for a meeting. A vote by the majority of the voting members attending a meeting constitutes the recommendation of BLRP. Voting shall take place by a show of hands unless one attending member requests a secret ballot. Electronic meetings may be conducted as described in AS-721-10.

**Reporting**

All BLRP deliverables must be voted on and approved by the BLRP voting members before dissemination. Minority opinions may be submitted to the Academic Senate for consideration. All meeting minutes, reports, and minority opinions will be made available to the General Faculty by way of the Academic Senate.

Dated: Fall 2013

# Dialogr

## MEANING OF TRANSPARENCY:

The Academic Senate Budget and Long-Range Planning Committee (BLRP) seeks your thoughts and suggestions on University budget issues. To start, BLRP would like to know how you define 'transparency' of the budget and the budget allocation process. **Relative to budgeting issues, what does 'transparency' mean to you?**

Add your thoughts and vote on (rate) the suggestions of others.

### Topic Stats:

- Total Ideas: 11
- Mean Number of Ratings: 5.09
- Total Topic Views: 233
- Eligibility: 3 Raters  
(ideas with less shown as "UR"- unranked)

Rank	Idea ( <a href="#">hide comments</a> )	Profile	PostDate												
<a href="#">1</a>	<p>I agree with nearly everything others have said previously, and would just like to re-iterate that one of the most important parts of transparency is making available to appropriate stakeholders the rationale for why a budget decision was made.</p> <table><tr><td>Raters</td><td>Strongly Disagree</td><td>Disagree</td><td>Neutral</td><td>Agree</td><td>Strongly Agree</td></tr><tr><td>4</td><td>0%(0)</td><td>0%(0)</td><td>25%(1)</td><td>0%(0)</td><td>75%(3)</td></tr></table> <p>Mean Rating : 4.5   Standard Dev.: 0.87   Consensus: 75.3</p> <p>Comments (0)</p>	Raters	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	4	0%(0)	0%(0)	25%(1)	0%(0)	75%(3)	<a href="#">Paul Rinzler</a>	11/20/13
Raters	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree										
4	0%(0)	0%(0)	25%(1)	0%(0)	75%(3)										
<a href="#">2</a>	<p>Transparency is not only creating access, making available or allowing full disclosure. Transparency should be a balance between transcribing data and visualizing data (which helps making sense of it).</p> <table><tr><td>Raters</td><td>Strongly Disagree</td><td>Disagree</td><td>Neutral</td><td>Agree</td><td>Strongly Agree</td></tr><tr><td>3</td><td>0%(0)</td><td>0%(0)</td><td>33%(1)</td><td>0%(0)</td><td>67%(2)</td></tr></table> <p>Mean Rating : 4.33   Standard Dev.: 0.94   Consensus: 72.7</p>	Raters	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	3	0%(0)	0%(0)	33%(1)	0%(0)	67%(2)	<a href="#">Cesar Torres</a>	11/15/13
Raters	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree										
3	0%(0)	0%(0)	33%(1)	0%(0)	67%(2)										
<a href="#">3</a>	<p>Transparency means a clear justification for how funds are allocated. Faculty and staff need to see the relationship between</p>	<a href="#">Carmen T</a>	11/18/13												

Rank	Idea ( <a href="#">hide comments</a> )	Profile	PostDate
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number of students (or scu's), professors, rooms, hours in class, modes of teaching, and the dollars. If we don't have this, we can't make informed curricular changes, especially those that are fiscally initiated.

Raters	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
3	0%(0)	0%(0)	33%(1)	0%(0)	67%(2)

Mean Rating : 4.33 Standard Dev.: 0.94 Consensus: 72.7

Comments (0)

<a href="#">4</a>	Budget transparency means understanding both the distribution of funds and the mechanism that determined the distribution of funds. It means that the campus effectively identifies all revenue sources and where those revenue sources are spent. For me, budget transparency needs to occur for Cal Poly and all of its affiliated organizations (CPC, Cal Poly Housing, Foundation, etc.). For instance, right now out of state students are a growing revenue source for Cal Poly. But no-one communicates how those new revenue sources are being spent. At one time, the departments that attract the most out of state students were promised additional funds from this revenue source, but this promise has not been fulfilled.	<a href="#">Andrew Kean</a>	11/19/13
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Raters	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
3	0%(0)	0%(0)	33%(1)	0%(0)	67%(2)

Mean Rating : 4.33 Standard Dev.: 0.94 Consensus: 72.7

<a href="#">5</a>	All stakeholders should have full access to the decision criteria used in allocating funds.	<a href="#">JED</a>	11/12/13
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Raters	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
7	0%(0)	14%(1)	14%(1)	43%(3)	29%(2)

Mean Rating : 3.86 Standard Dev.: 0.99 Consensus: 71.07

Comments (1)

These decision criteria should be linked to the specific components of the University's strategic plan. Please note that a strategic framework does not have enough depth and specificity to make meaningful links.

◇ Posted by [SPH](#) November, 16, 2013 4:19 PM

Agree

<a href="#">6</a>	Financial statements use "plain English" reporting. It should not	<a href="#">Eric O</a>	11/13/13
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Rank	Idea ( <a href="#">hide comments</a> )	Profile	PostDate
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take a degree in accounting or finance to understand a report.

Raters	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
7	0%(0)	29%(2)	14%(1)	14%(1)	43%(3)

Mean Rating : 3.71 Standard Dev.: 1.28 Consensus: 60.09

#### Comments (1)

I very much agree with this sentiment. There should be a "plain English" version as well as the full "detailed version" for reference.

◇ Posted by [Andy McMahan](#) November, 13, 2013 5:02 PM *Not Rated*

The definition of transparency is not the biggest issue we face and almost seems like a red herring. It is more important that we identify the most important issues that we would like to see transparent, e.g., who gets the next new hire and why that entity received the next hire. The problem with wanting transparency with everything all in "plain English" is that you will need an army of individuals to provide this. Given resource constraints of the university we need to settle on the most important areas that we would like to see transparency so that there is a level of trust between the administration and the faculty. We should focus on the most important issues in the budget and its process that we would like to see transparent.

7

[SPH](#)

11/17/13

Raters	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
4	0%(0)	50%(2)	0%(0)	0%(0)	50%(2)

Mean Rating : 3.5 Standard Dev.: 1.5 Consensus: 50

#### Comments (2)

I would agree with Andrew that the level of transparency that we need as a University would not need an army of individuals. The point I was trying to make was in regards to others who have posted that they would like to see transparency in everything in understandable and plain English. When you add the word everything into the qualifier of what you want to see, I would argue that you are going to need a large group of people to assimilate and then provide the information everyone would like to see. I agree that a predictable budgeting model would be helpful.

◇ Posted by [SPH](#) November, 19, 2013 9:15 PM **Strongly Agree**

I disagree somewhat that it will take an army to provide transparency. Having a thoughtful funding model to determine distribution of funds is neither complicated, nor difficult to communicate. Our campus is odd that it does not have any sort of deterministic or predictable funding model for disbursement of money.

◇ Posted by [Andrew Kean](#) November, 19, 2013 10:14 AM **Disagree**

Rank	Idea ( <a href="#">hide comments</a> )	Profile	PostDate
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[8](#)

I agree that all stakeholders should have full access to all information; however, I'm not entirely sure I am in full agreement with regard to how a 'stakeholder' is defined. Clearly, it would include faculty, given that our system is built on the concept of shared governance. However, I'm not entirely convinced (yet) that the general public should be given unfettered (or equivalent) access simply because the CSU is partially funded by tax dollars. I may be convinced otherwise; however, my gut feeling is that faculty (and especially faculty governing bodies) should be given complete and unfettered access to all budget items and all details. However, the general public would receive an easy-to-read/understand synopsis.

[Andy McMahan](#)

11/13/13

Raters	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
7	0%(0)	29%(2)	29%(2)	14%(1)	29%(2)
Mean Rating : 3.43 Standard Dev.: 1.18 Consensus: 64.11					

#### Comments (2)

To clarify, by "synopsis", I'm speaking of the type of information available at <http://afd.calpoly.edu/budget/inforeports.asp>. By "complete and unfettered access to all budget items and details", I'm speaking of details within the categories provided on that link, as well as documentation on how (and why) the decisions were made with regard to the amounts allocated to each area in the budget.

<> Posted by [Andy McMahan](#) November, 13, 2013 5:11 PM

**Strongly Agree**

Sorry -- I'm new to this system. This was supposed to be a comment on another, already present idea. And, it won't let me edit/delete it! So -- my apologies!

<> Posted by [Andy McMahan](#) November, 13, 2013 5:03 PM

**Strongly Agree**

[9](#)

There should be some way to normalize the reporting such as "per student" or "per 4 year graduate."

[Eric O](#)

11/13/13

Raters	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
6	17%(1)	17%(1)	33%(2)	0%(0)	33%(2)
Mean Rating : 3.17 Standard Dev.: 1.46 Consensus: 51.84					

#### Comments (1)

Normalization is important, the parameters need to be carefully chosen to be able to determine the proper allocation for each department.

<> Posted by [Cole McDaniel](#) November, 16, 2013 7:10 PM

*Not Rated*

[10](#)

Budget transparency means all stakeholders have full access to all information. In the case of the CSU, a public tax-supported

[William Ahlgren](#)

11/08/13



Rank	Idea ( <a href="#">hide comments</a> )	Profile	PostDate
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institution, the stakeholders include the public at large. Therefore, Cal Poly should develop and maintain a public Web page that fully discloses all details of our institutional budget. The Web page should be organized for easy understandability by anyone. It should be hierarchical, showing income and expenditure at high levels but allowing anyone to drill down into as much detail as desired. See <http://opengov.com/> for software and ideas how to accomplish budget transparency for a public institution.

Raters	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
8	13%(1)	25%(2)	25%(2)	13%(1)	25%(2)

Mean Rating : 3.13 Standard Dev.: 1.36 Consensus: 56.41

#### Comments (2)

William, excellent ideas, thanks for expressing your thoughts, it is very important to increase the awareness of these ideas, I was not aware of them otherwise. Many budget related ideas are "buried" and it is good to bring them to our attention and to be able to debate their merits.

◁ Posted by [JED](#) November, 12, 2013 10:41 AM

Neutral

A lot of the information you suggest is already available here:  
<http://afd.calpoly.edu/budget/inforeports.asp>

◁ Posted by [Samuel](#) November, 11, 2013 1:21 PM

Strongly Disagree

[11](#)

All stakeholders have full access to all information.

[JED](#)

11/12/13

Raters	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
4	25%(1)	75%(3)	0%(0)	0%(0)	0%(0)

Mean Rating : 1.75 Standard Dev.: 0.43 Consensus: 88.52