

**SET GOALS**

**Strategic Planning**



**EVALUATE**

**Program Reviews &  
Progress Reports on  
Strategic Indicators**

**ACT**

**Implementation &  
Resource Allocation**

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**BRIEFING PAPER:**  
**STRATEGIC PLANNING, ASSESSMENT & ACCOUNTABILITY MODEL:**  
**A PROPOSAL FOR MOVING THE CSU STANISLAUS CAMPUS FORWARD**  
**Prepared for the President's Cabinet Retreat**  
**February 18, 2002**

**Modified & Approved By the Deans Council**  
**February 5, 2000 Retreat**

In response to the President's directive to develop assessment and strategic planning processes in the upcoming year, this brief has been drafted as a tool to begin an open and inclusive discussion of how best to structure planning and evaluation processes at California State University, Stanislaus.

Overview and Assumptions

The process of establishing priorities and identifying strategic initiatives as well as identifying means to accomplish critical goals at the University will necessarily be a recursive process characterized by open and participatory discussions guided by our learning centered mission, specifically:

*The delivery of high quality academic programs  
taught by faculty dedicated to student learning*

As a result, a Strategic Planning & Priorities Advisory Commission should be established with the charge of providing input and consultation from all segments of the University, and providing perspectives to the President's Cabinet regarding university-wide goals and priorities. Responsibilities of this group will include:

- (1) providing analysis and a long-range perspective of issues facing the university in the future based on objective information and broad-based input from the university community as well as external advisory groups,
- (2) reviewing and refreshing on an annual basis strategic goals,
- (3) developing strategic indicators or milestones to measure progress toward achieving critical goals,
- (4) facilitating linkages among the University plan and special focus plans (for example, Enrollment Management, Facilities, Major/Minor Equipment, Information Resources, Development, Student Life, etc.) to ensure coordination, and
- (5) developing recommendations to the President and the Cabinet regarding principles and priorities for immediate implementation and resource allocations in a timeframe which permits input to and linkages with the University's Budget Advisory Committee.

The planning cycle should initially begin with an evaluation of existing strategic priorities, the degree to which existing goals have been completed and recommendations for refreshing strategic initiatives and priorities. The membership of this committee is yet to be determined but should have linkages with the college planning efforts as well as those in the special focus planning groups.

The typical planning cycle entails review and reconsideration of the strategic plan every five years with the group meeting at least twice annually to refresh existing goals, evaluate progress toward meeting goals and reprioritization of goals as deemed appropriate.

\*\*\*\*\*

A comprehensive strategic planning cycle involves three critical components: setting goals, acting to implement those goals, and a feedback mechanism in the form of assessment and evaluation.

**SET GOALS** -- Requires development of an institutionalized process and infrastructure to support inclusive, university-wide strategic planning and goal setting. The goals should be stated in concrete terms so that progress toward meeting them can be observed over time. The process would ideally include analysis of internal and external data to identify needs of the university and to anticipate future needs of the university to enable it to serve students and the community.

**ACTION PLANS/IMPLEMENTATION/RESOURCE ALLOCATION** – Once consensus is reached on goals and indicators, there should be an open and inclusive process of setting priorities and developing action plans. A resource allocation model that explicitly links the university's goals, both new and continuing, with the results and recommendations arising from an open and participatory review process is a critical aspect of moving the university forward. This resource allocation model will be not only collaborative but also comprehensive in that it will include personnel, financial, space, equipment, etc., resources.

**EVALUATE/ASSESS** \*\* -- Once the implementation of an initiative or program has begun, ongoing monitoring of progress toward meeting the objective is needed. The evaluation/assessment process involves establishing a data collection system and routine reporting mechanism that allows the University to track its progress in achieving important goals.

Evaluation serves at least two critical roles in the strategic planning process: (1) to clarify goals by translating them from abstract concepts into observable actions and results, often called indicators; and (2) to provide continuity in the planning process by routinely focusing attention on identified critical goals until they have been met.

Assessment and evaluation are often used interchangeably but for purposes of this paper and to promote understanding across the campus, the following definitions will be used:

\*\*assessment, typically at the degree program level, refers to student learning goals;  
 \*\*evaluation is used to refer to evaluation at the program or department level; and  
 \*\* institutional effectiveness and accountability both refer to institutional level evaluations. Accountability typically refers to evaluations which are externally mandated by entities such as the Chancellor's Office, state and accreditation agencies as well as the university's various public and community constituencies.

*The common denominator, regardless of the nomenclature, is that of collecting information that can be used as a basis to evaluate the progress of an entity in accomplishing strategic goals and setting new goals.*

The plan, act, evaluate cycle involves clearly articulating and routinely reviewing strategic goals, developing action plans to accomplish the goals, and subsequently evaluating progress in meeting strategic goals. Therefore, it is impossible to discuss assessment and evaluation as separate processes.

## SET GOALS

- It is expected that each unit will have a recursive, participatory, and inclusive process of goal setting and that the recommendations from the unit's most recent program review(s) will directly influence and inform planning goals and requests for resources. It is also expected that the units will take advantage of input and information from the community and from the constituents that it serves. This engagement with external forces and audiences may involve advisory groups, inclusion of relevant members in the planning team, and/or environmental scanning.
- Because of the participatory consultative process that is necessary for strong strategic planning, it is expected that goals and implementation plans at each stage of the process will be adjusted dynamically to take advantage of varying views, changing priorities, and new developments in the area of responsibility.
- In order to maximize the utility and impact of these planning and evaluation processes, and in order to minimize administrative burden to the units, the processes of planning, implementation, and evaluation should be integrated and non-redundant.
  - **Template for Strategic Planning**
    - Statement of Values
    - Long Range Vision
    - Mission (Who are we? What do we have to do?)
    - Goals (What do we want to do?) & Linkage to University Plan
    - Measures of Progress (How will we know we accomplished our goals?)
    - Implementation & Resource Plan (Who is responsible? What will it cost? When will it be completed?)
      - Short term initiatives
      - Long term initiatives
      - Impact Assessments on University Support Units (implications for OIT, Library, Facilities, etc.)
    - Multi-Year Budget Plan/Request for Resources (Prioritized)
    - Summary with prioritized goals and rationale
  - **Consultation at the Department Level:**
    - At each level, managers will be responsible for ensuring that the planning process is open, participatory, involving faculty, staff and, where appropriate, students, and builds upon the periodic academic or support program review and planning process.
    - Academic planning will be led by the College Deans who will be responsible for developing unit plans that are informed by, and built upon, the departmental reviews in conjunction with department chairs and faculty. The deans/unit heads will be responsible for ensuring that the planning and priority setting process is participatory and open involving staff, managers, and the constituents that it serves.
  - **Vice President's Planning Linkages to University Planning**
    - Vice presidents will be responsible for developing strategic plans that will feed into the University Strategic Plan and Resource Allocation Process. The vice

presidents will also be responsible for ensuring that the planning and priority setting process is participatory and open, involving relevant staff and faculty representation. Once these plans are accepted, vice presidents will be responsible for developing implementation/operational plans to accomplish the goals.

- Associate/assistant vice presidents may be responsible for developing component strategic plans that involve the units they serve and which will feed into the University Strategic Plan. Example: the Office of Information Technology will develop a component of the Strategic Plan for technology; Enrollment Services will develop the Enrollment Management Plan, etc.
- As part of the support program review process, each administrative department that undergoes review will develop a strategic plan. The departmental plans developed as part of the program review will form a source of feedback and information to the Vice Presidential strategic plans.

## **ACTION PLANS & IMPLEMENTATION**

- Planning, including goal setting and resource allocation, should be conducted in a participatory, inclusive manner which requires that the decision making process include a careful consideration of priorities identified in the strategic plan as well as the perspectives and interests of stakeholders and interested and affected units.
  - **Expectations for Implementation/Resource Allocation/Action Plans**
    - Development of a multi-year resource allocation request process which will allow the university leadership to anticipate longer term financial needs.
    - Redesign existing budget processes and committees to include consultation and participation in planning at the grass roots level.
    - Develop a process that formally links Academic Affairs and other VP plans as well as specialized plans (technology, library, facilities, etc.) into the overall university's plans.

## **EVALUATE/ASSESS**

- As part of the periodic program review process, all programs and departments will have developed an assessment plan and process. In this way, long term evaluation and assessment will be institutionalized and facilitate informed decision-making during annual planning and budgeting cycles.
  - Development of Strategic Indicators to measure progress toward achieving university wide goals.
    - Once general goals are set, the Strategic Planning & Priorities Commission, in conjunction and consultation with appropriate faculty and administrative bodies, will develop observable strategic indicators which will help evaluate progress toward accomplishing strategic goals. Progress toward these goals should be reported on and evaluated via an annual report to the President. These reports can provide relevant information for the next academic year plans and budget allocations.

**OPERATIONAL PHASES OF COLLEGE/UNIT PLANNING  
PROCESS  
In ACADEMIC AFFAIRS**

Operationally, the recommended planning process will follow this procedure to ensure a consultative process, including external consultation.

**SET GOALS**

Phase 1. Each College Dean/Associate Vice President will prepare their plans including the values, vision, mission, prioritized goals, implementation plans and measures of progress using the template outlined above. The plans will be guided and informed not only by college and departmental planning groups but also recommendations from program reviews and the University's strategic plan.

Once the plans are completed, they will be routed to the AVP for Institutional Research, Planning, and Accountability (IRPA) for synthesis, consolidation, circulation, and further consultation. (In Academic Affairs, the colleges' plans will be synthesized and circulated in the Deans Council prior to finalization for discussion on priorities, common needs and themes, etc.)

**ACTION PLANS**

It is not anticipated that the values, vision and mission of the units will change each year. However, as progress is made toward meeting goals, naturally action/implementation plans will change to reflect accomplishments and new priorities will be identified.

Phase 2. After consultation in the Deans Council, the units will prepare action plans for those goals which have been identified as priorities for Academic Affairs and/or are critical to their own units. These plans will again return to IRPA for summary, consolidation, and circulation in the Deans Council.

Phase 3. The units develop budget plans and implementation plans for the current year plus two subsequent years. These budget plans will be provided to IRPA for consolidation and circulation in coordination with the Academic Affairs Budget Director. In addition to consultation in Academic Affairs, consultation will take place with the VP for Business & Finance for information regarding budget assumptions for the current year including COLA, benefit costs, other fixed costs increases as well as new funds available for the year. IRPA will also ensure that there is coordination among requests among various support units which may be impacted by the requests such as the library, OIT, Student Affairs, facilities planning, etc.

Phase 4. The Provost, with appropriate consultation, creates the Academic Affairs strategic plan and an implementation and resource plan that is consistent with agreed to priorities. Measures of progress will be finalized and responsibility assigned for accomplishment of priority goals. This final document will be provided to the Deans Council.

Phase 5. The plan is presented to the President's Strategic Planning & Priorities Commission, SEC, and the University Budget Advisory Committee, etc. for final consideration and development of University-wide goals and priorities.

#### **EVALUATION**

Phase 6. On an annual basis, each College and AVP in Academic Affairs will provide an annual update of progress toward meeting priority goals included in their plans to the Deans Council. Unit and Academic Affairs goals are reconsidered, refined, and prioritized and new goals are set for the upcoming year.

### **OPERATIONAL PHASES OF STRATEGIC PLANNING PROCESS In OTHER VP AREAS**

#### **SET GOALS**

Phase 1. Each Vice President will prepare plans using the agreed upon template as outlined above. The plans will be guided and informed not only by university and academic affairs goals but also recommendations from internal program reviews and planning efforts as deemed appropriate by the Vice President.

Once the plans are completed, they will be routed to the AVP for Institutional Research, Planning, and Accountability (IRPA) to facilitate coordination with the University's Strategic Planning and Priorities Advisory Commission.

#### **ACTION PLANS**

It is not anticipated that the values, vision and mission of the units will change each year. However, as progress is made toward meeting goals, naturally action/implementation plans will change to reflect accomplishments and new priorities will be identified.

Phase 2. After consultation with the SPPAC, the VPs will develop budget and implementation plans for the current year plus two subsequent years. These plans will be provided to the Budget Advisory Committee for consolidation and circulation.

The VP for Business and Finance will be responsible for providing the context, planning assumptions, models and other analytical tools to facilitate budget development. (Examples, COLA, benefit costs, other fixed costs increases as well as new funds available for the year).

IRPA will ensure that there is coordination among requests among various support units which may be impacted by the requests such as the library, OIT, Student Affairs, facilities planning, etc.

These budget plans will be provided to the University Budget Advisory Committee for consideration.

Phase 3. The SPPAC, with appropriate consultation, creates the University strategic plan which includes long term and immediate goals and priorities. Measures of progress will be finalized and responsibility assigned for accomplishment of priority goals. This final document will be provided to the President for final approval.

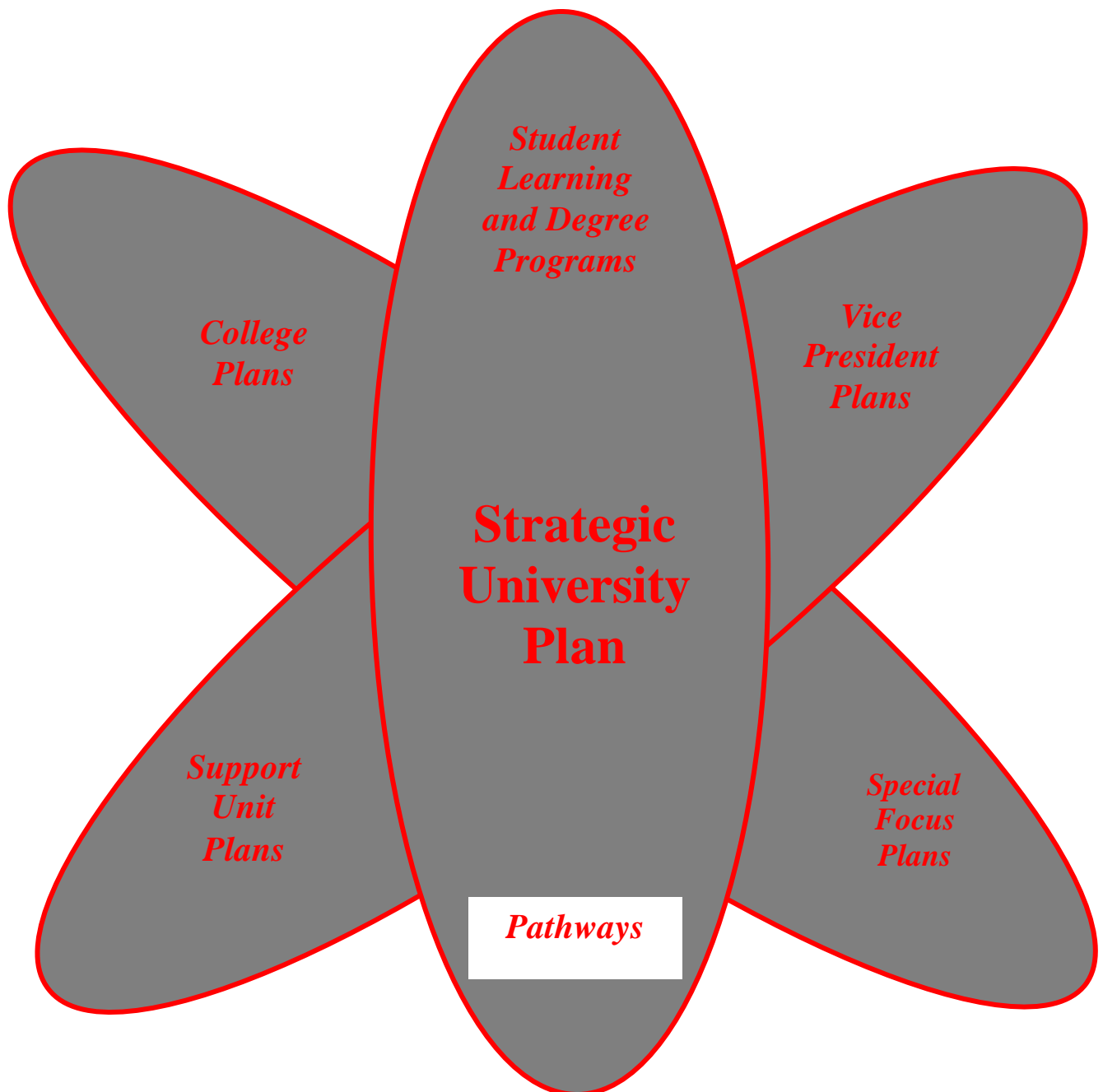
#### EVALUATION

Phase 4. On an annual basis, SPPAC will provide an annual update of progress toward meeting priority goals. University goals will be reconsidered, refined, and prioritized and new goals are set for the upcoming year.

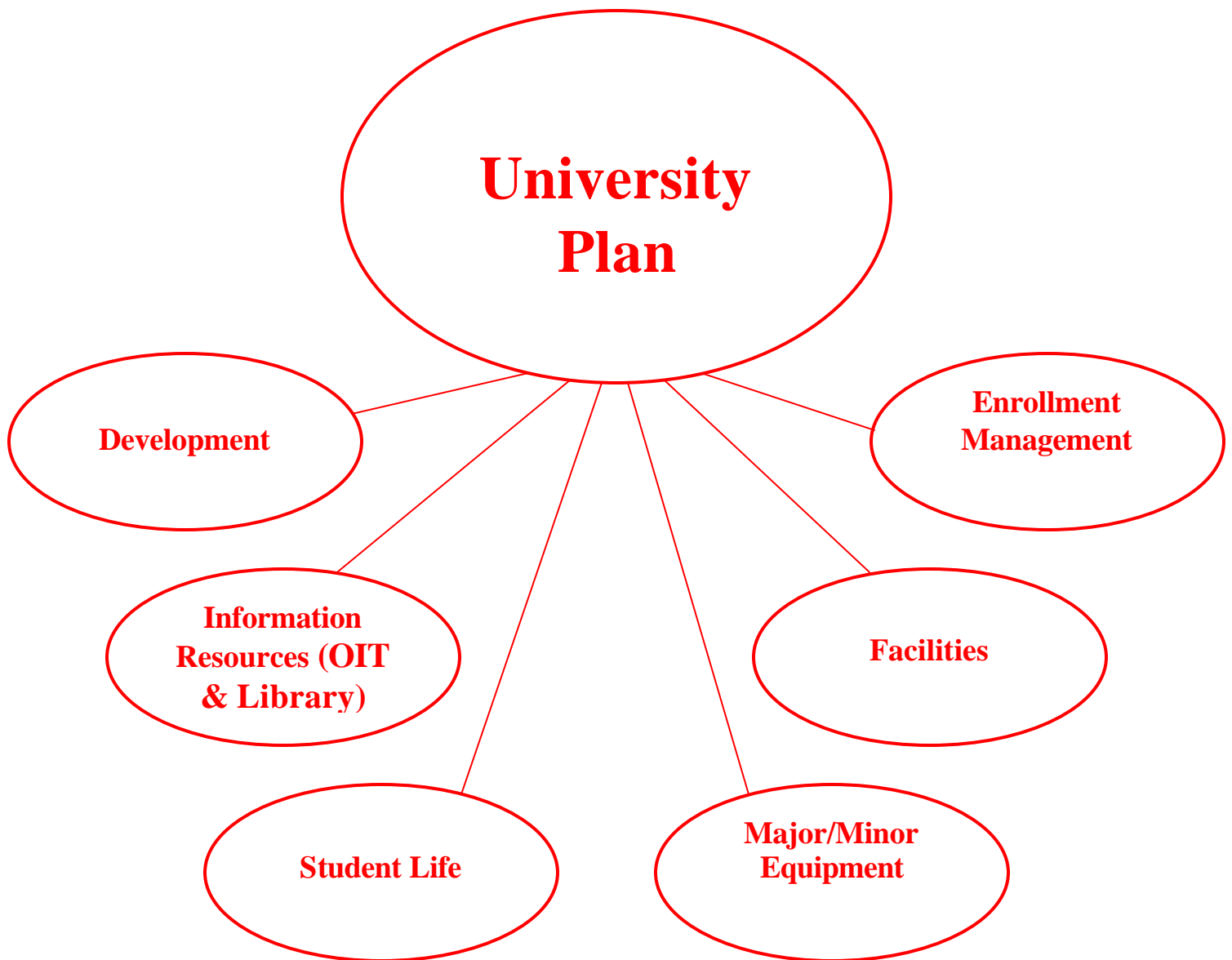


**SET GOALS**

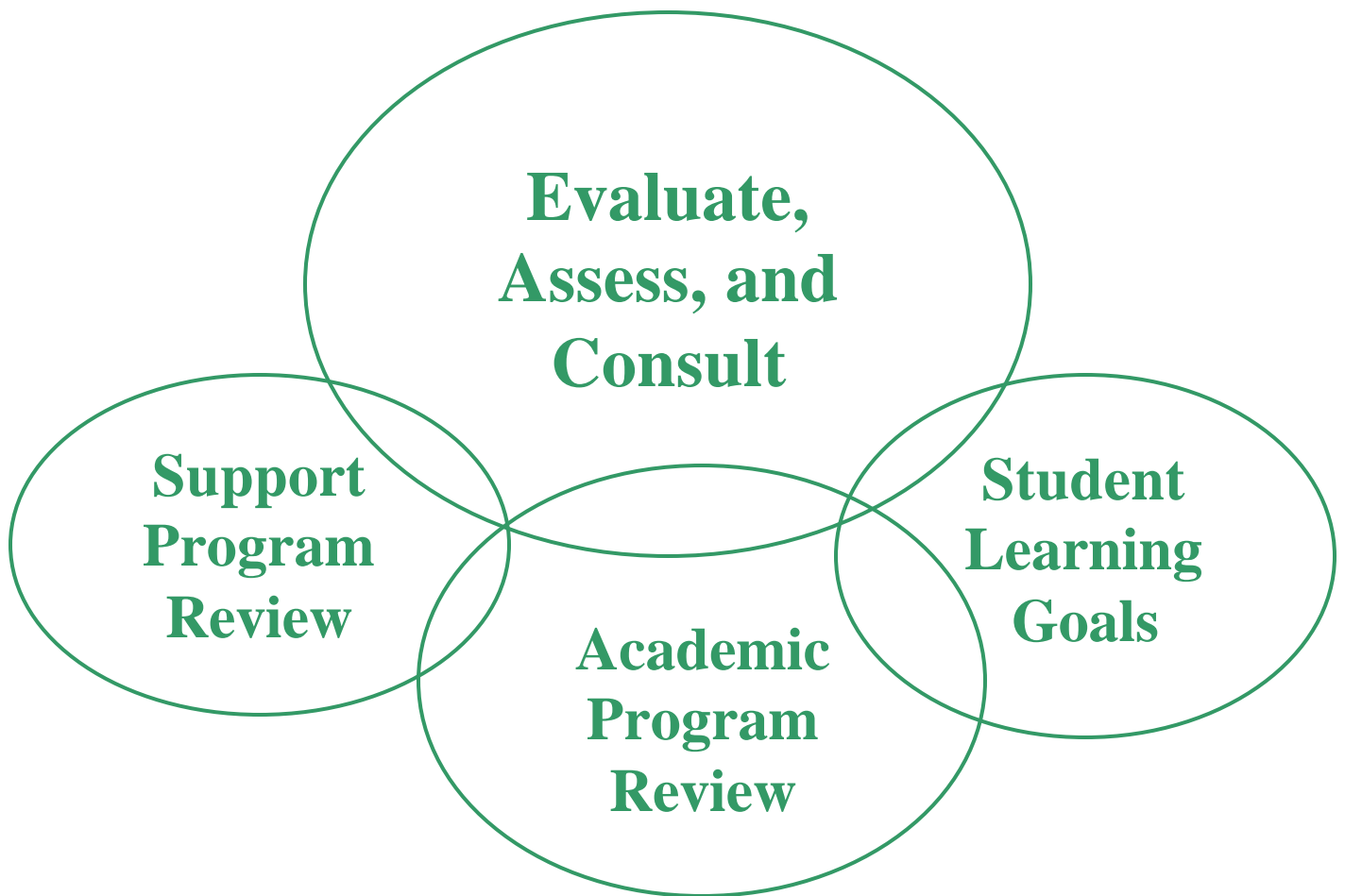
# Strategic Planning Process



**SET GOALS**



**EVALUATE**



**Implementation Plans  
Developed**

**Resource Allocation Model**

**California State University, Stanislaus  
Proposed Timetable**

<b>TIMEFRAME</b>	<b>ACTIVITY</b>
February Retreats	Consultation on proposed planning model Develop a calendar to begin planning
March-May	Consultation with University community
April 19	College/Unit preliminary plans due
June/July Orientation Retreat with new Provost	Area Presentations, Status of AA, etc. Planning Tasks Mission Statement Core Values, etc. Environmental Scan/SWOT
Spring/Summer	Initiate Special Focus Plans Enrollment Management Information Resources Library/OIT Academic Initiative
August Retreats	Finalize University/VP Strategic Plans Consensus on Measures of Progress Enrollment Planning & Targets
Fall 2002-Spring 2003	Kick-off planning cycle with full participation

**SUMMARY IMPLEMENTATION FORM**

**Title:**

**College/Department:**

**Priority \_\_\_\_\_ of \_\_\_\_\_**

**III. PROGRAM DESCRIPTION & IMPACT:**

**A. Program Narrative and Justification**

**B. Linkage to University Strategic Plan**

**C. Linkage to College Strategic Plans**