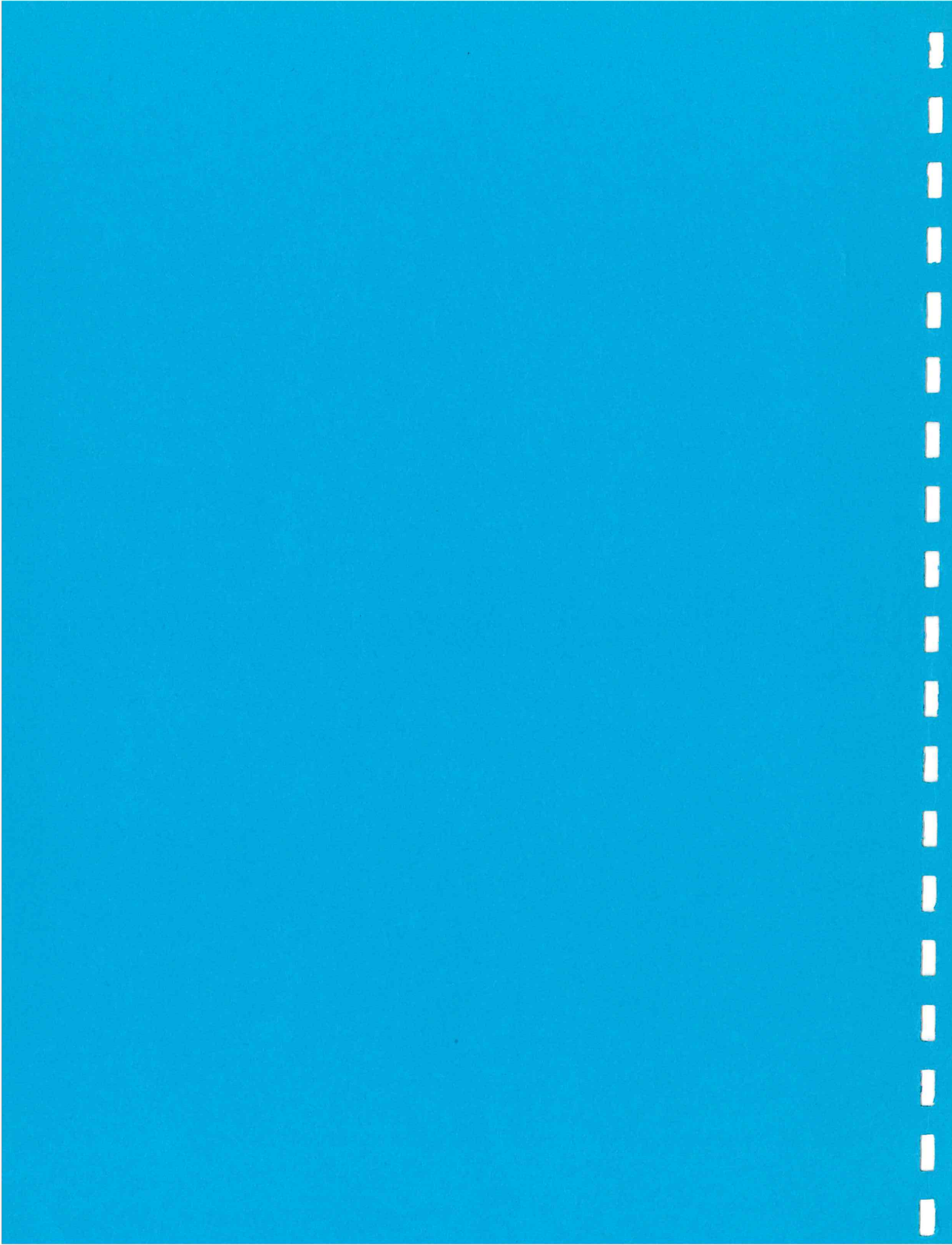


A FRAMEWORK FOR STRATEGIC PLANNING IN
COLLEGES AND UNIVERSITIES©

Prepared by

Gary H. Quehl, President
Quehl Associates



THE FUNDAMENTAL CHALLENGES

"No institution will emerge unscathed from its confrontation with an external environment that is substantially altered and in many ways more hostile to colleges and universities."

"Neither legislative critics nor would-be customers are interested in hearing explanations of why things cost so much...or take so long, why the processes of research and discovery are so important, or why it is best to do things in the future as they have been done in the past."

POLICY PERSPECTIVES

The Pew Higher Education
Roundtable

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THOUGHTS ABOUT PLANNING FROM SENECA, PETER DRUCKER,
AND WAYNE GRETZKY

The need for systematic planning is not just a modern phenomenon:

"Our plans miscarry because they have no aim. When a man does not know what harbor he is making for, no wind is the right wind." Seneca (4 B.C.-65 A.D.)

Our own management guru paraphrased Seneca when he said:

"If you don't know where you're going, any plan will do." Peter Drucker

Strategy and strategic planning are not confined to business, the Academy, or government organizations:

"I skate to where I think the puck will be." Wayne Gretzky

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I. INTRODUCTION TO THE THREE PLANNING PARADIGMS

For so very many years, the leaders of American colleges and universities have embraced long-range planning as the paradigm of choice. And, there are a number of reasons for this: the Academy's fundamental commitment to analytical and rational systems of action, the tenacious belief that each and every institution can and should be in control of its future, the unquestioned assumption that the future largely is a linear extrapolation of the past, and the perennial view that internal strengths and weaknesses are the primary determinants of choice (reinforced by regional accrediting associations, which build this assumption into their self-study requirements).

Unfortunately, long-range planning, and the assumptions supporting it, have not served higher education well. Almost everyone who has ever been involved in long-range planning has had his or her expectations first heightened and then dashed. The bitter truth is that what gets planned rarely gets fully funded or implemented. One reason is that the "wish list", which is at the heart of most plans, usually exceeds the ability of an institution to fund it. This is primarily why high expectations crash and bitterness about planning arises. Another reason is that preparing "the tangible plan" is usually deemed to be a more important objective than establishing a process that will enable an institution to engage in continuous planning. A third reason is that the Academy has an aversion to the very idea of planning. The Academy values autonomy over interdependence, diffusion of purpose over clarity of mission, competition over cooperation for scarce resources, and analytical over synthetic thinking and methods. Yet a fourth reason is that most long-range planning fails to take into account the powerful role that the external environment plays in shaping an institution's future; avoiding or minimizing the importance of external forces, factors, and trends means that a college or university is highly vulnerable to unpredictable events when they're least expected.

But there is another reason that long-range plans get shelved more often than being effectively used. The world of human affairs is not a rational and predictable place; "A" does not always lead to "B", and "sometimes "F" flips back to C". In fact, the social world as we know it has become a powerfully chaotic, unstable place that is highly impervious to "rational" solutions alone.

The need to take an unpredictable, uncontrollable external environment fully into account has given rise to a second planning paradigm in higher education: entrepreneurial planning. If long-range planning (at one end of a continuum) is a rational, linear process that establishes an internal wish list and is driven by a noble vision of the future, entrepreneurial planning (at the other end of a continuum) is based on an entirely different social reality--a

realization that an institution largely is shaped and driven by market forces. In this second planning paradigm the major focus is the external environment, because much of what is needed to secure an institution's future is believed to be either at the very heart of its stated mission (e.g., community colleges) or beyond its immediate control. Unlike long-range planning, entrepreneurial planning largely is an open-ended, non-linear process that is based on intuition and constant attention to external threats and opportunities.

Strategic planning, the third planning paradigm, is similar to and different from both long-range planning and entrepreneurial planning. Indeed, strategic planning borrows the strengths and minimizes the weaknesses of each of the first two planning paradigms.

Strategic planning responds to the powerful need of every college and university to ask, "How can we continuously obtain some semblance of control, order, and systematic future-building from the jaws of chaos, external intrusion, and possible decline?". The answer involves taking a systematic approach to positioning each institution for greatest competitive advantage by continuously creating the best possible fit between internal and external environments. In short, strategic planning continuously helps an institution to seek the "best fit" among its mission, purpose, and goals (What do we intend to do well?); external opportunities and threats (What is needed and feasible in our service area?); and internal strengths and weaknesses (What are we capable of doing well?).

The three planning paradigms, and their relationships, are reviewed on the following four pages.

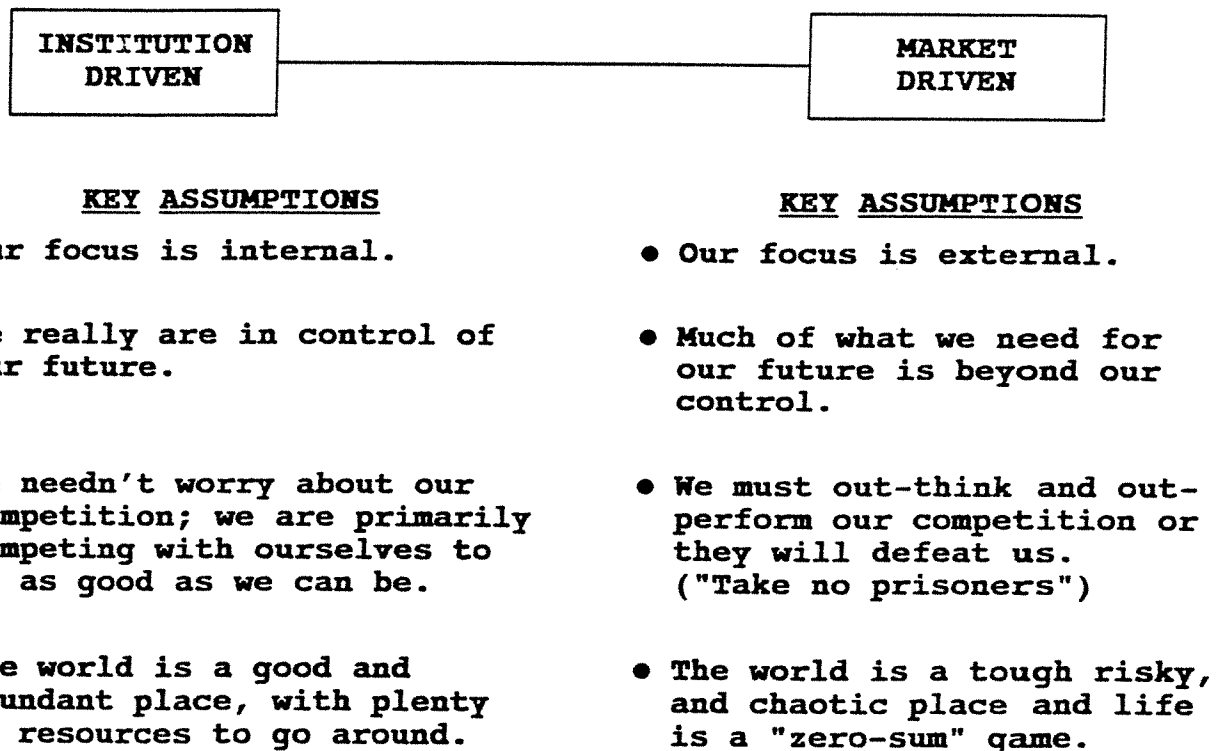
This Workbook, A Framework for Strategic Planning in Colleges and Universities, draws on a large and growing body of literature about strategic planning in American business and nonprofit organizations. However, the Workbook has three special features and unique advantages not found in most other sources: First, the Workbook is based on translations that Quehl Associates has specifically tailor-made for a variety of academic cultures and institutions. Second, the Workbook has been repeatedly field tested during Quehl Associates' work with numerous colleges and universities. And, the Workbook always is in a state of being refined--in the sense that constant revisions are made as we learn more effective and sophisticated applications and methods in interacting with our clients.

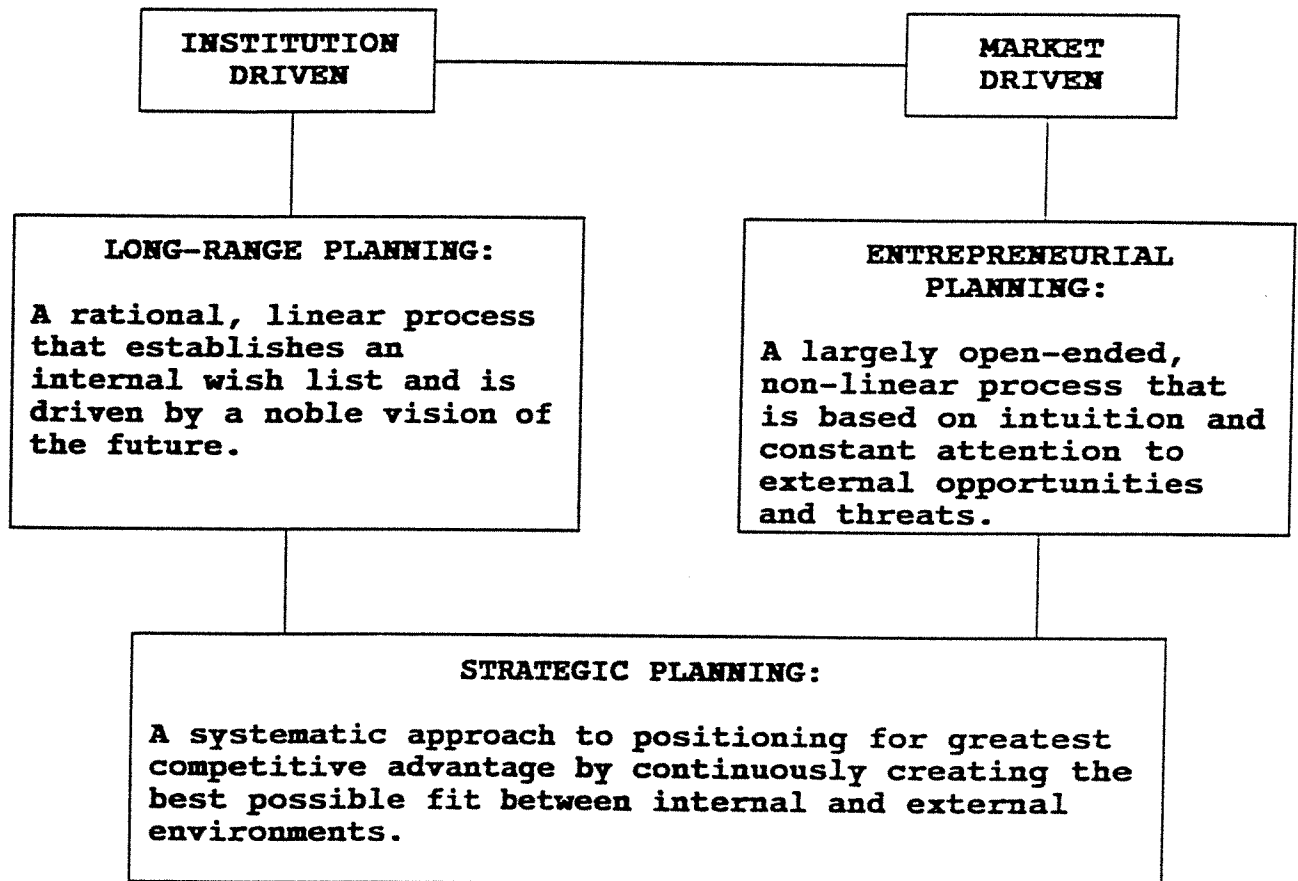
Gary H. Quehl, President
Quehl Associates

A CONTINUUM OF ASSUMPTIONS ABOUT PLANNING

"Three outstanding attitudes—obliviousness to the growing disaffection of constituents, primacy of self-aggrandizement, and the illusion of invulnerable status—are persistent aspects of folly."

Barbara Tuchman, March of Folly



THREE PLANNING PARADIGMS

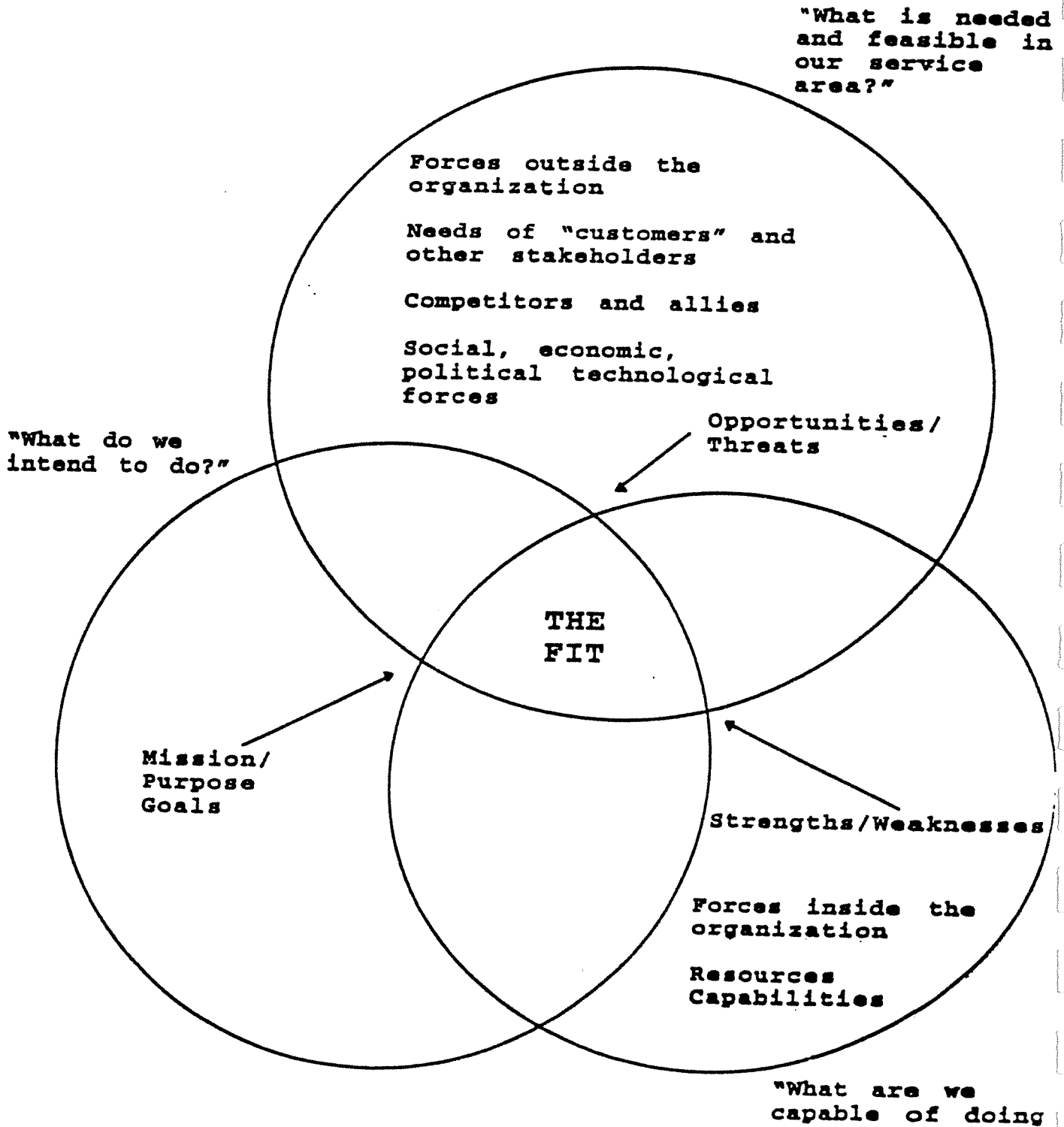
LONG RANGE PLANNING
 ("Technocratic")

STRATEGIC PLANNING
 ("Competitive Positioning")

ENTREPRENEURIAL PLANNING
 ("Weathervane")

Focus on the Enterprise (internal strengths & weaknesses as primary determinant of choices)	Focus on the external and internal environments (the Enterprise's total context as determinant of strategies)	Focus on the external environment (market threats and opportunities as primary determinants of choices)
Expectation of stability	Oriented toward change	Oriented toward change
Future seen as linear extrapolation from past	Future seen as one of discontinuities	Future seen as constant, manageable change
Deductive and analytical	Inductive/integrative and intuitive	Intuitive and instinctual
Emphasis on facts and quantitative information	Emphasis on qualitative/intuitive information and on quantitative information	High reliance on intuitive and anecdotal information and opinion
Planning seen as a science	Planning seen as a mix of art and politics	Planning seen as a mix of art and politics
Reactive (the "tried and true") but inactive in face of ambiguities	Proactive (innovation and creativity), even with ambiguities	Reactive (rapid response to every change)
Follow a closed Blue Print or Plan	Follow an open-ended Vision	Follow immediate opportunities
Current decisions based on looking from the past and present	Current decisions based on looking from the distant future	Current decisions based on looking from the present and immediate future
Univariate/systems driven	Synergistic/top-down and bottom-up driven	Univariate/top-down driven

FINDING THE FIT



From *Strategic Planning Workbook for Nonprofit Organizations*, Bryan W. Barry, Amherst H. Wilder Foundation, 1985.

II. WHAT STRATEGIC PLANNING IS NOT*

"That warm sense of doing only the tried and the safe is the average temperature at the center of the herd. Rumps in and horns out didn't save the buffalo, however, and timid presidents and cautious boards and wary faculty aren't going to lead colleges and universities anywhere today either." Author unknown

How does strategic planning differ from long-range planning and other forms of planning that institutions use? One way of distinguishing is to be clear about what strategic planning is not:

1. The aim of strategic planning is not the production of a blueprint or a fat, detailed document that stipulates what should be done in every situation.
2. Strategic planning is not something that is done at an annual retreat or workshop.
3. Strategic Planning is not a set of platitudes about vague or fuzzy things.
4. Strategic planning is not the personal vision of the President or the Board or any other single constituent group.
5. Strategic planning is not a form of surrender to external market forces.
6. Strategic planning is not a modern-day way of reading the tea leaves like the Oracle of Delphi.
7. Strategic planning is not something that is done by a group of professionals called planners.
8. Strategic planning is not a substitution of numbers for important intangibles.
9. Strategic planning is not a collection of departmental plans or wish lists carefully compiled and edited.
10. Strategic planning is not a way of eliminating risks and dangers.

*Drawn in large part from George Keller's important work on strategic planning entitled, Shaping An Academic Strategy, 1986.

III. STRATEGIC PLANNING: MAIN DEFINITIONS AND DOCUMENTS

It is important to use precise definitions, a common conceptual framework, and basic documents in undertaking strategic planning.

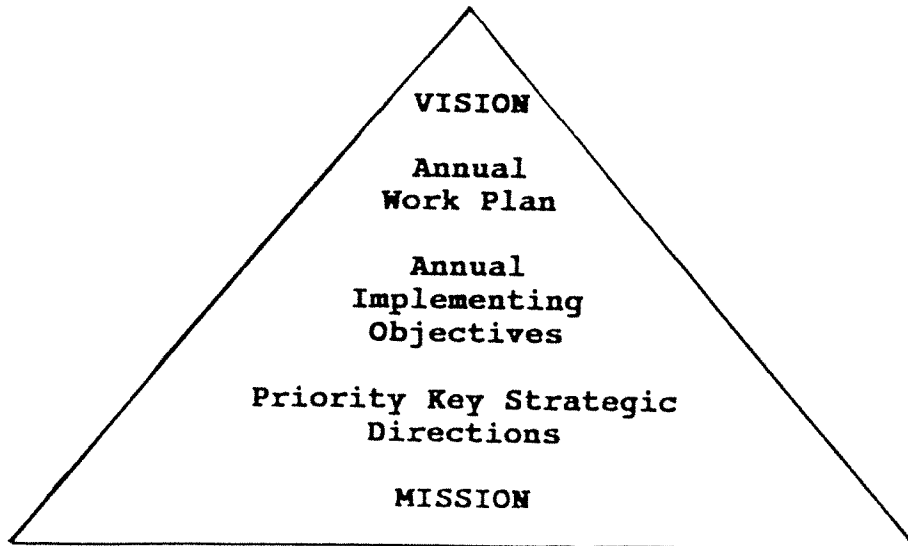
Basic Definitions

Strategic Planning: Strategic planning is a systematic approach to positioning an institution for greatest competitive advantage by continuously creating the best possible fit between its internal and external environments.

Strategic Issues: Strategic planning focuses on identifying and resolving strategic issues. Strategic issues are difficulties or dilemmas that significantly influence an institution's ability to achieve its desired vision of success, and for which there are no mutually agreed-on responses. Strategic issues can be internal or external to the institutions, or both; they involve fundamental choices about how the institution will relate to its environment (Nutt & Backoff, 1992--Appendix H, p. 108). In short, genuine strategic issues require calculated responses by the institution to avoid major harmful consequences or to seize major opportunities that normally might be missed.

Strategy: Strategy may be thought of as a pattern of purposes, policies, programs, actions, decisions, or resource allocations that helps to define what an organization is, what it does, and why it does it (Olsen and Eadie, 1982). Here is another definition that compliments the first: Strategy is an extension of mission to form a bridge between an institution and its environment (Bryson, 1988--Appendix H, p. 103).

Strategies vary by level, function, and time frame. The following simplified model encompasses all three to forge an action bridge between an institution's mission and its vision of success:



SWOT(s): The recommended basic methodology for strategic planning (originally developed at Harvard University, circa 1927, and since refined countless times), SWOT involves the analysis of external (O)pportunities and (T)hreats (planning from the outside in) and internal (S)trengths and (W)eaknesses (planning from the inside out).

Institutional Mandates: Mandates are "the musts" to which an institution must abide. Articles of incorporation, ordinances, charters, bylaws, contracts, policies, and government regulations are among an institution's formal mandates. Colleges and universities also have informal mandates--typically embodied in cultural norms--that are no less binding than formal mandates (pp. 23-24).

Institutional Stakeholders: The key to success in any college or university is the satisfaction of key stakeholders. A stakeholder is any person, constituent group, or organization that can place a claim on the institution's attention, resources, or performance--or is affected by that performance. Internal stakeholders include such individuals and groups as the president, deans, students, faculty, administrative staff, and the governing board. Among external stakeholders are alumni, parents, lending institutions, government agencies, media, competitors, and major vendors.

Basic Strategic Planning Documents

Strategic Planning involves the preparation and implementation of four main documents:

- . The PLAN TO PLAN is the original document that sets forth assumptions, concepts, procedures, and processes that will be used to develop the strategic plan (pp. 14, 23, 30).
- . The STRATEGIC PLAN is the tangible result of the Plan to Plan. It is a document that includes the institution's Mission, Vision, and Competitive Positioning statements; Core Values statement; Key Strategic Directions; and Implementing Objectives (p. 20).
 - . The Mission Statement is an accurate, factual, brief description of the current actual "business" of the institution. The Mission Statement answers at least three basic questions: 1) What do we believe in and stand for? 2) Whom do we serve and with what results? 3) What distinguishes our services?
 - . The Vision Statement is a values-based description of the institution's desired future state and distinctive characteristics of success, always stated in the present tense.

- . The Competitive Positioning Statement is an executive summary of the institution's marketing research, competitive strategy, marketing strategy, and communications strategy.
- . The statement of Core Institutional Values consists of those formal and informal values that shape and guide institutional behavior. Core values are embedded in the institution's organization, culture, and the ways it interacts with internal and external constituents.
- . Key Strategic Directions are those broad statements of purpose (usually very few in number) that respond to urgent strategic issues and drive the institution toward its vision of success. Key Strategic Issues also frame strategic Implementing Objectives.
- . Implementing Objectives are statements that translate Key Strategic Directions and provide a framework for the institution's Annual Work Plan.
- . The ANNUAL IMPLEMENTATION PLAN is the document that sets forth the assumptions and procedures that are required for the successful implementation and refinement of the Strategic Plan for a given year. Among its elements are the identification of high priority Key Strategic Directions, main Implementing Objectives and Action Plans to achieve each; procedures for preparing individual Action Plans and phasing them into the annual operating budget; timetables; and clarification of responsibility and authority for the creation, implementation, and assessment of individual Action Plans.
- . The ANNUAL WORK PLAN is the document that gives life and definition to high priority Key Strategic Directions, Implementing Objectives, and measurable Action Plans for a given year. In short, the Annual Work Plan is the "DNA" of strategic planning. Included are starting and completion dates for Action Plans, decisions about financial and human resources needed to undertake Action Plans, and methods to assess the results of individual Action Plans and overall performance of the strategic plan for a given year (pp. 49-50).

See Appendix A (beginning on p. 43) for characteristics, tests, and illustrations of Strategic Issues, Key Strategic Directions, Implementing Objectives, and The Annual Work Plan. Also included, at the end of the Appendix, is a sample integrated statement of a Key Strategic Direction, its underlying strategic issue, indications of what makes it a strategic issue, possible consequences of failing to address the issue, and Implementing Objectives. An executive summary of a sample Competitive Positioning Statement appears at the end of Appendix A.

IV. THE BENEFITS OF STRATEGIC PLANNING

While planning is not new to American colleges and universities, the kind of planning that is now needed--genuine strategic planning--is a relatively new phenomenon. If colleges and universities are to undertake comprehensive strategic planning on a continuing basis, their leaders must know the benefits of this approach.

Quehl Associates has found that strategic planning can help your institution in twelve key ways:

- . Strengthen enrollment, revenue, quality, and reputation.
- . Establish the best fit among your educational mission, the ability of your campus to deliver on that mission, and what is needed and feasible in the external environment--all on a continuing basis.
- . Identify your unique niche and position your institution for competitive advantage.
- . Improve your performance in responding to external mandates.
- . Balance priorities, goals, and the allocation of scarce resources.
- . Overcome the serious weaknesses of both piece-meal approaches to planning and conventional long-range planning.
- . Free-up ideas, build consensus, and achieve collaboration.
- . Create results-oriented campus teams among key constituencies.
- . Identify the latest trends and their impact on your campus.
- . Harness planning and the assessment of institutional outcomes.
- . Build a solid foundation on which Continuous Quality Improvement (CQI) can be made to work.
- . Become the most cost-effective decision institutional leaders can make.

We've also found that strategic planning can specifically benefit faculty involvement in strategic planning in nine key ways:

- . Participate in shaping the future direction of the institution.
- . Accentuate influence in curriculum design and educational

change.

- . **Have important dialogue with trustees.**
- . **Have access to and influence with other key constituencies.**
- . **Utilize faculty professional skills in environmental scanning and other data collection and analysis.**
- . **Clarify departmental focus.**
- . **Strengthen communications within and among departments.**
- . **Have important dialogue with the administration and other constituencies.**
- . **Reduce the sense of isolation from central administrative activities of the institution.**

V. THE KEY BUILDING BLOCKS FOR SUCCESSFUL STRATEGIC PLANNING

Why does one college or university succeed at planning and another fail? What can be done to make success more likely? As always, the answer is found in laying a solid foundation--in starting right and completing tasks each step along the way.

Here are the main building blocks for success in undertaking a comprehensive strategic planning process:

1. LEADERSHIP FROM THE CHIEF EXECUTIVE OFFICER IS ESSENTIAL.

While the mandate for strategic planning may emanate from the governing board or some external agency (e.g., accrediting body), the leadership and institutional commitment must come from the President.

2. COMMITMENT OF THE SENIOR ADMINISTRATIVE TEAM ENABLES THE PLANNING PROCESS TO BE COLLABORATIVE.

The President's senior administrative team must be committed to the need for strategic planning and the vision of what will happen as a result of the process.

3. MEMBERSHIP ON ALL STRATEGIC PLANNING COMMITTEES SHOULD BE CROSS-FUNCTIONAL (I.E., DRAWN FROM ALL KEY CONSTITUENCIES).

The entire administrative structure for strategic planning (i.e., Steering Committee, Environmental Scanning and Futures Research Committee, Design Teams, Planning and Budget Committee) should have representatives from the faculty, administration, staff, alumni, student body, and governing board.

4. THE OFFICIAL ADMINISTRATIVE "CHAIR" OF THE STRATEGIC PLANNING STEERING COMMITTEE SHOULD BE SOMEONE WHO IS HIGHLY ESTEEMED BY KEY CONSTITUENCIES AND WHO UNDERSTANDS PLANNING.

This should not be the person heading institutional planning or institutional research, however. A senior faculty leader, the chief academic officer, or the provost or executive vice president are often excellent choices.

5. A READINESS AUDIT IS AN EXCELLENT WAY TO LAY THE FOUNDATION FOR EFFECTIVE PLANNING.

Understand the importance of a strategic planning readiness audit, and what to look for in planning consultation. The purpose of the readiness audit is to have expert external counsel help the institution develop a tailor-made strategic planning process that reflects its special needs, values, and circumstances.

6. A "PLAN TO PLAN" SHOULD BE DEVELOPED TO GUIDE THE ENTIRE STRATEGIC PLANNING PROCESS.

The readiness audit should set the stage for the preparation of a written "Plan to Plan" that includes all component parts of the planning process (e.g., charge from the President; key concepts and definitions; the planning cycle; benefits and expected outcomes; formal leadership and authority for each planning committee; procedures; timetables; etc. (p. 23).

7. THE "PLAN TO PLAN" SHOULD BE REVIEWED BY KEY CONSTITUENCIES BEFORE BEING IMPLEMENTED.

That is, the "Plan to Plan" should receive wide-spread review by institutional constituents before being prepared by the Steering Committee for review by the President and review and adoption by the Governing Board as the official guide to action.

8. THE ESSENTIAL NATURE OF STRATEGIC PLANNING SHOULD BE WIDELY UNDERSTOOD.

Strategic planning has to do with thinking and acting strategically. It involves "real-time" problem-solving and creative action, not utopian wish-listing of things desired or preferred. (The latter is the principal characteristic and weakness of both conventional long-range planning and piecemeal approaches to planning.)

9. THE NATURE OF ORGANIZATIONAL CHANGE SHOULD BE WIDELY UNDERSTOOD (p. 59).

Understand and be able to deal effectively with the "change curve", especially the initial resistance to planning, the "halo effect" immediately after the Strategic Plan is completed, and the initial tendency toward disillusionment when strategic actions are being implemented.

10. DESIGNATED FUNDS SHOULD BE SET ASIDE FOR STRATEGIC PLANNING ACTIVITIES AND BE UNDER THE SUPERVISION OF THE STEERING COMMITTEE CHAIR.

Strategic planning, like all major activities worth doing well, requires a budget that is appropriate to the tasks that are called for in the "Plan to Plan". When one considers the enormous benefits of strategic planning, it's the most cost-effective decision an institution can make.

11. PUBLIC FORUMS ARE NEEDED THROUGHOUT THE PLANNING PROCESS.

Lots of public air time is needed for the Steering Committee

to communicate concepts and progress, and to have the entire community discuss reports and forward suggestions and recommendations (p. 57).

12. SUCCESSFUL STRATEGIC PLANNING DEPENDS ON ARTFUL POLITICS.

Accept strategic planning for what it is--a highly political process that involves the construction of a new social reality. There will be conflicts. These conflicts may draw people together or pull them apart, but in either case participants will feel heightened emotion and involvement.

13. STRATEGIC PLANNING REQUIRES A LARGE COMMITMENT OF TIME.

Comprehensive strategic planning cannot be rushed. In most cases, the completion of the first strategic planning cycle--especially through the creation of Key Strategic Directions--will take at least a year (p. 20).

14. BUILD A SOLID FOUNDATION FOR PLANNING BY DOING BASICS FIRST.

Do the basic tasks before beginning with the more complex: Do constituent analysis, review institutional mandates, get environmental scanning and futures research solidly underway, do a values inventory of institutional constituencies, review (and if need be revise) mission and vision and competitive positioning statements, and prepare Key Strategic Directions that will drive the entire planning cycle. Only then should the work of the Design Teams be organized.

15. GIVE PRIORITY TO THE IMPORTANCE OF DOING ENVIRONMENTAL SCANNING AND FUTURES RESEARCH WELL.

The greatest weakness of most comprehensive strategic planning is that insufficient attention is given to scanning and futures research of the external environment. Ample human and financial resources must be dedicated to this important function, and the Environmental Scanning and Futures Research Committee should be one of the first planning committees organized--along with the Strategic Planning Steering Committee itself (pp. 32-36).

16. DO NOT LEAVE TEAM-BUILDING WITHIN STRATEGIC PLANNING COMMITTEES TO CHANCE.

Team-building orientation and training should be conducted early in the planning process. This should also include introducing methods and techniques for engaging in problem-solving, consensus-building, and priority-setting.

17. ACT IMMEDIATELY ON EMERGENCY ISSUES.

Act on urgent strategic issues as they arise, rather than waiting until the end of the planning cycle.

18. EMBED PRIORITY KEY STRATEGIC DIRECTIONS AND IMPLEMENTING ACTIONS INTO THE INSTITUTION'S BUDGET CYCLE THROUGH AN ANNUAL WORK PLAN.

If strategic planning is to be a force for improvement and direction, Key Strategic Directions and their Implementing Objectives must be intimately linked to the institution's budget and budgeting process. (Putting the plan "on the shelf" is what happens when the priorities resulting from planning either have no financial consequences or fail to meet the test of fiscal feasibility.) This is best accomplished by establishing a Planning and Budget Committee after the strategic plan has been formally adopted and the process turns to annual implementation (pp. 10, 21, 41-42, 49-50).

19. ESTABLISH AN ON-GOING PLANNING PROCESS TO MONITOR PROGRESS AND MODIFY RESULTS AS NEEDED.

Because the "best fit" between the institution's mission, its ability to perform that mission, and the needs and expectations of the external environment are constantly in flux, comprehensive strategic planning never ends. It is important, therefore, for the institution to establish methods and procedures for scanning the internal and external environments and reviewing Key Strategic Directions and Implementing Objectives on a continuing basis. Often, this is best assigned to a permanent Standing Committee on Environmental Scanning and Futures Research, which reports to the Planning and Budget Committee. (See phase 15 of the planning cycle, p. 20. Also, 21, 42.)

VI. THE INTEGRATED STRATEGIC PANNING MODEL AND CYCLE

Sources of the Model

According to the most compelling thinking on the subject* there are six basic models for strategic planning. They are 1) The Command Model, 2) The Symbolic (Mission/Vision) Model, 3) the Rational Model, 4) The Transactive Model, 5) The Generative Model, and 6) The Integrated Comprehensive Model.

The diagram on the next page shows the first five models, briefly highlighting the main characteristics of each. The lessons to be drawn from the five models are these: First, each model is entirely appropriate to specific settings, conditions, and organizational culture. Second, each model possesses certain strengths and weaknesses that must be taken into account before being adopted. Third, and perhaps most important, if an institution wants to undertake the kind of comprehensive strategic planning that will result in the best possible fit among institutional mission, internal strengths and weaknesses, and external opportunities and threats, then an integrated, comprehensive framework that draws on the strengths and minimizes the weaknesses of the first five models is the most effective methodology for strategic planning. All of the building-blocks for successful strategic planning, referred to in Section V. (pp. 13-16), are derived from the strengths of the first five models. For this reason, the sixth model, The Integrated Comprehensive Strategic Planning Model, is a composite of the best elements of the first five models. The relationships among the five models are shown on the next page.

*Adapted from Stuart L. Hart, "An Integrative Framework for Strategy-Making Processes," Academy of Management Review, 1992, Vol. 17, No. 2, pp. 327-351.

THE INTEGRATED, COMPREHENSIVE STRATEGIC PLANNING MODEL

Characteristic	Command	Symbolic (Mission/ Vision)	Rational (SWOT)*	Transactive (CQI)**	Generative (Innovative)
Style	(Imperial) Strategy driven by leader or small top team	(Cultural) Strategy driven by mission and a vision of the future	(Analytical) Strategy driven by formal structure and planning systems	(Procedural) Strategy driven by internal process and mutual adjustment	(Organic) Strategy driver by organizational initiative
Role of Top Leadership	(Commander) Provide direction	(Coach) Motivate and inspire	(Leader) Evaluate and control	(Facilitator) Empower and enable	(Sponsor) Endorse and support
Role of Organizational Members	(Soldier) Obey orders	(Player) Respond to challenge	(Subordinate) Follow the system	(Participant) Learn and improve	(Entrepreneur) Experiment and take risks
Environmental	Simple: low level complexity	Dynamic: high velocity or radical change	Stable: low degree of change	Complex: many stakeholders	Turbulent: dynamic and complex
Institution Size	Small	Medium-large	Medium-large	Large	No relation
Stage of Institutional Development	No relation	Rapid growth/reorien tation	Steady growth	Mature	No relation

*Strengths and Weaknesses (Internal) Opportunities and Threats (External)

**Continuous Quality Improvement

Adapted from Stuart L. Hart, "An Integrative Framework for Strategy-Making Processes,"
Academy of Management Review, 1992, Vol. 17, No. 2, pp. 327-351.


The Integrated and Continuous Strategic Planning Cycle

The Integrated Comprehensive Strategic Planning Model is actually a cycle of 15 major activities that build on one another and continuously get repeated.

The reason the model is a continuing cycle rather than simply a linear projection that has a beginning and an end is that the external environment is always generating new opportunities and threats, and the need to assess internal strengths and weaknesses is always required to improve every aspect of the College. Thus, comprehensive strategic planning never ends.

The sequential steps in the model are shown on the next page, and an explanation of each step appears on the pages that follow the diagram.

Integrated Comprehensive Strategic Planning Cycle

- 
1. Get ready (planning to plan)
 2. Review formal & informal institutional mandates
 3. Conduct market research on internal and external constituencies
 4. Scan external opportunities & threats and identify key strategic issues
 5. Identify institutional core values
 6. Assess internal institutional strengths & weaknesses ("The Big Picture") & identify key strategic issues
 7. Prepare & review mission, vision, & competitive positioning statements
 8. Develop & review key strategic directions
 9. Test underlying issues that support each key strategic issue (design teams)
 10. Develop & review implementing objectives for each key strategic direction (design teams)
 11. Review & adopt strategic plan (mission, vision, core values & competitive positioning statements; key strategic directions & implementing objectives)
 12. Prepare & review annual implementation plan
 13. Prepare & fund annual work plan
 14. Implement & assess annual work plan
 15. Monitor strategic plan annually & change as needed

Legend

Environmental context (2-6)
 Institutional level strategizing (7, 8, 11)
 Functional level strategizing (9, 10)
 Implementation (12-15)

Explanation of the Integrated and Continuous Strategic Planning Cycle

The Strategic Planning Cycle is both a systematic and highly open-ended process that involves 15 major, interrelated activities, or phases. The planning cycle is led by four administrative structures.

The Four Administrative Structures

The Strategic Planning Steering Committee has responsibility for guiding planning through the first 11 phases of the cycle (i.e., from "Get Ready" through the formal adoption of the Strategic Plan by the Board of Trustees). In short, it is the Steering Committee that provides over-all leadership for strategic planning during the first cycle.

Reporting directly to the Steering Committee during phases two through six is the Environmental Scanning and Futures Research Committee. (The Chair of the Scanning and Research Committee also serves on the Steering Committee.) The essential task of the Scanning and Research Committee is to undertake key research on the internal and external environments that is needed to assist the Steering Committee to assess strengths and weaknesses, opportunities and threats (SWOTs).

Design Teams are appointed for phases nine and ten to develop Implementing Objectives and preliminary priority actions for each Key Strategic Direction that is identified by the Steering Committee in phase eight of the cycle. Each Design Team has responsibility for one Key Strategic Direction. Each Design Team is chaired by a member of the Steering Committee, and each Team has cross-functional membership (i.e., reflects constituencies across the institution).

The Planning and Budget Committee assumes administrative oversight for phases 11-15 in the cycle, and specifically those that deal with the annual implementation of the plan. Essentially, the Planning and Budget Committee has ultimate responsibility for preparing the Annual Implementation Plan (pp. 10, 14), much as the "Plan to Plan" identified the ground rules for the 15-phase Strategic Planning Cycle) and the Annual Work Plan (pp. 10, 42). Moreover, this vital committee has chief responsibility for integrating annual planning and all budgeting. The Planning and Budget Committee also provides leadership for monitoring progress of the entire strategic plan as it unfolds, making modifications in Key Strategic Directions, Implementing Objectives, and the Annual Work Plan as necessary. The Planning and Budget Committee is aided in its monitoring responsibilities by a permanent Standing Committee on Environmental Scanning and Futures Research (with some over-lapping membership from the first Scanning and Research Committee to provide continuity).

The Fifteen Phases of the Planning Cycle

Here, in abbreviated form, is a description of each phase of the Strategic Planning Cycle, including principal responsibilities for its successful completion:

1. Get Ready. With the exception of those few institutions that have seriously undertaken strategic planning and are experienced with it, the vast number of colleges and universities find themselves in one or more of the following situations:
 - . Almost every college and university has done some kind of "long-range planning." However, the results usually have been disappointing because emphasis was most often placed on "blue sky" and "wish-list" thinking. This kind of planning exercise almost always falls short of expectations because the hard work and great time given to planning results in the institution being unable to fund the "wish lists" enumerated in the plan. Thus, initial high expectations about "long range planning" almost always produce large-scale disappointments and resentments.
 - . There are also instances when a planning process has gotten bogged-down--whether due to a change in the presidency, inept leadership, institutional crisis, or simply the process having run out of steam. The motivation for looking anew at planning is to revitalize the process and make it serve the ends for which it was intended.
 - . An increasing number of colleges and universities find they are compelled to learn a different approach to planning in order to confront relentless external mandates and other forces that are impacting their well-being and even their survival. The challenge is to develop strategies that can take advantage of external opportunities while repelling threats and dangers. Most of these institutions are turning to strategic planning for methods and answers.

"Get Ready" for strategic planning normally involves five main activities, or steps:

- . The first step is to use the concepts, principles, and methods for strategic planning that are outlined in this Workbook (Framework for Strategic Planning) as a template against which the strengths and weaknesses of the institution's recent planning history can be assessed. This review should result in a working consensus on what needs to be done to make planning truly strategic.

- . The second step is to select an external expert to lead a day-long "Orientation Workshop on Strategic Planning" (pp. 64-65). The purpose of the workshop is to acquaint the constituents with key concepts, principles, and methods needed for successful strategic planning.
- . The orientation workshop also sets the stage for the third "Get Ready" step: to engage key constituencies in three preliminary exercises. The first is to secure an understanding of "the big picture" (major external environmental trends in higher education, and their implications for the institution). The second is to engage the community in a preliminary assessment of "how others see us" on important variables (pp. 66, 68-69). And, the third is to engage the community in a preliminary assessment of "how we see ourselves" on important internal variables (pp. 66-67, 70-72). These three tasks can be accomplished in back-to-back workshops over two days.

The fourth "Get Ready" step involves the appointment and organization of the first two strategic planning administrative groups: the Strategic Planning Steering Committee, and the Committee on Environmental Scanning and Futures Research. It's extremely important that members of the Steering Committee be individuals who are highly esteemed by their peers and who have demonstrated an ability to work for the welfare of the whole institution rather than merely a self-interested part of it. The selection of an appropriate Steering Committee chair is vital to the success of the entire process (p. 13).

The fifth "Get Ready" step involves preparing a "Plan to Plan." This document sets forth the President's charge for strategic planning, the leadership for the planning process, the administrative structures needed to carry-out the charge, methods and procedures, ways of educating constituents about strategic planning and getting them meaningfully involved in the process, timetables for achieving specific activities in the strategic planning cycle, preparing the strategic plan for review and approval by appropriate bodies, implementing activities, and establishing the means for monitoring and conducting a continuing strategic planning process. The "Plan to Plan" is broadly shared and reviewed by institutional constituencies, and suggestions for improvement are considered by the Steering Committee for incorporation into the final document before it is reviewed by the President and forwarded by the President to the Board of Trustees for review and adoption. In a very real sense, the "Plan to Plan" is a covenant that the community has with itself on how strategic planning will proceed.

2. Review Institutional Mandates. The Steering Committee's first responsibility (after giving appropriate attention to

team-building needed for its work) is to review institutional mandates. The formal and informal mandates placed on the institution are "the musts" it confronts. Formal mandates consist of articles of incorporation, charter, bylaws, ordinances, policies, contracts, etc. By becoming acquainted with its formal and informal mandates, the institution avoids two fundamental mistakes: either believing they are more tightly constrained in their actions than they actually are, or assuming that if they are not explicitly told to do something they are not allowed to do it.

Colleges and universities also have informal mandates, typically embodied in cultural norms and values that define acceptable behavior can be more binding on community members than formal mandates. Informal mandates are often best identified through focus group interviews of key constituencies by an external facilitator.

The first work of the Steering Committee, then, involves:

- . Compiling the institution's formal mandates in order to clarify what is required and allowed.
 - . Reviewing implications of the findings on informal mandates and issuing a special report that summarizes these important institutional norms.
 - . Educating members of the community as to what is required to assure conformity with the mandates, as well as engage the community in understanding the informal mandates that shape internal customs and behaviors.
3. Conduct Market Research on Internal and External Constituencies. The key to success in any college or university is the satisfaction of key constituencies both outside and within the institution. A constituency is any person, group, or agency that can place a claim on the institution's attention, resources, or performance--or is affected by that performance. In short, constituencies are the key players in the life of the institution.

Internal constituencies include such individuals and groups as the president, deans, students, faculty, administrative staff, and the governing board. Among external constituencies are alumni, parents, employers, government agencies, lending institutions, media, competitors, and major vendors.

The second task, then, is for the Steering Committee and the Environmental Scanning and Futures Research Committee to join forces in designing and implementing an internal and external marketing research agenda (pp. 35-36). The first work should

involve stakeholder, or constituent, analysis. External market research then often proceeds to such topics as admissions funnel telephone interviews; an institutional overlap study; an image study using high school guidance counselor telephone interviews; an image study using telephone interviews of community, business, and religious leaders; and an alumni satisfaction survey. (During subsequent annual planning cycles, more in-depth treatment can be given to the external market research agenda--for example, see p. 95.) Internal marketing research normally includes at least the forementioned study of informal mandates and research on internal satisfactions and dissatisfactions. Experience suggests that marketing research (and especially internal marketing research) is best conducted by an objective facilitator from outside the institution.

4. Scan External Opportunities and Threats and Identify Key Strategic Issues.

At the beginning of the formal planning process, the Steering Committee and the Scanning Research Committee usually divide research tasks; often the Steering Committee identifies formal mandates while the Scanning Research Committee conducts stakeholder (constituent) analysis. The main task of the Scanning Research Committee, however, is the enormously important work of identifying external opportunities and threats that are facing the institution. These include political, economic, social, and technological (PESTs) forces, trends, and such other factors as customers, competitors, and collaborators (pp. 32-34). Once it has identified the main strategic issues resulting from its examination of threats and opportunities (pp. 43-44, 87-89, 94), the Scanning Research Committee reports its findings to the Steering Committee.

5. Identify Core Institutional Values. An essential step often missed in planning is the identification of core values (descriptive, not prescriptive) that shape the institution's organization and culture. A number of commercial values inventories are available, including the Rokeach Survey, NCHEMS Survey, Institutional Goals Inventory, and Quality Opportunity Index. However, many institutions experience considerable success in having its various constituents identify core values through a process of brainstorming and the use of the Delphi technique (p. 96). Once the key, driving institutional values are identified and agreed upon with a reasonable degree of consensus among constituents, the institution is ready for the next step in the strategic planning process.

6. Assess Internal Strengths and Weaknesses and Identify Key Strategic Issues. Unlike long-range planning, the Steering Committee's objective in this stage is to look across the institution and assess strengths and weaknesses in terms of the

"big picture". (Normally in long-range planning, each and every department--academic and administrative--is subjected to in-depth analysis to identify strengths and weaknesses; this is also the approach that usually is taken in preparing for a regional accreditation review visit.) The emphasis here is to avoid minutiae and reach to identify only those very compelling key strategic issues that arise from the interaction of the institution's strengths and weaknesses (pp. 43-44, 90-94). Armed with an analysis of internal strengths and weaknesses and external opportunities and threats, the Steering Committee proceeds to the next critical phase of planning.

7. Review and Prepare Mission, Vision, and Competitive Positioning Statements. A college or university's mission, in tandem with its mandates and a clear understanding of its constituencies and core values, provides its *raison d'être*, the social justification for its existence. Clarifying purpose can eliminate unnecessary conflict and help to channel discussion and activity. Agreement on purpose defines the arenas within which the institution will compete and chart its future course. Also an important and socially justifiable mission is a source of inspiration to key constituents.

With the results of the first six activities in hand, the Steering Committee is ready to lead the institution in a review of existing mission and vision statements, followed by the preparation of a competitive positioning statement (pp. 54-55) that precisely places the institution in the marketplace. Each of the first six phases of the planning cycle act as a screen through which judgments can be made about the appropriateness of current mission and vision statements. The assessment of mission (and perhaps the preparation of a new one) involves seeking answers to seven questions:

- . Who are we as an institution?
- . What are the basic social needs that we exist to fill or address?
- . In general, what do we do to recognize or anticipate and respond to these needs or problems?
- . How do we respond to our major constituencies?
- . What is our philosophy and what are our core values?
- . What makes us distinctive or unique?
- . What do we know about our performance (the outcomes or results of implementing our mission)?

The Steering Committee conducts widespread discussion of these questions before formulating its recommendations for the continuation or possible modification of the mission.

At this point in the process, the Steering Committee is ready to prepare a vision statement that grows out of the institution's mission statement. The challenge is to expand the mission into a "vision of future success." Without a vision of success, constituencies will not know how to go about achieving the institution's mission. Remember: Mission is like a snapshot; it clarifies the institution's purpose, or what and why it is doing what it does. Vision, on the other hand, is like a motion picture; it continuously clarifies what the institution should look like and how it should behave as it fulfills its mission by moving toward its vision of success. That's why vision statements are always stated in the present tense.

As with the review and preparation of the mission statement, the Steering Committee should request considerable consultation with constituencies about the institution's vision statement.

Finally, the institution has arrived at the point where the Steering Committee can draft a Competitive Positioning Statement (pp. 54-55) for review by constituencies. The statement includes four main elements: summary of market research, competitive strategy, marketing strategy, and positioning and communications strategy.

8. Prepare Key Strategic Directions. The Steering Committee is now equipped with: mission, vision, and competitive positioning statements; its own assessment of "big picture" strategic issues that reflect the interaction of internal strengths and weaknesses; and the Scanning Research Committee's report on key strategic issues that reflect external opportunities and threats. The Steering Committee's next task is to engage in the critically important work of conducting a SWOT analysis to identify priority strategic issues (pp. 92-94) and to translate them into a small number of potent Key Strategic Directions for the institution (pp. 45-46).

Key Strategic Directions mediate between the institution's mission, vision, and competitive positioning statements and the operationalization of these statements through the Implementing Objectives that are identified by individual Design Teams in phases nine and ten of the Strategic Planning Cycle. The Key Strategic Directions are few in number and are used to focus and "drive" the institution, as well as continuous strategic planning. The proposed Key Strategic Directions receive extensive review and discussion by constituencies before the

Steering Committee prepares the final draft that signals the beginning of the Design Teams' work.

9. Test Underlying Issues that Support Each Key Strategic Issue (pp. 37-38, 73-75). The first task of each Design Team is to review the list of topics/problem areas that provide the rationale for individual Key Strategic Directions: Is each topic/problem area really strategic in nature? What are the consequences of not doing something about it? Can something be done about it?

10. Develop and Review Implementing Objectives and Preliminary Actions (pp. 38-40, 47-48). Once the Design Teams make a strong case for including those topics/problem areas that support their Key Strategic Directions, the Steering Committee asks the Design Teams to proceed with the next task: develop, in order of priority, Implementing Objectives that can simultaneously frame action to systematically resolve topics/problem areas and propel the institution toward the achievement of its Key Strategic Directions during implementation. The Implementing Objectives are written as measurable goal statements. The Design Team results are forwarded to the Steering Committee for review and action.

When the second task is completed, each Design Team proceeds to its third and final task, which is to develop (in order of priority) a short list of preliminary Actions for each of its Implementing Objectives. These priority lists of preliminary actions are given to the Planning and Budget Committee for consideration in phase 13 of the planning cycle (p. 31).

11. Review and Adopt the Strategic Plan. At this stage, the Steering Committee is able to prepare the first full draft of the Strategic Plan that includes the six basic elements: Mission, Vision, and Competitive Positioning statements; Core Institutional Values; Key Strategic Directions; and Implementing Objectives for each Strategic Direction. The Committee then solicits recommendations for strengthening the draft from institutional constituents. Once suggestions are taken into account, and a final draft is prepared, the Strategic Plan is forwarded to the President for review and action. Thereafter, the President submits the plan to the Board of Trustees for its review and final adoption.

12. Prepare and Review The Annual Implementation Plan. With the adoption of the Strategic Plan, the work of the Steering Committee is completed and the Strategic Planning Cycle moves into the first phase of implementation. Oversight for implementation is given to a new institutional agency, the Planning and Budget Committee. The President's Committee appointments include both new members and members of the former Steering Committee to provide continuity (pp. 41-42).

The first responsibility of the Committee is to prepare the Annual Implementation Plan (p. 10). Just as the Strategic Planning Cycle began with a "Plan to Plan", so, too, does implementation begin with a document that sets forth the assumptions, procedures, responsibilities, activities, and timetables for implementing the strategic plan in the first year. (Implementation Plans are prepared each and every year thereafter.) Once the Annual Implementation Plan is prepared in draft form, it is forwarded to institutional constituencies for review and consultation about improvements. The Committee considers suggestions and then prepares the final draft for presidential review and action. After the President signs-off, the Annual Implementation Plan becomes the official planning blueprint for the year.

13. Prepare and Fund the Annual Work Plan (pp. 10, 49-50). The Annual Work Plan is the document that gives life and meaning to the strategic plan by translating Implementing Objectives into specific, measurable Action Plans for the year. The individual Action Plans are prepared by respective academic and administrative departments/committees (those relevant to the year's priority Implementing Objectives) and submitted for review and final action by the Planning and Budget Committee. Included in the Committee's final Annual Work Plan are decisions about the commitment of human and financial resources, authority and responsibilities, timetables, and methods for assessing the results of individual departmental/committee Action Plans. Each Action Plan contains specific measurable tasks to be accomplished during the year.
14. Implement and Assess the Annual Work Plan. Once the Planning and Budget Committee adopts the Annual Work Plan, individual departments/committees are authorized to begin implementing their Action Plans. The Planning and Budget Committee monitors these Action Plans throughout the year and requests measurable assessment information from departments/committees prior to planning the next annual budget cycle (p. 42).
15. Monitor and Revise the Strategic Plan as Needed. At the heart of the strategic planning process is the concept of continuous assessment to help position the institution for greatest competitive advantage by creating the best possible fit between its internal and external environments. This requires that the Planning and Budget Committee monitor the entire process on a regular basis, and that certain key functions periodically be revisited to update and refine the strategic plan and the planning and management process. That is why the strategic planning process is seen as a continuing cycle. Oversight for this responsibility is given to a permanent Standing Committee on Environmental Scanning and Futures Research (p. 42).

VII. THE WORK OF THE FOUR STRATEGIC PLANNING ADMINISTRATIVE COMMITTEES

A variety of approaches can be taken to organizing an institution's strategic planning program. Quehl Associates has found that four related administrative committees can produce a highly successful and coordinated process: Strategic Planning Steering Committee, Environmental Scanning and Futures Research Committee, Design Teams, Planning and Budget Committee.

Here, in abbreviated form, are the main tasks and duties of each committee:

The Strategic Planning Steering Committee

The Steering Committee is the main administrative group that guides strategic planning from phase one through phase eleven of the first planning cycle (p. 20). The Committee usually has 14-16 members, and membership is drawn from all main internal constituencies (including the governing board) and selected external constituent groups as well--e.g., the alumni body, community leaders, etc.). The chair of the Environmental Scanning and Futures Research Committee is also a member of the Steering Committee. (See p. 23. for qualities desired in each Steering Committee member.)

The main tasks of the Steering Committee are as follows:

1. Prepare the "Plan to Plan" for review by the entire community early in the new academic year (p. 23). As a result of this review, consider suggestions for modification and submit the final version to the President for review and, then, review and adoption by the Board of Trustees.
2. Coordinate the work of the Environmental Scanning and Futures Research Committee during phases two through six of the Strategic Planning Cycle. (The Scanning and Research Committee reports to the Steering Committee.)
3. Review implications of the Scanning and Research Committee's report on stakeholder (constituent) analysis (pp. 24-25, 83-85).
4. Identify and assess formal and informal mandates (p. 23-24).
5. Review and interpret the results of both internal and external market research. Prepare reports for review by the community (pp. 24-25, 54-55).

6. Review and interpret the results of research on core institutional values. Prepare a Core Institutional Values Statement for review by the community (p. 25).
7. Based on SWOT analyses, identify and refine both internal and external key strategic issues (pp. 43-44, 92-94). Review results with the campus community.
8. Lead the College through a review and possible modification of the institution's Mission statement (pp. 26-27). Then, prepare for institutional review a Vision statement (p. 27) and a Competitive Positioning Statement (pp. 54-55).
9. Based on critical strategic issues, develop the College's Key Strategic Directions and review results with the community (pp. 27-28, 45-46).
10. Coordinate the work of the Design Teams (p. 28). Review underlying topics/problem areas and Implementing Objectives for each Key Strategic Direction prepared by the Design Teams (pp. 47-48).
11. Establish priorities by rank ordering the Key Strategic Directions and the Implementing Objectives for each. Share the Key Strategic Directions and Implementing Objectives with the community for review (p. 28).
12. Draft the preliminary Strategic Plan (Mission, Vision, Core Values, and Competitive Positioning statements; Key Strategic Directions, and Implementing Objectives) for review by the community (p. 28).
13. Considering suggestions from the community, prepare the final draft of the proposed Strategic Plan for the President's review.
14. Subject to Presidential approval, the Steering Committee Chairman makes regular reports on progress to the Board of Trustees.
15. Forward preliminary Actions for priority Implementing Objectives (prepared by the Design Teams) to the Planning and Budget Committee for review--once the Committee is organized (pp. 28, 39).

The Environmental Scanning and Futures Research Committee

This committee reports directly to the Strategic Planning Steering Committee and normally consists of 10-14 members who are skilled at gathering and interpreting information and data. The chair is often the director of planning, the director of institutional research, the vice president for college relations, or someone else who is skilled at trend identification and analysis and the packaging of information for strategic purposes.

The Committee on Environmental Scanning and Futures Research performs its functions during the second through the sixth phases of the planning cycle. Then, when the Strategic Plan has been completed and adopted and the planning process enters the stage of continuous implementation, a permanent Standing Committee on Environmental Scanning and Futures Research is appointed by the President. To provide continuity, some of the Committee's members are drawn from the original Scanning and Research Committee. The Standing Committee reports directly to the Planning and Budget Committee.

Responsibilities

The Committee has four main, on-going responsibilities:

1. Provide information on emerging issues and trends.
2. Educate institutional members about the scanning function and about specific trends and issues.
3. Provide useful information requested by the Strategic Planning Steering Committee.
4. Develop networks and partnerships with other scanners and their organizations.

Tasks

The Committee has four major tasks to perform in assisting the institution to undertake the strategic planning process on a continuing basis:

1. Identify the actual or potential opportunities and threats the institution faces from the external environment by:
 - . reviewing general issues and trends in three categories:
 - . political, economic, social-demographic, technolog-

ical

- . customers, clients, payers
- . actual or potential competitors and collaborators;
- . giving special attention to:
 - . state and local economies
 - . changing state and regional demographics
 - . national and state trends in elementary, secondary, and higher education
 - . trends in state government, particularly economic and political
 - . changes in the regional, state, and local workplace
 - . comparisons of higher education costs
 - . comparative data on competing institutions including, when available, benchmarks on "best practices"
 - . trends in financial aid
 - . important social and cultural issues;
- . identifying appropriate resources to obtain information on trends and issues (e.g., professional journals, newsletters, reports, conference proceedings, experts and other informants)
- . understanding the nature of issue cycles (Schon, 1971; Bryson, Ven der Ven, Roeering, 1987--Appendix H).
- . asking key questions:
 - . Is the issue new?
 - . Does it come from a surprising source?
 - . Does it contradict prevailing wisdom?
 - . Is there a pattern to the issue or trend?
- . developing a record-keeping system (e.g., a simple one-page scanning report format or a more elaborate computerized key-word system).

2. Analyze and interpret the strategic importance of issues and trends through a variety of methods identified in Appendix H:
 - . Group discussion.
 - . Brainstorming (for creating ideas)--Johnson & Johnson, 1987.
 - . Nominal Group Technique (for creating and ranking ideas)--Delbecq, Van de Ven, Gustafson, 1975.
 - . Snow Card Technique (for creating and synthesizing ideas into categories)--Greenblat and Duke, 1981.
 - . Scenarios (present an array of options for discussion)--Amara & Lipinski, 1983; Linneman & Klein, 1983.
 - . Impact Network (brainstorming tertiary trends that might follow from a primary trend)--Pflaum and Delmont, 1987.
 - . Impact/Probability Matrix (analysis of the likelihood of an issue happening and of its possible impact)--Pflaum & Delmont, 1987.
 - . Other analytical tools and techniques--Nutt, 1984; Nutt and Backoff, 1987.
3. Report information and methods to the Steering Committee and other appropriate institutional constituencies through:
 - . Mini-scans (brief issue or trend summaries on a single page).
 - . Brief policy papers (3-5 pages for in-depth treatment of an issue).
 - . Comprehensive scans that cover a range of issues and trends.
 - . Public seminars and forums (with Steering Committee; faculty, staff, and students; Design Teams; governing board, etc.).
 - . Newsletter (periodic issues that cover current and emerging trends and subjects that are key to strategy).

4. Establish an on-going process for routinely undertaking "issue tension assessment" in three-month to one-year intervals. The essential task is to identify the emergence of opposing forces that push or pull the institution away from its vision of success. Test these developments to determine whether they are symptoms of deeper concerns that merit attention as strategic issues. If and when they do meet that test, these developments become potential candidates for consideration as Key Strategic Directions. (This is a continuing task of the permanent Environmental Scanning and Futures Research Committee.)

The Research Agenda

The research agenda for the first planning cycle normally consists of twelve coordinated activities. Eight involve internal research, and four involve research of the external environment:

The internal research usually includes:

- . The identification of formal institutional mandates (Steering Committee).
- . The identification of informal institutional mandates (External researcher/facilitator).
- . The review of current institutional studies to identify issues, trends, problems, data, etc. (Steering Committee).
- . Market research on internal satisfactions and dissatisfactions (External researcher/facilitator).
- . The identification of core institutional values (Scanning and Research Committee and Steering Committee in cooperation with the community at large).
- . The identification of "big picture" internal strengths and weaknesses (Steering Committee).
- . SWOT analysis--examination of relationships among internal strengths and weaknesses and external opportunities and threats (Steering Committee).
- . The review and preparation of Mission, Vision, and Competitive Positioning statements (Steering Committee and community at large).

The external environmental research usually includes:

- . Stakeholder, or constituent, analysis (Scanning and Re-

search Committee (pp. 82-86).

- . The identification of opportunities and threats, examining political, economic, social, and technological trends, forces, and factors (Scanning and Research Committee (pp. 82, 87-89).
- . Market Research--i.e., admissions funnel interviews, institutional overlap study; image study: high school guidance counselor interviews; image study: interviews of community, business, and religious leaders (Scanning and Research Committee).
- . Alumni satisfaction survey (Scanning and Research Committee).

The Design Teams

In comprehensive strategic planning, the President appoints a Design Team for each Key Strategic Direction that is identified by the Steering Committee in phase eight of the planning cycle. Each Design Team is chaired by a member of the Steering Committee, and each Team has cross-functional membership (i.e., reflects constituencies across the institution). The size of Teams normally doesn't exceed six persons.

The work of each Design Team encompasses three major activities in working on its individual Key Strategic Direction:

- A. Identify topics/problem areas to be Subjected to Assessment. (A sample of topics/problem areas for typical institutional functions is shown in Appendix E, beginning on p. 73.) Each Design Team focuses its initial work on seven tasks:
1. Review the preliminary list of topics/problem areas provided by the Steering Committee, asking the following questions of each:
 - . Is this really a strategic topic/problem area (pp. 43-44)? What is it about the institution's mandates, constituent expectations, core values, mission and vision and competitive positioning statements, and the Key Strategic Direction that makes this an issue deserving of special attention?
 - . What are the consequences of not doing something about the topic/problem area?
 - . Can something be done about the topic/problem area?
 2. Are there any topics/problem areas on the preliminary list that should be dropped from further consideration? Why? (For methods of approaching this task, see the "Snow Card Technique" in Appendix G, p. 80).
 3. Are there any topics/problem areas not yet on the preliminary list that should be included in the assessment? (Use the same questions in #1 above to qualify each new item.)
 4. Is there a way to combine topics/problem areas? Conversely, should topics/problem areas be broken down into additional topics-problem areas?
 5. Arrange topics/problem areas on a list into one of three categories for priority consideration:
 - . Those that require urgent attention and must be dealt

with outside the pacing of the current strategic planning cycle.

- . Those that can be handled as part of the current strategic planning cycle.
 - . Those that require no immediate action but must be monitored or included in future strategic planning cycles.
6. Present the final list to the Strategic Planning Steering Committee for review and action. The list should include:
- . Recommended topics/problem areas, with a brief rationale for each.
 - . Status of each topic/problem area: urgent, current, monitor.
7. After reviewing the recommendations from all Design Teams, the Steering Committee provides each Team with a final approved list of strategic topics/problem areas for its assessment (analysis of strengths and weaknesses, opportunities and threats). Each team is also informed how the urgent topics/problem areas are to be handled (e.g., by the Team, the Steering Committee, or some other means).
- B. Develop, in Order of Priority, Implementing Objectives that Reflect the Assessment of Topics/Problems (pp. 47-48).

Each Design Team works its way through four key questions in formulating Implementing Objectives:

1. What major actions must be taken within the next year to implement the Key Strategic Direction?
2. What are the measurable alternatives that might be pursued to achieve the Key Strategic Direction?
3. What are the specific barriers to the realization of the measurable alternatives?
4. What ideas are there for overcoming the barriers to the realization of the measurable alternatives?

Each Design Team then submits to the Steering Committee a draft of its final report on Implementing Objectives in a format that has been established by the Steering Committee. The Implementing Objectives are presented in rank order of importance.

The Steering Committee considers the collective lists of Implementing Objectives from all of the Design Teams, selects those having greatest promise, and rank orders the final list for each Key Strategic Direction. The list is reviewed by constituents before the Steering Committee makes final decisions about what should go into the first comprehensive draft of the Strategic Plan.

- C. In Order of Priority, Develop Preliminary Strategic Actions for Each Implementing Objective. Each Design Team next focuses on two tasks:
1. Using the "Strategy Worksheet" (p. 94), develop preliminary actions for each Implementing Objective that take advantage of strengths (internal) and opportunities (external) and minimize or avoid weaknesses (internal) and threats (external)--and which are in concert with institutional mandates, core values, mission and vision and competitive positioning statements, and the Key Strategic Direction.
 2. Arrange the list of preliminary actions for each Implementing Objective in order of priority. (For assistance, see "Nominal Group Technique", p. 96).

The list of preliminary actions is forwarded to the Steering Committee for review. The collective actions for all Design Teams are referred to the Planning and Budget Committee when it is organized to begin implementing activities for the Strategic Plan (p. 31). The Planning and Budget Committee uses this information when it calls for the preparation of departmental/committee action plans as part of the first Annual Work Plan.

Guidelines for Effective Design Team Work

1. Creativity is the key to success. That's why they're called "Design Teams".
2. Confidentiality during Design Team work is essential.
3. Reach decisions by consensus rather than formal vote.
4. Keep to established time lines.
5. Work in a small number of large blocks of time rather than in numerous short meetings.
6. Be sensitive to the work of other Design Teams, and particularly the possibility of cross-referencing both strategic topics/problem areas and Implementing Objectives.

7. Design Team chairs should confer with each other, and all should regularly confer with the Steering Committee chair.

The Planning and Budget Committee

Many college and university planning programs fail once the process has moved into implementation (phases 12-15 in the planning cycle-- p. 20). There are three primary reasons:

First, sufficient attention is not always given to the dynamics of implementation--particularly managing and pacing the systematic introduction of change. Because preparing "the plan" is usually believed to be the main objective, it is often assumed that implementation will take care of itself. In fact, the catechism for implementation is vastly more complicated and unpredictable than the process of preparing "the plan."

Second, sufficient attention is not always given to the relationship between "the plan" and institutional budgeting. Unless the two are closely linked and integrated, routine budget lines that are embedded in the operating budget are likely to have priority over actions in "the plan" that need funding.

Third, sufficient attention is not always given to making the planning process continuous. (That's usually what is meant by "putting the plan on the shelf.") Because planning must be an on-going process, mechanisms are needed to monitor progress, scan the internal and external environments to identify emerging strategic issues that must be considered, and make changes in Key Strategic Directions and Implementing Objectives as they are needed.

What's required, then, is a permanent administrative committee that has oversight for the entire planning and budgeting process. The Planning and Budget Committee fulfills this role (and, if it performs its tasks successfully, often becomes the most powerful committee within the institution). Membership is usually by presidential appointment, and the size of the Committee is 12-15 persons. The appointments normally include all members of the senior administration and key members of the faculty, staff, and student body. Initially, it is wise to include among the Committee's members a number of leaders from the former Steering Committee (to provide continuity from the planning to the implementation process). The Committee is aided in its work by a permanent Standing Committee on Environmental Scanning and Futures Research (p. 21).

The Planning and Budget Committee has nine main tasks:

- . Secure continuing "buy-in" for the plan. (See pp. 56-58).
- . Manage the systematic introduction of change in implementing the strategic plan. (See pp. 59-63).
- . Establish priorities among Key Strategic Directions

and the Implementing Objectives that support them.

- . Prepare the Annual Implementation Plan (p. 10) and secure "buy-in" for it from key constituencies.
- . Prepare the Annual Work Plan (pp. 10, 49-50) that defines priority strategic action.
- . Identify and commit financial resources to fund the phasing-in of priority strategic actions.
- . Provide coordination and oversight for annual budgeting and the systematic implementation of the strategic plan.
- . Assess the results of the Annual Work Plan (and the individual Action Plans within the Annual Work Plan).
- . Monitor the strategic planning process on a continuing basis, using the permanent Standing Committee on Environmental Scanning and Futures Research as the key source of on-going research and information-gathering.

VIII. APPENDICES

APPENDIX A:

STRATEGIC PLANNING CHARACTERISTICS, TESTS, AND ILLUSTRATIONS

Characteristics and Tests to Identify Strategic Issues

Strategic Issues are difficulties or dilemmas that significantly influence an institution's ability to achieve its desired future vision, and for which there are no mutually agreed-upon responses. Strategic issues can be internal or external to the institution, or both. They involve fundamental choices about how the institution will relate to its environment."

- . Strategic issues embody conflicts and tensions and provide no "easy choices."
- . They necessitate responses to avoid major long-term harmful consequences or to seize major opportunities that might be missed.
- . If institutional responses are impossible, the issue remains an important "given" in planning but is no longer considered "strategic."
- . If emerging issues do not persist but go away without institutional response, they were not strategic.
- . Issues should be "tested" against mission and vision statements and SWOT analyses to minimize bias or misperceptions of their strategic importance.
- . Strategic issues should be verbally framed as succinct, clear, precise propositions that (a) state the nature of the conflicts or dilemmas, (b) indicate the "reasons" that the issues appear to be strategic, and (c) specify the likely consequences of failing to act (pp. 51-53).

Illustrations of Strategic Issues

1. The two-year campus system of a major state-related, land-grant university decides to upgrade at least half of its 20 campuses to a 4-year degree-granting status. Under what conditions would this decision become a strategic issue for:
 - . The faculty on the main campus of the university?
 - . The 14-campus sister state university system?
 - . Independent, baccalaureate colleges within the state?
2. The following two paragraphs are actual statements about

critical concerns made by the planning committee of a small independent college. How well does each paragraph meet the substantive and verbal characteristics and "tests" for identifying strategic issues?

- . "We have been a leader in professional health-care education but have consistently provided approximately equal budget support to other programs (especially in the performing arts) which reflect our traditions but not market realities or our academic strengths. We are missing a rational means to fund programs which serve our mission, address the changing needs and interests of student constituencies (older and younger, men and women) and help to secure our future. If we do not resolve these budget anomalies, we will be unable to promote a clear public image of our mission and role in the community, recruit students effectively, and sustain our present level of achievement."

- . "We are likely to be threatened by regional public and private competition on three fronts: 1) their intrusion into health-care education programs, 2) state budget lines for the construction of a sports and recreation facility by our next-door competitors (which threatens our own image and enrollments--particularly the ability to attract males and commuting students), and 3) capital campaigns planned by our independent college competitors."

Characteristics and Tests for Key Strategic Directions

"Key Strategic Directions are those few broad statements of purpose that drive and point the institution toward its vision of success and that frame strategic Implementing Objectives" (e.g., p. 51).

1. Key Strategic Directions are broad but not vague statements, focused on the condition of the institution or the future vision of the institution.
2. They are the "umbrella agenda" under which all other institutional strategic decisions are made.
3. Substantively, they are consistent with the context of planning assumptions or conclusions drawn from SWOT analysis, core institutional values, and mission and vision and competitive positioning statements.
4. They embody responses to one or more strategic issues, and they may connect to other Key Strategic Direction statements or their subordinate Implementing Objectives (pp. 51-53).
5. They provide continuity through their long-term commitment of time and less likelihood of being annually modified or abandoned.
6. As a group of statements, they have top institutional priority. Among the statements, there should be a rank order of priority.
7. They are statements of intention, not descriptions of conditions, issues or problems. Appended to each Key Strategic Direction, however, should be the "rationale" for the intention (p. 51).
8. Verbally, they are characterized by active not passive constructions, by imperative not subjunctive language, and by a structure of "Do A to achieve B."

Illustrations of Key Strategic Directions

Which of these illustrations best reflect the characteristics and tests of Key Strategic Directions?

1. To achieve financial stability within five years, the institution will develop a comprehensive financial plan integrating the following key elements: a) maximizing revenue sources including tuition and auxiliary income, annual and capital fund raising, alternative unrelated-business ventures,

and utilization of undeveloped assets; b) a means for prioritizing resource allocations among all programs and services, and a budgeting system to support priority allocations and provide revenue-cost monitoring; and c) other mechanisms for cost containment.

2. The institution will increase its presence and involvement in the external community.
3. The institution will upgrade a sufficient number of 2-year campuses to 4-year degree-granting status to ensure that affordable baccalaureate education will be accessible within 30 miles of 90% of all state residents.
4. The Vice President for Academic Affairs will investigate continuing education market possibilities.
5. The first priority of the 1995-2000 Strategic Plan will be the achievement of six academic program goals: mentored learning, disciplinary strength, interdisciplinary collaboration, international and multicultural understanding, interplay between teaching and research, and integration of sophisticated technology.
6. Develop an academic program plan for the college to become a leading institution in the education of allied-health and geriatrics professionals within our 100-mile primary market territory.

Characteristics and Tests for Implementing Objectives

"Implementing Objectives are statements that translate Key Strategic Directions and provide a framework for the institution's Annual Work Plan" (p. 52).

1. Implementing Objectives are substantively subordinate to Key Strategic Directions.
2. They provide secondary-level links or bridges between broad, long-term Key Strategic Directions and particular, short-term tasks and actions by which strategic plans are implemented into the routine functioning of the institution.
3. They are more specific as to targeted functional or structural areas of the institution in which they are operative.
4. The time frames of Implementing Objectives may vary (e.g., from a single budget/planning year to several years) but are shorter than Key Strategic Directions and entail more annual oversight and periodic modification.
5. The Implementing Objectives that are subordinate to a Key Strategic Direction may have connections to implementing objectives of other Key Strategic Directions.
6. As a reflection of their greater focus and specificity, the group of Implementing Objectives under each Key Strategic Direction is priority rank-ordered.
7. Implementing Objectives are measurable and are annually assessed for their intended outcomes.

Illustrations of Implementing Objectives

Sample Key Strategic Direction: "Develop a comprehensive plan for the institution to become a leader in the education of allied-health and geriatrics professionals within our 100-mile market territory."

Implementing Objective #1:

Use the results of our comparative academic program review as the basis for prioritizing, by July, 1998, resource allocations for existing nursing, allied-health, and social work programs for the next two academic/fiscal years, while providing these decisions to the Healthcare Task Force as long-term planning data.

Implementing Objective #2:

Organize an institution-community Healthcare Task Force by

September, 1998, to a) review regional nursing, allied-health, and geriatrics care-user and occupational trends and b) by June of 1999, recommend priorities for the continuation or redirection of existing and/or new institutional programs to meet user and health-care provider needs--with phase-in planned during the 1999-2000 academic/fiscal year.

Implementing Objective #3:

During 1998 use marketing consultants to conduct a study within our primary recruiting/service region to a) determine strengths and weaknesses of the institution's image and admissions capabilities as a health-care education provider and b) devise a promotional strategy for implementation in conjunction with final strategic decisions on health care programming.

Implementing Objective #4:

By Spring of 1999 design, and during 1999-2000 implement, a capital fund drive to raise at least \$1.5 million to cover partial costs of renovation and re-equipping the science/nursing building, while avoiding the erosion of annual giving for general operating purposes.

Characteristics of the Annual Work Plan

"The Annual Work Plan, the DNA of strategic planning, consists of detailed, measurable Action Plans designed to accomplish or fulfill the Implementing Objectives of Key Strategic Directions in a given year."

1. The Annual Work Plan constitutes the subordinate third tier of planning where the architecture of the future vision, translated into more focused and short-term purposes by Implementing Objectives, becomes a concrete reality through many specific, current Action Plans.
2. Each Implementing Objective is achieved through an institution-wide Work Plan, which consists of individual Action Plans implemented by a variety of offices or functional areas.
3. The individual Action Plans clearly define the human and material sources needed for their successful completion and are tied to annual budgeting and budgets.
4. Individual Action Plans consist of assigned tasks which become current daily activities. "Outcomes assessment" is an integral element of the tasks in each Action Plan.
5. Consequently, individual Action Plans described in the Annual Work Plan include specific assignments of responsibility, indicate the nature of lateral and vertical coordination of efforts and sequential or concurrent activities, and describe expected outcomes clearly enough to permit measurement of results.

Illustrations of Tasks for Individual Action Plans

Sample Implementing Objective: "By Spring 1999 design, and during 1999-2000 implement, a capital fund drive to raise at least \$1.5 million to cover partial costs of renovation and re-equipping the science/nursing building. Accomplish this without eroding annual giving for operating purposes (Overall responsibility: Vice President for Advancement)".

Action Plan Task #1: Determine building and program needs, equipment needs, costs, and project time table (Overall responsibility: VP for Finance). Supporting Activities include:

1. Faculty committee, architect, and other consultants selected by August 1 (Responsibility: Academic Vice President to chair the committee).
2. Conduct study of building requirements, science and health-

care equipment, and other needs for programs; develop report with three scenarios for needed renovation and equipment, costs, and optional timetables, by December 15 (Responsibility: VP/Finance and Academic VP to co-author report).

3. Et. cetera....

Action Plan Task #2: Develop tentative fund raising structure and strategy (Overall responsibility: VP for Advancement). Supporting Activities include:

1. Analyze alternative scenarios for capital giving potential vis-a-vis annual fund donor base and expectations, by August 1 (Responsibility: VP for Advancement, Annual Fund Director, senior advancement staff).
2. Based on analysis of alternatives and gift potential, devise fund raising strategy for President and Board Development Committee for review by October 1 (Responsibility: VP for Advancement).
3. Based on October 1 decisions and report from faculty committee on December 15, devise strategy, range of dollar goals, campaign and giving policies, organization, timetable, and other elements of the single-focus campaign by January 15 for Board Development Committee and Campaign Steering Committee reviews (Responsibility: VP for Advancement).
4. Et. cetera....

Action Plan Task #3: Develop and have in place a volunteer committee for the campaign by January 15 (Overall responsibility: VP for Advancement). Supporting Activities include:

1. Recruit campaign chair by October 1 (Responsibility: the President).
2. Train volunteer campaign committee in cultivation and solicitation methods and techniques by February 1 (Responsibility: VP for Advancement).
3. Et. cetera...

This section was originally prepared for an Orientation Workshop on Strategic Planning, in cooperation with Dr. Bruce L. Wilson, a Senior Consultant for Quehl Associates.

Sample Integrated Statement of a Key Strategic Direction

KEY STRATEGIC DIRECTION ONE: MARKETING AND COMMUNICATIONS

"The institution will develop and implement an integrated marketing and communications plan that effectively and efficiently expresses and promotes a keen sense of self-awareness, direction, and purpose."

Underlying strategic issue: Although the institution is expending considerable resources in marketing and communications, it lacks a clear marketing and communications plan and management structure. The institution's communications efforts--both internal and external and in all media--are produced by isolated and uncoordinated sources with insufficient quality control and synergistic leverage. The results of the efforts are inconsistent and do not present a focused message that adequately expresses the institution's identify and mission. As a result, the institution is not achieving expected returns on these investments in advancement, including funding and enrollment.

Indications that the issue is strategic now:

- . Sophisticated marketing theories and techniques are the necessary effective weapons in the competitive battle for students.
- . The institution is losing market share and competitive advantage through the lack of a coordinated marketing plan and effort.
- . The absence of an effective marketing and communications support plan undermines the common purpose of personnel in support of the institution's mission.
- . Organizations that do not market themselves effectively will fail.
- . Misunderstandings of the institution's message are becoming detrimental to the success of the institution.

Possible consequences of failing to address the issue include:

- . loss of relevance with respect to the needs of the institution's primary constituencies,
- . invisibility of the institution in the eyes of the markets it attempts to serve,

- . frustration from under-funded, fragmented attempts to create programs under the false hope of attracting students,
- . uncoordinated messages that confuse the purpose and image of the institution,
- . fostering of dissatisfied students based on the institution's failure to meet the expectations it has created,
- . disconnection with a potentially strong alumni base, and
- . enrollment decline.

Implementing Objectives:

1. The institution will draw on its statements of Mission, Vision, and Competitive Positioning to produce a clear, consistent core message which will address value package expectations and the preference of target markets.
2. The institution will implement a complete marketing approach:
 - A. It will develop and implement a strategic, integrated, and coherent marketing plan composed of the following elements:
 - . Product definition, development, and implementation strategies reflecting the core message outlined in Objective 1.
 - . Pricing strategies based on customer price sensitivity, customer perceptions, and internal requirements--remaining consistent with the competitive position adopted by the institution.
 - . Place and/or physical distribution strategies consistent with Implementing Objective 1.
 - . Promotional strategies consistent with Objective 1.
 - B. The institution will provide appropriate resources, including administration and funding, to develop, implement, and monitor the marketing plan.
 - C. The institution will seek outside consulting as needed on marketing research and external communications and publicity.
 - D. The institution will collect reliable market research data on an ongoing basis and use such data as a key element in decision making.

3. The institution will develop internal communications systems to ensure clarity and consistency among internal activities and constituencies:
 - A. Guidelines will be established for coordination and clarity of recurring forms of communication (e.g., standards for such things as the appropriate use of e-mail or time and distribution schedules of regular key departmental reports).
 - B. Processes will be established to facilitate non-routine, potentially difficult communication situations (e.g., procedures to follow for adequate communication when critical issues must be decided).

Executive Summary: Sample Competitive Positioning Statement

Summary of Marketing Research

- . The institution has a small applicant pool of students from close-in geographic regions, which it converts at an above-average rate but which is too small overall to meet enrollment objectives.
- . A large proportion of prospects have a low affinity for private higher education.
- . The institution is not positioned well as a national BA-I institution, but is thought of more as a regional school that offers both bachelor's (true) and master's (untrue) degrees.
- . The institution's costs are low for a private college. Enrolled freshmen show low price sensitivity.
- . Regional community audiences perceive the institution as a national liberal arts college that inculcates leadership, and they associate the liberal arts with leadership development and professional competence.
- . Although the institution enjoys a positive general reputation, all audiences appear to know few specific facts about the college's programs or attributes.

Competitive Strategy:

The institution will seek a preeminent position in the Midwest for academic programs, curricula, and learning opportunities distinguished by the connections they make, particularly between liberal learning and professional competence, for students' holistic development. The institution will focus on three markets:

- . *traditional-aged undergraduate students from the local region who currently form the primary market for undergraduate programs;*
- . *regional students interested in expanded professional offerings or, possibly, graduate programs;*
- . *traditional-aged undergraduate students from new national markets who are attracted by "flagship" liberal arts offerings and the institution's reputation for learning connections.*

Marketing Strategy:

- . *Preserve the institution's share in its natural undergraduate market of regional high school students, at a time when the size of this market is experiencing new growth after a period of shrinkage.*
- . *Aggressively but selectively expand professional programs for the regional community, with non-degree professional development offerings, expanded outreach to non-traditional adult students, and graduate programs in select areas (e.g., education, business, nursing). Use revenues from this effort to fund national geographic expansion of the undergraduate program.*
- . *Selectively develop national traditional student markets, leading with "flagship" programs.*
- . *Adopt a program of branding identity to build upon a positive local reputation, create stronger associations about the institution, and reinforce knowledge of specific programs and attributes.*
- . *Organize the "value exchange" for each primary market by creating and targeting messages and communications supported by information systems and revised publications.*

Positioning and Communications Strategy:

- . *Reposition the institution as preeminent in the Midwest for liberal arts programs that educate leaders in the professions and that forge learning "connections" for personal wholeness.*
- . *Employ rhetorical devices and design elements that capture attention by raising the cognitive tension between "alternatives" (e.g., liberal arts and the professions) and resolve this tension through surprise.*
- . *Expand the intensity and breadth of communications to reach more audiences more often.*
- . *Create a more forceful identity, balanced by efforts to reinforce basic facts and important associations about the institution that are not generally known.*
- . *Target distinct audiences with specialized communications strategies and materials.*

APPENDIX B:

SECURING APPROVAL AND "BUY-IN" FOR THE PLAN

Two of the greatest challenges in the strategic planning process are to achieve initial acceptance and then maintain a high level of support for the plan on a continuing basis.

Acceptance and support for the institution's strategic plan is determined by the degree of ownership or "buy-in" possessed by the members of the institution.

The following principles are drawn from strategic planning literature and from the "best of the best" practices at colleges and universities identified by Quehl Associates as being highly successful at strategic planning (based on our continuing work with clients).

Principles

- . Top management must be totally committed to strategic planning and provide continuous leadership:
 - . Communicate the vision and direction for the institution.
 - . Nurture an organizational culture based on a philosophy of inquiry, discussion, and consensus.
 - . Exhibit and promote a participatory leadership style throughout the institution that welcomes suggestions and criticism, fosters creativity and problem solving, and ensures the opportunity for involvement by everyone.
 - . Understand that individuals are more likely to implement and carry out the details of the plan when they are involved in the process from the very beginning.
 - . Establish strategic planning as a top priority and reinforce its vital role in positioning the institution to take advantage of future opportunities.
 - . Recruit volunteer leadership that is committed to the strategic planning process.
 - . Provide encouragement, training, moral support, and the required resources for the planning process.
 - . Ensure that representatives from all areas of the institution are involved in the identification of issues and

problems, analysis of internal strengths, weaknesses, and external opportunities and threats.

- . Recognize that problems can be solved and changes instituted best by individuals within the area where tasks are being performed.
- . Reward individuals whose attitudes, behaviors, and performances facilitate the planning process.
- . Have an effective communication process which:
 - . Confirms top administration's support for the strategic planning process.
 - . Shares information about the successes, failures, and challenges in the planning process through:
 - . campus and community forums, workshops, seminars, and town hall meetings;
 - . e-mail and voice-mail messages and websites;
 - . meetings of departmental chairs, academic and administrative;
 - . special newsletters;
 - . on-campus and off-campus speakers;
 - . surveys requesting input and feedback from all constituencies;
 - . "listening posts" (physical structures where information is posted);
 - . hard copies of reports on file in the library;
 - . special recognitions, rewards, and celebrations;
 - . radio and television talk shows; and
 - . special luncheons with 10-12 representatives, chosen at random throughout the institution.
 - . Provides explanations, examples, uses, and benefits of the strategic plan including:
 - . comprehensive vision which sparks commitment, energy, and desired outcomes;

- . framework for achieving the institution's vision, mission, goals, and objectives;
- . blueprint for future programs and services;
- . public relations tools;
- . case for institutional advancement; and
- . guidelines for institutional and individual performance.

Traditional and Participative Leadership Styles

<u>Traditional</u>	<u>Participative</u>
Individual	Team
Survival of the fittest	Everyone can contribute
Chain of command	Cross-functional participation
Manage by results	Facilitate the process
Find fault with individuals	Find fault with the system
Focus on results	Focus on customers
Quick return	Long-term prosperity

APPENDIX C:

MANAGING THE SYSTEMATIC INTRODUCTION OF CHANGE

Change is inevitable and constant; it is the process by which the future invades our institutions. John Welch, CEO of General Electric, states: "I'm convinced that if the rate of change in the organization is less than the rate of change outside, the end is in sight."

The Chinese have two symbols for change: danger and opportunity. Peter Drucker in his book, Innovation and Entrepreneurship, says, "change should be viewed as the norm and exploited as an opportunity." People instinctively fear change and resist it if they are not involved in the planning, decision making, and assessment processes.

Few topics elicit greater alarm in higher education circles than the concept of change. Fear of change is not entirely without basis. Efforts to introduce change are generally initiated in response to a crisis, normally involving reductions or reallocations of some type, and often entail dislocation of people and programs. Experienced leaders know that change will not be accepted or implemented effectively in the institution by sending out a memo stating, "the reorganization plan for greater productivity and higher quality will be implemented at 8:00 a.m. next Monday."

The task of managing the systematic introduction of change requires strong leadership, patience, and hard work. Involvement must be ensured by all members of the organization in the change process. Significant investments of time and people are also essential if desired organizational outcomes are to be achieved.

The following principles are drawn from the strategic planning literature and from the "best of the best" practices at colleges and universities identified by Quehl Associates as being highly successful at strategic planning (based on our continuing work with clients).

Principles:

- . Effective change leaders should exhibit the following characteristics:
 - . Possess a mind-set for managing change which emphasizes process over specific content.
 - . Recognize that organizational change is a department-by-department learning process rather than a series of human relation programs.

- . Realize that change payoffs come slowly rather than quickly.
- . Practice what they preach:
 - . Actions are consistent with words.
 - . Attitudes display cooperation and coordination.
 - . Structures and processes reflect change strategy.
 - . Relationships with peers and competitors are flexible and congenial.
- . Orchestrate the overall change process:
 - . Promote conditions for change.
 - . Set standards and require accountability without specifying a particular approach.
 - . Encourage individuals to alter the way tasks are organized.
 - . Ensure involvement by all members of the organization in all phases of the change process.
 - . Establish a criterion for promotion and pay increases in the change process.
 - . Develop career paths that encourage leadership development focused on preparing effective change leaders.
 - . Explore new ideas and identify attainable strategies.
- . The process of effecting change in higher education includes a careful review of challenges, choices, and strategies (See Tools, at the end of the section.).

Challenges:

- . Demands are increasing for all aspects of the higher education enterprise.
- . The strength of the overall economy affects the level of higher education funding.
- . Colleges and universities resist change more vigorously than most other social institutions.

- . The public is increasingly frustrated with higher education's response to current escalating demands and fiscal realities.

Choices:

- . Do the same with less cost by cutting class sections, reducing enrollment, etc.
- . Attempt to do more, or continue to do the same with less, by increasing productivity.
- . In the public sector, lobby to increase higher education's share of public funds.
- . In the private sector, seek increased revenue from such sources as tuition and fees, higher enrollments, non-governmental entities, and intensified fund-raising.
- . Public and private institutions have different options in making these choices. However, all institutions are confronted with the same basic dilemma of answering the following questions: What constitutes more? What constitutes better? Change for whom? Why change?

Three strategies for improving productivity while reducing or containing costs are (See Tools.):

- . Strategy One: Change the current academic structure:
 - . Be more efficient in teaching, research, and service.
 - . Use resources more efficiently to achieve desired results.
 - . Match faculty interests and capabilities with student needs and learning.
- . Strategy Two: Transform the core process:
 - . Apply the principles of Continuous Quality Improvement (CQI) and similar methodologies.
 - . Improve administrative and support functions.
 - . Change the central functions of undergraduate teaching and learning.
- . Strategy Three: Increase learning productivity:
 - . Shift the focus from teaching to learning, using the

advances in information technology.

- . Place more responsibility on students and emphasize that students learn in ways other than through traditional, campus-based instruction.
- . Higher education leaders generally share the following two assumptions in attempting to manage the systematic introduction of change:
 - . Change comes about by promulgating organization-wide programs (e.g., mission statements, "organizational culture" programs, training courses, quality circles, and new pay-for-performance systems).
 - . Behavior is changed by altering the organization's formal structure and systems.
- . One of the greatest obstacles to the revitalization of an institution is the notion that change best comes about through organizational change programs--particularly when administrative departments such as Human Resources sponsor these programs. Formal organizational structure and systems often tend to hinder rather than facilitate the renewal process. A discussion of two approaches to organizational transformation follows (See Tools):
 - . The Task Driven Approach ("Top Down"):
 - . is led by management,
 - . requires new organizational structures,
 - . depends on a performance appraisal system,
 - . employs a pay-for-performance compensation plan,
 - . institutes training programs to develop "change agents", and
 - . uses quarterly attitude surveys to chart progress of the change effort,
 - . The Task Alignment Approach ("Bottom Up"):
 - . starts at the periphery and moves toward the organization's core,
 - . focuses on tasks to be accomplished,
 - . involves aligning roles, responsibilities, and relation-

- ships to address the most important challenges,
- . requires sharing information and delegating responsibility and accountability down and throughout the institution ("close to where the action is"), and
 - . deals with three questions:
 - . Who should lead the change effort?
 - . What needs changing?
 - . How should we go about implementing change?
 - . More successful transformations take place in organizations with the "task alignment approach." The change process starts where tasks are performed and the process is led by individuals who normally perform the tasks. The following steps are helpful in effecting change (See Tools):
 - . Mobilize commitment to change through joint diagnosis of problems.
 - . Develop a shared vision of how to organize and manage for competitiveness.
 - . Foster consensus for the new vision, competence to enact it, and cohesion to move it along.
 - . Spread revitalization to all departments without pushing it from the top.
 - . Monitor and adjust strategies in response to problems in the revitalization process.

Tools

See article entitled, "Why Change Programs Don't Produce Change", by Michael Beer, Russell A. Eisenstat, and Bert Spector, in Harvard Business Review, November-December, 1990, pp. 58-166.

See article entitled, "Improving Productivity & Quality in Higher Education," by Aims C. McGuinness, Jr. and Peter T. Ewell, in Priorities, Number 2, Fall 1994, pp. 1-12.

This section was originally prepared for a workshop on Implementing the Strategic Plan, in cooperation with Dr. Jairy Hunter, a Senior Consultant for Quehl Associates.

APPENDIX D:

SAMPLE WORKSHOPS ON STRATEGIC PLANNING

Orientation Workshop

The Orientation Workshop is designed to introduce key strategic planning concepts, principles, methods, and processes to leaders of the institution's main constituencies. As there is much ground to cover, the workshop usually takes a day to complete. The workshop is led by an experienced strategic planning facilitator.

- 8:00: Registration, Coffee and Danish
- 8:30: Comments and Introductions by the President
- 8:45: Overview: The Rationale for Strategic Planning and its Basic Nature
- . Why Strategic Planning?
 - . What Strategic Planning Isn't
 - . Basic Definitions and Documents
 - . The Benefits of Strategic Planning
- 10:15: Break
- 10:30: Strategic Planning and Institutional Culture
- 11:00: Six Collegiate Planning Models and their Implications for the Campus
- . The Command Model
 - . The Symbolic Model
 - . The Rational Model
 - . The Transactive Model
 - . The Generative Model
 - . The Integrative Strategic Planning Model
- 11:30: The Integrated and Continuous Strategic Planning Cycle
- 12:15: Lunch
- 1:00: The Building Blocks for Success
- 1:45: Organizing the Strategic Planning Process
- . The Steering Committee
 - . The Environmental Scanning & Futures Research

Committee

- . The Design Teams
- . The Planning and Budget Committee

2:00: Break

2:30: Environmental Scanning

- . SWOT analysis
- . Scanning the External Environment: Concepts, Methods, and Tools
- . Scanning the Internal Environment: Concepts, Methods, and Tools

3:30: Case Study on Environmental Scanning

4:30: Next Steps: The President

Getting Ready Workshop: Assessing the External
and Internal Environments

The following two exercise are designed to give participants in the Getting Started Workshop a feel for 1) how they believe the external world perceives their institution and 2) how they themselves perceive the internal workings of their institution. These two warm-up exercises have proven to be good ice-breakers and help to create an initial "strategic state of mind" for what lies ahead. The workshop is led by an experienced strategic planning facilitator.

- 8:00: Registration, Coffee and Danish
- 8:30: Review of the Day
- 8:45: Self-assessment of how we believe persons outside our institution perceive us
- . Administration of Exercise One Survey (See Survey Form on following pages)
 - . Tabulation of responses to Exercise One Survey
 - . Identification of the responses that are believed to be most troublesome and challenging
 - . Brainstorm break-out groups: 1) What do you believe to be the reasons that contribute to this low perception? 2) What steps should be taken to improve this perception?
 - . Plenary session: brainstorm break-out group chairs report results
 - . Discussion of results
- 11:15: Self-assessment of how we believe our community sees itself
- . Administration of Exercise Two Survey (See Survey Form on following pages)
 - . Tabulation of responses to Exercise Two Survey
- 12:00: Lunch
- 1:00: . Identification of responses that are believed to be most troublesome and challenging

- . Brainstorm break-out groups: 1) What do you believe to be the reasons that contribute to this low perception? 2) What steps should be taken to improve this perception?
- . Plenary session: brainstorm break-out group chairs report out results
- . Discussion of results
- . Adjournment*

2:30:

*The results of the workshop are written-up and copies are given to all participants. Copies are also given to the Steering Committee for use during its deliberations.

Exercise One Survey FormASSESSMENT OF THE EXTERNAL ENVIRONMENT:HOW DO YOU BELIEVE
PERSONS OUTSIDE OUR
INSTITUTION PERCEIVE
IT?

<u>Subject</u>	<u>Public Perception of Area</u>		
	HIGH	AVERAGE	LOW
Understanding of the institution's heritage and educational mission:			
Employer satisfaction with the institution's graduates:			
Strength of institutional leadership and management:			
Strength of the institution's governing board:			
Strength of the institution's academic program:			
Strength of the institution's faculty:			
Strength of the institution's student body:			
The institution's financial strength:			
Attractiveness of the institution to Federal funding agencies:			
Attractiveness of the institution to corporate foundations and private foundations:			

HIGH AVERAGE LOW

Attractiveness of the institution to
individual donors of influence and means:

Ability of the institution to compete for
students:

Exercise Two Survey Form

ASSESSMENT OF THE INTERNAL ENVIRONMENT: HOW DO YOU BELIEVE OUR
INSTITUTION'S COMMUN-
ITY SEES ITSELF?

<u>Subject</u>	<u>Internal Perception of Area</u>		
	HIGH	AVERAGE	LOW
Institution-wide understanding of, and agreement on, the educational mission:			
The community's confidence in the future:			
Communications with the external en- vironment about the institution:			
Internal communications within the institution:			
Cooperation among the institution's departments, academic and non- academic:			
Level of trust among members of the institution:			
Sense of shared community among mem- bers of the institution:			
The effectiveness of institutional planning:			
Performance of the institution's govern- ing board:			

Performance of the president's senior administrative team:

Performance of the institutional advancement program (fund raising, public relations, alumni affairs):

Performance of the institution's financial/business affairs:

Performance of the institution's student affairs program:

Performance of the institution's marketing/student recruitment program:

Effectiveness of the institution's student retention program:

Quality of the institution's academic program:

Quality of the institution's academic administration (deans, department chairs, etc.):

Quality of the institution's student life:

Quality of the institution's faculty:

Quality of the institution's library:

Quality of the institution's classroom facilities:

Quality of the institution's support staff:

HIGH AVERAGE LOW

Quality of the institution's relations
with alumni:

Adequacy of the institution's compen-
sation (salaries/benefits):

Adequacy of professional development
opportunities for the institution's
faculty, administration, and staff:

Adequacy of the institution's endow-
ment:

Adequacy of the institution's techno-
logical infrastructure for both edu-
cational and administrative purposes:

Adequacy of the institution's physical
plant and campus grounds:

APPENDIX E:SAMPLE DESIGN TEAM STRATEGIC TOPICS/PROBLEM AREASAcademic Programs

- establish criteria for assessing academic programs (see Appendix F, pp. 76-79)
- general education
- academic year calendar
- centers of excellence
- student learning outcomes
- program restructuring
- program reduction and expansion
- institutional data base
- co-op programs
- joint faculty and student research

Faculty and Staff Development

- pedagogical assistance
- faculty and staff demographics
- work environment
- training and retraining
- workload
- research support

Library and Information Systems

- mission
- automation and technology
- access
- campus development
- academic and administrative computing
- collection
- special collections

Student Life and Co-Curricular Programs

- residence life (dormitories, fraternities, sororities)
- diversity
- health and physical fitness
- counseling services
- campus events
- campus intellectual life and learning environment
- off-campus events
- safety
- student orientation
- student media
- career planning and placement

Institutional Marketing and Enrollment Management

- marketing research and communications planning
- enrollment management plan
- retention
- admissions funnel
- tuition
- financial aid
- promotional strategies
- publications
- campus conferences and institutes
- translation of "vision statement"
- diversity
- community service programs

Athletics

- mission
- relation to academic program
- program review
- budget
- relationship to intramurals

Cultural Diversity

- campus climate
- faculty, staff, and student
- development of infrastructure
- cross-cultural training

Community Relations and Involvement

- community needs
- volunteers for community service
- speaker's bureau
- school districts
- life-long learning
- community service
- linkage with business and cultural community

Institutional Governance

- constitutional framework of governance
- review of handbooks
- due process
- contractual agreements
- student governance
- grievance process
- relations with governing board and alumni council

Institutional Advancement

- the annual fund
- planned giving
- corporations and foundations
- government grants
- board giving
- alumni giving and service programs
- capital campaigns
- automation, prospect research, and information services
- volunteer orientation and training
- public relations and communications

Financial Resources, Budget, and Physical Plant

- budget priorities
- allocation and reallocation of funds
- forecasting
- budget modeling
- gifts and grants
- endowment
- auxiliary enterprises
- financial aid
- salaries and benefits
- deferred building maintenance
- renovation and new physical plant needs

APPENDIX F:

TWO APPROACHES TO RATING ACADEMIC PROGRAMS

The Short Form*

Evaluative Criteria	Rating Categories
QUALITY	
Quality of Faculty	Exceptional, Adequate, Weak
Quality of Students	High, Moderate, Low
Quality of Library Holdings	Excellent, Adequate, Insuf- ficient
Quality of Facilities and Equipment	Excellent, Adequate, Insuf- ficient
NEED	
Centrality of Mission	Yes, No
Present Student Demand	High, Moderate, Low
Projected Student Demand	Growing, Stable, Declining
Demand for Graduates	High, Medium, Low
Locational Advantage	Yes, No
Comparative Advantage	Yes, No
COST	
Cost-Revenue Relationship	Good, Adequate, Poor
Other Costs and Benefits	(Listing)

*Developed for the State University of New York at Albany and reported in George Keller's Academic Strategy: The Management Revolution in American Higher Education, 1986, p. 155.

Comprehensive Program Analysis: An Academically Responsible
Approach to Program Prioritization*

Description

The Comprehensive Program Analysis (CPA) assists higher education leadership in analyzing academic programs, making program decisions, and preparing for external accreditation or assessment review. The CPA analyzes data about academic programs utilizing eight standard criteria. With CPA, administrative and faculty leadership is armed with important comparative information about programs and a systematic approach to measuring relative program strengths. Priorities can then be carefully selected and assigned within available resources. This enables the institution's leadership to make the tough but necessary decisions about possible program reduction, elimination, consolidation, or enhancement. CPA facilitates overall institutional planning so that programmatic and resource allocation decisions can be made which are consonant with the mission and goals of the institution.

Components

1. Recognizing the need
2. Identifying appropriate leadership
 - . Administrative
 - . Board strength
3. Reaffirming institutional mission
 - . Strength of current
 - . Need for strategic planning
4. Defining/identifying what constitutes a program
5. The criteria:
 - . Demand
 - . Quality
 - . Size
 - . Productivity
 - . Cost
 - . Availability of qualified personnel to deliver the program
 - . Maturity
 - . Program impact, benefits and justification

*Developed by Noel-Levitz Centers, Inc., in cooperation with Quehl Associates.

6. Measurement and prioritization
7. The analysis: All programs, either simultaneously or periodically; bringing experience to bear; ranking strategies
8. Process: relationship of analysis to governance
9. Public relations dimensions
 - . Internal
 - . External
10. Legal dimensions
 - . Financial exigency
 - . Program exigency
 - . Retrenchment policies
11. Relationship to accreditation and certification
12. Humane dimensions of retrenchment
 - . Students in pipeline
 - . Faculty/staff retraining, transfer, out-placement, family
 - . Counseling
13. Maintaining the data base for future decisions
 - . Resource allocation
 - . Comparative analysis
14. The decisions: program enrichment, reduction, consolidation, elimination

Data Formats

1. Demand for the Program
 - . National data on student demand
 - . Regional and local data on student demand
 - . Competition with other institutions which offer the same program
 - . Trend-line in student demand
 - . Other demands, internal and external
2. Quality of the Program
 - . Input data relevant to program quality: faculty, students, curriculum, equipment, materials, holdings, other resources
 - . Outcomes data relevant to program quality: student satis-

faction, alumni satisfaction, alumni record, accreditation, certification, other external validation of quality, employer satisfaction

3. Size of the Program

- . Number of students served or to be served
- . Number of others served or to be served
- . Number of faculty/staff assigned
- . Scope of program--breadth and depth

4. Productivity of the Program

- . Outcomes/results of the program: students instructed, credit hours generated, degrees awarded, certificates awarded
- . Other outcomes: services rendered, research/publications, creative works produced

5. Cost of the Program

- . All relevant costs, direct and indirect, associated with the program

6. Availability of Qualified Personnel to Deliver the Program

- . Current faculty/staff professionals: numbers, breadth, depth
- . Potential personnel resources
- . Market conditions
- . Trend lines

7. Maturity of the Program

- . History and development of program
- . Reputational aspects of program

8. Program Impact Benefits and Justification

- . What impact has this program had or promises to have?
- . What are the benefits of offering this program?
- . What is the relationship of the program to institutional mission and future vision?
- . What degree of essentiality does the program have for the institution?
- . What is the relationship of the program to other programs?
- . What other justifications are there for the program?

APPENDIX G:

SAMPLE METHODS, TECHNIQUES, AND TOOLS

The single best source for strategic planning tools and special techniques is a book by P. C. Nutt and R. W. Backoff: Strategic Management of Public and Third Sector Organizations, Jossey-Bass, San Francisco, 1992.

A sample of tools and techniques from that source and others follows. Most of these tools are used in the internal assessment of strengths and weaknesses; however, several resources are shown for the analysis of external opportunities and threats.

The Snow Card Technique

The "snow card" technique (Greenblat and Duke, 1981) is a very simple yet effective group process for developing lists and reaching consensus. The method combines brainstorming--which produces a long list of possible answers to a specific question--with a synthesizing step, in which the answers are grouped into categories according to common themes.

While other techniques are available (Nutt, 1984; Nutt and Backoff, 1987), the "snow card" method can be used to great effect with virtually all of the major tasks that have been assigned to the Strategic Steering Committee and Design Teams. (Some applications are also appropriate for the Environmental Scanning and Futures Research Committee.) Guidelines for using the "snow card" technique are:

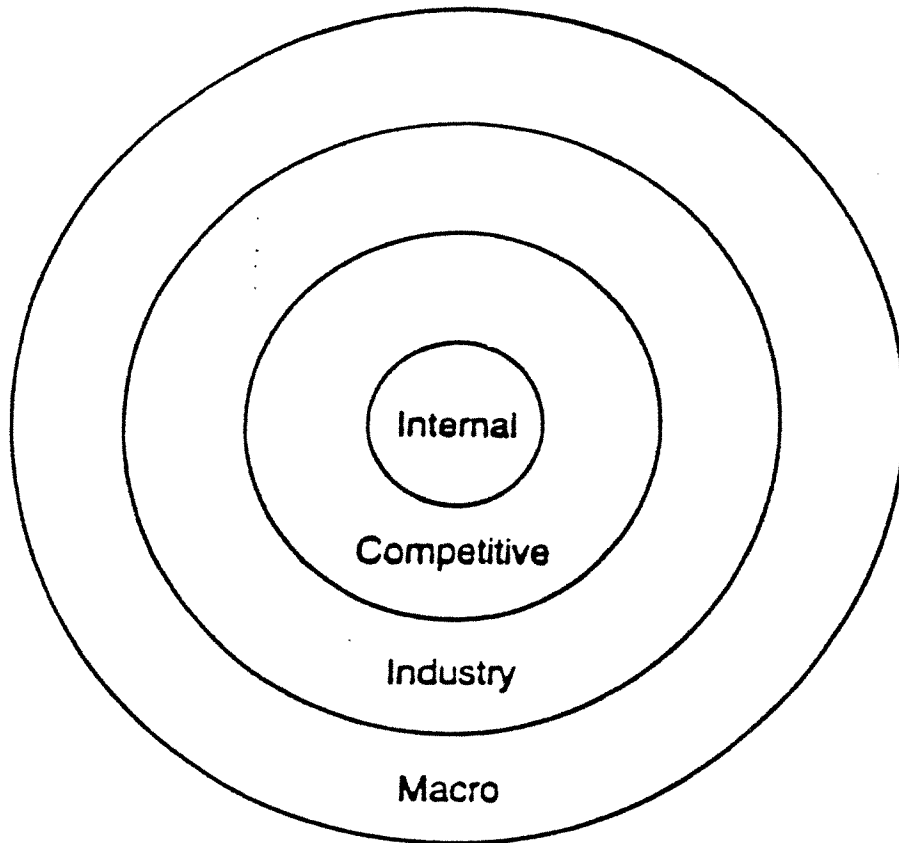
1. Select a facilitator. (This may or may not be the chair of the Design Team, and team members may wish to take turns.)
2. The technique is best used in groups of five to nine person but can be effective with as many as twelve.
3. Have members seat themselves around a table in a room that has a nearby wall where the snow cards (five-by-seven-inch white index cards) may be taped and read clearly from where the members sit.
4. Focus only on a single question, problem, or issue at a time.
5. Have the individuals silently brainstorm as many ideas as possible in response to the question, and record them on a personal worksheet or piece of paper.
6. Have individuals silently pick out the five "best" items from their personal worksheets and transcribe them onto five separate index cards. (Write large and legibly enough so

the items can be read when posted on the nearby wall.)

7. Have everyone put masking tape on the back of each index card. Then, stick all of the cards on the wall at once.
8. Have the team rearrange the cards into thematic clusters. Once the team agrees to a category's name, it should be written on a separate snow card and placed at the top of the items in the category. These label cards should be differentiated in some way, perhaps a different color card or by drawing a box around the category name.
9. Once all items are on the board and included in a category, the items should be rearranged and the categories tinkered with until the team thinks the results make the most sense. Categories can be arranged in logical, priority, or temporal order. New items may be added and old ones deleted as necessary. Subcategories should be added as needed.
10. When the team members are satisfied with the categories and their contents, they should discuss, compare, and contrast the results.
11. When the session is over, the cards should be collected in order, typed in outline or spreadsheet form, and distributed to the team for review and future use.
12. The team should then proceed to use the "snow card technique with other issues, questions, and topics that have been assigned.*

*Adapted from John M. Bryson, Strategic Planning for Public and Non-Profit Organizations, 1989.

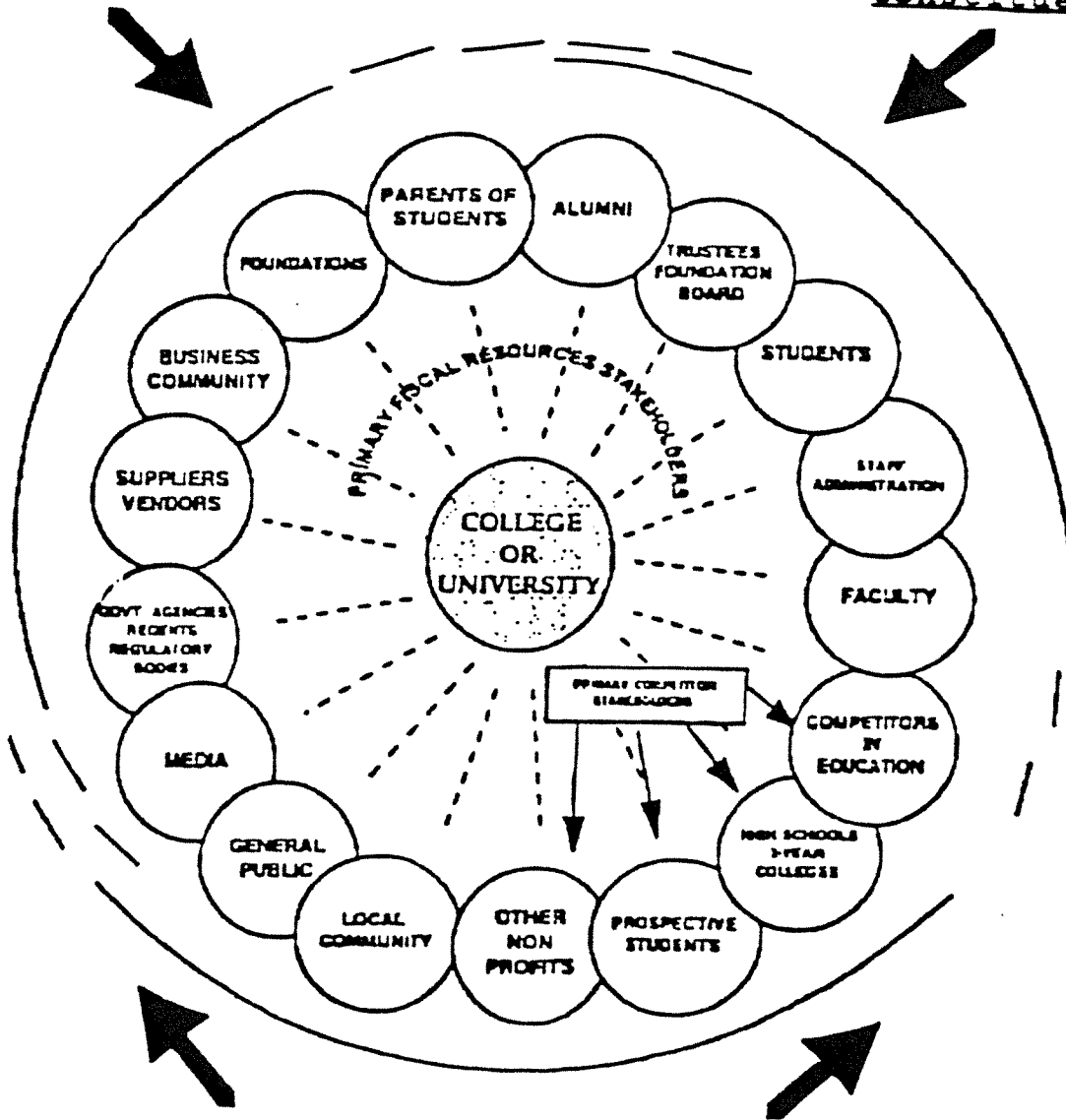
Environmental Monitoring



MAIN CONSTITUENCY MAP

Primary Input
Constituents

Primary Internal
Constituents



Primary Consumer and Intermediary Constituents

P E S T s

Political

Economic

Social

Technological

Forces

Trends

Factors

The "Big Picture" Approach to External Events and Trends Identification

List below the specific external forces, trends, and factors that you feel will impact upon the functioning of the institution over the next three to five years. Think broadly in terms of the political, economic, social, technological, managerial, and demographic issues that ought to be considered because of their strategic importance and potential impact on the institution.

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.
- 8.
- 9.
- 10.
- 11.
- 12.
- 13.
- 14.

Identifying External Opportunities and Threats

List below the opportunities and threats that can be derived from external forces, trends, and factors in each of four categories: political, economic, social, and technological. Think of educational matters as being embedded in all four categories.

	<u>Opportunities</u>	<u>Threats</u>
POLITICAL:	1. _____	1. _____
	2. _____	2. _____
	3. _____	3. _____
	4. _____	4. _____
	5. _____	5. _____
	6. _____	6. _____
ECONOMIC:	1. _____	1. _____
	2. _____	2. _____
	3. _____	3. _____
	4. _____	4. _____
	5. _____	5. _____
	6. _____	6. _____
SOCIAL:	1. _____	1. _____
	2. _____	2. _____
	3. _____	3. _____
	4. _____	4. _____
	5. _____	5. _____
	6. _____	6. _____
TECHNO- LOGICAL:	1. _____	1. _____
	2. _____	2. _____
	3. _____	3. _____
	4. _____	4. _____
	5. _____	5. _____
	6. _____	6. _____

Scanning Internal Strengths and Weaknesses

Listed below are eleven typical areas of college and university programming. Modify these in any way, adding or deleting categories that are appropriate to the institution. Then, think broadly about each category and identify the top strengths and weaknesses for each.

	<u>Strengths</u>	<u>Weaknesses</u>
ACADEMIC PROGRAMS:	1. _____	1. _____
	2. _____	2. _____
	3. _____	3. _____
	4. _____	4. _____
	5. _____	5. _____
	6. _____	6. _____
FACULTY & STAFF DEVELOPMENT:	1. _____	1. _____
	2. _____	2. _____
	3. _____	3. _____
	4. _____	4. _____
	5. _____	5. _____
	6. _____	6. _____
LIBRARY & INFORMATION SYSTEMS:	1. _____	1. _____
	2. _____	2. _____
	3. _____	3. _____
	4. _____	4. _____
	5. _____	5. _____
	6. _____	6. _____
STUDENT LIFE & CO-CURRICULAR PROGRAMS:	1. _____	1. _____
	2. _____	2. _____
	3. _____	3. _____
	4. _____	4. _____
	5. _____	5. _____
	6. _____	6. _____
MARKETING & ENROLLMENT MANAGEMENT:	1. _____	1. _____
	2. _____	2. _____
	3. _____	3. _____
	4. _____	4. _____
	5. _____	5. _____
	6. _____	6. _____

Strengths

Weaknesses

ATHLETICS:

- | | | | |
|----|-------|----|-------|
| 1. | _____ | 1. | _____ |
| 2. | _____ | 2. | _____ |
| 3. | _____ | 3. | _____ |
| 4. | _____ | 4. | _____ |
| 5. | _____ | 5. | _____ |
| 6. | _____ | 6. | _____ |

**CULTURAL
DIVERSITY:**

- | | | | |
|----|-------|----|-------|
| 1. | _____ | 1. | _____ |
| 2. | _____ | 2. | _____ |
| 3. | _____ | 3. | _____ |
| 4. | _____ | 4. | _____ |
| 5. | _____ | 5. | _____ |
| 6. | _____ | 6. | _____ |

**COMMUNITY
RELATIONS &
INVOLVEMENT:**

- | | | | |
|----|-------|----|-------|
| 1. | _____ | 1. | _____ |
| 2. | _____ | 2. | _____ |
| 3. | _____ | 3. | _____ |
| 4. | _____ | 4. | _____ |
| 5. | _____ | 5. | _____ |
| 6. | _____ | 6. | _____ |

GOVERNANCE :

- | | | | |
|----|-------|----|-------|
| 1. | _____ | 1. | _____ |
| 2. | _____ | 2. | _____ |
| 3. | _____ | 3. | _____ |
| 4. | _____ | 4. | _____ |
| 5. | _____ | 5. | _____ |
| 6. | _____ | 6. | _____ |

**INSTITUTIONAL
ADVANCEMENT:**

- | | | | |
|----|-------|----|-------|
| 1. | _____ | 1. | _____ |
| 2. | _____ | 2. | _____ |
| 3. | _____ | 3. | _____ |
| 4. | _____ | 4. | _____ |
| 5. | _____ | 5. | _____ |
| 6. | _____ | 6. | _____ |

**FINANCIAL
RESOURCES,
BUDGET, &
PHYSICAL
PLANT:**

- | | | | |
|----|-------|----|-------|
| 1. | _____ | 1. | _____ |
| 2. | _____ | 2. | _____ |
| 3. | _____ | 3. | _____ |
| 4. | _____ | 4. | _____ |
| 5. | _____ | 5. | _____ |
| 6. | _____ | 6. | _____ |

The "Big Picture" Approach to SWOT Analysis

Strengths are defined as one or more skills, distinctive competencies, capabilities, competitive advantages, or resources that the organization can draw on in selecting a strategy. List the strengths that the institution can use in any future strategy.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

Weaknesses are defined as the lack of one or more skills, distinctive competencies, capabilities, competitive advantages, or resources. List the weaknesses that any future strategy for the institution must take into account.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____

Opportunities are situations in which benefits are fairly clear and likely to be realized if certain actions are taken. List the opportunities that are open to the institution.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

Threats are situations that give rise to potentially harmful events and outcomes if action is not taken in the immediate future; they must be actively confronted to prevent or minimize serious trouble. List the threats that currently confront the institution.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

Strategy Worksheet

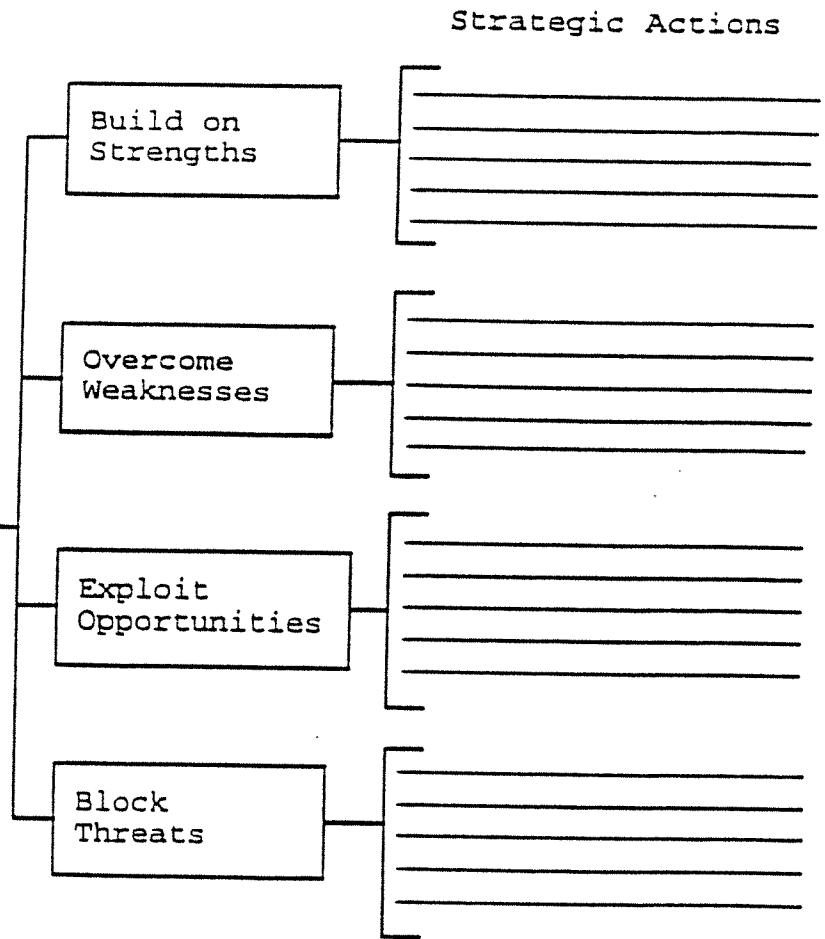
Strengths

Weaknesses

<p>Issue</p>

Opportunities

Threats



Monitoring the Strategic Planning and Management Process

Here are a number of methods that are often used in environmental scanning and futures research to monitor strategic issues, Key Strategic Directions, and Implementing Objectives:

Employer Satisfaction Surveys and Focus Groups

Student Satisfaction Surveys and Focus Groups

Alumni Satisfaction Surveys and Focus Groups

Instructional Program Audits

Marketing and Communications Audits

Organizational Climate Surveys and Focus Groups

Graduate Placement Surveys and Focus Groups

Regional Studies

Management Audits

Analytical Techniques Used in Scanning

Authorities on external and internal scanning note an array of possible analytical techniques: brainstorming, Delphi, impact/probability assessments, impact networks, nominal group technique, and scenarios (Morrison and Renfro, 1984; Wilson 1983).

Brainstorming or group discussion. Most scanning practitioners rely heavily on group discussion to consider the significance of issues and trends. Variations are also used (e.g., Delphi and nominal group techniques).

Delphi technique. This can be done in a written or computerized format using a device called a "consensor." Delphi allows a group to discuss an issue, then refine its discussion through a second or even a third round of information gathering. The advantage of the Delphi over group discussion is that it prevents over-weighting of the opinions of verbal individuals or of individuals to whom a group might defer because of their senior status within the institution. While this iterative process can be time-consuming, results can be tabulated instantly and time delays can be overcome with a computerized polling capability such as the United Way's "consensor."

Impact/probability assessments. These typically occur on a matrix allowing issues to be compared, on one axis in terms of impact and on the other axis in terms of the probability that the event or trend will occur. (See Morrison, Renfro, and Boucher, 1983, pp. 31-33.) The technique allows scanners to identify issues or trends that are high in both impact and probability of occurrence.

Impact/networks. These start from the premises of a single event or trend occurring. (See Morrison, Renfro, and Boucher, 1983.) Starting from the primary event, users of the technique develop a list of three or four of the most important secondary impacts that are likely to take place if the primary event occurs. The impact network can be carried to a third level by asking participants to identify trends that are most likely to flow from those identified in the second level of the matrix (See Morrison, Renfro, and Boucher, 1983, pp. 37-39).

Nominal group technique. This technique calls for members of a group to identify key ideas in written form. Next, each member of the group has the opportunity to speak to his or her ideas before a vote is taken. Finally, the group works toward a ranked list of ideas. (Delbecq and Van de Ven, 1971, are an authoritative source of this technique.)

Scenarios. These techniques develop a range of internally consistent probable future outcomes, ranging from a worst case to a

middle option to preferred outcomes. (See Morrison, Renfro, and Boucher, 1983, pp 72-76, for a public sector example, and Wack, 1985, pp. 73-89, for a private sector example.) The scenarios can be refined through group discussion. See also Nutt and Backoff, 1992 (Appendix H).

Selected Futures Determine Forces Addressed in
Environmental Scanning

SOCIETAL TRENDS	VALUE SHIFTS
1. Population	1. Change
2. Government	2. Freedom
3. Global Affairs	3. Equality
4. Environment	4. Leisure
5. Energy	5. Foresight
6. Economy	6. Pluralism
7. Science and Technology	7. Localism
8. Human Settlements	8. Responsibility
9. Work	9. Knowledge
10. Lifestyles	10. Quality
11. Women	11. Goals
12. Participation	12. Interdependence

Sources

Proactive Planning: A Broad-Based Institutional Approach (1993), developed by Northeast Iowa Community College, Calmar, Iowa

Conceptualizing 2000: Proactive Planning (1991) by Dan Angel & M. DeVault (eds.) Community College Press.

Changing Assumptions, Trends, and Critical Issues That Impact Strategic Planning

1. Demographics of current or emerging target markets
2. Student profile
3. Educational goals
4. Degree & certificate programs for traditional & nontraditional students
5. Evening & weekend scheduling
6. State and federal funding
7. Fund raising programs/campaigns
8. Competition
9. Housing, space & facility needs
10. Legislative requirements
11. Accountability re: measuring effectiveness & outcomes
12. Continuing education & technological improvements
13. Full-time vs. part-time staff/faculty
14. Enrollment management
15. Support services re: child care, handicap access
16. Social issues impact
17. Linkages with non-academic institutions
19. Delivery of education services (e.g., video telecommunications)
20. Leadership roles of trustees & external forces

Some Major National Trends in American Higher Education

The following national trends will have significant impact on the whole of higher education:

1. Minorities will account for 76 percent of the entire population increase from 1982-2000.
2. The proportion of minorities in the United States entering higher education is increasing rapidly.
3. Over the last 10 years, 80 percent of the total enrollment increase in higher education was composed of minorities and non-residents aliens.
4. Women now represent over half of the total higher education enrollment, and more women than men attend part-time.
5. The number of students attending college part-time has increased almost 400 percent in the last 30 years.
6. While public two-year and four-year institutions have grown dramatically over the last decade to accommodate increasing enrollments, independent institutions have expanded only modestly to meet this increased demand.
7. The major increase in public institutional enrollment has been in two-year institutions.
8. Faculty are becoming older: almost half of all college and university faculty are now age 50 or over, compared to only 25 percent in that age group in 1975.
9. Approximately 40 percent of the men and 25 percent of the women now teaching full-time will reach retirement age in the 1990's.
10. With these shifts in population, there will be significant changes in the nature of the student bodies in higher education institutions, with concomitant demands upon institutions to reflect this ethnic change among faculty and staff.
11. Public education will continue to compete for more revenues to meet the demands, but it is doubtful that public spending for education will increase dramatically--certainly not as dramatically as the demand for access to higher education.
12. As spending for public education becomes more limited, opportunities will be created for independent institutions

to expand to meet the demands of a growing and more diversified population.

13. Independent institutions are transforming themselves to accommodate a more competitive environment and changing population. They are becoming more specialized, resorting to more innovative marketing, and are guided more fundamentally now by market principles in setting tuition and fees and in financial planning.

APPENDIX H:BIBLIOGRAPHIC RESOURCES ON STRATEGIC PLANNING AND
ENVIRONMENTAL SCANNING AND FUTURES RESEARCH

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Education Board publishes Fact Book on Higher Education in the South).

Many major banks also provide economic data that are useful at regional or state levels. Some local banks provide economic data on local areas.

The National Association of State Universities and Land-Grant Colleges publishes Appropriations of State Tax Trends for Operating Expenses of Higher Education.

The National Education Association provides various statistical data on higher education including its Rankings of the States and Higher Education Financing in the Fifty States.

The Chronicle of Higher Education produces its Fact File: Appropriations for Higher Education and its annual The Almanac of Higher Education.

Major newspapers have sophisticated research departments and may be willing to assist your institution in gathering useful data.

Numerous national and state educational association also provide important data:

- American Association of Community and Junior Colleges
- American Association of Higher Education (AAHE Bulletin)
- American Association of State Colleges and Universities
- American Association of University Professors (Annual Report on the Economic Status of the Profession).
- American Council on Education
- American Educational Research Association
- Association of Governing Boards
- Association for Institutional Research
- Association for the Study of Higher Education (ASHE-ERIC reports)
- Council of Independent Colleges
- Council for the Advancement & Support of Education
- Educational Resources Information Center Clearinghouse on Higher Education
- National Association of State Universities and Land-Grant Colleges
- State Higher Education Executive Officers Association (in Denver, Colorado).

Primary resources for environmental scanning, including internal and external assessment, include:

Banta (1993)	Banta (1994)
Barry (1986)	Bensimon & Neuman(1993)
Bergquist (1993)	Boulton et. al. (1982)
Bryson & Einsweiler (1988)	Callan (1986)
Cope (1981)	Cross (1989)
Culnan (1983)	Delbecq et. al. (1975)
Ewell (1991)	Glover & Holmes (1983)
Greenblat & Duke (1981)	Hambrick (1982)
Hearn & Heydinger (1985)	Hodgkinson (1985)
Jackson & Dutton (1988)	Meyer (1982)
Milliken (1990)	Morrison (1985)
Morrison, et. al. (1983)	Morrison et. al. (1984)
Nanus (1982)	Nutt & Backoff (1992)
Pflaum & Delmont (1987)	Renfro (1984)
Schon (1984)	Varney (1992)

Excellent electronic sources of environmental scanning include:

"On the Horizon: The Environmental Scanning Publication for Educational Leaders." Contact:

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The Institutional Research page of the Web gives pointers to other sources:

<http://apollo.gmu.edu/~jmilam/air95.html>

This list of Resources for Strategic Planning and Environmental Scanning and Future Research was compiled for Quehl Associates by the late Dr. Richard L. Henrickson. Its use and distribution is limited to the clients of Quehl Associates. Other kinds of distribution of this Workbook can made with the permission of Dr. Quehl.

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