5.A - The institution’s resource base supports its current educational programs and its plans for maintaining and strengthening their quality in the future.

Assurance Evidence
1. The institution has the fiscal and human resources and physical and technological infrastructure sufficient to support its operations wherever and however programs are delivered.

The Strategic Plan, Area 4: Sustainability, Accountability, and Infrastructure, emphasizes the importance of resources through a series of objectives that include a broad set of goals focused on bolstering the University’s resource base, financial stability, and public support—including fundraising and marketing, building necessary infrastructures, nurturing human capital, and promoting fiscal stability. CSU actively plans to continue investing in central and unit level infrastructure to ensure that adequate resources are available to support mission critical initiatives.

This summary of resources is based in part on the Infrastructure and IT SPARC report which provides a detailed assessment of progress toward completing the goals and initiatives in this area of the Strategic Plan and identifies priorities for future enhancements.

Fiscal resources:
The annual Financial Accountability Report provides an overview of CSU’s fiscal resources and how they are allocated. From FY10 through FY13, CSU experienced a total reduction in state funding of approximately $39 million. In addition to these reductions, the University lost state funding for controlled maintenance as well as funding increases to cover mandatory costs.

To manage these cuts, starting in FY09, the University began to reduce its expenses, instituting a freeze on salaries and a commitment to make only those hires that were absolutely critical. Through FY13, CSU cut approximately $39 million - around 30% - from its expense budgets and reduced its already-lean workforce by more than 5 percent (around 312 positions). FY12 marked the third consecutive year in which a salary increase was not budgeted – some CSU employees actually experienced a net income loss because of changes to the PERA retirement program. In FY13, the University was able to provide an average salary increase of 3% and the changes to PERA have been reversed. The 10-year history of CSU’s financial environment is highlighted in the following table.

<table>
<thead>
<tr>
<th></th>
<th>FY05</th>
<th>FY06</th>
<th>FY07</th>
<th>FY08</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13*</th>
<th>FY14*</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Support - State General Fund</td>
<td>0.00%</td>
<td>5.70%</td>
<td>15.02%</td>
<td>8.56%</td>
<td>12.16%</td>
<td>-0.12%</td>
<td>-12.26%</td>
<td>-32.94%</td>
<td>-5.96%</td>
<td>NA</td>
</tr>
<tr>
<td>Resident Undergraduate Tuition Rates</td>
<td>1.10%</td>
<td>15.00%</td>
<td>15.00%</td>
<td>2.50%</td>
<td>5.00%</td>
<td>9.00%</td>
<td>9.00%</td>
<td>9.00%</td>
<td>20.00%**</td>
<td>9.00%</td>
</tr>
<tr>
<td>Faculty Salary Average Increase</td>
<td>2.00%</td>
<td>4.30%</td>
<td>3.00%</td>
<td>5.00%</td>
<td>5.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>0.00%</td>
<td>3.00%</td>
<td>3.00%</td>
</tr>
<tr>
<td>Denver-Boulder CPI Change</td>
<td>1.10%</td>
<td>0.10%</td>
<td>2.10%</td>
<td>3.60%</td>
<td>2.20%</td>
<td>3.90%</td>
<td>-0.6%</td>
<td>1.90%</td>
<td>3.7%</td>
<td>3.7%</td>
</tr>
</tbody>
</table>

*Budget estimates from Budget Office.
**See explanation in paragraph below.

Source: Fact Book 2012-13, p.238

Savings and expenditure reductions helped to balance budgets so tuition increases could be kept to single-digit percentage increases per credit hour. Without the expenditure reductions, resident tuition collections would have had to increase by an additional $38.9 million net, which could have resulted in a rate increase of over 40 percent. CSU was able to avoid such a dramatic tuition increase by gradually decreasing costs and staffing. In conjunction with the savings and expenditure reductions, the University implemented increases to its tuition rates during this same period. In FY12, the University closed the existing credit-hour gap. Prior to FY12, CSU’s full-time undergraduate tuition rates were based on 10 credit hours, making the University an outlier among other colleges and universities. With the close of the credit-hour gap, the University moved the undergraduate full-time definition to 12 credit hours, effectively raising the full-time undergraduate tuition base rate by 20%. Along with closing the credit hour gap in FY12, the University implemented a formal differential tuition plan, which resulted in differing tuition amounts based on the program of study (Plan details are described in section 4.0 (a) of Federal Compliance). This plan is being phased in over a three-year period, which started in FY12 and will continue through FY14. Revenue generated through this mechanism is primarily flowing directly to the colleges and departments providing the specific coursework with
a minor portion being provided to the Provost's Office to enhance enrollment growth activities. With full implementation at the end of the three-year period, the projected revenue from differential tuition is estimated to be approximately $20 million. In FY13, the University instituted tuition increases of varying rates to all classes of students. Unfortunately, all of these actions transferred the cost of the education burden from the state to the students. For the first time in five years, a modest increase in state support of approximately $5.4 million has been received for FY14.

The resident undergraduate base tuition for FY13 is $6,875, while non-resident undergraduate base tuition is $22,667. In spite of all the increases, CSU tuition rates remain very competitive with peers as illustrated below:

### Total Cost of Attendance 2012-13

<table>
<thead>
<tr>
<th>Poor Groups</th>
<th>Full-Time Undergraduate</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Resident</td>
<td>Nonresident</td>
</tr>
<tr>
<td>000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a U.C. Davis*</td>
<td>$21,260.00</td>
<td>$34,068.00</td>
</tr>
<tr>
<td>x University of Illinois, Urbana</td>
<td>$11,636.00</td>
<td>$29,778.00</td>
</tr>
<tr>
<td>x Washington State University</td>
<td>$11,286.00</td>
<td>$24,468.00</td>
</tr>
<tr>
<td>University of Colorado</td>
<td>$9,059.00</td>
<td>$20,982.00</td>
</tr>
<tr>
<td>x Portland State University</td>
<td>$20,391.00</td>
<td>$26,009.00</td>
</tr>
<tr>
<td>x Michigan State University</td>
<td>$19,669.00</td>
<td>$25,476.00</td>
</tr>
<tr>
<td>x Colorado State University</td>
<td>$10,874.00</td>
<td>$22,667.00</td>
</tr>
<tr>
<td>x Texas A &amp; M University</td>
<td>$5,296.50</td>
<td>$21,267.50</td>
</tr>
<tr>
<td>x Virginia Tech</td>
<td>$5,197.00</td>
<td>$24,179.00</td>
</tr>
<tr>
<td>x Oregon State University*</td>
<td>$5,660.00</td>
<td>$20,544.00</td>
</tr>
<tr>
<td>x University of Tennessee</td>
<td>$7,603.00</td>
<td>$29,293.00</td>
</tr>
<tr>
<td>x Iowa State University</td>
<td>$5,748.00</td>
<td>$18,910.00</td>
</tr>
<tr>
<td>x Kansas State University</td>
<td>$6,646.00</td>
<td>$19,766.00</td>
</tr>
<tr>
<td>x University of Oklahoma</td>
<td>$8,665.00</td>
<td>$16,533.00</td>
</tr>
<tr>
<td>x Oklahoma State University</td>
<td>$3,398.00</td>
<td>$12,162.00</td>
</tr>
</tbody>
</table>

* Quarter system-taking and fees – All based on Autumn/Fall, Winter, Spring quarters.
** Tuition and Fees unavailable individually
† Room and Board includes meal plan where applicable, which is consistent with the Common Data Set initiative.
Actual costs to students may be less depending on choice of meal plan and residence hall.

The institutional plan, for Student Fees, User Fees, Special Course Fees, and Charges for Services, defines each of these fees and explains the purpose and assessment of these charges. Student Fees are assessed to all individual students as a condition of enrollment and are used for academic and non-academic purposes, including, but not limited to: funding registered student organizations and student government; construction, remodeling, maintenance and improvement of student centers, recreational facilities, and other projects and improvements for which a facility fee is approved; intercollegiate and intramural athletics; student health services; technology; mass transit; parking; and bond payments for which fees have been pledged. Student Fees do not include amounts collected as a Charge for Service, User Fee, or Special Course Fee. In FY06, students approved the assessment of a $10/credit hour University Facility Fee with $8 to be used for bond repayment for capital construction of academic facilities at a time when state resources for capital construction were severely limited. The remaining $2 in funding is to be managed by a student led University Facility Fee Advisory Board. This fee has since been raised to $15/credit hour by the students with the additional $5 going towards bond capacity for constructing academic facilities.
Funding of student financial aid has increased significantly, in proportion to the increasing tuition and fee costs, to partially offset costs of education that are being transferred to students. CSU is strongly committed to maintaining accessibility for economically challenged students. As described in Component 3.D.1, the Commitment to Colorado was part of this response.

**Development Support**

Support through development activities is a critically important revenue source to the University and one of the fastest growing sources of revenue. These funds significantly enhance institutional resources through endowed chairs and professorships, student scholarships, programmatic support and funds for capital construction for new buildings and renovations. The development program at CSU has made tremendous strides over the past several years and in June of 2012 successfully completed its first ever Capital Campaign for CSU by raising $537 million in 7 years, which exceeded the $500 million goal set for the Campaign. Development experienced increases in private support of 47% and 31% over the past 2 years. Private support set an all-time record for the University in FY12 by raising $111.6 million from a record 32,000 donors and development is expecting to bring in over $100 million annually on an ongoing basis. This record was again exceeded in FY13. Ambitious goals have been set to increase the endowment to $500 million by 2025 with a goal of $1 billion by 2035. Feasibility studies are proposed for defining the next campaign for private support, possibly targeting a $1 billion goal.

Colorado State University Foundation (CSUF) is operated as an independent organization from CSU and invests donor funds on behalf of CSU with an objective of long term growth. Due to this long-term perspective, CSUF carefully considers investment allocation strategies to assure the safety and soundness of principal along with the need to provide annual revenue for CSU.
CSUF’s total invested assets have increased from $33.7 million in FY92 and $135.8 million in FY03 to over $305 million in FY12. Private support from the Foundation flows into the University budget through a variety of routes, such as scholarships entering as tuition, funds for building construction, and expenses for programs, rather than being identified as a separate revenue stream.

Human resources:
The following table illustrates the history of university employees for the past 10 years:

<table>
<thead>
<tr>
<th></th>
<th>FY04</th>
<th>FY05</th>
<th>FY06</th>
<th>FY07</th>
<th>FY08</th>
<th>FY09</th>
<th>FY10</th>
<th>FY11</th>
<th>FY12</th>
<th>FY13</th>
<th>Ten-Year Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tenure-Track Faculty</td>
<td>945</td>
<td>934</td>
<td>930</td>
<td>943</td>
<td>973</td>
<td>1,019</td>
<td>1,033</td>
<td>1,000</td>
<td>1,003</td>
<td>1,008</td>
<td>7%</td>
</tr>
<tr>
<td>Special Faculty</td>
<td>192</td>
<td>198</td>
<td>198</td>
<td>215</td>
<td>346</td>
<td>303</td>
<td>302</td>
<td>331</td>
<td>331</td>
<td>401</td>
<td>109%</td>
</tr>
<tr>
<td>Temporary Faculty</td>
<td>266</td>
<td>268</td>
<td>295</td>
<td>303</td>
<td>149</td>
<td>196</td>
<td>182</td>
<td>209</td>
<td>225</td>
<td>253</td>
<td>-5%</td>
</tr>
<tr>
<td>Administrative Professionals</td>
<td>1,051</td>
<td>1,067</td>
<td>1,085</td>
<td>1,172</td>
<td>1,258</td>
<td>1,356</td>
<td>1,362</td>
<td>1,417</td>
<td>1,491</td>
<td>1,641</td>
<td>50%</td>
</tr>
<tr>
<td>Research Associates</td>
<td>802</td>
<td>835</td>
<td>858</td>
<td>867</td>
<td>891</td>
<td>902</td>
<td>894</td>
<td>877</td>
<td>866</td>
<td>863</td>
<td>8%</td>
</tr>
<tr>
<td>State Classified Staff</td>
<td>2,070</td>
<td>2,034</td>
<td>2,048</td>
<td>2,035</td>
<td>2,092</td>
<td>2,121</td>
<td>2,060</td>
<td>2,035</td>
<td>1,940</td>
<td>1,910</td>
<td>-8%</td>
</tr>
<tr>
<td>Other Employees</td>
<td>278</td>
<td>315</td>
<td>313</td>
<td>327</td>
<td>361</td>
<td>352</td>
<td>367</td>
<td>314</td>
<td>342</td>
<td>399</td>
<td>44%</td>
</tr>
<tr>
<td>Total Employees</td>
<td>5,603</td>
<td>5,851</td>
<td>5,928</td>
<td>5,862</td>
<td>6,070</td>
<td>6,249</td>
<td>6,140</td>
<td>6,183</td>
<td>6,198</td>
<td>6,475</td>
<td>18%</td>
</tr>
</tbody>
</table>

On average, CSU faculty members, by rank, are paid 2 to 9 percent less than comparable peers.

Source: Fact Book 2012-13, p. 219

Source: Fact Book 2012-13, p. 118
Institutional Research conducts an annual analysis of salary equity among faculty within departments using a linear regression method to model the relationship between years since degree and salary. In the past, only a total correlation coefficient was provided for each department. In the FY11 analysis, in an effort to better identify areas of potential concern, correlation coefficients were additionally provided by gender and minority status. These results are discussed with the President’s Cabinet, Deans and Associate Deans and will be used by the Women’s Initiative group recently convened to assess gender equity on campus.

Key findings of the Individual Salary Equity Study 2012-13 are as follows, based on comparison with the 14 institutions in the Board of Governors’ Peer Group:

- CSU ranked 9th in the average salary for full and associate professors and 8th in the average salary for assistant professors.
- CSU ranked 12th (of 12 reporting institutions) in the percentage change in average salary from 2010-11 to 2011-12 for full professors, 10th for associate professors and tied for 10th with two other institutions for assistant professors.
- CSU ranked 11th in the average compensation for full professors and 10th for associate and assistant professors.
- CSU ranked 12th in benefits as a percent of faculty salaries.

In the AAUP Faculty Salaries and Compensation Comparison, 2011-12, key findings included:

- The average salary for CSU faculty in 2011-12 was 93.4% of the peer weighted average salary, which was down from 95.3% in 2010-11.
- The average compensation for CSU faculty in 2011-12 was 91.5% of peer weighted average compensation, which was down from 93.7% for 2010-11.
- Only two institutions, the University of California-Davis and Oregon State University, have a
higher cost of living than CSU.
• CSU ranks first in the contribution faculty are required to make to their retirement plan with 10.5%.

Key findings in the Salary Discipline Study included:

• Salaries for CSU full professors decreased from 94% of peer full professor salaries in 2010-11 to 91% of peer salaries in 2011-12.
• Salaries for CSU associate professors decreased from 100% of peer associate professor salaries in 2010-11 to 96% of peer salaries in 2011-12.
• Salaries for CSU assistant professors decreased from 97% of peer assistant professor salaries in 2010-11 to 96% in 2011-12.
• Compensation for CSU full professors decreased from 93% of peer full professor compensation in 2010-11 to 90% of peer compensation in 2011-12.
• Compensation for CSU associate professors decreased from 98% of peer associate professor compensation in 2010-11 to 95% of peer compensation in 2011-12.
• Compensation for CSU assistant professors remained unchanged at 95% of peer assistant professor compensation from 2010-11 to 2011-12.

CSU operates with a much lower ratio of executive and administrative staff than most peers and pays lower administrative salaries than most peers, resulting in an even greater gap compared with peers than occurs for faculty salaries. As a result, institutional support expenditures are 4.7%, again ranking well below the average of peers. There is general agreement that many of CSU's administrators, including department and program directors are fiercely loyal to CSU and are "working" administrators rather than "managing" administrators.

Figure 12. Full-time equivalent staff, by assigned position: Fall 2011

![Staff category chart]

NOTE: Graduate assistants are not included in this figure. For information on the calculation of FTE of staff, see the Methodological Notes. N is the number of institutions in the comparison group.


Source: IPEDS DFR 2012
The University is strongly committed to improving its human resources as evidenced by several initiatives in the Strategic Plan that will invest in both growing the number of employees and increasing the quality of the working environment for employees:

- **Goal 1**: Grow the number of faculty and staff and maintain those numbers sufficient to support the education, outreach, and research mission of the University.
- **Goal 17**: Increase numbers and quality of personnel supporting research and creative artistry.
- **Goal 2**: Provide opportunities for faculty and staff to engage in professional development activities that help the University achieve its mission.
- **Goal 33**: Create and maintain an exemplary workforce.
- **Goal 34**: Protect and empower our students, faculty, and staff.

As an example of investments in the quality of the work-life experience, CSU's Commitment to Campus encompasses a wide range of programs, discounts, and special benefits available to CSU faculty and staff. These opportunities are offered to:

- Promote employee health, wellness, and personal advancement,
- Engage employees in the life of the University,
- Connect employees and students outside the classroom,
- Enrich participation in campus programs, classes, and events, and
- Reward employees for their service and involvement in the CSU community.

Other efforts for professional development of faculty and staff are described in Components 3.C.4 and 5.A.4.

**Physical infrastructure:**
The CSU campus currently includes 490 buildings on 3,347 acres, and consists of several management areas located in Fort Collins, known as the Main Campus, South Campus (Veterinary Teaching Hospital), and Foothills Campus (Research and Service Centers on the west edge of Fort Collins). In addition to the main campus area, the Agricultural Research, Development Education Center (ARDEC) is a 1,575-acre agricultural campus northeast of Fort Collins; Pingree Park is a 1,177-acre mountain campus; and there are 4,043 acres of land for the Colorado Agricultural Experiment Stations and Colorado State Forest Service outside of Larimer County. Campus building space is currently allocated approximately as follows:
In sum, the current organizational structure is providing efficient and effective oversight for the university. The University's Performance Management System, which includes excellent physical, human, and technological resources that support accomplishment of its educational programs, learning environment, and support for the student body, is firmly in place. The University has a well-established budget development process that annually engages the entire University community. The University expanded its commitment to be mindful of the need to continually evaluate and adjust its plans through the University’s Continuous Improvement Plan, which has resulted in a focus on providing cost-effective strategies for meeting goals and values. As a result of this process, the University has been able to focus on enhancing its programs and services while maintaining its commitment to excellence.

The University also supports an Internal Audit unit through the CSU System office. This unit is responsible for conducting independent reviews of the University’s financial and operational activities to ensure compliance with applicable laws, regulations, and policies. The unit provides assurance that the University’s financial resources are used effectively and efficiently and that its operations are conducted in accordance with applicable laws, regulations, and policies. The University’s Strategic Plan 2012 includes a focus on building a culture of continuous improvement and excellence, and the University has made significant progress in this area. The University has established a number of metrics to track progress, including student learning and operations, and the University has set performance metrics for the pertinent goals.

The University is committed to maintaining a strong financial position, and the University’s fiscal year 2012 results show a strong performance. The University’s operating budget was $2 billion, and the University’s total revenue was $3.7 billion. The University’s operating expenses were $2.3 billion, and the University’s operating surplus was $750 million. The University has a strong financial position, and the University is committed to maintaining a strong financial position in the future.

The University is committed to ensuring that its programs and services meet the needs of its students, and the University has made significant progress in this area. The University has established a number of metrics to track progress, including student learning and operations, and the University has set performance metrics for the pertinent goals. The University is committed to maintaining a strong financial position, and the University is committed to ensuring that its programs and services meet the needs of its students.
institution for sustainability, master planning, and campus beautification leading to climate neutrality. CSU has already installed and owns 238 kW of photovoltaic panels, which provide approximately $24,000 in annual electric cost savings. In addition CSU has a long-term Purchased Power Agreement with Sun Edison for 5,300 kW of photovoltaic power at Foothills Campus, which is one of the largest solar plants on a university campus; saving the University an estimated $4 million to $6 million per year over the next 20 years.

The planning process for physical development of the campus and capital construction is discussed in Component 5.C.3.

Facilities Controlled Maintenance
CSU has received only $12.2 million of State Controlled Maintenance funds in appropriations from FY03 through FY13 to repair and rehabilitate aging facilities. Needs are currently estimated at $60 million per year with a $260 million backlog of deferred maintenance. Controlled maintenance funding from the state is projected to be very limited in the future, putting the University to internally fund all critical maintenance needs necessary to keep institutional facilities functional. Controlled maintenance funding over the last 10 years totals $140 million with an average of $14 million per year from all sources including internal and state-appropriated funds. While state funds are decreasing, federal and private grant funds for research continue to grow, placing more pressure on the University to invest in upgrading buildings, utilities, and support infrastructure for quality instruction and research to remain competitive. Industry standards (APPA) indicate the annual controlled maintenance funding should be 2% to 3% of current replacement value, which is approximately $60 million for CSU as shown in the table below. To deal with the ever-widening gap between available funds and maintenance needs, CSU has prioritized approximately 150 deferred and current controlled maintenance projects to provide a short list for funding opportunities. The University has also requested an additional $1 million for controlled maintenance projects starting in FY14.
Classrooms. The Classroom Review Board (CRB) has oversight responsibility for the General Assignment (GA) classrooms, with faculty, IT staff, facilities, and student representation. There are 160 GA classrooms at CSU, and 269 departmental (generally smaller and less formal) classrooms. Most of the instruction is delivered in the GA classrooms. At the end of the calendar year 2012, all GA classrooms were "smart," i.e. equipped with computer projection capability, and all rooms have hardwired and wireless internet access. In addition, almost all (where warranted) have podiums with Crestron touch-pad controls and I-clicker personal response system base stations. Medium and large rooms have high fidelity audio systems including wireless microphones and larger podiums. Large rooms also have document cameras. Each room is equipped with an intercom phone that provides assistance with technology in the room, including sending a technician immediately when needed. Also, Echo360 lecture capture systems are being installed in classrooms with units currently deployed in 17 classrooms. It is expected that this technology will penetrate further into the classrooms over the next review cycle. The technology in the rooms is on a five-year refresh cycle, and thereby kept up to date.

The CRB regularly monitors and analyzes classroom seating capacities. The current number of classrooms by type and size is indicated in the chart.

Capacity analysis of classroom resources for the support of programs includes consideration of the number, size, and type of classrooms; the occupancy of classrooms by day and hour; and the efficiency of utilization of classrooms by seat capacity. In capacity analysis conducted in Fall 2008, Fall 2010 and Fall 2012, the CRB found that supply and demand had remained relatively consistent with the addition of 19 new classrooms with a total of 1410 seats during that period. The most pressing challenge currently identified is the availability of more large classrooms with state-of-the-art high technology enhancements comparable to the new Behavioral Sciences Building 350-seat classroom. The architecture of some of the older, large classrooms limits our ability to upgrade to our current standards for instructional technology, but the rooms are still usable. Seating capacities and room utilization are shown in the figure below.
**Technological infrastructure:**

The University has invested heavily in its technological infrastructure (Strategic Plan Goal 32) and is currently well positioned (see IT Consolidation Report 2011 for additional details). However, we also realize that this is a rapidly advancing aspect of infrastructure that needs continued investments. The following examples provide evidence of the current state of our technological infrastructure:

**Data Centers.** The University has, over the past four years, invested nearly $4 million upgrading its main data center to a state-of-the-art facility. Everything in the facility, including the backup generator, the green, redundant UPSs, the electrical power distribution, the cooling, the raised flooring, the monitoring, and the access system, has been upgraded. It is currently meeting our needs, and is expected to meet our needs into the foreseeable future. The data center is currently staffed with one data center manager and one data center operator.

In FY13, the University invested $400,000 for enhancing an off-site, disaster recovery/redundant data center by adding an external generator and UPS. The University has implemented virtual server and virtual storage solutions that provide hot-spare and warm-spare redundancy for all critical services. This data center already houses fully redundant critical services, including our internet router, DNS, and the "second" portion of clusters for email and unified messaging, as well as a myriad of other redundant equipment. We are well positioned with data center infrastructure that should be more than adequate for quite some time.

**Server and storage environments.** Central IT has a Windows technology group and a UNIX technology group who have responsibility for servers. The University recently upgraded its server environment for administrative systems. We expect these to be more than adequate for about five years, at which time they will be refreshed with new technology. In addition, funding was made available in FY13 to upgrade and refresh the data storage infrastructure, including virtualized storage using the DataCore system that will push critical data in real time to both data centers. Critical data are also backed up to tape. We are well positioned with server and data storage infrastructure that should be more than adequate for quite some time.

**Campus Administrative Information Systems.** Our campus uses 'best of breeds' administrative information systems. We upgraded in 2007 to the Banner Student Information System which is providing excellent functionality. The interface to it, RAMweb, is rich and robust, and was developed and maintained in house. Our students indicate that this interface is one of, if not, the best in this region of the country. In 2009, we upgraded to the Kuali Financial System, a community source system, developed by higher education and ergo, meets our needs very well. We are in the process of upgrading our home-grown Research Management System to another...
community source system, Kuali Coeus, that will integrate with our financial system, and provide modern functionality, e.g. direct access to grants.gov, etc. We have been a WebCT/BlackBoard school since 1998, and now about 65% of our course sections are using it. In May 2012, we upgraded to an outsourced version of BlackBoard Learn 9.1, a state-of-the-art system. Our HR system is Oracle, installed in 2002, and we are now conducting an analysis of potentially upgrading it in the next two to five years.

Physical Networking: WAN, LAN and Wireless. The Communications Infrastructure Committee (CIC) has oversight responsibility for campus networks and networking, and the central networking group has responsibility for operations and management.

- **WAN** – We share a 10 Gig fiber ring to the Front Range GigaPoP in Denver, where we obtain commodity internet, Internet2, and National Lambda Rail access. The shared infrastructure, operated by the National Center for Atmospheric Research, is top notch, and easily and affordably expanded to multiple wavelengths. We maintain statistics on the capacity and traffic type, and have ample headroom for years.

- **LAN** – Two years ago, the statistics we collect on our internal LAN indicated that some connections were experiencing capacity problems. We changed our cost model for the network to be FTE based, and received an infusion of base funds to upgrade the network capacity. We are making extremely good progress in this regard, and now have a stable, adequate funding model for needed capacity upgrades. Where needed and with justification, we establish 10 Gig connections directly to individual research groups.

- **NSF Cyberinfrastructure grant** – Recently, CSU was awarded an NSF Cyberinfrastructure grant to deploy a 100 Gig "Research DMZ" network with smart routing via Internet2’s DYNES technology, and which will support an external WAN upgrade from 10 Gig to 30 Gig. This technology will be deployed over FY13 and FY14.

- **Wireless** – We have wireless coverage in all major buildings, and have upgraded almost all locations to the latest 802.11n ultra-high speed, high-density systems. Upgrading coverage, including into basements and obscure recesses of buildings continues to be a challenge that we are addressing incrementally.

**IT Security**. We have an exceptional team of IT security experts who oversee IT security (our IT Security policy is now in version 13). We have implemented all of the prevalent best practices; including default deny firewalling, intrusion detection, vulnerability scanning, robust anti-spam and anti-virus checking border and desktop software, and vulnerability scanning. We are PCIDSS compliant, a noteworthy accomplishment. IT security and governance policies were updated in FY12.

**Personal Computers**. Individual organizational units are generally responsible for upgrading personal computers, however units' abilities to keep PCs up-to-date are very inconsistent. Due to the critical need to keep faculty computers up-to-date, the Provost deployed $100,000/year of base budget to subsidize, up to a 50% match, the purchase of computers for tenured and tenure-track faculty on a 4-year refresh cycle.

**Data Access**. We have an exceptionally rich data environment, with TBs of institutional data, accessible directly via ODBC calls into the operational data store, access via eThority and Oracle Business Intelligence for access to institutional data. We have mature data architecture and data access policies. We have an outstanding Office of Institutional Research that is responsible for institutional and business data reporting.

Future plans for improving the institutional data environment include adding additional data sources into the central data warehouse, and extending the data environment by developing self-service, mobile aware applications to address student success and retention. Additionally, we are deploying infrastructure to support data curation and data management for data sets and scholarly communications, as required by federal research agencies, in our institutional digital repository. This will move the environment into the realm of "big data," if not even "huge data."

2. **The institution’s resource allocation process ensures that its educational purposes are not adversely affected by elective resource allocations to other areas or disbursement of revenue to a superordinate entity (Same sub-component as 1.D.2).**
CSU is a state (public) institution (Colo. constitution Art. VIII, sec. 5). It is governed by the Board of Governors of the CSU System and is a non-profit, state governmental entity. CSU does not generate financial returns for other entities (other than the CSU System office to support the operations of the Board). Contributions or support (other than membership dues) to other organizations or operations that are not a part of the University's mission must be approved by the Board.

**Self-Funded Operations and Auxiliaries**
Consistent with the state constitution, CSU manages all auxiliaries and other cash-funded operations as enterprises. Therefore, they are self-funded (cash-funded) through charges for services. In addition to generating their own operating revenue, enterprises provide the University with flexibility to undertake capital construction projects when the state General Fund does not provide such support. The Board has final authority to approve all enterprise budgets and fees. Examples of auxiliary enterprises include the CSU Health Network; Telecommunications; Campus Recreation; Lory Student Center; Housing and Dining Services; and the Division of Continuing Education.

These auxiliaries have responsibility for much of the campus infrastructure beyond the academic classrooms and research facilities. They are responsible for over 2.3 million GSF of facilities ranging in age from 1 to 44 years. Maintaining, upgrading and building new facilities, equipment and technologies are among their highest priorities with the objective to provide an atmosphere that encourages achievement. Customer service and streamlined operations receive emphasis in order to promote efficiency.

3. **The goals incorporated into mission statements or elaborations of mission statements are realistic in light of the institution’s organization, resources, and opportunities.**
The strategic planning processes of the University involve the entire CSU community. Strategic Planning Area Review Committees (SPARC) meet annually, alternating between 2 years of “review” and a third year of “refresh” to keep the goals, strategies and objectives current and to measure success. This ongoing review and adjustment process maintains focus and assures realistic goals that reflect new priorities, new environments, new opportunities, and new ideas that have been exposed to the entire university community and adopted by consensus. Each year, following the SPARC exercise, the budget plan is developed with reference to the resource requests developed by the SPARC. These processes dovetail to assure that campus units know how resources will be allocated in support of express, measurable goals that support mission statements at department, college and institutional levels. Recent emphasis and a demonstrable commitment to accountability and public transparency of the University’s finances has provided additional opportunity for all constituents to evaluate the appropriateness of the University's decision-making processes. The Strategic Plan 2012 update provides evidence that these processes help assure a strong relationship between mission and resources.

4. **The institution’s staff in all areas are appropriately qualified and trained.**
An overview of Administrative Professional and Classified Personnel employee councils is provided in Component 3.C, including discussion of the qualifications of faculty (3.C.2) and staff (3.C.6). Professional development resources for faculty and some staff professional development are also reviewed in Components 3.C.4 and 3.C.6. In addition to utilizing position descriptions containing minimum qualifications and annual evaluation processes to establish that staff are appropriately qualified, the University has Goal 1, Goal 2 and Goal 34 in the Strategic Plan to support training and professional development. Many staff members also hold licenses, certifications or other specialized credentials in their fields, further assuring the appropriate qualifications and currency in their positions, as illustrated by the attached list of examples from University Operations.

University efforts go well beyond supporting minimum qualifications and training necessary to continue to perform in a position. CSU has adopted a goal of creating and maintaining an exemplary workforce (Strategic Plan Goal 33). Initiatives have been taken beyond just the continued investment in more training to keep staff productive, now extending to investments in improving the personal well-being of staff and helping them feel that they work at the preferred jobs in the region (See Commitment to Campus in Component 5.A.1).
Employees who meet minimum eligibility criteria may also take advantage of the Employee Study Privilege, which makes for-credit courses available to CSU employees for free (or very minimal cost) on a space-available basis, up to nine credits per year. The Study Privilege was recently increased from six credits per year and includes reciprocal study privileges at CSU-Global Campus (online courses), CSU-Pueblo (located in southern Colorado), and, by cooperative agreement, at the University of Northern Colorado (Greeley, CO), an institution not under the Board that offers degree and certificate programs not available at CSU.

All annual employee performance reviews are expected to include goal setting and planning for improvement, including identification of training and professional development activities. The University actively facilitates access to many resources for professional development. Professional development activities may be available within the unit, or shared with other units on campus, or may authorize staff to register for programs offered outside the institution, for example through the benefits of membership in professional organizations. Department heads have the discretion to allow employee reimbursement for registration and travel expenses for employees to attend regional, national and international conferences.

CSU has established multiple venues for employee training. The Office of Equal Opportunity (described in Component 2.A.1) provides sexual harassment and search training. The Office of Training and Organizational Development (TOD) is charged with responsibilities to design and coordinate training and development opportunities for personal and professional growth for all CSU employees—academic faculty, administrative professional staff, and state classified personnel. Training and consultative services are free of charge to campus units and staff. Some examples of TOD’s activities include:

- Faculty and Staff Development. TOD Workshops are designed to develop not just work skills, but life skills and insight in areas like communication, leadership, personal effectiveness, supervision, stress management, change management, financial health, and much more. A new initiative is underway in cooperation with the Provost’s Office to provide meaningful leadership development for faculty and academic administrators, in particular to strengthen leadership within the institution, rather than being dependent on hiring and promoting external candidates for leadership positions.
- Building Proctor and Campus Safety Training. Training is provided for Building Proctors and Assistant Building Proctors, along with campus safety training for interested employees and Campus Security Authorities under the Campus Safety (Clery) Act. The Building Proctor Program mandates that every campus building have an approved building safety plan and a trained building proctor and assistant building proctor to help occupants understand and practice prevention, security and emergency response protocols. Other CSU employees are also welcome to attend these training sessions, in the interest of campus-wide emergency preparedness. The Emergency Response Plan evidences the support for, and success of, this training program.
- Business Applications Training. Online training resources are provided for employees who use the financial systems at CSU. Hands-on training is provided for the CSU Travel System, Financial Records System, Student Information System, HR System, and others. TOD also supports registration for training hosted by the Department of Business and Financial Services’ Campus Services and Financial System Services units.
- University Employee Orientation. New employees are officially welcomed to the CSU campus community and enjoy a day of presentations and information to help them be successful at CSU. This orientation is considered an employee benefit and covers an array of topics such as university history, mission, policies, and culture, employee benefits, diversity, public safety, community engagement, available resources, and employee responsibilities. Employees can retake this training anytime they wish.
- Organizational Development and Consulting. Customized services are available to meet the specific training and consultative needs of departments or work units.
- Additional Resources. Many training as well as personal and professional development opportunities are available through the academic departments, service units, support programs, extension, Division of Continuing Education, etc. TOD attempts to facilitate access to these programs through its website.

In November of 2012, President Frank asked the Vice President of University Operations to convene a task force charged with transforming CSU into the best place for women to work and learn (see charge attached). One of the first outcomes is the development of a website that will

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provide a one-stop place to connect women to a comprehensive list of resources available throughout the campus. The initiative has been named "The Ripple Effect: Engaging the strengths and talents of women to build an exceptional CSU community." The site is planned to include an interactive forum that encourages the exchange of ideas related to "the best place to work and learn" topics. Currently identified topics include: diversity, leadership, family, wellness, equity, outreach, and discovery. The online forum is expected to generate ideas for actions that will improve the campus climate for women, with some ideas being acted upon quickly, while more complex ideas will likely require detailed proposal development. The site is expected to launch to the CSU community in the fall of 2013.

In the Employee Climate Survey 2012, most employees indicated a high level of satisfaction with the work environment. For example, various groups of employees with a mean Likert score (Strongly disagree = 1, to Strongly agree = 5) in the range of 3.96 to 4.23 indicating general satisfaction with the level of support concerning physical safety and the awareness of and access to campus safety resources. Responses were generally positive to other queries about professional development opportunities, supervisor relationships and relationships with other employees.

5. The institution has a well-developed process in place for budgeting and for monitoring expense.

Budgeting Process
CSU has a well-established budget development process that annually engages the entire campus. The President has appointed the Budget Subcommittee of the President’s Cabinet, composed of the President, the Provost/EVP, the Vice President for University Operations, the Vice President for External Relations, the Chief Financial Officer, and the President’s Chief of Staff, to guide the process. Budget updates and related communications are regularly posted online as part of the Office of President’s website.

1. The budgeting process for each fiscal year begins in July of the previous fiscal year with initial development of a draft incremental budget that includes initial projections of new revenues and new expenses. Once the initial version of the budget is developed, usually in July, the Budget Subcommittee of the President’s Cabinet begins the process of engaging campus constituents to gain input and feedback on the proposal. Campus constituents include the Faculty Council’s Committee on Strategic and Financial Planning (CoSFP), the full Cabinet, the Council of Deans, the Associated Students of CSU, the Board, and many others. Feedback from these constituents is solicited on a periodic basis as changes to the projections occur.

2. Based upon this feedback along with information from the State, the budget is refined during the fall term through several iterations to reflect updated projections of F&A recovery, enrollment, state economy and budget, new initiatives, fixed cost base operations (e.g. utilities), etc.

3. In October, the process begins to focus on the magnitude of deficit/surplus and strategies to balance the budget. A budget planning tool is available to inform and encourage participation in budget adjustments. The CoSFP, with representation from all groups of internal constituents (faculty, administrative professionals, classified staff, and students), reviews updated drafts of the budget, and provides input into priorities and strategies.

4. In December, the state revenue forecast is updated, which brings sharper definition to requirements to balance the budget.

5. In January, budget hearings are held following the wrap-up of the Strategic Plan review and/or refresh (known as the SPARC Fest). Proposals are presented from colleges and major administrative units for implementing changes (both reductions and enhancements – all are incremental changes in total budget) within the planning parameters established for balancing the budget.

6. Continued refinement of the incremental budget occurs through March, taking into consideration updated enrollment forecasts, feasibility of tuition increases, state revenue and budget forecasts, new initiatives from the SPARC Fest, feedback from the budget hearings, etc.

7. In March, final budget presentations are disclosed to the campus community through an open public forum for discussion.

8. In May, after approval of the Long Bill (the major state appropriations bill) by the legislature and governor, the final budget is considered by the Board for approval for the fiscal year.
starting July 1.

Expense Monitoring Process
Incorporated within the University’s financial system is a robust electronic workflow engine that allows the University to assign roles at varying value levels for transaction approval. The system also allows the University to route transactions based upon other relevant attributes, such as object code, which can be used to identify types of items purchased, flag certain high-risk transactions, and route transactions for special approvals (e.g., any expense charged to an externally sponsored project is routed through the Office of Sponsored Programs). In this way, the University effectively delegates levels of responsibility throughout the organization based upon each individual’s role and level of authority. The University requires all business officers and unit leaders (Deans, VPs, etc.) to annually certify their compliance with University policies and procedures.

In addition to the above, units are required to reconcile their accounts on a monthly basis to ensure the proper recording of transactions. Campus Services, a unit within Business and Financial Services, also provides a level of oversight by monitoring units at an aggregated level. Unusual items noted during these monitoring procedures are addressed with each respective unit. Individuals within Campus Services are assigned specific units for oversight and serve as a liaison for all functions carried out within Business and Financial Services, such as Accounts Payable, Accounts Receivable, and financial system operations.

The University also supports an Internal Audit unit through the CSU System office. This unit is responsible for performing financial audits of all units on a rotating basis. The department of Internal Audit reports directly to the Board of Governors of the CSU System.

Sources

- AAUP Faculty Salaries and Compensation Comparison 2011-12
- Budget Planning Tool
- Budget updates and communications
- Climate Action Plan 2010
- Commitment to Campus
- Employee Climate Survey 2012 (Page 16)
- Employee Study Privilege
- Fact Book 2012-13 (Page 118)
- Fact Book 2012-13 (Page 201)
- Fact Book 2012-13 (Page 210)
- Fact Book 2012-13 (Page 219)
- Fact Book 2012-13 (Page 238)
- Fact Book 2012-13 (Page 242)
- Financial Accountability Report FY2012
- Infrastructure and IT SPARC 2012
- Institutional Plan for Student Fees and Charges (8-3-2012)
- IPEDS Data Feedback Report 2012 (Page 6)
- IT Consolidation Report 2011
- IT Security Policy v.13
- Office of Training & Organizational Development
- Professional Licenses and Certifications, Division of University Operations
- Salary Discipline Study 2011-12
- Strategic Plan 2012
- Strategic Plan 2012 (Page 19)
- Strategic Plan 2012 (Page 25)
- Strategic Plan 2012 (Page 27)
- Strategic Plan 2012 (Page 28)
- Strategic Plan 2012 (Page 5)
- Strategic Plan 2012 (Page 6)
- Task Force on the Status of Women at CSU