300 Thompson

34 07 Chancellor

part of chancellor Eakin's remarks.

## IMPLEMENTING STRATEGIC PLANNING:

A Handbook for the Development of the 1995-2000 Plan

Advisory Committee on Strategic Planning and

Office of Planning and Institutional Research

November 29, 1993

Draft - for Comments Only

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#### INTRODUCTION

Two primary purposes for preparing this handbook are to provide individuals involved in the university's strategic planning process with an overview of the development of the process as it exists today and to help the entire campus community prepare for the major revision of the university's strategic planning objectives which will shortly be undertaken. Five years have passed since we began the development of our first strategic plan for the university and it is time to begin the process anew. Many individuals have joined the university and many others on campus now have greater responsibility for strategic planning than was previously the case since the strategic planning process began. This handbook is thus intended to help bring everyone to a common understanding of the development of the strategic planning process.

## DEVELOPMENT OF THE STRATEGIC PLANNING PROCESS

Since the latter half of the 1980s, strategic planning has been a formal university-wide function at the ECU, involving every division, college, school, office, and department on campus. The primary purposes of this strategic planning process are to:

- provide a mechanism for communication throughout the University community
- provide structure and organization for current decision making based on a shared future vision
- articulate common goals for the institution
- improve the effectiveness of the institution's programs, activities, and services
- facilitate budget planning for allocating scarce resources among competing needs.

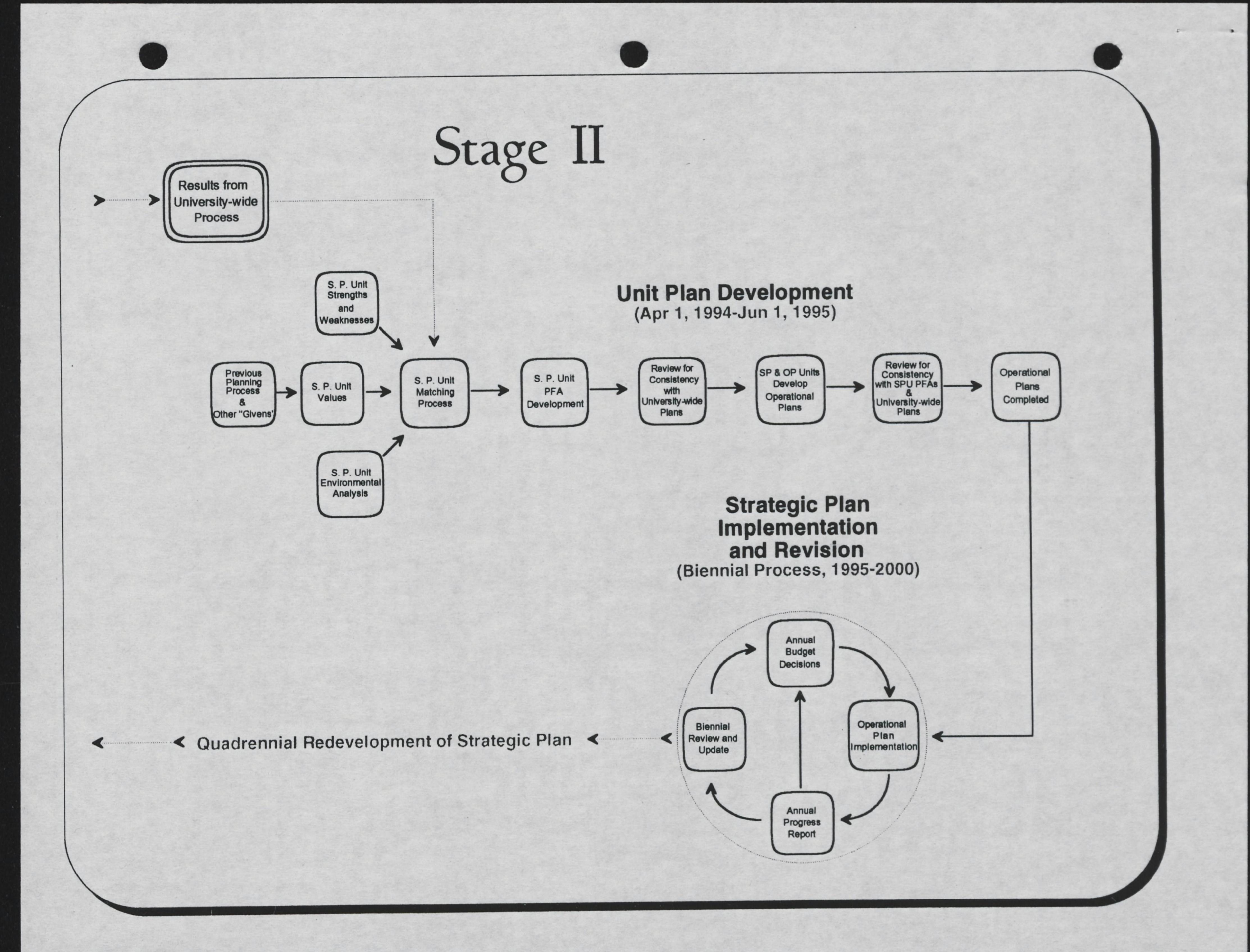
The adopted strategic planning model includes five phases. These phases are the same ones as will be used during the development of the 1995-2000 strategic plan and are displayed in Figure 1. The following paragraphs describe each of these phases as they were developed during the University's first five year cycle of the strategic planning process.

Preliminary and Advisory Phase: The University analyzed external environmental opportunities and constraints in the local, regional, and national arena which affect the University's programs and activities. The categories of investigation were:

- competitive forces
- demographic trends
- economic issues
- technological advances
- social, legal, and political forces.

The second step identified internal strengths and weaknesses to promote organizational understanding. This step was designed to focus on and clarify the University's strengths, to

Stage I Preliminary and Advisory Process University-wide Implementation Plans (Jan 15-Mar 31, 1994) (Apr 15-Oct 15, 1994) External Academic University-wide Strategic Decisions Environmental Program Analysis Development (Apr 1-May 7, 1994) Enrollment Previous Planning Strategic Decisions Managment Institutional Matching Process Values Process Assessment Mission Other "Givens" Facilities Clientele Strengths & Faculty Geographic Weaknesses Results from Identification Service Review and Development Advice from University-wide Area University Process Community Comparative Financial Advantage Information Goals and Staff Faculty Resources Objectives Program Mix Organizational Students K Deans Chancellor Public Outreach (Assisted by his staff) University Groups Quadrennial Redevelopment of Strategic Plan



nurture them and to disclose weaknesses and improve on them, all within the umbrella of the University's mission.

The third preliminary activity assessed of the traditions and values of East Carolina University. This analysis identified the level of commitment to aspirations and beliefs held by the individuals who make up the University.

The fourth and final step in the preliminary and advisory phase synthesized results of the three aforementioned analyses to determine a future direction for the University.

All four of these steps engaged work groups to (1) coordinate the assessments, (2) solicit input from faculty, staff, alumni, and community leaders throughout the University community, and (3) present written reports to the chancellor. The findings from this phase provided a foundation for the second phase in the model, that of actually developing a set university-wide strategic decisions.

University-wide Strategic Decisions: Using the results of the preliminary and advisory phase, a set of University-wide strategic decisions was developed, providing overall direction for the academic and support units to develop their unit plans. These strategic decisions became the driving force for achieving success and fulfilling the aspirations of the University. The vision, insights, and judgment of those involved in this phase--faculty, staff, students, alumni, community leaders, members of the Board of Trustees, deans, vice chancellors, and chancellor--played an integral role in the strategic direction setting.

This process resulted in the document entitled *University Directions*, which contains the University's proposed statement of mission, a list of the institution's distinctive elements, a set of six basic goals and four supporting goals, and a description of the University's targeted student population and other clientele for the planning period of 1990-95. The document was approved by the East Carolina University Board of Trustees in March of 1990 and was presented to The University of North Carolina General Administration in January 1991.

University-wide Implementation Plans: To implement the goals contained in *University Directions*, seven plans were developed to address issues relating to enrollment management, facilities, faculty and staff development, finances, information resources, organization, and public outreach. These implementation plans established guidelines and parameters to develop unit plans for each organizational area of the University.

Each of the implementation plans was developed with broad involvement from individuals throughout the University. Seven implementation teams coordinated the process. Membership included individuals with organizational responsibility for the function, along with other faculty, staff, and students whose knowledge and expertise provided a valuable resource to the team.

The implementation plans, along with *University Directions*, were intended to cover the full four-year cycle. Updates will reflect progress toward implementation, changing environmental

opportunities and constraints, and the budgetary conditions of the University and the state.

Unit Plan Development: Each college, school, and support division on campus developed a unit plan for the period 1990-93, responding to University Directions, the seven University-wide implementation plans, and individual internal and external environmental assessments. Unit plans exist for the following academic units:

- allied health sciences

- arts and sciences

- education

- graduate school and research

- medicine

- nursing

- academic library services

- continuing education and summer school - undergraduate studies

- art

- business

- human environmental sciences

- industry and technology

- music

- social work

- health sciences library

Also, the following academic and support divisions developed unit plans:

- chancellor's office

- academic affairs

- business affairs

- health sciences

- institutional advancement

- student life

Each of these plans contained a vision statement, a list of the unit's distinctive elements, and a set of priorities for action (PFAs) which responded to the ten goals in University Directions. The Chancellor reviewed unit plans and negotiated revisions with each of the units to assure consistency with the University's established mission and goals. Also during this review process, resource requirements were identified to test the financial viability of the plans and to link planning unit priorities to forthcoming budget processes. Units report on progress toward implementing their unit plans every year and update the priorities for action every two years. These documents are all contained in the University's strategic plan entitled Strategies for Distinction. This plan was approved in its entirety by the Faculty Senate in September 1990 and by the University Board of Trustees in October 1990.

Operational Planning Process: To facilitate implementation of the unit plans in Strategies for Distinction, every department and office in each of the planning units developed operational plans for 1990-93. In addition to stating objectives, these plans also identified assessment and accountability measures and provided a useful foundation for monitoring progress toward planning goals and objectives during the planning period.

The primary purpose of the operational plans was to identify key objectives upon which each department/office will focus its resources and evaluation activities during the planning period. Unit priorities for action were used as the framework for establishing objectives to ensure a linkage to not only planning unit priorities but also, through them, to the University-wide mission and goals.

Each department and office listed in the planning office memoranda on this subject prepared an operational plan. The plans contain

- a vision statement

- operational objectives for implementing the planning unit priorities for action

- time frame for completion of each objective

- the means of evaluating progress toward the objectives

- the intended use of the evaluation results to improve quality and effectiveness.

The operational planning process represented a primary point of integration of strategic planning with the SACS self-study process. Both operational planning and University SACS office self-studies took place concurrently to facilitate a smooth transition between self-analysis and goal-setting. Coordination of these two activities benefitted both processes in two very important ways.

First, the planning process provided continual focus on the SACS criteria relating to institutional effectiveness. As these criteria were formally extended to the department/office level through the development of operational plans, the self-study was able to verify that a continual process of sound planning and evaluation was in place at every level of the University. Hence, the planning process provided a useful and necessary foundation for the self-study process.

Conversely, as departments/offices answered the university questionnaire regarding SACS criteria, they were able to identify areas of concern that needed to be addressed to be in compliance with those criteria. Identified areas that were of a strategic nature were then stated as objectives in the operational plans. Thus, appropriately, the self-study served as a planning exercise for identifying department/office strengths and weaknesses.

Implementing "Strategies for Distinction": After the planning units and sub-unit operational plans were completed, the university embarked on the implementation phase of the strategic planning process. Each planning unit and sub-unit worked on achieving the goals and objectives they had established for themselves.

While a number of units made important progress during the 1991-92 academic year, several significant things occurred which emphasized the importance of the strategic planning process to the university. First was the approval by General Administration of East Carolina University's new mission statement. In addition, 14 new degree programs at the undergraduate and graduate levels were approved for planning. This was the largest number of new programs approved for planning for any of the UNC institutions.

The second significant event was the site visit of the NCAA as part of the Department of Athletics' accreditation review. East Carolina University participated in the pilot study of NCAA accreditation. The university was accredited as a result. The preparation of the university's planning documents and the related planning materials for Athletics made the process of preparing for the accreditation site visit much easier as much of the work had already been completed. It also enabled the university to show the NCAA the relationship of Athletics to the

rest of the campus in a very clear and credible manner.

The third event was the completion of the Self Study for the 1992 Southern Association of Schools and Colleges' reaccreditation visit in March. The completion of the strategic plan and the SACS self-study was a tremendous undertaking for the campus, but it was rewarded by our successful reaccreditation effort. The university was, in fact, complimented by the Site Visit team for its planning process and its broad involvement of the campus community.

In addition, the university took steps to integrate the planning, budgeting, and annual reporting cycles. The unit annual report was combined with progress reports on operational planning. Thus, in May 1992 units reported on the progress which they made in achieving their operational goals at the same time they compiled their annual reports on teaching, research/creative activity, and service.

In the 1992-93 academic year, the Advisory Committee on Strategic Planning was established to advise the Chancellor. During its first year of existence, the committee oversaw the revision of planning unit priorities for action for the 1993-95 phase of "Strategies for Distinction" and the development of new operational plans for their fulfillment. This process was completed early in the fall of 1993.

Although the strategic planning process at East Carolina University is still in its formative stages, a number of benefits have already been made clear. As noted above, having the process established and having committed the university to achieving the goals in "Strategies for Distinction" made the NCAA and SACS accreditation efforts much easier and more successful than would otherwise have been the case. Various individual units seeking accreditation review of their programs have also reached similar conclusions. The process also greatly facilitated the mission review process by General Administration and thereby aided in the university securing permission to plan a number of new programs. The process similarly has made the evaluation of resource allocation decisions easier as there is a clearer sense of the direction in which units, divisions, and the university should be moving. Finally, it has also facilitated the process of making information about campus decision-making procedures more accessible to a broader range of people around the university.

The Next Step, 1995-2000: The next step is the beginning of the planning cycle for 1995-2000. This process will involve a reexamination of the university's external environment, its institutional values, and its internal strengths and weaknesses. The university will not engage in a revision of its mission statement given its recent approval by the UNC General Administration and Board of Governors. Individual units, however, may revise their vision statements in ways consistent with the university's mission statement. A new set of university-wide goals will also be needed. The reviews and new goals will then become the basis for new planning unit priorities for action and new operational plans by planning units and their sub-units. This step will begin at the university-wide level in late fall of 1993. The decisions which we make now will thus set the university on the road for the remainder of the 1990s and into the new century.

### OVERVIEW OF THE STRATEGIC PLANNING PROCESS 1995-2000

This section of the handbook discusses the various steps which will occur in the development of our new strategic plan, its implementation, and its subsequent revision. While the basic process and steps will remain the same as during the development of our first strategic plan, some modifications and clarifications have occurred which warrant elaboration. This section is thus intended to provide a common starting point for all members of the university community.

The basic steps of the process are outlined schematically in Figure 1 which indicates the projected timetables and the campus groups responsible.

## The Advisory Committee on Strategic Planning

To guide the strategic planning process for 1995-2000, the Chancellor appointed the Advisory Committee on Strategic Planning. This committee began its operations in the Fall of 1992. Members were chosen by the Chancellor through nominations solicited from the vice chancellors, other members of the Chancellor's staff, academic deans and directors, and faculty senate officers. Initially, individuals were appointed to one and two year terms to establish a rotating membership. The chair of the committee is selected by the Chancellor.

The primary responsibility of this committee is to advise the Chancellor on the university's strategic planning process. As such, the committee is charged specifically, but not exclusively, with:

- 1. recommending the guidelines for the university community as it prepares to review the progress made each year on strategic planning and operational planning and as it prepares to set, revise, or accomplish the operational goals and priorities for action for the academic year in question, and
- 2. reviewing the appropriate sections of the annual unit progress reports from the various University planning units and subunits and advise the Chancellor on the University's progress in meeting the established goals and objectives, and
- 3. providing overall advice regarding the University's strategic and operational planning processes, including recommendations on advisory committee structure and function and on the preparation for on-going cycles of planning.

Given the above responsibilities, the ACSP has an important duty to perform in the development of the new strategic plan. It is responsible for reviewing the results of our previous effort, coordinating the preparation for the new planning process, and for directing the process as it proceeds. It will perform the roles assigned to the Strategic Planning Advisory Group (SPAG) during the 1989-91 period. The significance of the Advisory Committee in the overall process is indicated by the central role assigned to it in Figure 1.

## The Difference between Strategic Planning Units and Operational Planning Units

During the initial cycle of strategic planning, a distinction was made between planning units and their sub-units based on the different roles that each played in the process. These terms, however, created confusion among some members of the campus community due to a separate distinction made in the Faculty Manual between code and non-code units for governance purposes and Faculty Senate representation. While the confusion is understandable, the distinction is an important one and needs to be clarified. To this end, the terms "strategic planning unit" and "operational planning unit" will replace "planning unit" and "sub-unit" respectively.

Strategic planning unit status has been assigned to various administrative units primarily on the basis of their central role in making resource allocation decisions across other administrative units. Therefore, each strategic planning unit administrator is responsible for making decisions that affect resource allocations across several functionally and/or programmatically related operational planning units. As a consequence, each strategic planning unit will develop both a strategic plan for itself and an operational plan for the implementation of its strategic plan. This strategic plan will be comprised of the PFAs, or priorities for action, developed by the strategic planning unit as a whole.

The strategic planning units and the responsible administrative official for 1995-2000 are:

- Chancellor's Office, Chancellor
- Academic Affairs, Vice Chancellor
- Health Sciences, Vice Chancellor
- Business Affairs, Vice Chancellor
- Institutional Advancement, Vice Chancellor
- Student Life, Vice Chancellor
- School of Allied Health Sciences, Dean
- School of Art, Dean
- College of Arts and Sciences, Dean
- School of Business, Dean
- School of Education, Dean
- School of Health and Human Performance, Dean
- School of Human Environmental Sciences, Dean
- School of Industry and Technology, Dean
- School of Medicine, Dean
- School of Music, Dean
- School of Nursing, Dean
- School of Social Work, Dean
- Office of Undergraduate Studies, Dean
- Graduate School, Dean and Associate Vice Chancellor of Academic Affairs for Research
- Continuing Education and Summer School, Director

- Academic Library Services, Director
- Health Sciences Library, Director

All other administrative units are Operational Planning Units. Operational planning units will develop operational plans which state how they will implement their strategic planning unit's PFAs and, consequently, the university's goals within their area of responsibility. The designation of departments and offices as operational planning units is not intended to diminish the significance of their work or in any way affect their governance status. That status serves very different functions within the university. It is simply a reflection of the fact that the resource decisions made at the departmental or office level primarily concern a single academic discipline, function, or service activity of a single division. One of the purposes of strategic planning is to help us, as a university, division, or college/school, make more effective resource allocation decisions. That perspective is not particularly feasible at the departmental/office level.

Figure 2-Figure 8 indicate the strategic and operational planning units across the campus. To distinguish between the two categories of planning units, all strategic planning unit names are encased in black boxes. Figure 2 shows the strategic planning units using the organizational structure for the university as a whole. The subsequent figures provide the same information for the separate divisions and the Chancellor's Office. Notice that the divisions, college/schools, and libraries have dual roles as strategic planning units and as operational planning units of their administrative strategic planning units. If questions arise as to a unit's status or reporting relationships, please refer to these figures. For example, all strategic planning unit administrators are responsible for:

- 1. developing the PFAs for their own strategic planning unit in a manner consistent with the PFAs and goals of their administratively superior planning unit,
- 2. supervising the development of the operational plans for their own office; and
- 3. Supervising the development of the operational planning units reporting to them.

The operational planning units are, in turn, responsible for:

- 1. establishing their operational objectives in a manner consistent with their strategic planning unit's PFAs, and
- 2. carrying out their operational plan to achieve these objectives.

Figure 9 illustrates the relationships involved in the development of PFAs and operational plans as well as the concomitant reporting steps. The figure is intended to convey the hierarchical and overlapping relationships inherent in this process and thereby emphasize the interdependent nature of the strategic planning process. Each planning unit, strategic or operational, can progress only if the preceding unit fulfills its responsibilities in a timely manner.

## STRATEGIC PLANNING UNITS

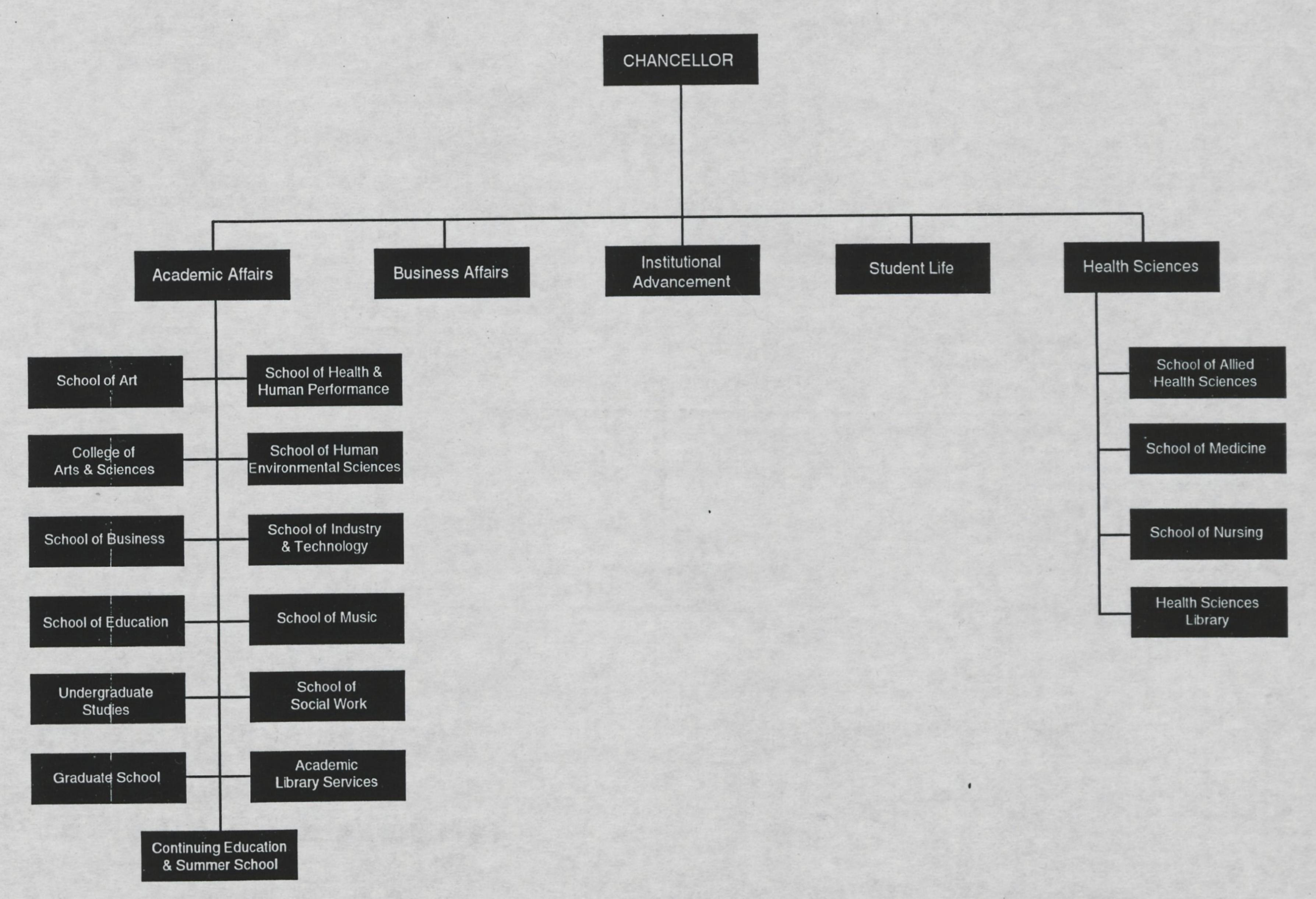
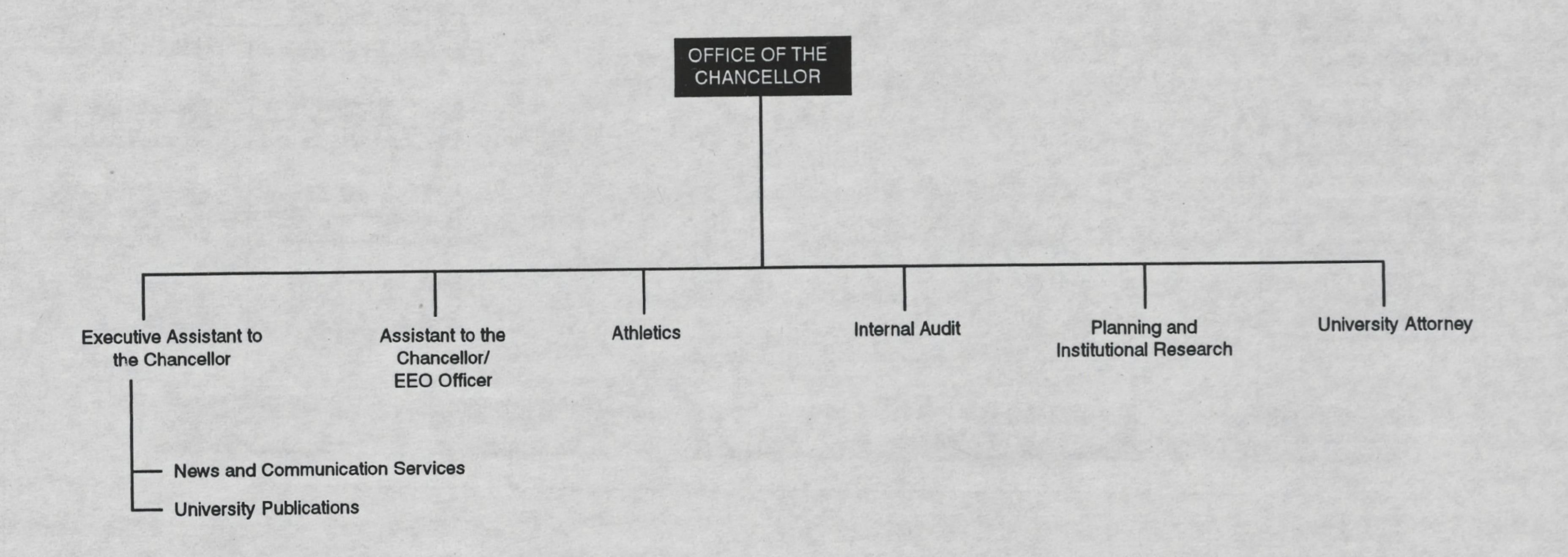


Figure 3

# STRATEGIC AND OPERATIONAL PLANNING UNITS (Office of the Chancellor)



Legend

Strategic Planning Units

Operational Planning Units

November, 1993

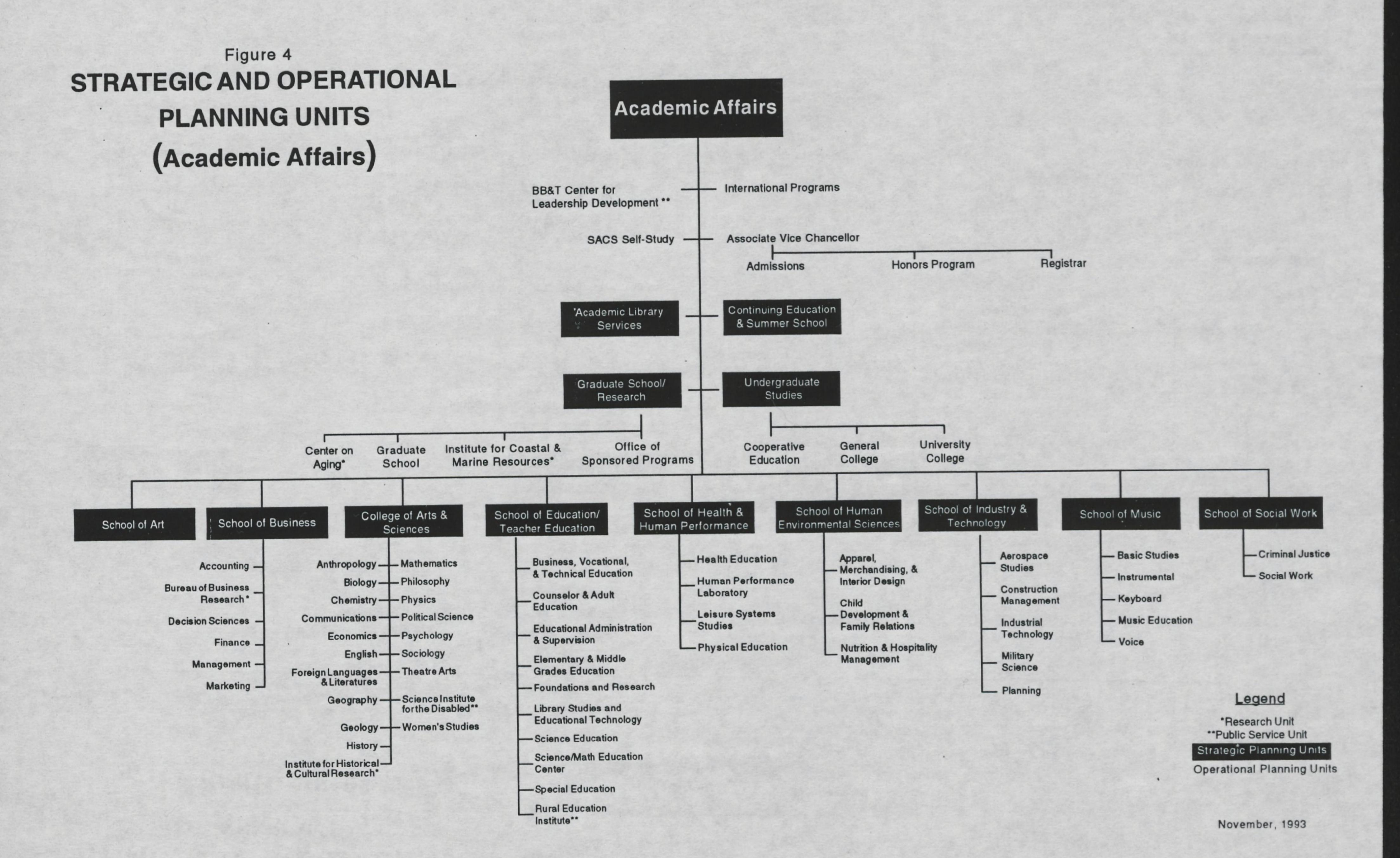
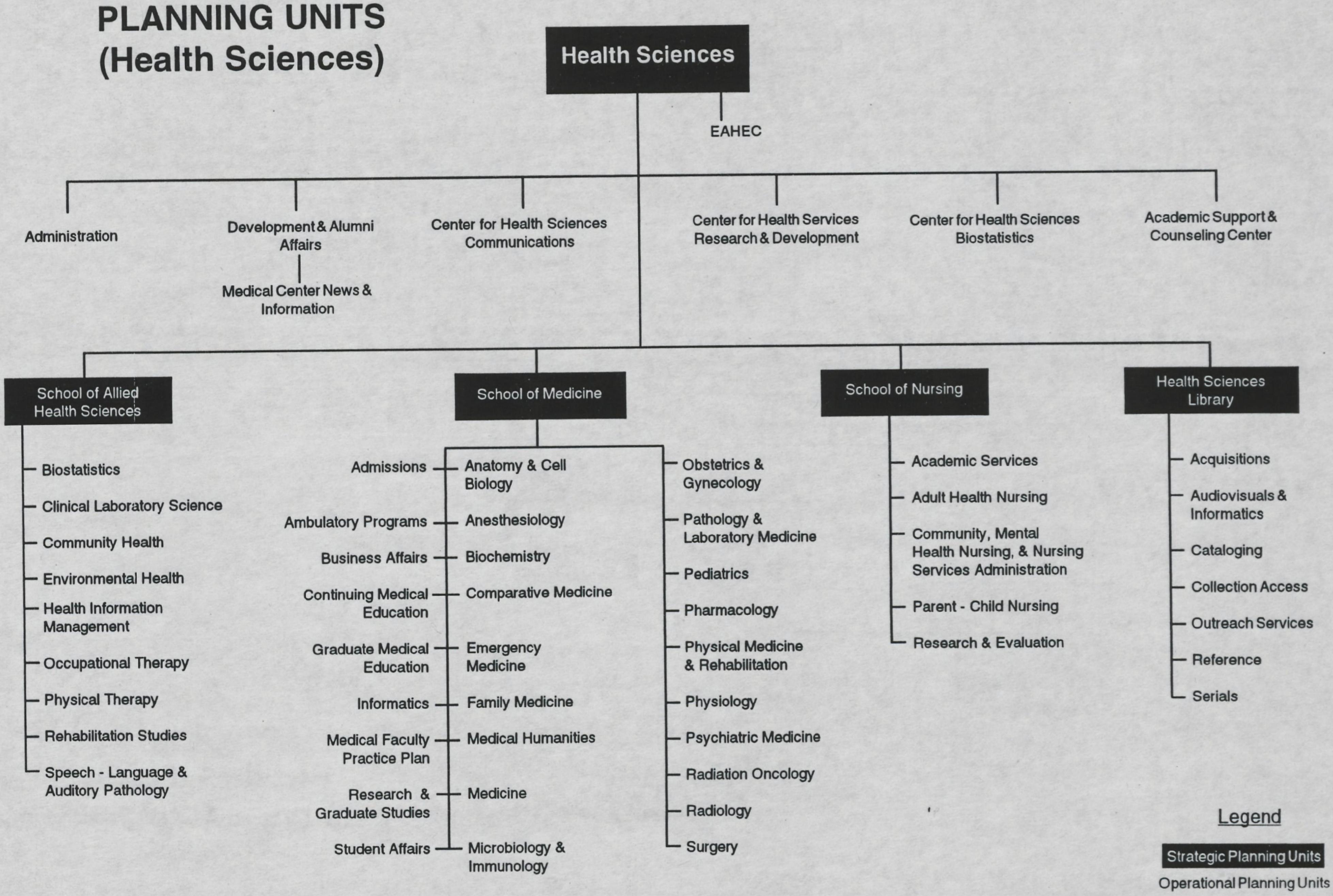


Figure 5

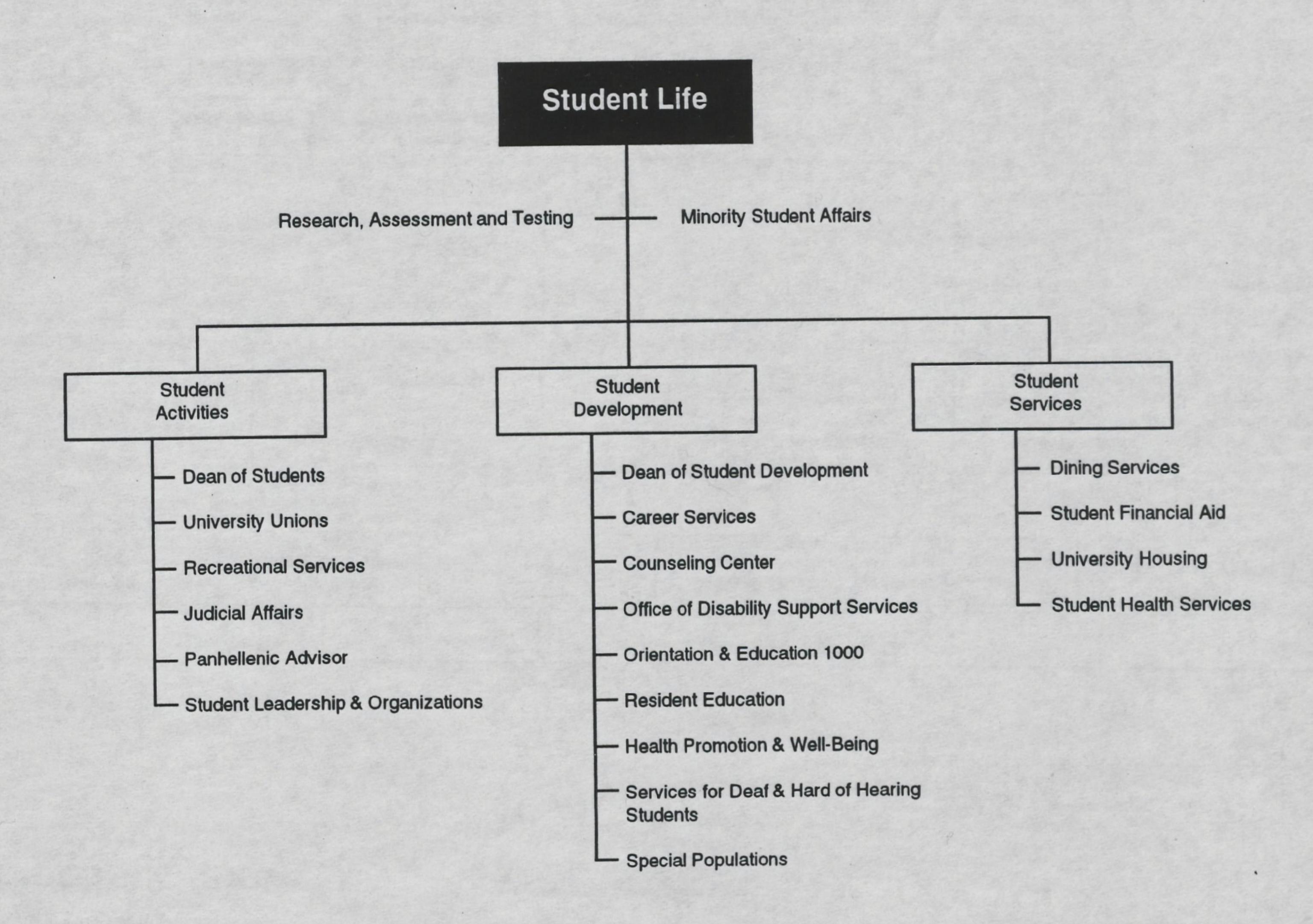
## STRATEGIC AND OPERATIONAL PLANNING UNITS (Health Sciences)



November, 1993

Figure 6 STRATEGIC AND OPERATIONAL PLANNING UNITS (Business Affairs) **Business Affairs ECU Foundation ECU Educational Foundation ECU Alumni Foundation** Assistant Systems Computing and Associate Assistant Environmental **University Budget** Comptroller Vice Chancellor for Information Systems Coordination Vice Chancellor Vice Chancellor Health & Safety Office **Human Resources Business Affairs** for Facilities - Personnel-Payroll Academic - Accounting - Hazardous Waste - Facility Planning, Design & Computing - Accounts Payable Construction - Employee Relations - Cashier's Office - Industrial Hygiene - Architectural Administrative - Payroll - Facilities Services Ctr Computing - Benefits Student Fund Acct - Recycling Grants & Contracts - Facilities Maintenance & Operations - Position Workers' Compensation - Student Loans Operations-West Management - Building Maintenance - Systems & - Utilities - Recruitment Communications - Facilities Maintenance & Real Estate - Residency - Training Operations-East - Grounds └ Office Management - Building Maintenance L Utilities Auxiliary Materials Asset Public Safety Enterprises Management Management L Housekeeping Services - East - West **East Campus** - Central Stores - Bookstore - Fixed Assets - Residence Halls Security L Auxiliaries - Medical Stores - Mail Services - Risk **West Campus** Management Security - Purchasing - Motor Pool HEFC - Shipping & Receiving - Parking Legend - Warehousing - Print Shop Strategic Planning Units - Rapid Copy Copier Program L Moving Services Operational Planning Units Vending November, 1993

STRATEGIC AND OPERATIONAL PLANNING UNITS
(Student Life)



Legend

Strategic Planning Units

Operational Planning Units

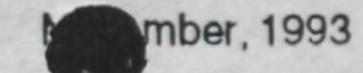
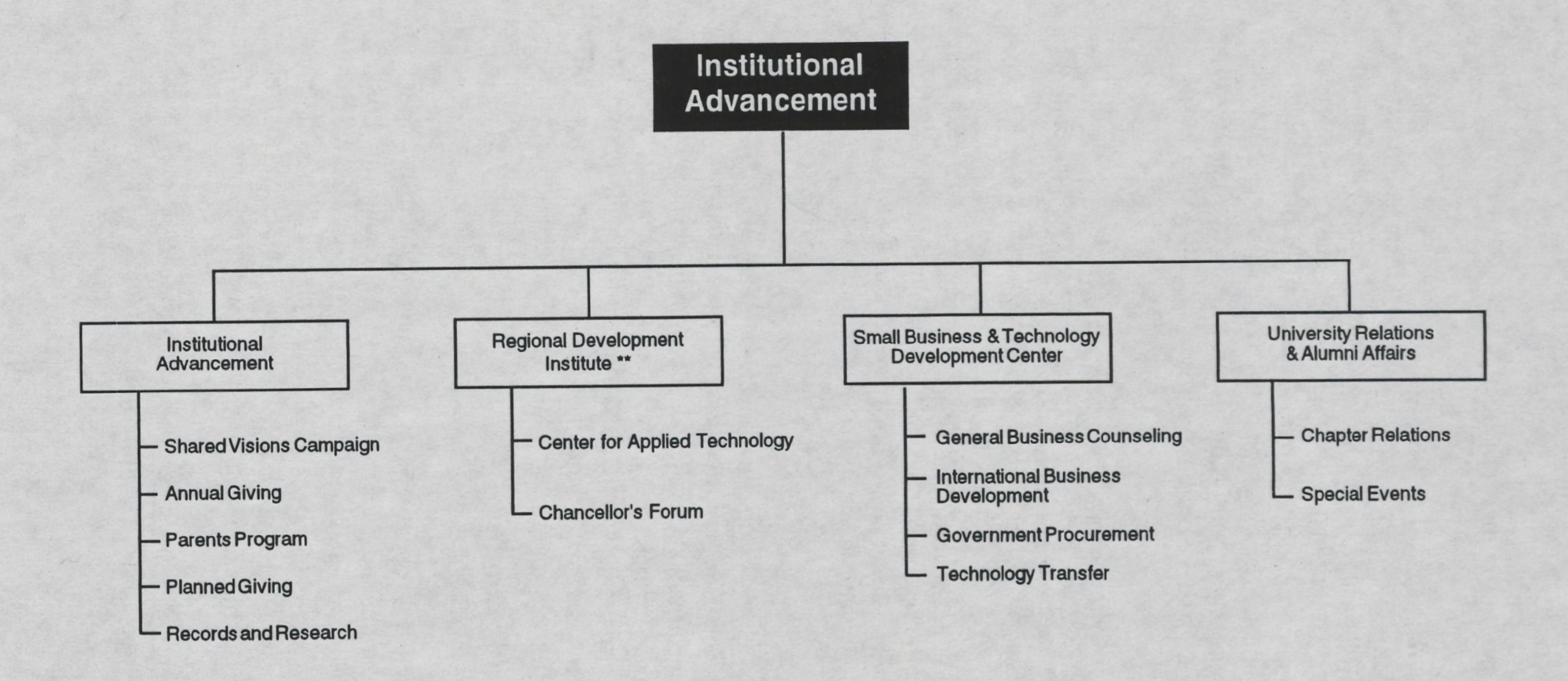


Figure 8

# STRATEGIC AND OPERATIONAL PLANNING UNITS (Institutional Advancement)



Legend

\*\* Public Service Unit

Strategic Planning Units

Operational Planning Units

November, 1993

### Some Basic Definitions

Before discussing what belongs in the strategic plan and how it gets there, some basic definitions are needed.

Mission Statement: A university's mission statement is a concise statement of the kind of university it wishes to be. The development of this statement calls upon the institution to assess how its aspirations mesh with its past culture, values, strengths, weaknesses, constraints, and opportunities. The institution must also develop a strategy for matching these factors as optimally as possible. The resulting statement of aspirational goals is the university's mission statement. Individual administrative units will have their own vision statements which describes their purpose and fit within the overall mission of the institution.

Goals: Once the university has refined its mission statement, it develops a set of goals to fulfill that mission. Strategies for Distinction is the statement of East Carolina University's goals for the 1990-1995 strategic planning cycle.

<u>Priorities for Action (PFAs)</u>: Priorities for Action are goal-related statements of how the strategic planning unit believes it can most effectively contribute to the accomplishment of the university's strategic plan. Goals are university-wide in their coverage, while PFAs are the means by which the strategic planning units link their projected actions with those goals.

Operational Objectives: As each strategic planning unit and its related operational planning units determine how they can work together to achieve their PFAs, they will develop more specific objectives which they will seek to complete during the planning cycle. Those specific objectives are referred to as operational objectives. In writing these operational objectives, both strategic and operational planning units seek to identify key aspects of their operational activities to more effectively fulfill their own vision statements. If the appropriate linkages have been made between the various planning levels, the fulfillment of these operational plans will lead to the university, as a whole, achieving its goals.

Operational Plan: The operational plan is the document listing the operational objectives of the strategic or operational planning unit. It indicates the linkage between operational objectives, priorities for action, and university goals through the labelling system. It also contains statements as to how the strategic planning unit or operational planning unit intends to evaluate whether or not it has accomplished its stated action, how the results will be utilized, and the time frame within which the action will occur.

Operational Planning Worksheet: The operational planning worksheet is a summary of the strategic or operational planning unit's operational plan in spread-sheet format. It is used to develop a data base for tracking our progress in accomplishing the university's

Figure 9

## EAST CAROLINA UNIVERSITY STRATEGIC PLANNING PROCESS

Strategic Planning Units	Administrative Level	Establishment of PFAs, Goals, & Objectives	Responsibilities for PFAs, Goals, & Objectives
University	Chancellor	University PFAs & Goals Chancellor's Office PFAs, Goals, & Operational Objectivies	Primary responsibility for University Primary responsibility for Chancellor's Office
		Approval of division's PFAs & Operational Plans	Secondary for Divisions
Division	Vice Chancellor	Division PFAs & Goals VC's Office Goals & Objectives	Primary responsibility for Division
		AA & HS Approval of College/School PFAs & Operational Plans	Secondary responsibility for College/School
College/School	Dean/Director	College/School PFAs & Goals Dean/Director's Office Goals & Objectives	Primary responsibility for College/School
		Approval of operational Unit Plans	Shares, but secondary, responsibility for operational planning units
Operational Plann Department/Office	ing Units es Chairs/Directors	Department/Office's Goals & Objectives ———	→ Primary responsibility for accomplishment and measurement of operational planning unit (Reported through Unit Annual Progress Report)

goals and in reporting strategic and operational planning unit progress on an annual basis.

## What belongs in the Strategic Plan and what belongs in the Operational Plan

The interdependent nature of the strategic planning process becomes evident in a number of ways. A reexamination of Figure 1 as an overview of the entire strategic planning process will illustrate this point quite clearly. The ACSP will begin the process by evaluating the factors which condition our planning process. It will establish the "givens" from which the rest of the process will flow. Once this has been done, separate committees will be formed including members of the ACSP and other members of the campus community. These committees will evaluate the university's external environment, its institutional values, and its internal strengths and weaknesses. The analyses of these committees will be returned to the ACSP for a matching process.

The ACSP will then invite the comments and participation of the multiple groups indicated in Figure 1 in open campus forums. The purpose will be to develop a new set of university-wide strategic goals such as those contained in <u>Strategies for Distinction</u>. The discussion in the meetings will be refined by the ACSP in terms of specific goals. These goals, in turn, will be passed on to separate university-wide implementation committees whose responsibility it will be to determine how the university as a whole will seek to accomplish these goals. These committees will also be composed of both ACSP members and other members of the campus community. Similarly, the work of these committees will be discussed in open campus forums and then pulled together by the ACSP. The intention is for all of this work to be completed during the summer of 1994.

University goals and results of the university-wide implementation committees' work will form the basis for both strategic planning unit and operational planning unit operational plans. Work on this phase of the process will begin with the start of the 1994-1995 academic year. By way of preparation, the strategic planning units should form their own strategic planning committees and conduct their own analyses of strengths and weaknesses, values, and environmental scans prior to this date. Similarly, strategic planning units will need to establish committees to oversee the development of their operational plans and those of their operational planning units. These committees and the strategic planning unit administrators will then become the primary actors. The steps involved in this phase are indicated both in Figure 1 and in Figure 9. Once the university's PFAs have been established, the other divisional strategic planning units will develop their own PFAs and secure approval from the Chancellor. After that approval has been granted for the Academic Affairs Division and Health Sciences Division, the process will be repeated within those divisions and their lower level strategic planning units. This additional step is not necessary for the other divisions as the division itself is the strategic planning unit and all other departments or offices within them are operational planning units.

The new PFAs should thus reflect both the university's and strategic planning units' goals. Their development should take into account what was and was not accomplished during the 1990-95

strategic planning cycle. The aim should be to build upon the accomplishments of the past five years as we develop our goals for the next five years. The appropriate sections of the Unit Annual Progress Reports which detail progress on both operational planning unit and strategic planning unit operational plans should be consulted in making these determinations. When the PFAs have been established, then all strategic planning units and their related operational planning units will develop their operational plans. These plans should include the operational objectives on which the strategic and operational planning units wish to focus their attention during this planning period.

Each operational objective should be linked to a PFA of the strategic planning unit and through that to a PFA of higher level strategic planning units. The numbering system will continue to be used to illustrate this linkage. In addition, each operational objective should elaborate a method by which the efforts of the unit to achieve the objective will be evaluated, the intended use of the results, and the time frame of the activity indicating beginning and ending dates. Beginning with the new plan, the operational objectives should also indicate who is administratively responsible for accomplishing the objective within the unit. That may be the dean, chair, or faculty committee, whatever the unit at hand determines.

In many ways, the planning process can be seen as a tool by which we identify those aspects of our work that need improvement and to which we will devote our efforts. It thereby forces us to carry out our own intentions. The operational plan does not need to contain all of the activities to which efforts will be devoted. The mission statement of the university and the vision statements of the strategic and operational planning units should clearly delineate the basic functions of the respective units, therefore all of the basic, continuing activities of the university and its components do not need to be spelled out in operational objectives.

The university's mission statement and planning unit vision statements also indicate where we wish to go in the long-term. The intention of strategic planning is to state what targeted improvements in those basic functions we wish to make in the near-term. The linkage to the mission statement and the vision statements is thus a critical link to which administrators, planning committees, faculty, and staff need to give considerable attention in their review of PFAs, the development of operational plans, and, subsequently, the assessment of the operational plan progress.

In a similar vein, the operational plan should state how the unit will measure its progress in achieving its objectives. Thus, longer term goals which require work over a number of years are worth including in the strategic planning unit's PFAs, but the operational plans should detail how the unit will work to fulfill those PFAs during this particular planning period and how progress will be measured. This will permit worthy goals to be pursued over time, but will help insure that they are dealt with in a meaningful and manageable manner.

If any unit desires to work on an operational objective for which it cannot find an obvious PFA, it should consult its next higher strategic planning unit administrator before including the objective in the operational plan. If it is sufficiently important, a way will be found to include

the objective. However, the strategic planning unit administrator must agree with the inclusion of the objective. Many operational objectives require the use of strategic planning unit resources and an operational planning unit cannot commit resources to objectives outside those established by the strategic planning unit without the concurrence of the appropriate strategic planning unit administrator. To do otherwise would undercut the utility of the strategic plan as a mechanism for focusing university-wide attention upon our mutual goals.

In reviewing and approving PFAs and operational objective, strategic planning unit administrators have the responsibility for building the linkage between their various operational planning units, for raising questions about the appropriateness of objectives, and determining the likelihood of the resources requested being available. This should not simply be a pass-through process. This is the major opportunity available to strategic planning unit administrators to develop a common understanding of the future of the strategic planning unit and how it will attain that future. For Faculty Senate code units, this process will involve faculty involvement in the development and approval of strategic planning unit PFAs and operational plans, as well as operational planning unit operational plans. For other units, the process should involve wide spread participation from the individuals working within each respective unit.

## The Reporting and Evaluation Process

Once all of the operational plans have been established, our efforts should turn to accomplishing our objectives. Those accomplishments are reported on the Unit Annual Progress Reports which are completed at the end of each spring term. The Operational Planning Worksheet adopted in 1993 will be continued. Each strategic and operational planning unit should submit this progress report yearly. Even centers and institutes officially recognized by the UNC General Administration should report on their operational planning progress annually. This process will enhance the ability of Office of Planning and Institutional Research to report back to the planning units on the degree of progress being made. These reports will be important indicators for decision-makers at all levels within the university as decisions regarding resource allocations need to be made. As Figure 9 indicates, primary responsibility for assessing the degree of progress made in achieving the unit's operational plan lies with the unit itself and its administrator. The next administrative level shares in that responsibility as well. Thus, the interactive nature between the various levels of planning units and sub-units is preserved. One level's efforts must be tied into those of the next level for the process to be effective. Finally, the assessments which are made about operational progress are themselves critical factors in the next stage of the planning process, whether for the 1997-98 revision of PFAs and operational plans or the drafting of the new 2000-05 strategic plan.

### The Resource Allocation Connection

The allocation of resources is a primary way in which university priorities are signalled and fulfilled. Most university functions are continuous activities which require the bulk of our

resources. These activities are obviously critical to the operation of the university and must be maintained in an appropriate manner. In part, however, strategic planning concerns the identification of those functions central to the mission of the university and the strengthening of those activities which can most benefit the fulfillment of that mission. Hence initiatives that will lead to improvements in the university's continuing functions of the university will be targeted for additional resource allocations. Also, some activities must be recognized as being more critical than others to the mission of the university and, consequently, the continuation of the less central activities must be questioned. And, even those activities that are central to the mission of the university must be regularly assessed as to the efficiency and effectiveness with which they are being conducted. Operational objectives should be developed such that they reflect the prioritization of these functions.

In making resource allocation decisions, campus administrators must take into account the connection between the strategic planning priorities developed for their units and the resources available to them. Units should first look internally at the possibility of reallocating resources within their operating budgets and then proceed to request additional resources from the next most immediate strategic planning unit. The same internal evaluation of resources should occur at each administrative level before any request is submitted to the next level. All such requests will be evaluated in terms of the established strategic and operational plans of the respective units. This evaluation should thus lead to an agreed upon and prioritized set of funding requests.

**Timetables** 

## PROJECTED TIMETABLE FOR DEVELOPMENT OF 1995-2000 STRATEGIC PLAN, JANUARY 1994-JULY 1, 1995

	Steps	Who¹	When <sup>2</sup>				
1.	Preliminary and Advisory Process	Preliminary and Advisory Process					
	<ul> <li>A. Establishment of Givens</li> <li>B. External Environmental Analysis</li> <li>C. Institutional Values Assessment</li> <li>D. Internal Strengths &amp; Weaknesses Identification</li> <li>E. Matching Process</li> </ul>	Advisory Committee on Strategic Planning External Environmental Analysis Com. Institutional Values Assessment Com. Int. Strengths & Weaknesses Id. Com.	January 15, 1994 January 15 - March 1 January 15 - March 1 January 15 - March 1				
	<ol> <li>Development</li> <li>Review/Consultation</li> <li>Revision</li> </ol> University-wide Strategic Decisions	ACSP ACSP ACSP	March 1-21 March 21-26 March 26-31				
4.	A. Development B. Review/Consultation C. Revision	ACSP ACSP ACSP	April 1-15 April 15-30 April 30-May 7				
3.	University-wide Implementation Plans  A. Development B. Review/Consultation C. Revision	Separate Committees for each plan University Community Separate Committees	April 15-Sept. 15 Sept. 15-October 1 October 1-15				

This indicates campus group with primary responsibility for completion of this step. It does not indicate all of the campus groups which may be involved.

These dates indicate when the strategic and operational planning units should complete their work. They may, and are encouraged, to begin their preparations prior to these dates when feasible.

	Steps		Who	When			
4.	Strate	Strategic Planning Units (all)					
	A. B. C. D.	Environmental Analysis Institutional Values Assessment Internal Strengths & Weaknesses Identification	SPU Administrators & Planning Coms. SPU Environmental Analysis Coms. SPU Inst. Values Assessment Coms. SPU Strengths & Weaknesses Id. Coms.	March 14-Sept. 1 March 14-October 15 April 1-October 15 April 1-October 155.			
5.	Strate	c Planning Units (Academic Affairs & Health Sciences Divisions)*					
	A. B. C. D. *(oth	Matching Process PFA Development Review/Consultation Revision er divisions may combine Steps 5 + 6)	SPU Planning Coms. SPU Planning Coms. SPU Planning Coms. SPU Planning Coms. SPU Planning Comms.	Oct. 15-Nov. 5 November 5-19 Nov. 29-Dec. 10 December 10-17			
6.	Strategic Planning Units (others)						
	A. B. C. D.	Matching Process PFA Development Review/Consultation Revision	SPU Administrators & Planning Coms. SPU Planning Coms. SPU Planning Coms. SPU Planning Coms. SPU Planning Coms.	Oct. 15-Dec. 17 Jan. 1-Feb. 18, 1995 February 18-25 February 25-March 4			
7.	Oper	perational Planning Units					
	A. B. C.	Operational Objectives Development Review/Consultation Revision	OPU Planning Coms. OPU Planning Coms. OPU Planning Coms.	March 14-April 1 April 1-15 April 15-30			
8.	Subn	nission and Publication					
	A. B.	Submission of Approved Strategic & Operational Plans Publication	OPU & SPU Planning Coms. ACSP & PIR	June 1 July 1			

## Recommended Reading

Birnbaum, Robert (1988). How Colleges Work. San Francisco: Jossey-Bass.

Cope, R. C. (1987). Opportunity from Strength: Strategic planning clarified with case examples. Higher Education Reports (8). Washington, D.C.: ASHE-ERIC.

Denhardt, Robert B. (1993). The Pursuit of Significance: Strategies for Managerial Success in Public Organizations. Belmont, CA: Wadsworth.

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Keller, George (1993). Strategic Planning and Management in a Competitive Environment. In Robert H. Glover and Marsha V. Krotseng (Eds.). <u>Developing Executive Information Systems for Higher Education</u>. New Directions for Higher Education, No. 77. San Francisco: Jossey-Bass.

Norris, Donald M. and Nick I. Poulton (1991). A Guide for New Planners. Ann Arbor: Society for College and University Planning.

Seymour, Daniel (1993). On O: Causing Quality in Higher Education. Washington, D.C. and Phoenix: American Council on Education and the Oryx Press.

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Wilcox, John R. and Susan L. Ebbs (1992). The Leadership Compass: Values and Ethics in Higher Education. Higher Education Reports (1). Washington, D.C.: ASHE-ERIC.