Planning Resource Guide

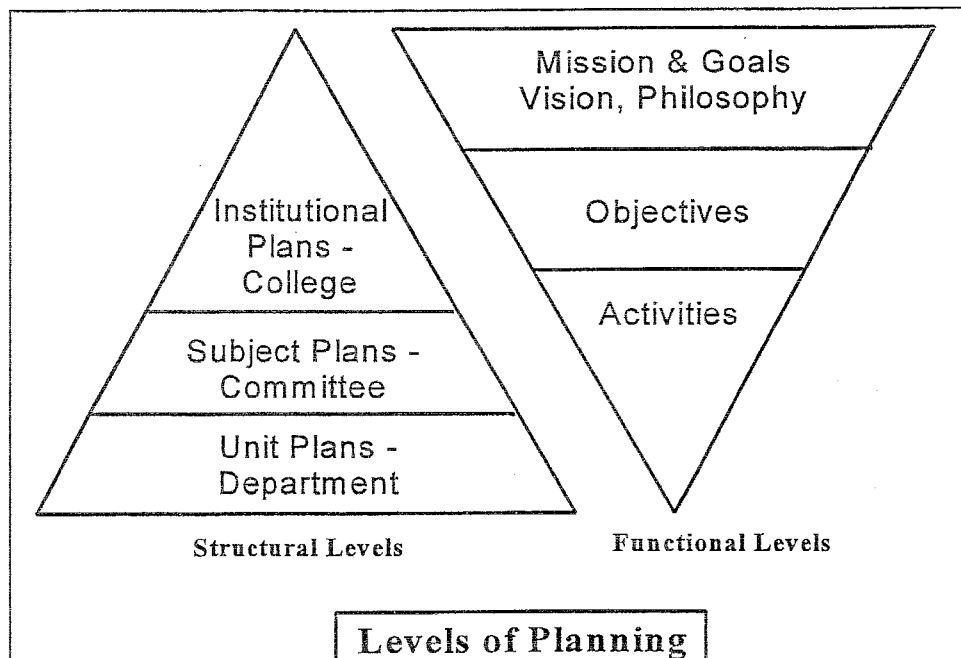The RP Group of
California Community Colleges
September 1997

"If any one idea about leadership has inspired organizations for thousands of years, it's the capacity to hold a shared picture of the future we seek to create. One is hard pressed to think of any organization that has sustained some measure of greatness in the absence of goals, values, and missions that become deeply shared throughout the organization . . . Where there is a genuine vision (as opposed to the all-too-familiar 'vision statement'), people excel and learn, not because they are told to, but because they want to." Peter Senge, The Fifth Discipline.

textbook and from college to college, the terms are often defined differently. For example, the debate about the difference between a goal and an objective is still going on.

The definitions presented here are not intended to be the definitive or proper definitions of planning terms but rather a set of terms that have internal consistency, and that, when used together, can help in the difficult task of integrating the many kinds of plans characteristic of the California Community Colleges. If adopted widely, it is also hoped that this arrangement and definition of terms will facilitate planning discussions within the California Community College system and between colleges and the accrediting teams in their review of planning activities at a given college.

Key definitions will be presented that relate to:

- the *structural* level within the college and
- the *function* of the activities within the planning process.

Mission & Goals
Vision, Philosophy

Institutional Plans - College

Objectives

Subject Plans - Committee

Activities

Unit Plans - Department

Structural Levels

Functional Levels

Levels of Planning

2. Subject Level
3. Unit Level

The nature of each of these levels is described and the kinds of plans common to each is listed.


Structural Levels

Institutional Level

Scope: Plans at this level typically:

- provide planning direction for all aspects of the college

- respond to statutory imperatives

- are influenced in their development by directions deemed important by the governing board as well as by the college community as a whole

- combine, synthesize or prioritize objectives from the Subject Plans and Unit Plans

- are initiated and/or reviewed by a college-wide shared governance group

- are forwarded to a governing board for review, comment, and approval

- are shaped in their general direction by town hall type meetings with broad participation

Examples: Comprehensive Master Plan, Strategic Plan, Educationa Master Plan, and Facilities Master Plan are common examples of Institutional Plans. See the Appendices for specific definitions.

Definition: An Institutional Plan is:

- a document that outlines the major directions for a college over short and long terms

- extends the Mission, Vision, and Philosophy of the college
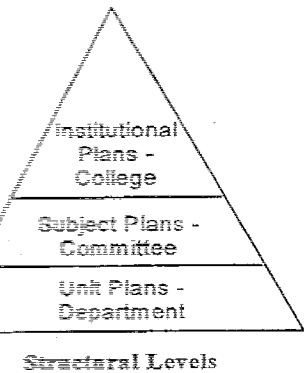
refinement of those plans.

♦ is reviewed and updated each year

Subject Level

Scope: Plans at this level typically:

♦ cut across more than one unit and often have college-wide impact

♦ have a single focus such as matriculation or student equity

♦ may combine, synthesize or prioritize elements from the Unit Level plans

♦ are formulated by committees with representation appropriate to the focus of the plan

♦ are a series of objectives which may be organized around the college goals as well as having their specific focus

♦ may be presented to a college governance group and to a governing board for review, comment and/or approval[1]

Examples: Matriculation, student equity, technology, affirmative action, staff development, and staffing plans are common examples of Subject Plans. See the Appendices for specific definitions.

Definition: Subject Plans have a unifying theme which combines aspects of many Unit Level responsibilities, with such themes often directly related to carrying out specific objectives of the Master Plan through college-wide committees formed for that task.

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[1]Some plans such as the Student Equity Plan require board

- ◆ correspond to the smallest budget and accountability

- ◆ are evaluated as the fundamental unit of program review

- ◆ are typically prepared by the members of the unit and their respective supervising administrators

Examples: Five-year plans, program reviews, and evaluations of individual student service units such as EOPS and DSPS are common examples of Unit Plans. See the Appendices for specific definitions.

Definition: Unit Plans are based on the smallest organizational unit of the college, for budget, planning, accountability, and administrative purposes, and contain the goals and objectives of that unit, as identified by unit members and organized around the college goals in the Master Plan. Examples of Units include disciplines or departments in instructional areas, operational units such as counseling and tutorial center in student services, and the business office and custodial services in administration services.

overall planning process. A series of definitions is pro... list...
the major planning terms that are used to organize community
college plans. The terms include:

◆ Mission	◆ Objectives
◆ Philosophy	◆ Activities
◆ Vision	◆ Targets or Benchmarks
◆ Goals	◆ Evaluation

Mission

- ◆ is a statement designed to inform the public of the purpose of the organization

- ◆ distinguishes the community college from other kinds of educational institutions

- ◆ defines the population to be served (see accreditation standards in the Appendices)

- ◆ is reflective of the college philosophy

- ◆ outlines the primary focus of the college as outlined in Title 5, such as offering:
  - lower division transfer courses in arts and sciences
  - vocational and technical courses
  - general or liberal arts courses
  - adult noncredit courses
  - community services classes
  - economic development
  - basic skills instruction
  - support services

- ◆ may be stated with a set of goals that reflect the above categories and that may function as the organizational outline for college plans

- ◆ is congruent with the California Community College mission defined in Title 5

Philosophy

- ◆ is a statement of the values and beliefs that influence the objectives chosen by the college

- ◆ creates a unique and distinctive tone or climate for the colleg

- ◆ can be reviewed regularly and changed as the collective values of the college change

- ◆ is not used as the organizing structure of the various college plans

- ◆ is not required by Title 5 or accreditation

- ◆ is often published in class schedules, college catalogs, brochures and other communications with the public

Vision

- ◆ is a statement that paints a picture of where the college intends to be in the future

- ◆ is often a positive description of a college's intended student outcomes

- ◆ can be reviewed annually and changed as the collective visioi of the college changes

- ◆ is often tailored to the specific nature of the community or jol market

- ◆ is not used as the organizing structure of the various college plans

- ◆ is not required by Title 5 or accreditation

- ◆ is often published in class schedules, college catalogs, brochures and other communications with the public

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[2]The recent addition of economic development by the

proposes a unified, integrated model for the use of goals:

- A unique set of goals are developed by involving all members of the college community.
- These goals are adopted at all levels, from college down to individual units.
- The varied objectives at each level and for each group are organized under these over-arching goals.
- These goals become unifying and integrating factors for all groups.

- are reviewed annually but not changed frequently

- can be listed in the catalog with a brief mission statement and together are labeled "Mission and Goals"

- are very useful in organizing the objectives in all levels of plans (Institutional, Subject, and Unit Plans) to increase the integration of college planning. Examples of overarching goals include:
  - "increase student access"
  - "increase student success"
  - "increase institutional effectiveness"

Objectives

- are created to achieve the college goals

- are organized in written plans at all levels around college goals

- direct action

- are measurable

- connect a set of activities

- are at a precise level of specificity such as:
  - "creating a computerized basic skills reading lab by the end of the next Spring semester"
  - "increasing the number of high school graduates in the college by 10% by the end of the next academic year"[3]

- are often stated with timelines for achievement

- should include the costs associated with them

- may be divided into short and long term

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3 Note that this objective is ...

plans having longer review cycles such as program review plans

♦ are relevant objectives of the Unit Plans that will be review(by the Subject planning committees in a planning process tł is well integrated

♦ are most useful when stated in a way that completion can be demonstrated or observe

Targets or Benchmarks

♦ are an anticipated level of achievement associated with objectives, usually in numerically measurable terms

♦ are specific outcomes that one is "aiming" such as:
- "increase success rate in arithmetic class by 10% by the end of the next academic year"
- "increase the number of transfers by 100 by the end of the next academic year"
- "increase the number of students enrolle(in Web Site Construction 101 by 20% bʏ the end of the next academic year"

♦ can be included within an objective stateme

Activities

♦ are the very specific steps to achieve an objective

♦ are usually not a component of Master Plans but are an essential component of Strategic Plans and are especially useful for Subject Plans and Unit Plans

♦ are often listed with the person indicated who will perform activity

- "arithmetic faculty will hold one office hour per week in the tutorial center next semester and will compare performances of those who do and do not make use of tutorial services"[4]
- "the transfer center director and advisory committee will increase by 25% the number of colleges at Career Day and will measure student satisfaction among participants"[4]

Evaluation

- ◆ is an essential component of plans and the planning process at all levels

- ◆ comprises the methods by which it will be determined that the goals, objectives and activities have been met or completed

- ◆ may include information from:
  - focus groups
  - presentations of completed documents
  - memos or minutes verifying that some activity has been scheduled or has taken place
  - data showing that something has happened more or less frequently
  - documentation of physical equipment or purchases
  - budget expenditure reports
  - research demonstrating achievement of the projected outcome

- ◆ will be used to influence new and revised/updated objectives in a well-integrated planning process

- ◆ may take place in the forms of program review, institutional effectiveness assessment, and measurement of progress towards objectives

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[4] . . . .

Plan timelines: Working backwards from plan due date, establisl planning calendar, considering other related events (e.g., accreditation cycles) and schedules (e.g., school calendar). Allov adequate time for communication, consultation, and building awareness.

Identify needed resources: Resources include appropriate participants, e.g.,
1) planning and research officers,
2) representation from employee groups and college segment
3) leadership,
4) individuals with expertise,
5) writers.

Other resources include
1) examples of similar planning models from other colleges o agencies,
2) technical support (e.g., clerical support, consultants, data sources),
3) event/meeting resources (e.g., facilities, facilitators).
4) communication mechanisms

Finalize planning structure: Is the planning team complete? Hav all stakeholders been identified and involved? Have timelines, meeting schedules, and meeting protocols been developed? Have means of communication and consultation been established?

Examine existing plans: Use existing and previous plans and definitions wherever possible. For example, student outcomes objectives should be standardized and coordinated. The multitude college plans should complement each other; for example, staff development and technology plans should be supportive of each other's objectives.

Articulate or clarify values: This includes both institutional, core values and the development of guidelines for the planning activity being addressed. Values and guidelines help maintain unified

Identify needed information: Think of contextual information as well as specific information, information external to the college as well as internal, trends and future information as well as current. This step is particularly important for community colleges, which are mandated to serve the needs of the community. Types of information include:

- environmental scanning, both internal and external [such as gathering population demographic projections for your service area (external), or level of technology expertise of current faculty and staff (internal)]

- SWOTS (strengths, weaknesses, opportunities, and trends) [for example, the college is located in an area of economic, growth (strength), the college's vocational programs do not represent high growth vocations (weakness), large businesses in the area are very supportive of the college (opportunity), local businesses are increasingly owned by women entrepreneurs (trend)]

- key performance indicators (such as successful course completion rates for instructional units)

- critical issues (such as continual reduction in services provided by city, county, state, and federal governments)

- cross-impact analysis (for example, to what extent will welfare reform, the CSU policy on remediation, and federal testing guidelines affect curriculum and enrollment management)

Use the expertise of a research professional to streamline this step. The more you "think outside of the box" for this step, the better your planning outcome will be.

Obtain needed information: Consider brainstorming, benchmarking, external sources, Internet, community forums, especially with non-traditional "voices," students, staff, retreats, as well as surveying and research studies. Remember that the Board of Trustees officially ___ the external community interests and must be involved.

be appropriately summarized, combined, contrasted, and displaye
order to inform. For example, you may find that participation rate
for your service area have remained stable overall but have declin
for a particular segment of the community. What would such a
finding suggest to you? That the educational needs of the declinir
segment have changed? That the college needs to enhance access
this segment?

Derive implications: A variety of perspectives is necessary to
identify potential implications and significance of a given issue.
Identify relationships among the gathered information, the topics
being considered, and the influence on the future. Classify
information for types of use as it relates to the future of your colle
or your planning task; for example, group information by categori
such as barriers to overcome, changes to be addressed,
improvements to be made.

Step 3: Create Plans

Identify priorities: Identify possible responses to the implications
identified above and then, to prioritize, consider feasibility,
desirability, importance, and timelines of those possible responses.
This step requires substantial discussion to ensure consensus and
focus. This is perhaps the most important step in the planning
process.

Create mission, goals or objectives: Depending on the level of th
plan, translate the priorities established in the preceding step into
mission, goal or objective statements. The statements should be
action oriented and specify the nature of the expected results in ten
of "who," "what" and/or "how." Consider coordination needed wi
other existing plans and transition from previous plans.

Create action plan: Specify the activities and their timelines, and
the sequence necessary to achieve the level of goal attainment.
Include benchmarks, measurable objectives, and an evaluation

Ask: Is this a new activity or a revised way to address a current activity? Will this represent a new and additional staff responsibility, or a change in current responsibilities and resources? Is this a new long-term commitment? Is the activity a set of tasks within a given area of the college or a comprehensive strategy across the college with an annual sequence of steps?

At this point, a written plan is produced, appropriate approvals are obtained, and needed resources are appropriated.

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Step 4: Implement Plans

Monitor that activities are underway and that unforseen hurdles do not interfere with them. Monitor for critical interfaces with approval processes, budget, potential new processes and policies needed. Make mid-course refinements and corrections along the way. Be careful not to micromanage or strangle emerging opportunities. Incorporate new information as it arises while maintaining focus.

Step 5: Evaluate

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This step is really the beginning of a new cycle. An evaluation strategy should have been developed as part of the action plan. Depending on whether the expected result is a college outcome or a measurable objective, gather and publish results on a specified timeline. Provide evaluation information to the planning team, everyone involved in the implementation, and college leadership. Use the evaluation information for modification and refinement of plans and mid-course corrections.

Integrated Planning

One of the most common criticisms of colleges made by accreditation teams is that planning is not *integrated*; that is, planning is often fragmented. This section suggests several ways increase the level of integration of planning.
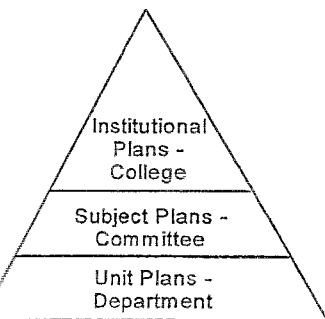
Greater integration is necessary within the:

◆ 3 *levels* of plans - both horizontally and vertically
◆ steps in the planning process: "research & analyze" and "cr plan" (i.e., between *research* and *planning*)
◆ plans and resource allocation

Integrating the Three Levels of Plans

Strategies

Greater integration among the three planning levels (Institutional Subject, and Unit), horizontally and vertically, can be achieved b

◆ having plans at all levels organized around college goals s that Subject Plans and Unit Plans begin with those goals a list their specific objectives under them (see examples in t Appendices)

◆ reviewing plans and objectives from each level when forn plans and objectives at each of the other levels with appropriate give-and-take to assure consistency and coher

◆ creating a planning calendar that coordinates related activ such as submission of the Educational Master Plan, accreditation activities, and program review cycles

◆ having a group responsible for major planning activities a planning coordination

Institutional
Plans -
College

Subject Plans -
Committee

Unit Plans -
Department

Structural Levels

for all students completing programs. In reviewing the Technology Plan, the library staff adopts specific objectives related to computer literacy such as establishing standards for information competency, for their Unit Plan. (Strategy: Unit reviews Subject Plans.)

♦ The physics and chemistry departments in their Unit Plans have objectives to integrate computer modeling into lab curriculum. In reviewing the various Unit Plans, the Technology Committee incorporates integrating computer applications within existing curriculum as an objective in the Technology Plan. (Strategy: Committee reviews Unit Plans.)

♦ The counseling department establishes an objective to acquire a computer to support its on-site assessment of high school students. This objective is incorporated by the Matriculation Committee into the Student Equity Plan aimed at increasing access of students from high schools and into the Matriculation Plan as part of the assessment component; it is incorporated by the Planning Committee into the capital equipment plan as part of the computer acquisition program. (Strategy: Horizontal review of Subject Plans by Committees.)

Activities which support these strategies include:

♦ adopting common planning processes and definitions for use throughout the college

♦ identifying one individual, such as a Planning Officer or Director of Planning, who participates in all planning activities and provides continuity

♦ storing all coded objectives in a database accessible to everyone who is developing or revising a plan

♦ storing all plans in a file cabinet or computer file to which everyone has access

◆ creating ongoing awareness of information as a basis for planning
  - regularly publish trends information and distribute to all faculty and staff
  - bring "futures" speakers to the college
  - post trends information on web sites of public computer folders
  - routinely present research information to key leadership and planning groups

◆ using information as a basis for plans
  - offer kick-off planning sessions in which trends information is reviewed and discussed
  - structure discussions of the possible impacts and implications of trends
  - discuss the possible concrete responses to those trends
  - incorporate advisory committee and community members more fully in planning processes
  - use local institutional research and institutional effectiveness assessments to inform planning
  - provide all planners with a uniform set of key college and demographic data
  - include a section in all plans where relevant background data is cited

Remember the Cycle:
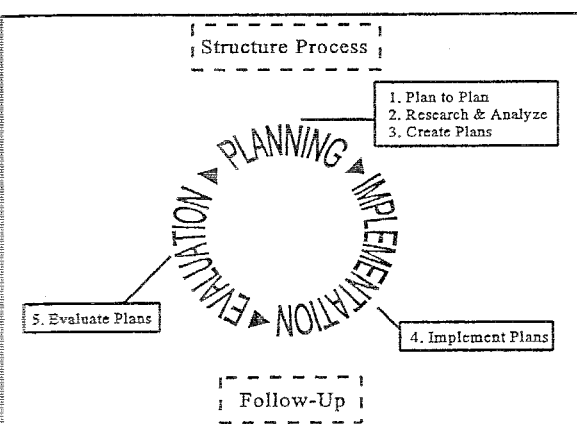
◆ assuring that all plans include an evaluation component which
  - has objectives stated in measurable term
  - identifies the evaluation strategy for eac objective
  - provides feedback mechanisms to planners which are used routinely in the formulation of new and revised objectives
  - directs planners to report evaluation results from Institutional Plans to the

resources

- the budget is prioritized on the basis of objectives developed in the planning process

- the planning and budgeting cycles are coordinated through a widely published calendar in a way that the plans developed in year 1 serve as the source for budget priorities developed in year 2 for funds to be expended in year 3

- planning and budget units and the flow of information are aligned, particularly through a link between the groups overseeing planning, budgeting, and allocation of staff and facilities (when the same people are responsible for both planning and resource allocation, the link is stronger)

- the Board of Trustees expects and requires that connections between goals and resource allocation are explicated

- resources and budgeting are thought of in the broader sense that includes staff time and facilities as well as monetary income, e.g., college goals are met by devoting staff time according to planning priorities both within existing staff assignments and by shifting of staff assignments from one unit to another as college priorities shift

- the college engages in long term financial planning

- enrollment management is recognized as a critical component of planning and resource allocation

Examples

- A process is constructed for the designation of disciplines which will receive new faculty position allocations, with criteria based on college goals and objectives, and with a prioritization system that allows the disciplines to be chosen once the budget process determines the number of full-time faculty positions that can be funded.

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college goals and the unit objectives within those goals, using the basic rule that, "If it's not in the plan, you don't even get on the list!".

♦ The prioritized list of budget requests is used both to allocate revenues and, for those not funded, to seek additional monies from the college foundation, businesses, grant agencies, etc.

♦ "Soft" money (revenues which may or may not materialize) are carried in the budget as reserves and then allocated when they are received by looking at the prioritized college objectives.

♦ Categorical funds are specifically addressed in Unit Plans and unit budget requests, with these requests prioritized on the basis of college objectives; e.g., with instructional equipment funds: each unit requests equipment to carry out its objectives, a college committee prioritizes those requests, the budget process determines the expected revenue available for instructional equipment, and the equipment is funded as far down on the list as money allows (if soft money is held in reserve, the equipment at the top of the list is funded when money is received).

♦ As a transitional strategy for colleges which are working toward fully integrating planning and budgeting, a certain portion of the revenues are set aside and used to fund projects based on the prioritized college objectives.

♦ Budget and planning integration is assisted by either having the same committee do both tasks or, if separate committees are used, their activities are coordinated by joint meetings in which the college plans developed that year are "handed-off" to serve as budget priorities.

♦ Fund balances at the end of the fiscal year are carried over use by the unit to achieve their on-going objectives in the next year (rather than sweeping ending balances into the general fund thus encouraging random spending at the end of the

PLANNING RESOURCE GUIDE

#2

THE RP GROUP

2/1999

How to Assess the Status of
Your Plans and Planning Process

Linda Umbdenstock
Dean of Planning
Long Beach City College

Is your college mired in a multiplicity of routine, static plans and planning processes? Is planning just a dreaded paper exercise? Do you wonder where to start with your next planning efforts?
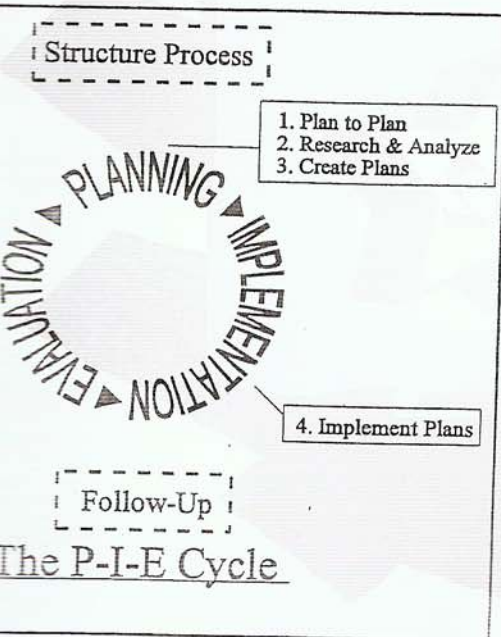
Rarely do colleges have the luxury of starting with a completely blank page—creating all of a college's planning processes from scratch. Nor can a college simply start "at the beginning" of a neat and comprehensive linear planning process, when so much is already in operation, routine practices have been established, and so many plans are built into a wide variety of existing processes. However, using the planning steps (see attachments, pages 2.6 through 2.9) of the Plan-Implementation-Evaluation cycle, a college can use its knowledge, experience, and values to create an improved process without throwing everything out and starting over, which can be demoralizing rather than refreshing/renewing.

Following are strategies for assessing and refining your planning process if you are:

- Starting a new process

- Renewing or refining

- Preparing a self-study review of planning, and

- Reviewing the institutional plan itself.

Worksheets for these efforts are attached.

Structure Process

1. Plan to Plan
2. Research & Analyze
3. Create Plans

4. Implement Plans

Follow-Up

The P-I-E Cycle

PLANNING · IMPLEMENTATION · EVALUATION

To start a brand new planning process:

The guiding principle is to balance efforts across the five planning steps (See pages 2.6 through 2.9) and to get started.

- ◆ Secure planning expertise from inside and outside sources. This may be particularly valuable for starting up large scale efforts such as master planning

- ◆ Assess what there is to work with already. (See page 2.7)

- ◆ Determine the extent of a reasonable first effort. Whether this is for master planning or another type of planning, which planning activities in each step will produce the greatest results within six months to a year? What can be realistically produced based on your staff's energy level?

- ◆ Combine current activities and the essential additions into a good basic plan and planning process without overwhelming resources and endurance.

To renew or refine your planning process:

The guiding principle for this type of effort is to balance feasibility with potential impact, and integrate appropriate research and evidence of progress. Each step of the planning process, when improved, can yield higher quality plans with more potential for impact.

- ◆ Assess your status using principles of good practice in planning (See page 2.8)

- ◆ Build on the components you have and revise those that can be improved.

To prepare for accreditation and reviewing your planning process:

Strive to achieve coordination of all college plans; for coordination of plans with resources for effective implementation; to use research findings to derive priorities and evidence to document achievement; and for appropriate participation of the college community.

- ◆ Assess your status using accreditation standards (particularly Standard 3, Institutional Effectiveness).

◆ Assess that institutional planning processes are widely disseminated, *generally* understood and participated in by all areas of the college ("Understanding" depends on the level of involvement in the planning process).

◆ Assess the extent to which the plans result in demonstrable changes in student outcomes and learning.

To assess the institutional plan and planning structures:

◆ Ask whether you have all the parts necessary to achieve the mission of the college:

- Statement of vision and mission, or purpose;

- A comprehensive plan for the educational programs and services, including the resources needed (staff, facilities, equipment, etc.);

- Measures of outcomes (such as degrees, certificates, transfers, basic skills completion, etc.);

- Growth or development objectives and measures of progress (e.g., a five-year phased-in technology development plan may include annual benchmarks of installation, use, increased learning, efficiency, etc.);

- A set of manageable priorities (not an endless list) with clear timelines and clear assignments for individuals, units, and task teams;

- Budget and resources plans;

- Staff development plan;

- Facilities and maintenance plan;

- A college effectiveness process that assesses outcomes and tracks progress.

◆ Ask whether plans are integrated with the operational processes of the college. Do plans feed decisions about: resource allocation decisions, budget, staffing assignments, capital outlay, hiring, facility modifications, conference and workshop requests, sabbatical leave requests, course scheduling and sequencing, curriculum development and standards processes, marketing and outreach, course design and delivery, etc?

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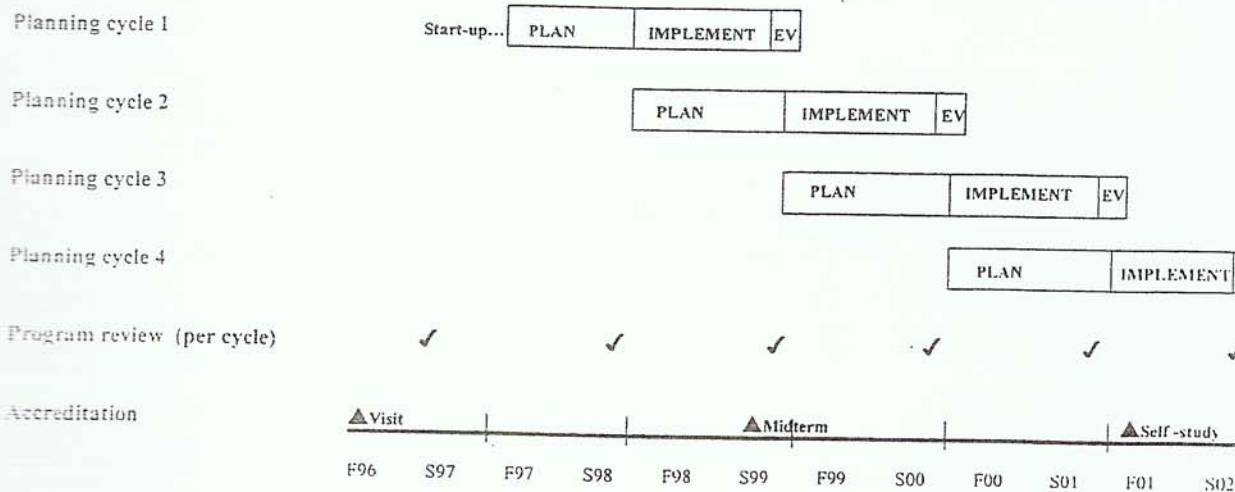
Typically, colleges conduct assessment of college-level plans either annually or as part of a three or five year cycle. Unit and subject plans (see *Planning Resource Guide #1*) also require assessment. Groups assigned to assessing standards for the self-study process assess planning from another, broader perspective, however. **Ideally, these cycles and groups are specifically coordinated.**

The following worksheets offer practical questions to ask about your planning processes and plans. The worksheets can be used between planning cycles to make improvements for the next cycle. Because several planning cycles are usually going on simultaneously, this assessment process can be complex. The diagram below indicates a typical three-year cycle where assessment of the planning process is useful.

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PERIODIC EVALUATION & REVIEW CYCLES

Planning cycle 1	Start-up...	PLAN	IMPLEMENT	EV							
Planning cycle 2			PLAN	IMPLEMENT	EV						
Planning cycle 3				PLAN	IMPLEMENT	EV					
Planning cycle 4					PLAN	IMPLEMENT					
Program review (per cycle)	✓	✓	✓	✓	✓	✓					
Accreditation	▲Visit			▲Midterm			▲Self-study				
	F96	S97	F97	S98	F98	S99	F99	S00	F00	S01	F01	S02

Cautions in Planning

Suboptimization

This is a systems term for doing the best at the unit level but not doing the right thing at the macro level. The focus is on each unit. Suboptimization may not be the most strategic thing to do to address college mission issues, however. Suboptimization is the result of a too narrow focus to achieve the kind of results necessary for our students, although it is a natural response to "where we live and what we know intimately." Optimized college planning is more than a collection of unit plans.

Dreaming, doing, wish lists and rewards

Some view plans as vision statements; others view them as action statements. These different perceptions can lead to conflict in group discussions. The truth is, neither is sufficient by itself, and the planning process needs to develop and link the two. Vague plans tend to reinforce a wish list approach--often leading to mere ranking of proposed items rather than addressing the external context. Since wish lists can never be funded in their entirety, an excuse to drop out of the process, since it's not worth the effort, emerges.

Politicization: Who sits at the table; numbers vs. function and expertise

A classic conflict occurring in the planning process is the endless debate about how many of each group sit at the table. The result is often unmanageable numbers, impossible coordination of schedules, and extensive time taken away from the other work of the college. In this scenario, people are not chosen for the balance they bring in terms of perspectives and expertise. Rather, they are chosen according to the Noah's ark theory of balance of derived categories. Sometimes hardened positions are brought to the table before the discussion process even begins.

> *Chaos theory holds that many seemingly random activities... evidence complex, replicated patterns. The behavior of these systems is nonlinear."*
>
> *Marc Cutright*

The trouble with (and beauty of) chaos in planning

There are two kinds of chaos: a perception of being out of control or controlled by external forces, and an apparent randomness that has hidden patterns that will eventually reveal themselves (mathematical and physical chaos). The former leads some to think that planning can be a waste of time; just go with the flow. Everything is always up for grabs. The latter says that there are some fundamental patterns that can be discerned and acted upon if we are patient observers. Planning and planning outcomes do not always occur in a linear, expected fashion.

Steps in the Planning Process
(from Planning Resource Guide #1)

Structure the Planning Process
- ◆ Form the planning team within the shared governance structure of the college. Identify scope of work, due dates, and coordination responsibilities.

Step 1 — Plan to Plan
- ◆ clarify planning task
- ◆ plan timelines
- ◆ identify needed resources
- ◆ finalize planning structure
- ◆ examine existing plans, their outcomes and relationship to this plan
- ◆ articulate or clarify values and/or guidelines

Step 2 — Research & Analyze
- ◆ identify needed information
- ◆ obtain needed information
- ◆ incorporate evaluation information from prior planning efforts
- ◆ from information, develop assumptions and forecasts, and identify issues
- ◆ derive implications and potential impacts

Step 3 — Create Plans
- ◆ from implications and impacts, identify priorities for your plan
- ◆ create mission, goals, or objectives
- ◆ create action plan (strategies and activities to meet goal(s), resources, timelines, responsibilities)

Step 4 — Implement Plans
- ◆ integrate action plans into appropriate operational processes
- ◆ conduct strategies and activities

Step 5 — Evaluate
- ◆ evaluate progress towards goals on a specified ongoing basis
- ◆ modify goal strategies and activities appropriately

Follow-up to the Planning Process
- ◆ Evaluate the effectiveness of the planning process accordingly.
- ◆ Assure alignment of all related plans.

Steps 1–3 grouped as: **PLANNING**

Steps 4–5 grouped as: **IMPLEMENTATION**

Evaluate and Follow-up grouped as: **EVALUATION**

These are the planning steps to be used as reference points for the assessment exercises/worksheets on the following pages.

(left margin, rotated text): PLANNING ▸ IMPLEMENTATION ▸

Assessment When Starting a New Planning Process

PLANNING STEP	START-UP	NOTES
Structure the Process	■ What type of plan is being developed? (master plan, department plan, subject plan?) ■ Are shared governance structures in place to support the process? ■ Is it clear how the work of this planning effort relates to others? What product feeds what other effort, when? ■ How ingrained is a culture of planning and a culture of evidence? ■ Are both expertise and representation considered in the process?	
Step 1: Plan to Plan	■ What plans already exist? (Inventory past and related efforts including accreditation self-study evaluations.) ■ Are there documents to review? Support staff to draw these together? ■ Are there "living history" resources? ■ Is there a master calendar for planning? ■ What vehicle is likely to bring participants to a common understanding of the task?	
Step 2: Research & Analyze	■ What campus research already exists? ■ What other research exists that suggests common knowledge? (I.e., distinguish what needs new research vs. what is generally known in the field.) ■ What external research and scanning sources about the college's service area are pertinent? ■ Are there gaping holes in available information? ■ Who is needed to assist in the identification, synthesis, and analysis of the core issues about current college status, external needs, future trends related to this particular planning effort?	
Step 3: Create Plans	■ Is there already a compelling set of priorities arising out of a solid sense of the community and students to be served? Are these priorities widely shared? ■ Do the same issues come up in different plans? ■ How significant, concrete, detailed, coordinated are suggested programs, and activities? Is there a vast accumulation of "what somebody needs to do," pet peeves, personal beliefs, or a focused college direction with implications for this planning effort?	
Step 4: Implement Plans	■ What are the big new initiatives? Is this planning effort complementary with them or a whole new area? ■ How much is the college able to sustain or integrate into its on-going operations and resources?	
Step 5: Evaluate Plans	■ What are the most recent accomplishments on which to build? ■ What are the major issues arising out of past efforts?	
Follow-Up: Review the Process	■ What impact have past planning efforts had in this area? What was learned that can inform this process?	

Assessment When Refining/Renewing the Planning Process

PLANNING STEP	Review/Renew	NOTES
Structure the Process	▪ What were the parameters for the process when planning was initiated? Are any changes? ▪ Is any simplification or amplification needed? ▪ How ingrained is a culture of planning and a culture of evidence? What difference has this made in communications, speed, and political aspects of the planning? ▪ Is there sufficient expertise, training, and participation?	
Step 1: Plan to Plan	▪ How clear was the process when it started? Is it clearer now? What was learned? ▪ Are the timelines and resources for planning adequate? ▪ Is there a master calendar for planning? Is it well balanced for analysis and action?	
Step 2: Research and Analyze	▪ What information from what sources was used, and how, in the planning process? Is there a sufficient amount of external scanning or community participation, or is the plan totally internally driven? ▪ What information is needed next to advance the process? Is the process becoming more grounded in research evidence? ▪ Is the available data summarized effectively so time can be focused on issues and analysis of desirable courses of action? ▪ Is time spent on analysis, or on trivial data details?	
Step 3: Create Plans	▪ What goals/objectives/actions were developed? ▪ How clear and compelling are the priorities for the plan? Did they arise out of a solid sense of the community and students to be served? Are they widely shared? ▪ How significant, concrete, detailed, and coordinated are suggested strategies, activities?	
Step 4: Implement Plans	▪ What was actually implemented? ▪ How was it operationalized? ▪ Are all planning efforts integrated? Is increased coordination of activities necessary? ▪ How feasible was the plan? Was it merely a list of "to do's" or a wish list? ▪ Did priorities guide resource and time and effort decisions?	
Step 5: Evaluate Plans	▪ Were objectives measurable? ▪ Were they monitored? What progress was made on the objectives? ▪ How do people feel about it? Are they aware? ▪ What changes affected the plan? Do changes indicate healthy adjustments or need for improved feasibility awareness? ▪ Which accomplishments require a next step or institutionalization on a more permanent basis for continuity and growth?	
Follow-Up: Review the Process	▪ What was the impact of the plan? Did it focus on the right things? ▪ What was learned that can inform this process? What needs to be changed? ▪ What additional coordination among plans is needed?	

Assessment When Preparing for Accreditation

PLANNING STEP	Discussion and Evidence for Accreditation	NOTES
Structure the Process	▪ Is the process clearly articulated and participatory? Do all groups and areas of the college (not necessarily all individuals) know about it and have a chance to participate?	
Step 1: Plan to Plan	▪ Is there a portfolio of what was initiated and accomplished each year in the process? Prepare a summary chart of it. ▪ Is there an operational master calendar for planning? ▪ Is the planning process comprehensive and strategic--or merely a collection of wish lists?	
Step 2: Research and Analyze	▪ Is planning based on evidence (both research to develop plans and evaluation of past efforts)? List the research and how it is used to derive priorities and strategies for action. ▪ Is there a match between the college research agenda and the planning process?	
Step 3: Create Plans	▪ Do plans further the mission of the college? ▪ Do they propose improvement? ▪ Are the results that are sought measurable? ▪ Are plans systematic and integrated? ▪ Are priorities clear? ▪ Are the plans published? Are they updated?	
Step 4: Implement Plans	▪ How do the pieces fit and flow? Do they work in sync to achieve the desired goals--or are they merely competitive for resources? ▪ Does all resource planning tie to the program and service priorities of the college's planning process? What evidence is there that when the plan was considered, drove the operational decisions?	
Step 5: Evaluate Plans	▪ Is planning results-oriented? Is its effectiveness the measure of its worth? ▪ What do outcomes, especially learning outcomes show? Is there evidence that indicators of outcomes are tracked over time and used? ▪ Are there routine evaluation or effectiveness reports?	
Follow-Up: Review the Process	▪ Is the process capable of indicating significant ways for the college to improve (or is it too cumbersome or superficial)? ▪ What evidence is there that advances in the process were achieved which resulted in improved programs, services, outcomes for students?	

Planning Linkages

Julie Slark
Executive Director of Research, Planning, & Development
Rancho Santiago Community College District

Optimally, plans and the planning process of a college are instruments of integration—integration of all of the critical activities and functions of an institution. It is through coordination of planning processes that coherent action can be taken and comprehensive institutional effectiveness can be achieved. In addition, ensuring planning linkages can enhance the power and viability of your college's plans. Important planning linkages to be discussed in this chapter include:

♦ Linking planning and resource allocation
♦ Linking all college plans
♦ Linking planning and decision making

Making these connections will provide mechanisms that make planning effective. Plans without linkages to resources that make plans happen, including financial, staff, facilities, and equipment resources, are among the plans gathering dust on the shelf. Furthermore, our complex colleges have many plans and levels of plans---unit plans, college plans, subject plans, to name a few, all need to work together and not at cross purposes in order to maximize outcomes. Also, plans that are not reflected in the big decisions as well as day-to-day operational decisions are moot.

Most of us, however, have not mastered the strategies for creating these important relationships in our complex and dynamic environments. ACCJC has cited such planning-related deficiencies as a major finding of most accreditation visiting teams. Following are some specific suggested strategies that can contribute to making sound connections among planning-related activities.

> he new (1997 edition)
> ASC/ACCJC Standard 3,
> stitutional Effectiveness,
> knowledges that planning linkages
> present good practice by requiring
> e following:
> d. 3.B.3 - The institution engages
> systematic and integrated
> ducation, financial, physical, and
> uman resources planning and
> plements changes to improve
> ograms and services.

First and foremost, a college planning calendar and a graphic of th
college planning structure are important to ensure that research, t
variety of college plans, and budgeting are appropriately sequence
for coordination and included in the processes. A comprehensive
process which weaves together the many planning and budgeting
schedules, as well as the participants involved in each, can then be
more easily depicted and created.

Linking Planning and Resource Allocation

Plans provide your college with its resource allocation priorities, potenti
making budgeting a fairly technical task. However, it is the college
leadership that ensures that this connection occurs. Clear intentions and
follow through by decision makers are imperative.

To link planning and resource allocation:

- Identify needed resources (funds, facilities, staff, equipme
  and other resources) for each goal and objective in all plar
  Ultimately, when all plans are compiled, a prioritization
  process will be necessary. Those projects which support t
  priorities with the greatest potential for impact and
  efficiency will be evidenced in the use of resources.

- Resources need to be thought of in the broadest sense,
  including staff time, e.g., college goals are met by allocatir
  staff according to planning priorities both within existing
  assignments and by shifting staff assignments. Because 8(
  to 90% of our expenditures are for existing staff and only :
  small percentage of our budgets are discretionary, the best
  way to implement plans is through allocation of faculty and
  staff time. Also remember that facilities represent a valuab
  resource and that prioritization for their use should parallel
  college priorities.

- Priorities identified in the planning process have both <u>long-term</u> and <u>annual</u> implications which form the basis of the
  annual budget.

- Use unit plans and program review reports and
  recommendations as the mechanisms and source documents
  for budget, equipment, and new staff requests, rather than
  creating new, stand-alone processes and forms. To do this,
  incorporate into program review criteria the information
  needed for resource allocation prioritization and use the
  actual program review and planning documents as the

allocation request form or paperwork required for submitting requests.

- Boards of Trustees and other leadership expect and require that the budget they approve is based upon previously identified plans, goals, and objectives. Except for special circumstances, resources should only be allocated for activities that currently exist in the plans. (However, an environment in which funding is seen as a reward for engaging in planning is not the goal here.)

- Recognize that enrollment management is a critical component of planning and resource allocation. By planning and budgeting for enrollment, not only can resources be maximized, but enrollments will reflect college priorities.

- Coordinate planning and budgeting calendars (see one such calendar attached on page 4.7) so that plans which are intended to drive budgeting are in place before the budget allocation process begins.

- Recognize that reallocation of priorities and resources is critical to the implementation of plans. We can not do new things without giving up old things.

- Use plans and resulting resource allocation priorities for the allocation of unanticipated revenue, which California community colleges often receive.

- Use plans and resulting resource allocation priorities for identifying which grants the college will seek and for the development of grant proposals. There are also a variety of special developmental funds within the college that are not always managed within mainstream budgeting processes (e.g., curriculum development, staff development, college foundations); expenditures from these funds should also be responsive to college plans and goals.

- Provide continual feedback and communication to the college community regarding decisions made relative to resource allocation. Reference college plans and priorities. This will reinforce credibility of the process and will serve to further ensure the linkage in the future.

- Many colleges and universities create a special-emphasis fund using one to two percent of the college's general fund. These funds are allocated to those who propose to use the funds for activities addressing college or department goals.

- Review expenditures in relation to plans, for a "reality check," at the end of the year.

◆   Include a financial plan and a human resources plan, reflective of the college vision, mission, goals, and other plans, within the college's master plan.

Linking All Plans

Your college has a variety of plans: student equity plan, five-year facilities plan, matriculation plan, strategic plan, to name a few. (Attached to this section, on page 4.8, is a listing of the many planning-related requirements for California community colleges). Ensuring coordination among these maximizes the potential for achieving progress towards their implementation and enhances the college's efficiency. Often, however, these plans are each created in isolation, at different times, by different groups, resulting in a lack of coordination. Here are some ideas for streamlining all plans:

◆   When creating a new plan or revising a plan, review all existing college plans to identify where there is overlap in topics and where coordination may be needed, to mitigate potential redundancy.

◆   Organize all plans around the college vision, mission, and broad college-wide, umbrella-like goals (e.g., "enhance student access," "enhance student success," "enhance cost-effectiveness").

◆   Have one group (e.g., a "Planning Council") and one planning officer who reviews all plans and assumes overall responsibility for all planning coordination.

◆   Maintain a comprehensive diagram of the college's plans; the diagram should depict coordination and reporting relationships among the plans and the committees/individuals responsible for each plan. Arrows and lines between plans should include a delineation of coordination steps--time lines, responsibility assignments, tasks to be done, and products, guidelines and information which feed another group's actions.

◆   Publish and disseminate all plans widely, in simple, concise, clear formats.

◆   Limit the number of planning objectives in each plan so that implementation of all plans is manageable.

- Coordinate college planning with self-study/accreditation processes. Self-study "plan" sections and visiting team recommendations need to be considered as priorities within the college's plans.

- Adopt a cohesive planning process and common planning definitions for use throughout the college. To do so, include all plan time lines on a master college planning calendar, and use the planning definitions (e.g., for "mission," "vision," "goal," "objective") suggested in the first RP Group *Planning Resource Guide*.

- Combine all college plans in one document, the college's master plan.

Linking Planning and Decision Making

A clear distinction between decisions that are the domain of planning groups and decisions that are the domain of operational departments and units is paramount. Planning typically identifies policy-related directions and goals; units, departments, and line staff and supervisors operationalize policies developed through planning, identifying themselves the best way to accomplish college goals. To link planning and decision making:

- Clarify planning-related roles and responsibilities explicitly. Distinguish among authority, responsibility, coordination, and advisement. Be sure that these delineations are clear in job descriptions and committee purpose statements.

- Remember that plans are recommendations; committees don't usually make binding decisions. Further, plans must remain flexible for a changing environment and circumstances.

- Implement processes to ensure that representatives to planning-related groups are responsible for providing accurate and timely information to their constituencies and for conveying major issues and concerns. This dissemination function is critical for full understanding of priorities.

- Ensure broad participation in planning so that all constituencies have agreed on the priorities and so that everyone is aware of plans.

- Disseminate plans widely and use a variety of communication vehicles to ensure that all faculty and staff are aware of priorities.

- Identify major policy-related decisions and actions routinely made at the college (e.g., submission of the Five Year Plan, enrollment management decisions), and ensure that the time lines for these decisions are written into planning time lines and structures.

- Implement plans through regular, operational, routine channels, programs, and decision making processes, NOT through "add-on," superimposed processes and programs.

- Ensure that there is coordination and alignment between college level and unit level plans. Plans of the college are dependent upon plans of the units, and vice versa.

- Set realistic goals; otherwise it is impossible to make responsible decisions which are also responsive to goals. For example, a goal to "be the best community college in the nation" can be used to frame specific programs, specific outcomes, and realistic objectives, such as, "Long Beach City College will be number one in California in the transfer of Latino students to the U.C."

Ultimately, the integrity of your college's plans is dependent upon the intentions, actions, and **decisions** of college leaders. **Planning will be linked with decision making when, and if, the college leadership follows through to ensure implementation of plans.** We all must "walk the talk." Whether actions occur in the Academic Senate, executive councils, ASB, or at the department or committee level, all need to invoke the plans to be responsible for linking planning and decision making. This most critical link is maximized by responsive leadership and by effective planning processes outlined in this *Guide*.

		Jan	Feb	Mar. April	May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar. April	May	June	July	Aug	Sept	Oct	Nov
		1998					**1998-99**											**1999-2000**				
Assessment		Ongoing program effectiveness assessment and program review, by department, recommended every four years				12 Measures of Success											Evaluation of progress towards goals. / 12 Measures of Success					
Enrollment Management		P1 enr. report	P1 fin. report rec'd			P2 enr. report rec'd							P1 enr. report Assess FTES	P1 fin. report rec'd			P2 enr. report rec'd					
Budgeting	State	Governor Proposes Budget			May Revise		State Adopts Budget						Governor Proposes Budget FTES Assess			May Revise		State Adopts Budget				
	District		Budget Assumptions Determined/ Request Budgets Distributed for 98-99		Board Reviews Assumptions for 98-99	Board Adopts Tentative Budget for 98-99		Budget Presentation for Board for 98-99 / Board Adopts Budget for 98-99			Board identifies budget priorities for 99-00			Budget Assumptions Determined/ Request Budgets Distributed for 99-00		Board Reviews Assumptions for 99-00	Board Adopts Tentative Budget for 99-00		Budget Presentation for Board for 99-00 / Board Adopts Budget for 99-00			Board identifies budget priorities for 00-01
	Colleges				Request budgets due to district											Request budgets due to district						
Planning	District	Create planning and budgeting processes. / Review/modify district mission statement. / Prepare for creation of Educ. Master Plan					Educational Master Planning															
	Colleges	Create planning and budgeting processes. / Create/review mission statements. / Create goals for 1998 & 1998-99.				Draft 5-Yr. Facilities Plan	Educational Master Planning / Implement goals.					5-Year Facilities Plan due					Draft 5-Yr. Facilities Plan		Review mission statements / Board reviews vision. Board creates 1999/2000 thru 2001/2002 goals. Chancellor creates goals.		Create 1999/2000 thru 2000/20	
Accreditation	SAC	Prepare for self-study Implement accreditation standards.					Self-study															Visit
	SCC	Continue to implement recommendations. Implement new accreditation standards.																			Prepare for self-s...	

Planning-Related Requirements for California Community Colleges

Required by State Law or Regulation
1. Matriculation Plan
2. Transfer Center Plan
3. EOPS Plan
4. DSPS Plan
5. Student Equity Plan
6. Staff Diversity/Affirmative Action Plan
7. Prerequisite Review
8. Vocational Program Two-Year Review
9. College/District Comprehensive Plan
10. Safety Plan/Disaster Plan/Hazardous substance (CalOSHA)
11. Staff Development Plan
12. Cooperative Work Experience Plan, if program exists

Required for State Funding Eligibility
1. Capital Outlay Plan (Facilities 5 Year Plan)
2. Educational Master Plan
3. Deferred Maintenance Plan

Required for Accreditation
1. Institutional Self-Study
2. Program Review

Other Typical Plans (not required)
1. Accountability (recommended by Board of Governors)
2. Technology Plan
   - Academic Computing
   - MIS
   - Student Services
   - Facilities
3. Telecommunications Plan
   - Infrastructure
   - Networking of computers
   - Distance Education/Technology-Mediated Instruction
   - Teleconferencing