

**FRAMEWORK  
FOR PLANNING:  
A UNIT-LEVEL  
PLANNING MANUAL**

**Appalachian State University  
December 1999**

## TABLE OF CONTENTS

PREFACE	1
Strategic Planning Commission	3
A GUIDE TO UNIT-LEVEL PLANNING AND EVALUATION	4
Major Planning Units and Reporting Units	5
APPENDIX A – PLANNING FORMS	8
APPENDIX B – SCHEDULE FOR 2000-2001	16
APPENDIX C – MISSION STATEMENT AND EDUCATIONAL GOALS	17
APPENDIX D – STRATEGIC PLANNING STATEMENT, 2000-2005	20
APPENDIX E – APPALACHIAN’S STRATEGIC PLANNING MODEL	22
APPENDIX F – STRATEGIC PLANNING: A GUIDE	29
APPENDIX G – GLOSSARY AND BIBLIOGRAPHY	35

## PREFACE

This edition of the planning manual guides campus departments through the unit-level institutional effectiveness planning process of Appalachian State University during 2000-2001. It also serves as a reference to strategic planning in general and as an instruction manual for conducting planning and evaluation at the university.

Each edition of the planning manual includes changes intended to enhance the planning process and institutional effectiveness at Appalachian. Primary differences in this edition is that units are asked to (1) relate programs, activities, services, projects, and operations specifically to Appalachian's *Strategic Plan* and (2) think specifically in terms documenting "institutional effectiveness" as that phrase is understood in the Southern Association of Colleges and Schools' (SACS) *Criteria for Accreditation*.

Key pages of this manual to be noted are:

- Appendix A, pages 8-15, Planning Forms
- Appendix B, page 16, 2000-2001 Planning Schedule

The planning forms provide a common format for all units to follow in preparing their institutional effectiveness plans and accompanying resource requests. The schedule contains target dates by which certain documents should be available.

Inquiries about this manual or its contents should be addressed to:

Bobby Sharp  
Director of Institutional Research and Planning  
262-4090  
sharpbh@appstate.edu

## **Mission and Membership of the Strategic Planning Commission**

All non-facilities planning activities at Appalachian occur under the aegis of the Strategic Planning Commission (SPC), co-chaired by the Chancellor and by the Provost and composed of approximately 30 administrators, faculty, staff, students, and alumni. The SPC is charged with assisting the Chancellor and Provost in strategically positioning the university for the immediate and longer-term futures. It provides broad-based participation in articulating the strategic directions for the university to follow over time.

Since 1994, the SPC has:

- reviewed and recommended changes to Appalachian's mission statement;
- reviewed and endorsed a Vision for Technology and a Technology Plan for Appalachian;
- engaged in a series of visioning retreats designed to articulate Appalachian's vision for the next decade;
- participated in two planning retreats with representatives from 20+ campus advisory groups;
- participated in a planning retreat with members of the campus community; and,
- prepared the 1998 edition of the Strategic Plan.

The SPC regularly reviews the university's vision, mission, and Strategic Plan and exercises oversight of the Strategic Plan's implementation. Through annual reports and reviews of performance indicators and other evidence, the SPC monitors progress in the Strategic Directions and gives specific guidelines and emphases to university planning units when they prepare their biennial unit institutional effectiveness plans. Unit plans thus incorporate emphases and themes identified by the SPC for the particular planning period.

**Strategic Planning Commission**  
**1999-2000**  
 (November 1999)

Chancellor (serves as Chair)	Frank Borkowski
Provost and Executive Vice Chancellor (serves as Co-Chair)	Harvey Durham
Vice Chancellor for Student Development	Greg Blimling
Vice Chancellor for Business Affairs	Jane Helm
Vice Chancellor for Advancement	Siegfried Herrmann
Executive Assistant to the Chancellor	Gail Hearn
Director of Human Resource Services	Len Johnson
Academic Deans	Charles Duke (Education) [2002] Judith Domer (Graduate) [2001]
Chair of the Council of Chairs or Appointee	Susan Cole (Theater & Dance)
Faculty Members	Stella Anderson (Faculty Sen. Chair) Mike Moore (Fac. Sen. Campus Plng Cmte.) Edelma Huntley (Graduate Council) Joan Woodworth (Arts & Sciences) [2001] David Phoenix (Business) [2002] Sally Atkins (Education) [2002] Jim Toub (Fine & Applied Arts) [2001] Virginia Branch (Library) [2002] Joseph Amaya (Music) [2001]
Staff Members	Shelley Wainscott (Staff Council President) Susie Beasley (Human Resources) [2002]
Undergraduate Students	Sam Searcy (SGA President) Shiona Christensen (SGA Appointee)
President of the Graduate Student Association	Glen Altemose
Chair of the Black Faculty/Staff Council	Kelly Rhodes
Associate Vice Chancellor for Enrollment Services/Director of Admissions	Joe Watts
Alumnus	Julia Adams
Associate Vice Chancellor for Student Development	Bob Feid
Director of Institutional Research and Planning	Bobby Sharp
Members at Large	Peter Petschauer (History) [2001] Pat Reighard (Fine & Applied Arts) [2002]

# **A GUIDE TO UNIT-LEVEL PLANNING AND EVALUATION**

## **The Appalachian State University Planning and Evaluation Process**

### **History of Planning at Appalachian**

Appalachian's planning process over the past fifteen years was initiated during a 13-stage nontraditional self-study for SACS. Begun in 1979 and completed in 1981, this process included an assessment of Appalachian's past, of societal trends, and of alternative futures. It culminated in a formulation of broad institutional objectives and policies that subsequently has evolved to the present practices.

In many ways, the process entailed applying the techniques that subsequently have become identified with environmental scanning. Statements of external trends that were adopted during the self study have been adopted and modified over the years by the Committee for Institutional Studies and Planning (CISP) and published biennially as the "Strategic Planning Statement" within the *Framework for Planning: A Unit-Level Planning Manual*.

During 1993-1994, a 'bottom-up' year of the biennial planning cycle, CISP assessed its role and the effectiveness of the planning model in place at Appalachian. It proposed to change the scope and composition of the primary planning group to become a Strategic Planning Commission that included more stakeholder groups and is co-chaired by the Chancellor and Provost/Vice Chancellor for Academic Affairs. The Commission held its initial meeting in January 1995.

Separate task forces currently reexamined Appalachian's mission, programs, resources, and technologies. Campus-wide strategies for achieving Appalachian's mission and values were articulated during 1996-98 and published in the *Strategic Plan* in December 1998.

Planning at Appalachian has evolved with changes experienced by the university. The effort continues to be one of strategically placing Appalachian within social, political, economic, and demographic contexts. Appalachian's successes over the past two decades can be attributed to good people, good fortune, and good planning.

### **Appalachian's Planning Process**

Appalachian's rolling, five-year planning process is designed to coincide with the biennial budget cycle followed by the University of North Carolina Board of Governors. A biennial review and revision of budget requests and a quadrennial review and revision of the five-year unit plan assures that unit planning remains a current and familiar part of Appalachian's organizational climate.

Combining a five-year planning period with a biennial budgeting cycle can be confusing to participants, but the two efforts complement each other. The longer time horizon of the plans provides the framework within which biennial budgets are prepared. Each biennial budget thus reflects the collection of missions and goals articulated by the University's planning units. Biennial budgeting also provides a systematic process for reviewing and revising five-year plans.

Planning at Appalachian assumes two things: (1) it requires periodically reviewing and revising mission statements, assumptions, premises, issues, goals, objectives, strategies, results, and evaluation measures and

(2) each time this process is repeated, units learn more about themselves, particularly how to improve the way they work and the results of their work.

Appalachian's planning process can be characterized as a top-down/bottom-up process, depending upon the phase in a biennium. During one phase of the planning process, assumptions and trends are articulated by the Strategic Planning Commission to be incorporated by all units into their unit plans. During another phase, units throughout campus develop define issues and articulate goals, strategies, and measurements that are then combined to form a comprehensive University plan.

In the context of the two-year planning cycle, the Strategic Planning Commission takes a university-wide perspective. This is done in order to establish a common direction that can provide a general framework within which unit-level plans can be developed and modified each biennium.

The Strategic Planning Statement (Appendix D, pp. 20-21) for the university includes a brief description of external and internal trends and events that influence Appalachian at the present time and anticipated during the planning period. Campus planning units may be affected in different ways by these trends and events, but their impacts are significant and must be taken into account in university planning and decision making.

During 2000-01, the bottom-up phase of the planning cycle occurs. The offices involved are generally those identified on the Appalachian organizational chart. Each vice chancellor is responsible for initiating the planning effort among those areas reporting to him; and the persons heading those areas (associate vice chancellors, deans, directors) are, in turn, responsible for initiating planning among any departments or offices reporting to them.

Those areas defined as "major planning units" (pp. 6-7) are responsible for directing the planning activities of the units reporting to them, reviewing the reporting units' plans, and incorporating approved proposals into a comprehensive planning statement for the entire area. These comprehensive plans will be shared with sub-level units to insure communication between all university levels. A final comprehensive document will be prepared to consolidate the divisional plans into a campus-wide statement of intention.

Thus, while guided by the Strategic Plan, individual planning units have the opportunity and responsibility to shape the specific directions that will constitute the comprehensive indicators of institutional effectiveness. This documentation, in turn, will have a significant impact on decisions about new program requests, resource allocation and reallocation, and Expansion Budget and Capital Improvements requests.

### **Major Planning Units and Reporting Units**

The success of Appalachian's planning process depends upon each organizational level of the university taking the process seriously. Major planning units should follow the same basic process as reporting units, but obviously at a consolidated level of detail. To avoid misunderstanding or disappointment, the head must respond frankly to each reporting unit's plan and discuss instances where he or she cannot support the plan. Elements of reporting unit's plans that receive his or her support or approval become part of the major unit's plan. It then becomes the responsibility of the major unit head to provide any necessary resources for existing resources or seek new sources of support.

The plans for major planning units should follow the same format as that provided for reporting units (Appendix A, Forms 1-4, pp. 8-15), but should be comprehensive in nature. That is, each major planning unit's plan should not be an accumulation and repackaging of reporting unit's plans. It is critically important for the credibility of the planning process that the head of the major planning unit (vice chancellor, dean, director) provide feedback to the reporting units about their respective plans. The most common criticism of Appalachian's planning process is the lack of feedback from one level of the university to another. The timetable, shown in Appendix B (p. 16), for completing this planning cycle allows time for major planning units to respond to reporting unit's plans.

## Major Planning Units and Reporting Units

(Note: These Major Planning Units and Reporting Units follow Appalachian's organization chart. Heads of Major Planning Units should determine the Reporting Units most appropriate for participation in the unit planning process.)

<u>Major Planning Units</u>	<u>Reporting Units</u>
Office of the Provost and Executive Vice Chancellor:	
College of Arts and Sciences	16 Academic Departments, Appalachian Studies, Appalachian Cultural Museum
College of Business	5 Academic Departments
College of Education	4 Academic Departments, Teaching Fellows Program, Comprehensive Clinic
College of Fine and Applied Arts	7 Academic Departments
School of Music	No Reporting Units
Graduate Studies and Research	No Reporting Units
Equity Office	No Reporting Units
Institutional Research and Planning	No Reporting Units
Senior Associate Vice Chancellor for Academic Affairs	Instructional Technology Center, Continuing Education, Math & Science Education Center, Library, Summer Sessions, International Programs, University Archives and Records, Cultural Affairs
Associate Vice Chancellor for Academic Affairs	Information Technology Services, Freshman Seminar, University Honors Program, Hubbard Center for Faculty & Staff Support
Associate Vice Chancellor for Enrollment Services	Learning Assistance Program, General Studies, Registrar, Admissions
Office of the Vice Chancellor for Student Development	Counseling Center, Health Services, Career Development Center, Housing/Residence Life, Student Programs, CSIL, Student Life & Learning Research
Associate Vice Chancellor for Student Development	Financial Aid, Electronic Student Services
Associate Vice Chancellor for Student Development	Child Development Center, Recreational Sports

Office of the Vice Chancellor for Business Affairs	Associate VC for Administration, Director of Physical Operations, Public Safety/ University Police, Parking and Traffic Department, Director for Design and Construction, Food Services, University Bookstore
Office of the Vice Chancellor for University Advancement	Associate VC for Public Affairs, Assistant VC for Alumni Affairs, Associate VC for Development, Assistant VC for Planned Giving
Office of Internal Audits	No Reporting Units
Office of Athletics	No Reporting Units
Compliance Office	No Reporting Units
Human Resource Services	No Reporting Units
Office of University Attorney	No Reporting Units

### **Planning Schedule**

See Appendix B, page 16, for the schedule of the various due dates in the planning process. Unit planning should be conducted during Spring-Fall 2000, with documents ready to submit by the end of Fall semester. Unit heads may elect to alter the schedule to better fit departmental needs, but final documents should be prepared by those dates specified for Spring 2001.

### **Sources of Funding**

When expected results require new resources, units must first consider internal reallocation from existing accounts. Planning Form 4 (pp. 14-15) should be used only when additional resources to the unit are required beyond those already allocated to the unit. Units should also look to the vice chancellor/dean/director level for a reallocation among reporting units. The final alternative, to be implemented by the head of the major planning unit, is to seek additional resources through reallocation at a higher level or through an Enrollment Increase, Expansion Budget, or Capital Improvements request. Units should seek funding from external sources (e.g., grants, receipts) where appropriate. Units with receipt-based funding are encouraged to apply the same process to allocate new funds and to reallocate existing funds.

It is through the allocation and reallocation of resources that strategic planning is translated into resource planning. Appalachian's planning cycle coincides with that of the University of North Carolina so that unit-level requests can be approved by the summer of 2001, in time to provide items for Appalachian's Expansion Budget and Capital Improvements requests for the 2001-02 biennium. These requests will be solicited by the General Administration.

# APPENDIX A

## PLANNING FORMS

Planning forms facilitate compliance with Section III of SACS' *Criteria for Accreditation*:

### SECTION III Institutional Effectiveness

The concept of institutional effectiveness is at the heart of the Commission's philosophy of accreditation and is central to institutional programs and operations. It pervades the Criteria for Accreditation. This concept presumes that each member institution is engaged in an ongoing quest for quality and can demonstrate how well it fulfills its stated purpose. The quality and effectiveness of education provided by each member institution are major considerations in accreditation decisions. Although evaluation of educational quality and effectiveness is a difficult task requiring careful analysis and professional judgment, each member institution is expected to document quality and effectiveness by employing a comprehensive system of planning and evaluation in all major aspects of the institution.

The Commission advocates no single interpretation of the concept of institutional effectiveness. It does, however, expect each member institution to develop a broad-based system to determine institutional effectiveness appropriate to its own context and purpose, to use the purpose statement as the foundation of planning and evaluation, to employ a variety of assessment methods, and to demonstrate use of the results of the planning and evaluation process for the improvement of both educational programs and support activities. Educational quality will be judged finally by how effectively the institution achieves its established goals.

It is implicit in every requirement in the Criteria for Accreditation mandating a policy or procedure that the policy or procedure be in writing, be approved through appropriate institutional processes, be published in appropriate institutional documents accessible to those affected by the policy or procedure, and be implemented and enforced by the institution.

#### Section 3.1 Planning and Evaluation: Educational Programs

Educational activities of an institution include teaching, research and public service. Planning and evaluation for these activities must be systematic, broadbased, interrelated and appropriate to the institution. The institution must define its expected educational results and describe its methods for analyzing the results. The institution must

1. establish a clearly defined purpose appropriate to collegiate education
2. formulate educational goals consistent with the institution's purpose
3. develop and implement procedures to evaluate the extent to which these educational goals are being achieved
4. use the results of these evaluations to improve educational programs, services and operations.

The institution must develop guidelines and procedures to evaluate educational effectiveness, including the quality of student learning and of research and service. This evaluation must encompass educational goals at all academic levels and research and service functions of the institution. The evaluation of academic programs should involve

gathering and analyzing both quantitative and qualitative data that demonstrate student achievement.

Measures to evaluate academic programs and general education may include the following: evaluation of instructional delivery; adequacy of facilities and equipment; standardized tests; analysis of theses, portfolios, and recitals; completion rates; results of admissions tests for students applying to graduate or professional schools; job placement rates; results of licensing examinations; evaluations by employers; follow-up studies of alumni; and performance of student transfers at receiving institutions. The institution must evaluate its success with respect to student achievement in relation to purpose, including, as appropriate, consideration of course completion, state licensing examinations, and job placement rates.

### Section 3.2 Planning and Evaluation: Administrative and Educational Support Services

In addition to providing evidence of planning and evaluation in its educational program, the institution must demonstrate planning and evaluation in its administrative and educational support services. For each administrative and educational support service unit, the institution must

1. establish a clearly defined purpose which supports the institution's purpose and goals
2. formulate goals which support the purpose of each unit
3. develop and implement procedures to evaluate the extent to which these goals are being achieved in each unit
4. use the results of the evaluations to improve administrative and educational support services.

Each unit, in its planning and evaluation processes, should consider internal and external factors and should develop evaluation methods which will yield information useful to the planning processes of that unit. (Eleventh Edition, December 1997, pp. 19-21)

All units, educational and administrative alike, are strongly urged to use Section III of the *Criteria* as a benchmark for evaluating unit plans. Ask these questions: (1) "How closely does my planning documents comply with SACS' Section III mandates?" (2) "Can I document item # 4 in SACS' set of expectations for planning and evaluation?" (3) "What must I do to comply with SACS' "must" statements in Section III?"

All units should follow the same format in preparing plans, with each unit's document consisting of two or more of the three separate forms described below. **A copy should be sent to both the head of the major planning unit and to the Office of Institutional Research and Planning.**

In preparing final documents, please supply the following information in the top right-hand corner of each page:

Planning Unit \_\_\_\_\_  
Date \_\_\_\_\_  
Planning Period FY 2000-2005

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### PLANNING FORM 1. Unit Mission Statement.

The mission statement focuses on the unit's purpose for existence. It should be stated so that anyone in the unit can say, "This is my contribution to my unit's mission." A unit's mission may tie directly to the University's mission or to the University's educational goals. In that way the unit may say, "This is my contribution to the University's mission, goals, or plan." See Appendix E (pp.22-28) for more about developing mission statements.

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### PLANNING FORM 2. Unit Vision Statement.

The unit vision statement presents the unit's desired or ideal view of itself. It should be stated in terms of the desired future for the unit and serves to inspire, challenge, and invigorate members of the unit. It should answer the question, "What does this unit aspire to become?". Appendix E (pp.22-28) provides ideas about completing a vision statement.

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### PLANNING FORM 3. Strategic Directions and Actions.

#### Part A: Strategic Planning Statement

The planning statement is a summary of assumptions and internal and external forces that will be applied or considered during this period. It should take into account the University's *Strategic Plan*. This statement should provide a clear description of the external context within which the unit functions.

In effect, the strategic planning statement serves as a candid self-appraisal by a unit. Each unit is strongly encouraged to examine and rank in order of importance its programs, activities, services, projects, and operations. Worksheet A, p.13, is provided as a tool to assist with this self-examination. In conjunction with completing Worksheet A, addressing questions such as the following may be of value as part of a unit's self-awareness:

- 1.a. What programs, activities, services, projects, or operations are you doing now that are of low priority and are not absolutely essential to the fulfillment of your unit's mission or purpose?
- 1.b. How would resources of the unit be affected by discontinuing identified programs, activities, or operations?
- 1.c. How might savings be achieved by cooperative efforts with other units?

- 2.a. What programs, activities, services, projects, or operations are you doing now that are high priority and are essential to the fulfillment of your unit's mission or purpose but need to be done better?
- 2.b. What specific resources are required?
- 2.c. What part of recaptured funds from Item 1 can be applied here?
- 3.a. What programs, activities, services, projects, or operations are you not now doing that are high priority and are essential to the fulfillment of your unit's mission or purpose?
- 3.b. What specific resources are required?
- 3.c. What part of recaptured funds from Item 1 can be applied here?
- 3.d. What is a realistic timetable for implementing ideas generated in Items 1, 2, and 3

Units are strongly encouraged to simulate actual reductions in state-appropriated allocations over a period of time. What specific actions would the unit take if faced with a 3%, 5%, or even greater reduction in state appropriations? Vast unexpected costs associated with hurricane recovery in Eastern North Carolina almost certainly will be felt for years to come. This exercise should be completed along with a SWOT analysis.

The results of these exercises should be retained as an internal document for future reference if needed and may serve as a useful tool for focusing goals, objectives, and strategies toward only those activities most critical to the unit.

#### Part B: Strategic Directions and Strategic Actions

As stated in the university's *Strategic Plan*, Appalachian faces a near future in which state-funded budgets may decline in purchasing power while public expectations continue to expand for accountability from and effectiveness by universities. Given these external pressures and the need for Appalachian to respond wisely, please complete a strategic plan for your department or unit.

The plan should have the following components: Strategic Directions, Strategic Actions, and Measurements/Evaluations.

Strategic Directions should state in broad terms the end results that the unit seeks in order to move in the direction it has charted. The unit should not include strategic directions for all of its activities, only for those that are directly related to the strategic planning statement. In most instances, units will need to also state strategic actions to give meaning to these broad directions.

Strategic Actions are measurable actions that the unit proposes to take, generally within the next five years, in order to work toward the achievement of its vision and strategic directions. Those actions requiring resources beyond the ones currently allocated to the unit will constitute the unit's specific resource requests (Planning Form 4, pp.14-15).

If the strategic directions and strategic actions of an academic department include a request for authorization to plan a new degree program or establish a new degree program track, the UNC-GA request form should be completed and submitted with the other planning forms. Proposals receiving endorsement of the dean will be considered for submission to the General Administration. For specific details on the procedure for internal approval of new program/track requests, see *Internal Academic Program Planning Procedures* available from the Office of Academic Affairs. Please be mindful that the Board of Governors has been cutting programs at all UNC institutions, so the rationale for adding a new program must be good.

Measurements and evaluations are the means by which a unit will determine its success in reaching its vision through the implementation of its strategies. Usually these will be quantitative but they may also be qualitative as well. As indicated in the excerpt from the SACS *Criteria* above, results of surveys, statistical analyses, and interviews are typical measurement tools. They are chosen to match particular strategic directions and actions.

Thus the plan should be organized in a hierarchy such as the following:

1. Strategic Direction
  - 1.1. Strategic Action
    - 1.1.1. Measurement/Evaluation
    - 1.1.2. Measurement/Evaluation
    - 1.1.3. Measurement/Evaluation
  - 1.2. Strategic Action
    - 1.2.1. Measurement/Evaluation
    - 1.2.2. Measurement/Evaluation
2. Strategic Direction
  - 2.1. Strategic Action
    - 2.1.1. Measurement/Evaluation
    - 2.1.2. Measurement/Evaluation
  - 2.2. Strategic Action
    - 2.2.1. Measurement/Evaluation
3. Strategic Direction
  - 3.1. Strategic Action
    - 3.1.1. Measurement/Evaluation

and so on.

WORKSHEET A

*Appalachian State University*

Inventory and Priority of Programs, Activities, Services, Projects, or Operations 2000-01

*\*\*To Be Retained in the Department\*\**

Department/Unit \_\_\_\_\_

Programs, activities, services, projects, or operations	Existing (E) or Proposed (P)	Criteria For Priority	Priority (low/moderate/high)	Client or Organization Impact

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## PLANNING FORM 4. Cost Estimates

This form is to be used when requesting resources beyond those currently allocated to the unit. Only units supported by such funds should make requests for resources from state-appropriated funds. Units supported partially by state-appropriated funds should request such funds only to the extent appropriate to their missions and activities. Units not supported by state funds may wish to adopt this form for requests for funds from other sources.

Additional resources required for proposed new academic programs should not be included on Resource Request forms because funding of these proposals cannot be considered until "authorization to plan" is received. However, cost estimates must be provided as a part of the request for authorization to plan and, if approved, as a part of the request for authorization to establish. In general, support for new programs should come through internal reallocations.

The format adopted for resource requests (see below, numbers 1-6) follows the format for Budget Requests used by the General Administration. The use of a common format will expedite the process for responding to the call from the GA for Budget Requests. Two copies of the form should be completed for each specific proposal being submitted by the planning unit. Please limit the request to those items essential to the implementation of the specific proposal. Try to include several related items within one proposal, wherever possible, rather than submitting several single-item requests.

1. Priority for Planning Unit (for example, 1 of 3).  
If multiple requests are submitted, they must be ranked.
2. Title. Give a short descriptive title to identify the request.
3. Description. Provide a concise description of the proposal.
4. Justification. Indicate briefly how the proposal relates to the unit's mission, what needs it will meet, and how it will benefit the university. Use statistical data, if applicable, to describe the need.
5. Funding Requirements. Use line-item detail for presenting budget estimates. Currently authorized salary rates for state-recognized job titles should be used for requesting SPA positions. Fringe benefits should be included in estimates for all positions. Lists of all equipment (5000 lines) by specific names (even brand names will be helpful) should be provided, with an indication of whether the equipment is new (N) or replacement (R). An example is provided on the next page.
6. Space and Other Physical Resource Requirements.
  - a. Suggested Use of Existing Facility. Describe any renovations required and include cost estimates.
  - b. Additional Space. Describe amount and type of space required.
  - c. New Facility. Describe space requirements and other general characteristics.
  - d. Other Physical Requirements. Describe and give cost estimates for needs such as vehicles and outdoor space.

**Illustration of Item Number 5.**

5. Funding Requirements.

	Reallocation of Unit's Resources	New Allocation	Grants or Other Sources	Total
1210 SPA Regular Salaries Office Assistant III		17,470		17,470
1450 Student Temp. Wage		2,000		2,000
1810 Social Security		1,336		1,336
1820 State Retirement		1,764		1,764
1830 Medical Insurance		2,256		2,256
2300 Educational Supplies		750		750
3100 Travel		500		500
3200 Communications		300		300
5000 Office Equipment*		1,200		1,200
Total		27,576		27,576

Identify with an asterisk any funds that will be required for one year only (e.g., one-time purchase of equipment, special travel), as opposed to a continuing allocation.

Provide the following information on any equipment request:

<u>Object</u>	<u>Description</u>	<u>Quantity</u>	<u>Cost Per Unit</u>	<u>Total Cost</u>
5000	Desk(N)	3	\$600	\$1,800

## APPENDIX B

### SCHEDULE FOR 2000-2001

In order (1) to provide time for feedback from major planning units to reporting units and (2) to conduct research, hold planning sessions, and prepare documentation needed for unit-level planning to support the Strategic Plan, the following schedule has been set. This schedule allows for extending academic departments' time to prepare plans and to negotiate plans with deans. Resource requests to be included in Expansion Budget documents for General Administration may be needed earlier than final unit plans. Unworkable due dates should be adjusted around the prescribed dates as practicable to complete the process by April 20, 2001. *Major planning unit heads should arrange time to review all plans by reporting units and to respond formally to those plans.*

	<u>Academic Affairs</u>		<u>Other Areas</u>
Jan 2000- Dec 2000	Academic departments and other units prepare plans	Jan 2000- Dec 2000	Reporting units prepare plans
Dec 1, 2000	draft of academic departments' and other reporting units' plans due to deans and assoc. vice chancellors and Inst. Res. & Png.	Dec 1, 2000	draft of plans due to major planning units and Inst. Res. & Png.
Jan 30, 2001	Responses to drafts by deans and assoc vcs and planning coordinator; drafts become final if acceptable to deans and assoc vcs; <u>deans and assoc vcs should be prepared to submit resource requests to Academic Affairs by May 1 for items to be included in Expansion Budget</u>	Jan 30, 2001	responses to drafts by heads of major planning units; drafts become final if acceptable to heads of major planning units
Feb 2001- Apr 2001	Deans and assoc vcs prepare unit comprehensive plans	Feb 2001- Apr 2001	Major planning units prepare unit comprehensive plans
May 1, 2001	Deans and assoc vc unit plans due; all resource requests due to Academic Affairs	May 1, 2001	Major planning units' plans due with resource requests prepared to use in biennial budgeting

## APPENDIX C

### Mission Statement and Educational Goals

#### Appalachian State University

##### General Statement of Educational Mission

Appalachian State University is a public comprehensive university, offering a wide variety of degree programs at the baccalaureate, master's, and intermediate levels as well as the Ed.D. in Educational Leadership. With a distinctively residential campus and a faculty and staff characterized by high quality and broad diversity of professional skills, Appalachian takes as its mission the practice and propagation of scholarship. This is accomplished particularly through instruction, but also through the research, creative, and service activities of the university community. Appalachian is committed to excellence in its undergraduate and graduate educational programs, while continuing to serve as a center of cultural and professional activity within its state and region.

[The University of North Carolina Board of Governors (1998). Long-Range Planning 1998-2003, 35.]

The following statement, adopted by the Board of Trustees, December 1, 1995, further describes Appalachian's mission:

Founded in 1899 as Watauga Academy, Appalachian State University evolved into a state teachers' college, later broadened its mission to include the liberal arts, gained regional university status, and in 1971 became a part of The University of North Carolina. From its beginning as a small local institution, Appalachian has developed into a university with students from every section of North Carolina, as well as from other states and nations. Throughout its growth, the university has maintained a strong sense of community. It continues to provide educational leadership and service to the state and region. The university is committed to fostering an understanding of Appalachian regional culture and the protection of the natural environment.

Appalachian State University is a comprehensive university, offering a broad range of undergraduate programs and select graduate programs. Undergraduates receive a well-rounded liberal education and the opportunity to pursue a special field of inquiry in preparation for advanced study or a specific career. Graduate students engage in advanced study and research while developing and extending their academic or professional specializations. Although the campus is largely residential in character and its students are predominantly of traditional college age, the university seeks to serve a diverse student body.

With instruction as its primary mission, the university is committed to excellence in teaching and the fostering of scholarship. As an academic community, it takes pride in its tradition of faculty commitment to students both inside and outside the classroom. Mindful of the relationship between the curricular and extracurricular, Appalachian seeks to promote the intellectual, cultural and personal development of its students.

At Appalachian, scholarship and service are complementary to the instructional mission. The major purposes of scholarship, including research, writing and other creative activities, are threefold: to serve as a basis for instruction, to ensure a vital and intellectually engaged faculty, and to contribute to the advancement of knowledge. Service is provided through effective engagement in appropriate professional activities, active participation in the concerns of the university community, consultation services, the extension into the community of the professional knowledge and skills of the faculty, staff and students, and the sharing of the university's cultural and recreational activities.

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## Educational Goals

In 1990, the Goals Task Force proposed a set of undergraduate educational goals for Appalachian. The following goals related to the baccalaureate degree were adopted at that time by the university:

1. Breadth of knowledge through the study of the arts, the humanities, mathematics, the natural sciences and the social sciences.
2. Depth of knowledge in at least one area of study.
3. Effective communication skills.
4. An enhanced capacity for logical and creative thinking, analysis, synthesis and evaluation.
5. The ability to apply methods of inquiry.
6. Computational skills and the ability to interpret numerical data.
7. An understanding of the interrelatedness of knowledge.
8. An awareness of the world's diversity of cultural and national experiences, identities and values.
9. An understanding of the issues and problems facing the contemporary world.
10. An understanding of, and respect for, diverse opinions and ideas.
11. An awareness of ethical issues and ethical behavior.
12. A commitment to learning as a lifelong process.

In support of these undergraduate goals, Appalachian State University will provide:

13. An intellectually and aesthetically stimulating atmosphere throughout the university.
14. An environment that encourages interaction among members of the University community.
15. A variety of learning experiences both within and outside the classroom.
16. Experiences that promote personal growth and development.
17. An environment that fosters a commitment to public responsibility and community service.
18. Opportunities to develop career goals and to prepare for specific careers.

A similar set of goals was adopted for graduate education at Appalachian:

1. To master a particular discipline or field at a level of complexity and generalization that extends knowledge, creativity, and intellectual maturity.

2. To develop an understanding of research, the manner by which research is conducted, the subject matter, bibliography, theory, and methodology of a particular discipline or field.
3. To develop the ability to utilize discipline-appropriate skills to analyze, explore, question, reconsider, synthesize, and apply traditional and contemporary knowledge and methods.
4. To acquire an understanding and commitment to a profession and the professional ethical standards within a given discipline or field.
5. To develop the skills, knowledge and experience necessary for appropriate professional employment, professional development, and/or further graduate study.
6. To develop direct intellectual/creative association with resident graduate faculty as mentors.
7. To develop the ability to communicate effectively in ways that are appropriate to the discipline.
8. To develop awareness of the world's diversity of cultural and national experiences, identities, and values.

In support of these graduate goals and with the cooperation of the appropriate colleges, schools, and departments, the Cratis D. Williams Graduate School of Appalachian State University will:

9. Monitor the quality and currency of graduate programs through systematic program reviews and recommend any needed improvements on the basis of those reviews.
10. Maintain admissions standards for graduate students.
11. Provide adequate resources consistent with the needs of graduate education through assistantships, scholarships, and research and grants support.
12. Ensure that graduate faculty possess the necessary scholarly credentials to teach and conduct research with graduate students.

**APPENDIX D**  
**STRATEGIC PLANNING STATEMENT, 2000-2005**  
**APPALACHIAN STATE UNIVERSITY**

The general direction and strategies that will guide Appalachian's planning process during the period 2000-2005 are based upon general assumptions. Below are assumptions about prevailing trends, various external opportunities and threats, and internal strengths and weaknesses.

**Enrollment Trends**

- Appalachian will maintain a slow-growth policy of approximately 100 additional students per year until 2003 when the additional enrollment expected by UNC-GA will begin, and Appalachian's enrollment is expected to grow at a faster rate (see *Fact Book* for graphic). Somewhat rapid growth will occur in off-campus enrollment.
- Demand for major programs is expected to continue to grow in Arts and Sciences and Fine and Applied Arts. Business and Education enrollments may also begin to grow beyond current levels.

**External Trends, Opportunities, and Threats**

Political/Legal/Governmental

- Escalating demand for accountability and effectiveness.
- Further shifting toward political conservatism.
- Increasing micromanagement by General Assembly and Board of Governors.
- Growing public demand for tax reductions.
- Increasing use of performance funding for state agencies.
- Tightening of student loan policies and availability.

Economic/Occupational

- Further resistance to increasing public funding levels to universities.
- Continuing shift of educational costs to students as tuition and fees.
- Growing competition for private dollars.
- Continuing availability of jobs in health and business services.
- Increasing demand for job preparedness by university graduates.
- Increasing global interdependence.
- Increasing demand for workers to function in multi-lingual, multi-cultural business and social environments.
- Increasing pressure on universities to facilitate economic development.

### Social/Demographic/Cultural

- Growing disillusionment of higher education by the general public.
- Increasing cultural and ethnic diversity in the population.
- Increasing aging of both student and general populations.
- Modest growth in the number of high school graduates through 2003, then increasing more sharply thereafter (see *Fact Book* for graphic).
- Substantial growth in North Carolina central piedmont and coastal regions.
- Increasing public concern for safety.

### Technological/Scientific

- Expanding demand for and capabilities for alternative instructional delivery systems.
- Increasing use of distance and on-demand learning.
- Increasing demands for improved productivity, through technology, in education.
- Increasing availability of vast amounts of information.
- Increasing emphasis on knowledge of how to reach available resources.
- Continuing job displacement due to technological advances.

### **Internal Strengths and Weaknesses**

#### Strengths

- Tradition of teaching excellence and strong faculty.
- Location in the mountains within 3 hours of metropolitan areas.
- Excellent educational value.
- Excellent cultural opportunities and programs.
- Strong academic reputation.

#### Weaknesses

- Relatively low public funding levels.
- Discipline and organizational territorialization.
- Lack of ethnic diversity.
- Diminished concern for students' interests.

## APPENDIX E

### APPALACHIAN'S STRATEGIC PLANNING MODEL

Why plan at Appalachian? Reasons include:

- to question assumptions
- to change ways of doing things
- to exploit unexpected outside events
- to focus effort
- to come to terms with limitations
- to use resources wisely
- to improve services.

There is no one right way to plan. Instead, there are many systematic ways to convert visions and good intentions into results. The following strategic planning model and accompanying suggestions are offered as a guide to the planning process recommended for Appalachian's planning units. All planning units are strongly encouraged to adhere as closely as possible to a strategic planning model. An overview of strategic planning presented Appendix F (pp. 29-35).

#### **Steps in Planning**

##### **1. Decide Upon an Approach to Planning**

As a first step, it is recommended that the head of the planning unit decide who is to participate in the planning activities, what planning process will be followed, and how the results will be shared with all members of the unit. Although in a large unit a representative group may be charged with producing the plan, everyone should have an opportunity to offer suggestions and to react to proposals. One means of achieving this is to give all members of the unit copies of the University's *Strategic Plan* and departmental educational strategic directions and to solicit their ideas regarding opportunities or constraints relevant to the unit, along with suggested responses or actions.

Once the planning process is under way, the following caveats are suggested:

- a. Avoid drawing out the process over a long period of time. For some units, an organizational meeting at which assignments for data collection are given, followed by sharing of information, and a day-long or weekend planning retreat works well.
- b. Avoid collecting large quantities of data. Planning is a process not reducible to a set of numbers. Selected data (e.g., enrollment patterns), however, can help keep plans in line with reality.

##### **2. Review the Unit's Mission and Mandate**

Planning customary involves beginning with a review of the unit's current mission and mandates to ensure that participants in the planning process have a common understanding of its fundamental purpose. Recommended steps in developing a mission statement are included below. Mandates may be legislative or administrative in nature, but represent formal statements of units' functions.

A useful mission statement should not consist of only platitudes and expressions of good intentions. It should be operational, simple, and clear so that each person in the unit can judge his or her contributions to the unit's reasons for existence. It is formed from an examination of the unit's strengths and performance, from a review of needs and opportunities, and from a conviction that the unit has an important role to serve in the University's fulfilling its mission.

A unit's mission is usually long-range, subject to periodic review and revision. The basic rationale for a unit may exist for a long time. For example, part of the mission of an academic department may be "to educate students in the discipline," and may change very little over many years. Thus, the mission statement represents a current statement of what the unit is really trying to be or do across time. It keeps each unit focused and on track, and it mobilizes the persons in each unit to get the right things done.

### Developing A Mission Statement

The purpose of a unit mission statement is to convey to others, both internal and external to the University, an understanding of why a unit (department, college, office, center) exists and what it does.

The major points that should be addressed in a unit mission statement are:

1. The fundamental purpose for which a unit exists, its reason for being (e.g., to change people, to provide specific services).
2. The philosophy or values or point of view espoused by a unit with respect to its purpose. (For academic departments and colleges, this might include relative emphases on teaching, scholarship, and service; undergraduate and graduate education; general education and professional education.)
3. The constituency or clientele of a unit, those whom it serves and with whom it works.
4. The organizational setting in which a unit operates, the major area in which it is located organizationally and to whom it reports.
5. The major activities in which a unit engages or the services it provides in order to carry out its mission. Wherever possible, there should be an indication of relative emphases and priorities among the various activities.

Unit mission statements should be brief (no longer than one page). They need not follow any specific format as long as they address the points suggested above and are consistent with the University's mission statement.

Units that already have a mission statement can review it by examining each element in the statement and asking:

- Is each as relevant as when the statement was first written?
- Are there items that ought to be added?
- Does the statement address the five points suggested in the directions for developing a mission statement?
- Does the statement effectively describe the unit to those who work within it as well as to those external to it?

### 3. Review the Unit's Vision Statement

A unit's vision conveys a compelling, conceptual image of the desired future for the unit. It provides inspiration and challenge to all members of the unit to reach toward an ideal of what the unit can become.

It should be purposefully articulated to bridge the present and future and to serve as a critical impetus for change. Thus it should be brief enough to be memorable and complete enough to direct effort.

Several criteria may be applied to evaluate a vision statement:

- future-oriented, deriving from reasonable assumptions about the future;
- idealistic, envisioning a future that is beyond the present;
- appropriate, fitting with the unit's history and culture;
- inspirational, encouraging enthusiasm and commitment;
- purposeful, articulating an image of the desired future; and,
- ambitious, causing members of the unit to stretch to reach it.

Much is written and spoken about the importance of a "shared vision," meaning that the vision is widely understood and supported within the unit. It empowers members of the unit to take actions that advance the vision, knowing that such actions will be valued by all who share the dream.

#### 4. Review and Revise the Unit Strategic Planning Statement

A strategic planning statement begins to convert the mission statement and vision statement into performance or results. It summarizes how the unit expects to fulfill its mission during the planning period. While the mission and vision are long-term, the strategic planning statement is short-term.

This statement is the appropriate place to present the rationale for the plan. It may include (1) statements that tie the unit plan to the university's *Strategic Plan*, (2) assumptions about the future, (3) interpretations of external and internal conditions and constituencies that act as opportunities or constraints, (4) statements of how the plan builds on institutional and unit strengths, (5) statements of how the unit intends to address weaknesses, (6) evaluations of the unit's comparative advantage, and (7) emphases, priorities, and strategies that will be applied during the planning period.

Units are advised to review strategic planning procedures, especially the SWOT analysis described below, before preparing the strategic planning statement. The most useful unit plans will be those with strategic planning statements that fit the missions and the environments within which the units work.

Units also are encouraged to develop a Priority Inventory as background for preparing a strategic planning statement. This inventory of programs, activities, services, projects, or operations (Worksheet A, p. 13) serves as a foundation for stating reasonable, useful goals and strategies. This activity of self-examination involves identifying what units do and the relative importance of each. A reasonable level of detail should be stated without getting so specific that the fundamental purpose of identifying the activity becomes lost.

## 5. Review and Revise the Unit Strategic Directions and Strategic Actions

Units should then articulate specific *strategic directions* that pertain to programs, activities, services, projects, or operations. Usually strategic directions emanate from the institution's *Strategic Plan* and the unit's missions and vision statements. Strategic directions are usually stated in broad qualitative terms and define the direction in which the unit intends to move during the planning period. As logical extensions of the mission and vision, strategic directions should fit the mission and the environment of the unit. Units may choose to state only those selected strategic directions that are considered critical to interpreting the questions posed in Form 3 (pp. 10-13) or to expand to others that derive from the strategic planning statement.

The strategic directions of most benefit to a unit are those that articulate, or at least suggest, results or outcomes of the unit's efforts within the context of its priorities as shown in Worksheet A. These are productivity strategic directions in that they indicate, in broad terms, what results the unit expects to see or would expect to see from its work. This may be a somewhat different way for some units within the university to think about strategic directions.

Academic planning units, for instance, need to add selected general statements of intended "student outcomes," or descriptions of what the units intend for students to know (cognitive), think (attitudinal), or do (behavioral) when they have completed their courses or programs. General statements also may be included for other aspirations of academic departments (e.g., faculty development, productivity, or service). These statements are the results the academic unit intends to achieve and thus should be clear to and well understood by faculty in the unit.

Administrative planning units that are not involved directly in educating students should provide, when feasible, statements of intended "product/service outcomes," or descriptions of products or services of their own operations (e.g., services provided). These statements are the results the administrative unit intends to achieve and thus should be clear to and well understood by the staff in the unit.

*Strategic actions* state the specific activities or specific results or outcomes to be achieved with regard to a particular goal. The most useful strategic actions are those that are time specific and that are stated in more quantitative, results-oriented terms. When appropriate, individuals may be identified who are charged with carrying out tasks associated with strategies. Process strategic actions (i.e., actions that will be attempted) may be appropriate in some instances, but results or outcomes provide the types of targets that units can best use for judging how well missions are being achieved.

Only a few key strategic actions should be listed after the strategic direction with which they are associated. Each strategic action should include a means of evaluation and, when appropriate, a target date for implementation. Strategic actions may address such areas as (1) enrollment, budgetary, or other similar "resource" targets pertaining to a unit's operations, (2) anticipated outcomes for student learning or behavior, or (3) quality of services provided to the university. In any case, only a few key strategic actions that can be pursued realistically and measured during the planning period are stated. Not every theme or strategic direction that can be derived from the unit's mission and vision and that can be measured should be included. A focus should be on accomplishing those elements of the unit's mission, vision, and strategic planning statement that are considered fundamental during the current planning period.

The following example shows how measures of *educational outcomes* might be woven into the planning objectives for an academic department or program (Source: Nichols, J. O. *The Departmental Guide to Implementation of Student Outcomes and Institutional Effectiveness*. New York: Agathon Press, 1991, p. 52). It is offered for illustrative purposes only.

Example: Department/Program Goals, Intended Outcomes/Objectives, and Assessment Criteria and Procedures

1. Students completing the baccalaureate program in English will compare very favorably in their knowledge of literature with those students nationally completing similar programs of study.
  - 1a. The average score of the graduates of the baccalaureate program in English on the "Literature in English" MFAT subject test will be at or near the XXth percentile compared to national results.
  - 1b. XX% of the graduates of the English baccalaureate program will agree with the statement "I believe I am as well prepared as the majority of individuals nationwide who have completed a similar degree during the past year."
2. Graduates will be able to critique a brief draft essay, identifying and correcting grammatical, spelling, and punctuation errors.
  - 2a. As part of a departmental comprehensive examination administered during a senior capstone course, students will critique and correct an essay containing grammatical, spelling, and punctuation errors. XX % of the programs' graduates will identify and correct XX% of the errors.

The means of evaluating strategic actions should be stated as explicitly as possible. These *measurements*, or assessment procedures, should be matched to the strategies as a valid way for concluding whether individual objectives have been accomplished. Not all strategies can be "measured." Some may only be judged or appraised. Qualitative measures may be as important as quantitative ones to some units. Whether numbers, judgments, or appraisals, these measures are the only way a unit can truly answer the question, "What are the specific results I want?"

### **Completing the Unit Strategic Plan**

When a draft of the unit plan has been prepared, all members of the unit should be given the opportunity to review it. The draft plan should make clear what resources and personnel commitments will be needed to meet the proposed program modifications and perhaps goals and objectives. It is often helpful to have another unit react to the unit's plan before adopting a final version.

Once agreement is reached, the unit will be ready to prepare a revised unit plan. As described above, each plan should include a mission statement (Form 1, p. 10), a vision statement (Form 2, p. 10), a strategic planning statement containing a list of general strategic directions supported by specific strategic actions to be accomplished within the planning period (Form 3, p. 10-13).

The planning forms are for presenting only a relatively brief framework of unit plans. Operational details that units prepare in their strategic planning should be retained for internal use. These operational plans may contain details related to the implementation of goals and strategies, particularly what steps must be taken, when, by whom, and supported by what resources. They may also include, where appropriate, more detailed indicators of success (e.g., anticipated enrollment, revenue, quality assessment) for evaluation purposes.

### **Summary**

The heart of Appalachian's planning process revolves around each planning unit asking and answering three basic questions:

1. What is (are) my unit's role(s) or function(s) in the University? Or, what is (are) my unit's contribution(s) to the University's *Strategic Plan*? This will be answered in the unit's mission and vision statements and strategic planning statement.
2. What are my unit's key results or outcomes or products deriving from my role(s) or function(s)? This will be answered in the unit's priority inventory and by any statements of strategic directions, strategic actions, and results/outcomes.
3. What measurements do or can I use to assess/evaluate whether intended results--and thus roles--are fulfilled? This will be answered in the unit's choice of assessment or evaluation devices. What do I now know about institutional effectiveness of my unit?

The order of steps is relatively simple--mission, vision, strategic directions, strategic actions, measurement--but implementing this process may be more complex for some units than others. The ultimate aim of the process is to set up a structure in which each unit regularly and cyclically examines itself, its purposes, its priorities, and its performance. A practical approach is to start small with a workable unit plan and then to develop the process and unit plan over successive planning cycles.

### **Shortcuts To Planning**

Although it is hoped that most units will follow the steps suggested in Sections 1-4 above, for various reasons some units may find the process has to be streamlined. One way is for the unit to begin the planning process by having all participants or members of the unit complete a form that identifies at least one opportunity, one threat, one strength, and one weakness, with suggestions as to what should be done about each. These ideas can be collected, classified, and discussed, with priorities given to a select few for further evaluation and deliberation.

Another, more internal, approach is called "direction of travel analysis" or "visioning." In it, the unit asks: (1) What were we like five years ago and what are we like today? (2) If that direction of travel is maintained, what will we look like three-five years from now? (3) Do we want to look like that? (4) If not, what strategies can we design now so that three-five years from now we'll look the way we want to look? Another useful question to ask is: If we had just come into being, what would we want to be and do?

A third approach is to apply a procedure called "PNP," referring to Prose, Numbers, and People. The steps are: (1) Write down explicit statements of mission, rationale, intentions, ideas, and fundamental aims. Until these points can be written, they will remain vague and ill-defined. (2) Convert the prose to numbers that are appropriate to the unit (e.g., enrolled majors, GRE scores of majors, student credit hours produced). (3) Convert the numbers to action by assigning responsibilities to individuals in the unit. This will facilitate monitoring results. (4) Measure actual performance at meaningful points in time. (5) Compare the measurements to written objectives. (6) If the objectives are achieved, determine whether they are high enough. (7) If the objectives have not been achieved, determine whether the unit is on track to achieve them. If so, then proceed with implementation. If not, then determine why not and take corrective action.

These alternate approaches may stimulate discussion in planning sessions. In either case, the final product should be a plan that follows the format prescribed by the Planning Forms.

## APPENDIX F

### STRATEGIC PLANNING: A GUIDE

The system of planning described and advocated in this manual is called *strategic planning*. It differs in a number of ways from the more traditional long-range planning typically practiced by colleges and universities in previous decades although the methods sometimes blend into an composite approach.

The basic aim of strategic planning is to actively determine the nature or character of the organization and to guide its direction. It identifies the mission and mandates of the organization and devises strategies for fulfilling its purposes. The following characteristics are commonly associated with strategic planning and serve, in some instances, to distinguish it from long-range planning:

1. Emphasis on Conditions in the External Environment

Strategic planning emphasizes looking from the outside in, identifying and understanding conditions in the environment over which the institution may have little control, but which may impact on its nature and vitality. Since many of the challenges and changes experienced by institutions of higher education are triggered by outside forces (e.g., demographic trends, government fiscal and educational policies, shifts in occupational demands, and changing public attitudes toward education), this emphasis on the external environment is a fundamental characteristic.

Thus, strategic planning looks outward at the external environment, monitoring major demographic, social, economic, political, and technological trends that may hold opportunities or threats for the institution. Long-range planning, on the other hand, tends to focus almost exclusively on internal institutional forces and aspirations. While strategic planning also considers internal factors, it requires that they be balanced by an assessment of external realities.

2. Activist Orientation

Strategic planning assumes that a university and its leaders will take charge of the institution's future and design strategies for accomplishing its mission. The purpose of environmental scanning is to identify potential opportunities, mitigate the impact of threats, and, whenever possible, turn problems into opportunities.

3. Shortened Time Frame

Acknowledging the changeability of the external environment and the rapid growth of knowledge, strategic planning uses a three-to-five-year planning time frame instead of the ten-year time frame typically associated with long-range planning.

4. Dynamic Process

Because the external environment undergoes continuous and often rapid change and because it is impossible to predict future conditions with certainty, strategic planning is a dynamic, continuing process in which adaptations and/or deviations from the plan will be required and should be expected. For this reason, plans are reviewed regularly.

Whereas long-range planning tends to result in a heavily documented plan or blueprint, strategic planning places greater emphasis on the process of thinking strategically about the future and on the importance of strategic decision making. Thus, a common understanding of institutional direction and focus is more important than a plan that is so detailed that no one can summarize or remember it.

## 5. Emphasis on Competitive Environment

Strategic planning stresses the importance of achieving a position or niche for the institution as a whole as well as for specific programs. Long-range planning typically assumes that educational institutions will grow and that their goal is to become all things to all people. Through strategic planning, a university strives to distinguish itself from its competition so that people inside and outside the institution will recognize its special identity, character, and areas of expertise.

First, the institution seeks to identify its strengths and its distinctive competencies, or those things that it does especially well and upon which it might build. Second, it determines which of these strengths, alone or in combination, might give it a competitive advantage over institutions with which it competes.

## 6. Allocation of Resources

Ultimately, to be effective, strategic planning must be integrated with budgeting so that the allocation of resources reflects the priorities that have been established, thus moving the institution in the direction it has charted.

## 7. Emphasis on Doing the Right Thing

Strategic planning is more concerned with "doing the right thing at the right time" (effectiveness) than "doing things in a better way" (efficiency). Strategic planning asks what the organization should do, whereas long-range planning tended to assume the organization would continue to do the same things, only more or better. Strategic planning is also concerned with how to do things better, but only after determining that the organization is doing the right things.

To summarize, the strategic planning process involves an analysis and balancing of three main elements:

1. *External environmental forces* and the *competitive situation* that provide opportunities which the institution *may* pursue.
2. *Internal strengths and weaknesses* that will help to indicate which of the opportunities the institution *can* pursue.
3. The institution's *traditions, values, and aspirations* that will help to determine which strategies the institution *wants* to adopt.

## Environmental Scanning

### External Environmental Scanning

The reason for monitoring external trends and forces is to identify opportunities and constraints that may affect the activities of a unit. The result should be the development of some sense of what the unit might do (opportunities) or what it might not be able to do (constraints). By beginning with an overview of external trends, a unit is, in effect, casting a wider net--considering a wider range of possibilities--than if it begins with an internal analysis, identifies issues of specific concern to the unit, and then reviews only those external forces relevant to these concerns. However, either approach is valid. The "outside-in" approach is more effective, but the "inside-out" approach is more efficient (less time consuming).

Units' external environment also includes forces within the university that are external to them (e.g., university policies and regulations, goals and priorities, college or department admissions standards) and that may provide opportunities or constraints. Sometimes these external forces impact units in significant ways.

Units may wish to construct a "trends" files for those forces that are relevant to their activities. These files can be maintained simply by clipping items that seem significant and reviewing them from time to time, especially when engaged in planning activities.

External trends can be subdivided into the following four categories for purposes of analysis:

- Political/Legal/Governmental
- Economic/Occupational
- Social/Demographic/Cultural
- Technological/Scientific

Major forces initially identified should be evaluated in terms of their likelihood and the potential degree of impact on the unit. Those that appear to be highly probable and likely to have a significant impact should then be evaluated in terms of whether they constitute an opportunity or a constraint. Those forces that seem especially promising or threatening can be analyzed further.

#### Internal Environmental Scanning

While an analysis of the external environment will help the unit to identify what it might or might not do, an internal analysis of the unit's strengths and weaknesses helps it to focus on what it can (strengths) or cannot do (weaknesses). Using available internal data (from the *Fact Book*, Institutional Research and Planning reports, annual reports, unit self- studies and accreditation reports, as well as any other data collected by the unit), the unit should next undertake a candid evaluation of its strengths and weaknesses. Useful categories for such an analysis are:

- Human Resources
- Financial Resources
- Physical Resources
- Programs or Services

Academic departments and colleges should give particular attention to academic program review in this process. The purpose is not only to evaluate and improve existing programs, but also to discover new program opportunities and to determine program priorities. With respect to the current curriculum, quality, plus past and anticipated need and demand, should be examined. What majors, minors, concentrations, or courses have had strong or weak enrollment? For what reasons? Will these reasons remain operative in the future?

Attention should also be given to shifts in emphasis within the unit's discipline(s) and/or modes of instruction. This information can be combined with external trend information in an effort to match student and societal needs and expectations (including career goals and job opportunities) with developments within the discipline. When considering possible new programs, departments should refer to the Internal Academic Program Planning Procedures manual for specific guidelines.

When considering program priorities and new program directions, departments should seek not only to build on their respective strengths but also to move in directions that are compatible with the direction and strengths of the university and of related departments. All units should look for ways to build upon other centers of strength within the University and/or to collaborate with other units.

In a similar fashion, support units within the university should seek to identify clearly who their "clients" are, consider their anticipated need and demand for specific services, and frankly evaluate those services. Since user demands frequently exceed the capacity of the support unit, it must seek through planning to maximize the difference between the benefits of the service to the users and the cost of providing it.

Ultimately, the purpose of the internal analysis is to identify those strengths upon which the unit may build and to match its strengths with the needs of its constituents or clients. It seeks answers to questions such as:

- To whom do we appeal or whom do we serve? Why?
- What makes us unique or different?
- Is this strength related to other centers of strength within the university?

These questions help the unit to determine its distinctive competencies and to examine like programs at other institutions in order to identify its comparative advantage. In effect, it seeks an answer to the question: What can this college/department/office do for students that is of such value to warrant its selection (or the university's selection) over others? Discovery and exploitation of such competitive advantages can greatly assist the university in recruitment and retention of students, acquisition of funds, and external support. Support units should be aware of the crucial role their services play in retaining students and in affecting the morale of all members of the university community.

Discovery of internal weaknesses within the unit is also important and may suggest internal actions that are needed and problem areas that must be addressed.

Having collected external and internal data, the unit must analyze them in order to develop strategic alternatives. Many planners employ a so-called Strengths, Weaknesses, Opportunities, Threats (SWOT) analysis.

### **SWOT Analysis**

A SWOT analysis allows planners to display data for the purpose of discussing various courses of action. These actions or strategies become the alternative choices suggested by the interplay of strengths and weaknesses with opportunities and threats.

The abbreviated example that follows is part of a SWOT analysis done for a college that is considering a strategy for becoming known as an institution that prepares students as executives in international business. The external information suggests that this college might offer an international business program focusing on careers in financial institutions. The internal information suggests that it might succeed because the college has a strong economics department. However, internal weaknesses in foreign languages and Latin American studies would have to be addressed.

#### Internal Environment

##### Strengths

-Reputation for graduating strong

##### Weaknesses

-Ineffective conversational

- students
- Good Asian studies program
- Strong economics department
- Board member connections to international banking communities

- foreign language training
- Faculty aversion to "vocationalism"
- Weak area studies on Latin America

### External Environment

#### Opportunities

- Student careerism
- Growing internationalization of business and, hence, careers in international business
- Successful entry into this field by a few graduates already

#### Threats

- Best students' inclination toward flagship university
- High cost of tuition at this college
- Competing institution's similar program

### Strategic Actions for Consideration

- Start international business program as interdisciplinary major.
- Look for cooperative arrangements with college strong in Latin American studies.
- Mobilize alumni support of program.
- Strengthen language lab facilities.

At this point, the unit should have generated a number of strategic alternatives for its future direction by matching external opportunities with internal strengths. That is, it has moved from "what we might do" to "what we can do."

Before deciding which alternatives to pursue, however, the unit may extend the "can do" analysis a bit further by means of a process known as "gap analysis." Focusing on weaknesses or limitations internal or external to the unit or institution, the unit can determine what things might prevent or make difficult the achievement of a possible goal. This is the point at which close attention should be given to necessary resources. The unit should decide whether it is feasible to assume that these obstacles can be overcome and what strategies would be necessary to overcome them, or whether the goal should be modified or abandoned.

### **Consideration of Individual/Group Values**

Having established what can be done, the unit must finally ask whether it wants to move in a particular direction. This is largely a matter of the individual values of the members of the unit and its constituency. Without general support, even the best strategies may fail. Agreement, however, need not, and probably will not, be unanimous. Most plans of substance will engender some opposition, given the variety of human values and needs. Ideally, the plan should achieve a balance between realism (to assure feasibility) and vision (to inspire effort).

Before adopting strategies that respond to the opportunities or threats identified in the SWOT analysis, the unit should stop and review its goals and objectives during prior planning periods. Which goals/objectives have been achieved? Which have not? Are all of them as important as they were when adopted? Should some be abandoned or revised? The revised plan will be the product of intentions,

probably stated as goals and objectives, from previous plans that are retained or revised, plus any new goals or objectives that are added.

As the unit approaches agreement on direction, it can evaluate the proposed plan by asking the following questions:

- Does it build on opportunities in the environment?
- Does it build on institutional and unit strengths?
- Is it internally consistent with other programs with which the unit interacts?
- Is it consistent with the expectations of the institution's and unit's most important constituencies?
- Is it consistent with existing competencies and resources?
- Is it consistent with the Appalachian's mission, direction, and goals? What is the unit's contribution to the realization of the Appalachian's mission and goals?
- Will the plan stimulate personal effort? Can it inspire unit members and win the support of those who must supply the necessary resources?

## APPENDIX G

### GLOSSARY AND BIBLIOGRAPHY

#### Assessment

Traditionally, assessment meant the ways educational institutions answered these two questions: (1) What are our students learning? (2) Are they learning what we want them to learn? Examples of assessment include the senior declamations and oral examinations that were common in nineteenth-century colleges. Various cognitive tests and attitude inventories have been developed to assess student learning.

More recently, assessment has meant more than just evaluating student learning. Assessment commonly now is viewed as the "institutionalization of self-awareness and constant change, that is, continuous self-renewal" (Spangehl, 1987, p. 35). This more general scope of assessment is also referred to as "institutional effectiveness."

#### Biennial Budget Cycle

The General Assembly sets budgets on a biennial basis, with "change budget" adjustments made for the second of the two years. The General Administration of the UNC System, in turn, determines the amount of new ("expansion budget" and "enrollment increase") funds Appalachian may request for each year of the biennium.

#### Evaluation

Evaluation, often used interchangeably with measurement and assessment, typically represents the various methods of measuring student learning, quality of programs, or performance of work.

#### Five-Year Planning Period

The five-year planning period is an arbitrary time frame for focusing the intentions of the University community. That time frame encourages looking beyond the immediate situations and crises in order to position the University and its programs well for the relatively near future. Conversely, it discourages the pipe dreaming that can result from looking ten to twenty years into a very unpredictable future.

#### Goals

A convention holds that goals should be general statements of themes or directions, either measurable or not measurable as stated. They represent a commitment to broad intentions and aspirations. They mean essentially the same as "strategic directions" in Appalachian's strategic planning process.

#### Institutional Effectiveness

The phrase, "institutional effectiveness," often has been used in reference to Section III of the Southern Association of Colleges and Schools' (SACS) Criteria for Accreditation. It reflects the distinction frequently made between "effectiveness" and "efficiency": the former is more concerned with doing the best thing at the best time, while the latter is more concerned with doing things most economically. To put it differently, "effectiveness" connotes setting reasonable targets and then making the necessary adjustments to reach the targets; "efficiency" connotes trying to make resources stretch the farthest.

For Appalachian, institutional effectiveness may be seen as the collective effort to define a valid mission and to take the necessary innumerable actions and corrective actions to comply with that mission. Ultimately, it means that each unit of the University is able to state explicitly its contributions to the University's mission and goals. In the context of SACS' *Criteria*, institutional

effectiveness means having an ongoing, functional process of planning and evaluating by all (i.e., academic and administrative alike) areas of the University.

#### Intentions

Referring to intentions is another way of saying "mission," "goals," "objectives," "expected results," or "expected outcomes."

#### Measurements

Measurements most frequently refer to those many ways that performance can be quantified. Academic departments may find it difficult to find workable measurements that truly depict student learning. Since each unit chooses its ways of "counting" to match the intentions to be "counted," the variety of measurements can be unlimited. In practice, though, most units rely on familiar measurements such as enrollment, student credit hours, success of graduates, dollars, number of publications, and satisfaction ratings of students/clients. Other more qualitative but equally valid measurements include judgments and appraisals.

#### Mission

The mission is the key building block in the entire planning process. It states clearly, simply, and explicitly what the University or unit wants to do or be and can do or be. It reflects opportunities, capabilities, and values. A good mission statement will mobilize people by helping them answer the question, "What is my own contribution to the mission of my unit or the University?"

#### Objectives

These typically are considered as measurable restatements of goals. Like goals, objectives are "results," "outcomes," or "products" that can be counted, appraised, or judged. A well-stated objective can be readily matched with a measurement. Since objectives emanate from goals, achieving an objective, as shown by measurements, can be equated to achieving a goal or part of a goal. They mean essentially the same as "strategic actions" in Appalachian's strategic planning process.

#### Outcomes

Outcomes are most often stated as "student outcomes," and "educational outcomes," or the end results of the educational experience for students. Student outcomes may be behavioral, cognitive, or attitudinal. Outcomes may also refer to the results of any unit.

#### Results

Referring to results is another way of saying "products," "outcomes," "intentions met," or "objectives accomplished." The fundamental question units and the university must periodically ask is, "What are my results?" This may be a hard question to answer, but it must be attempted. Unless results can be defined or measured somehow, units can never know for sure how to improve performance nor how to use resources wisely. It is important to keep in mind that the key results lie outside the University and its collection of units, not inside (e.g., academically, socially, intellectually, or morally well-prepared students).

#### Strategic Planning

In practice, strategic planning means a technique for starting at the point at which one wants to end, then adopting strategies for getting there. It entails knowing where one wants to end up, what obstacles are in the path, which resources can be used, what actions can be taken, and how to tell when the end has been reached.

### Strategic Actions

Strategic Actions are measurable actions that the unit proposes to take, generally within the next five years, in order to work toward the achievement of its mission, vision, and strategic directions.

### Strategic Directions

Strategic Directions should state in broad terms the end results that the unit seeks in order to move in the direction it has charted. Strategic directions for all of its activities, only for those that are directly related to the strategic planning statement. In most instances, units will need to also state strategic actions to give meaning to these broad directions.

### Strategies

Strategies are the actions that can be taken in working toward an end result. They are the various things one does. The mission says, "This is what we are here to do;" strategies usually say, "This is how we aim to do it, this is the time frame within which we expect to do it, and this is who will do it."

### Units

Units are the various offices and departments on campus that prepare plans, as shown in Figure 1, pages 7-8.

### Vision

A unit's vision expresses a compelling image of the desired future for the unit. It provides inspiration and challenge to all members of the unit to reach toward an ideal of what the unit can become. It should be purposefully articulated to bridge the present and future and to serve as a critical impetus for change. It should be brief enough to be memorable and complete enough to direct effort.

### For Further Reading

Many publications discuss academic management and strategic planning. Those listed below are but a few of those available for further reading on the subject of planning in higher education.

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