

Strategic Planning Overview

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Agenda

- Test your Strategic Planning IQ
- Institutional Effectiveness
- SACS Accreditation
- Organization for Planning
- Your Responsibility
- Strategic Planning & Its Benefits
- Strategic Planning Process
- Developing the Plan
 - Contents & Definitions

Pre-Quiz

Institutional Effectiveness at ECU

- Institutional Effectiveness is the ongoing quest for quality and the demonstration of how well ECU is fulfilling its mission, realizing its vision, and implementing its strategic plan.
- 6 components of Institutional Effectiveness to achieve *continuous improvement and quality enhancement*.
- Handout: IE Framework

Office of Institutional Effectiveness

- IE Office reports to Academic Affairs, but operates at the institutional level by supporting the entire university's IE activities.
- IE Structure:
 - Executive Director (E. J. Keeley)
 - Institutional Effectiveness Coordinator (Kelly Bevins)
 - Administrative Assistant II (Peggy Williams)
 - Office of Institutional Research (Bethany Miller, Stacey Street, Baron Wolf, Dusty Satterfield)

Role of Committees

- Strategic Planning Committee:
 - Supports the development and implementation of the University's strategic plan

- University Assessment Committee:
 - Supports university-wide assessment activities, including those found within ECU's strategic plan

- Program Review Committee:
 - Coordinates academic program review—which ensures that quality and continuous improvement is an integral component of all ECU academic programs.

Southern Association of Colleges & Schools (SACS) Accreditation

- Principles of Accreditation: Foundation for Quality Enhancement
- Focuses on the institution's effectiveness and its ability to create and sustain an environment that enhances student learning
- Designed to determine the quality of an institution within the framework of its mission, its goals, and its analysis of and response to crucial institutional issues

SACS Core Requirement 2.5

Institutional Effectiveness

- The institution engages in ongoing, integrated, and institution-wide research-based planning and evaluation processes that incorporate a systematic review of programs and services that (a) results in continuing improvement, and (b) demonstrates that the institution is effectively accomplishing its mission.

SACS Comprehensive Standard: Institutional Effectiveness

- The institution identifies expected outcomes for its educational programs and its administrative and educational support services; assesses whether it achieves these outcomes; and provides evidence of improvement based on analysis of those results.

EKU Organization for Planning

- University Strategic Planning Committee
- Planning Group: Direct Reports to President and Provost (Deans, Vice Presidents, etc.)
- Reporting Unit: units within each planning group (e.g., departments, non-instructional offices); to be determined by head of planning group.
- Handout: SP Structure

Planning Group

Your Responsibility

- Fall 2005:
 - Synthesize & Prioritize Strategic Budget Requests from Reporting Units
 - Submit Annual IE Progress Report

- Spring 2006:
 - Collect & analyze assessment data for 2005-06
 - Update TracDat (add assessment results; make modifications to plan)
 - Provide Feedback to Reporting Units on their progress and plans from Fall 2005
 - Submit 2006-10 Action Plan

Reporting Unit Your Responsibility

■ Fall 2005:

- Submit Strategic Budget Requests to Planning Group
- Submit Annual IE Progress Report

■ Spring 2006:

- Collect & analyze assessment data for 2005-06
- Update TracDat (add assessment results; make modifications to plan)
- Submit 2006-10 Action Plan

What is Strategic Planning?

Strategic Planning...

“...is a disciplined effort to produce fundamental decisions and actions that shape and guide what an organization is, what it does, and why it does it. (Bryson, 1995, p. 5)”

“seeks to align the organization with the environment *in order to help assure long-term stability and survival.*

...is a process of dynamic, continuous activities of self-analysis.

...is an ongoing process (Rowley, Lujan, & Dolence, 1997, p. 37).”

Benefits of Strategic Planning

- ★ Establishes a shared direction and focus
- ★ Develops a coherent and defensible base for decision-making
- ★ Better allocates resources
- ★ Identifies or eliminates poor performing areas
- ★ Taking Time to Plan...SAVES TIME!
- ★ Highlights and addresses organizational needs

Strategic Planning Process

Closing the Loop Cycle

- Determine an inclusive planning process
- Select a planning committee/coordinator
- Conduct an environmental scan/SWOT analysis (trends, patterns, etc.)
- Conduct a brainstorming session with group/unit
 - Reduce impact of threat/weaknesses
 - Seize opportunities/strengths

Strategic Planning

Closing the Loop Cycle cont.

- Develop/Review/Revise Vision (EKU & Planning Groups Only)
- Identify unique values (EKU & Planning Groups Only)
- Develop/Review/Revise Mission
- Develop/Review/Revise Goals
- Develop/Review/Revise Strategic Directions (EKU & Planning Groups Only)

Strategic Planning

Closing the Loop Cycle cont.

- Develop/Review/Revise Objectives (educational and planning) (Reporting Units Only)
 - Link objectives to strategic directions of planning group and ECU
- Establish appropriate key performance indicators and criterion for each strategic direction/objective
- Specify assessment plan (who is responsible for each action, timeline, process and frequency of data collection and analysis)

Strategic Planning

Closing the Loop Cycle cont.

- Implement Strategic Plan
- Collect Assessment data
- Analyze & evaluate data and make necessary changes for continuous improvement (modifications for current year and set priorities for next year)
 - Add results to TracDat
 - Make modifications to plan in TracDat

Strategic Planning

Closing the Loop Cycle cont.

- Reporting Units Only: Submit Annual Institutional Effectiveness Progress Report (including Strategic Budget Requests) to Planning Group
- Planning Groups Only: Review Reporting Unit Progress Reports & Strategic Budget Requests
- Planning Groups Only: Submit Annual Institutional Effectiveness Progress Report (including synthesized, prioritized strategic budget requests) to Office of Institutional Effectiveness
- Planning Groups Only: Provide feedback to Reporting Units on their Action Plans

3-year Framework of Strategic Planning



**Planning Priorities
(budget)
2006-2007**

**Evaluation
2004-2005**

**Modifications
&
Implementation
2005-2006**

What should you be doing now?

- Update TracDat (add assessment results; make modifications to plan)
- Submit Annual Institutional Effectiveness Progress Report & Strategic Budget Requests

Planning Group

Contents of Strategic Plan

- Title Page: EKU, Planning Group Name, Planning Cycle, Date of Submission
- Table of Contents
- Executive Summary
- Description of Planning Group
 - Planning Group Members
 - Planning Group Mission Statement
 - Planning Group Values

Planning Group

Contents of Strategic Plan, cont.

- Planning Group Vision
- EKV Goals/Strategic Directions addressed in this plan (and/or Other)
- Planning Group Goals (minimum of 3)
- Planning Group Strategic Directions (minimum of 1 per goal)
- Key Performance Indicators & Criterion (minimum of 1 per strategic direction)
- Anticipated Results and Use of Results

Planning Group

Contents of Strategic Plan, cont.

- Environmental Scan
 - External and Internal Trends for Planning Group
 - Strengths and Areas of Improvement

Reporting Unit

Contents of Action Plan

- Title Page: EKU, Reporting Unit Name, Planning Cycle, Date of Submission
- Table of Contents
- Executive Summary
- Description of Reporting Unit
 - Reporting Unit Members
 - Reporting Unit Mission Statement
- EKU Goals/Strategic Directions addressed in this Plan (and/or Other)

Reporting Unit

Contents of Action Plan, cont.

- Planning Group Goals/Strategic Directions addressed in this plan
- Reporting Unit Goals (minimum of 3)
- Reporting Unit Objectives
 - Planning Objectives
 - Minimum of 3 with no budget request
 - Objectives with budget request (no min/max)
 - Educational Objectives (aka: Student Learning Outcomes)

Reporting Unit

Contents of Action Plan, cont.

- *For academic units that award degrees, minors, and certificates*
 - 3 educational objectives (i.e., student learning outcomes) for each academic major program
 - 3 educational objectives for each option (at least one unique objective for that option)
 - 1 educational objective for each minor
 - 1 educational objective for each certificate program with less than 30 credit hours (if more than 30 credit hours, then need at least one additional objective)

Reporting Unit

Contents of Action Plan, cont.

- *For educational support units with student activities involving student learning*
 - 3 educational objectives for each unit/program

- *For administrative units not directly involved with student learning*
 - 1 educational objective (objective that articulates an indirect relation to student learning in order to demonstrate linkage between unit and overall education mission of the University)

Reporting Unit

Contents of Action Plan, cont.

- Key Performance Indicators & Criterion
 - Planning Objectives: Minimum of 1 KPI per objective
 - Educational Objectives: Minimum of 1 KPI per objective (direct measure required for academic units)
- Reporting Unit Anticipated Results and Use of Results
- Environmental Scan
 - External and Internal Trends for Reporting Unit
 - Strengths and Areas of Improvement

Some Definitions....

Environmental Scanning is...

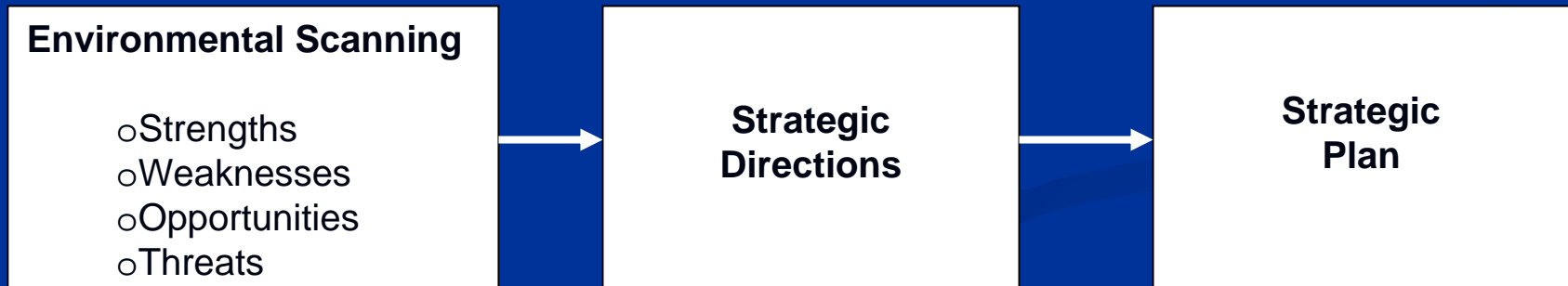
- the process of taking stock and involves thorough examination of both the internal status of the organization and the external context in which it is situated
- a kind of radar to scan the world systematically and signal the new, the unexpected, the major and the minor

What is a SWOT Analysis?

SWOT Analysis

- A tool for auditing an organization and its environment.
- It is the first stage of planning and helps to focus on key issues, which feed into the unit's goals and objectives/strategic directions.
- Strengths
- Weaknesses
- Opportunities
- Threats

The role of environmental scanning in strategic planning



Vision

- A statement reflecting the aspirations and values of the planning group
 - Brief
 - Succinct
- A vision presents an image of what success will look like
- *EKU will be the leading comprehensive university in the Commonwealth of Kentucky, earning national distinction, where students and learning come first.*

Values

- Values guide the decisions and actions of a unit
- EKU Values:
 - Civic Responsibility & Civility
 - Diversity, Dignity, & Integrity
 - Excellence & Innovation
 - Opportunity & Access
 - Shared Governance & Collaboration
 - Student Success

**What is the difference
between a Vision & a
Mission?**

Difference between a Vision & Mission?

- A vision statement is future-oriented and describes the ideal view of the planning group.
- A mission statement is operational and focuses on the purpose of the unit, including its current activities.

Mission

- Mission statement should:
 - be tied to the mission of ECU
 - Length varies
 - A guiding set of ideas that is understood and agreed upon by the unit is important

- Elements of a Mission Statement:
 - WHO ARE WE?
 - Purpose: why unit exists, what it seeks to accomplish

 - WHAT DO WE DO?
 - The main method or activity through which the unit tries to fulfill this purpose

EKU Mission Statement

Eastern Kentucky University is a student-centered comprehensive public university dedicated to high-quality instruction, service, and scholarship.

What is a goal?

Goals

- Fairly broad statements that support the vision, mission, and strategic directions of ECU
- Long range-intended outcomes

Goals, cont.

- Writing Goals:
 - One sentence
 - “To....” format
 - What do you want to accomplish?
 - 4 year time-frame
 - Action Words

A few EKV Goals

- To promote and support a climate that respects and celebrates diversity.
- To continuously improve the programs, services, and infrastructure of the university through the use of inclusive and innovative processes.
- To provide intellectual and cultural opportunities which will develop and enhance scholarship and intellectual curiosity.

Strategic Directions (Planning Group Level)

- Focuses the group's work in order to realize its goals
- Area of focus
- Operational Definition of goals
- Should be directly related to one or more goals (at least 1 SD per goal)
- Should be linked to strategic directions of EKV

Example

Strategic Directions

- Goal: To continuously improve the programs, services, and infrastructure of the university through the use of inclusive and innovative processes.
 - Strategic Direction: Enhance faculty and staff use of technology
- Goal: To enhance customer satisfaction.
 - Strategic Direction: Reduce the number of complaints from customers.

Strategic Direction vs. Objective?

- Objective is the term used for reporting units; strategic direction is the term used for planning groups and ECU level.
- Both specify what aspect of the goal will be the focus of the unit for the current planning cycle.
- **Scope** (strategic directions are broader than objectives)

Objectives (Reporting Unit Level)

- State the specific activities or specific results to be achieved with regard to a particular goal.
 - Describes how that goal will be met
 - More detailed than goals, have a shorter time frame, and **may** state quantity
 - Planning vs. Educational Objectives
- Objectives are: S.M.A.R.T.
 - **S**pecific, **M**easurable, **A**ctionable, **R**ealistic, and **T**ime-bound
- Objectives should be linked to unit goals and to planning group and ECU strategic directions

Example Objective

- GOAL: To promote and support a climate that celebrates diversity
 - OBJECTIVE: Increase recruitment and retention of a diverse faculty, staff, and student body by 3% by Fall 2004 to enhance diversity of EKU community.

What is a Key Performance Indicator?

Key Performance Indicators

- A KPI is a measure of an essential outcome of a particular organizational performance activity
- Measurement Tool / Evaluation Method / Assessment Measure
- Provides us with data that allows us to evaluate progress towards a goal

Example

Key Performance Indicators

- GOAL: To continuously improve the programs, services, and infrastructure of the university through the use of inclusive and innovative processes.
 - SD: Enhance faculty and staff use of technology
 - KPI: Percentage of staff using email

Example

Key Performance Indicators

- GOAL: To enhance customer satisfaction.
 - SD: Reduce the number of complaints from customers.
 - KPI: Percentage of complaints in the comments box.

Example

Key Performance Indicators

- Mathematics Department:
 - Objective: Students will be prepared to pursue a graduate program in mathematics or a related area.
 - KPI: Number of baccalaureate graduates admitted to graduate programs in a mathematically-related area.

Goal, Objective, or KPI?

- Number of customer complaints
- To enhance customer satisfaction with Billings & Collection's processes.
- Customers will be satisfied with the tuition payment process.

Criteria for Success (criterion)

Criteria for success:

tell you at what point you will be “happy” with your results for this objective.

- Level of accomplishment for which you are aiming
- Nichols: “...identif(y) a reasonable level of service improvement to expect given the resources and personnel the unit has available.”

Example

- Objective: Increase customer satisfaction
 - KPI: Customer Feedback Form
 - Criterion:
 - 80% of the customer feedback forms will indicate a satisfaction rating of 4 out of 5.
 - 100% of the customer feedback forms will indicate at least a satisfaction rating of 2 out of 5.

Wrap-Up

- Re-test your strategic planning IQ
- Resources Available
 - www.oie.eku.edu
 - www.ir.eku.edu



Thank You!!