

Re: SCUP Planning Institute: Foundations and Design at Mt. San Antonio College - Welcome!

Josh Humbel <josh.humbel@scup.org>

Mon 2/7/2022 5:23 AM

EXTERNAL SENDER - Exercise caution with requests, links, and attachments.

Good morning,

This is a friendly reminder to log into your learner account as soon as possible to confirm access to the digital materials. It is important to complete the pre-work prior to our time together later this week. Please let me know if you have any questions. Thank you!

Josh

On Thu, Feb 3, 2022 at 12:47 PM Josh Humbel <josh.humbel@scup.org> wrote:

SCUP Planning Institute: Foundations and Design
Mt. San Antonio College
February 10th-12th, 2022

Good afternoon,

We are thrilled that you have registered for the SCUP Planning Institute Foundations and Design workshops!

SCUP's Planning Institute allows you to create a collaborative planning culture that involves all of the appropriate stakeholders on your campus. A collaborative planning culture is fostered by effective communication across departments and aligned institutional efforts to move from strategy to implementation. You'll learn invaluable skills to bring your community together and unleash your institution's potential!

WORKSHOP DETAILS:

Below is a link to your STREAM learner account. Please click the link and sign in **using your email address as both the username and password**. Once you have successfully signed in, you will see the Planning Institute: Foundations and Planning Institute: Design course tiles. Click on the tiles to access your pre-work and workshop materials. Please complete the Foundations pre-work prior to the first day of the workshop. Design materials should be completed the evening of the 10th. Be sure to bring a laptop/device to the workshops to access digital materials throughout. Please sign into your account as soon as possible to confirm access to the content.

<https://scup.curatr3.com>

See below for a rough schedule and note that breaks will be mixed in throughout the session. These workshops will be conducted in person.

LOCATION: Pacific Palms Resort
ROOM: Cherry Hill

Planning Institute: Foundations - Thursday, February 10th

7:30am-8:00am: Breakfast
8:00am-12:00pm: Workshop
12:00pm-1:00pm: Lunch

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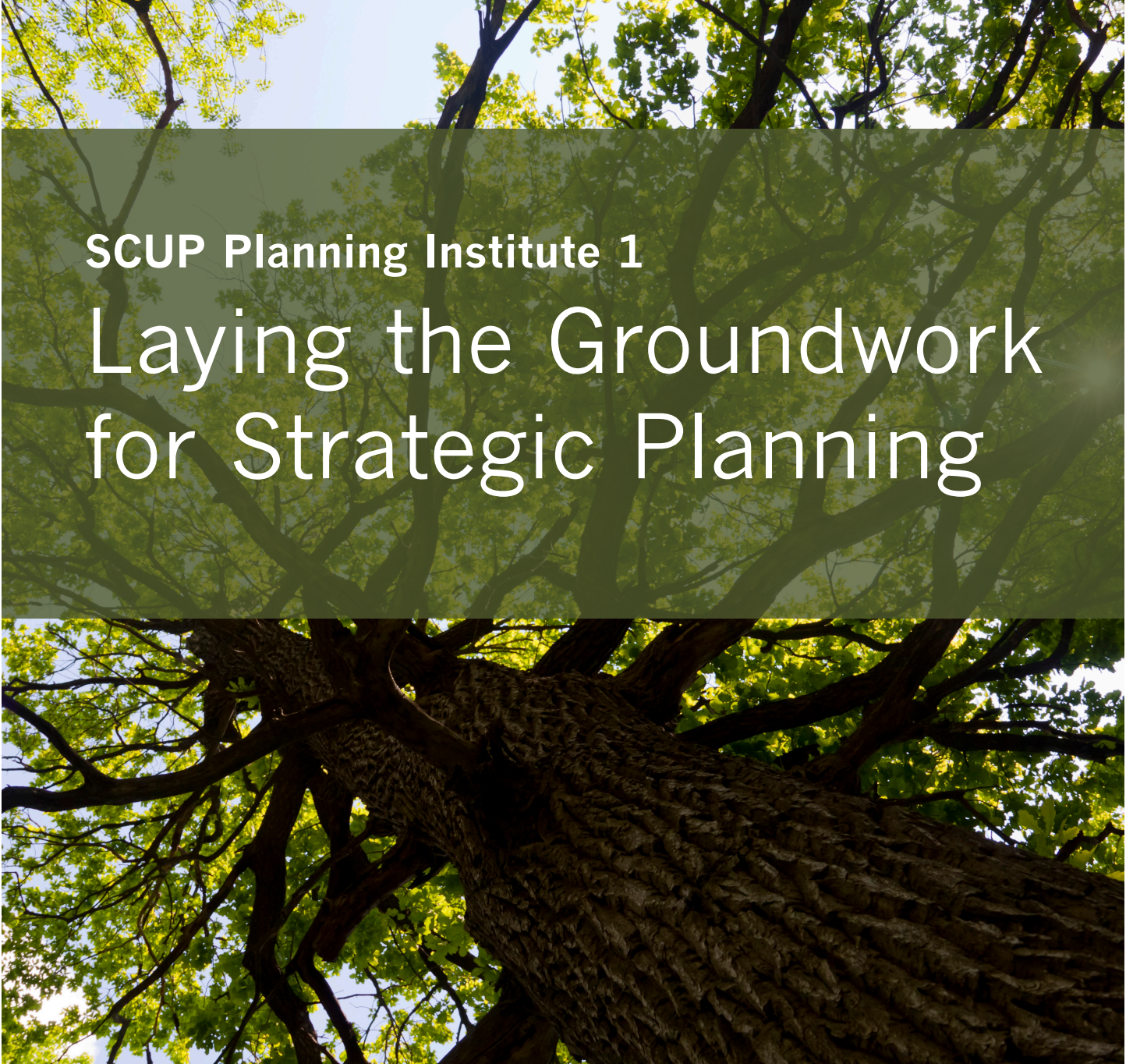
Thank you to everyone who helped to make this conference a success!



Participant Workbook

SCUP Planning Institute 1

Laying the Groundwork for Strategic Planning



**Society for College
and University Planning**

Welcome!

Welcome to the SCUP Planning Institute (PI) experience!

This workshop—like all SCUP PI experiences—is designed as experiential, participatory, and widely applicable across planning problems or institutional context. These design elements support this approach.

- » **Your role.** A successful workshop experience relies heavily on robust peer engagement. Participants come from all corners of higher education (and from organizations that serve higher education). We encourage you to ask questions, to stretch your boundaries, and to learn from one another, especially those outside your area of expertise.
- » **Content.** PI faculty are experienced higher education practitioners; to successfully achieve the workshop outcomes, they act as facilitative guides to help you understand the content. This is driven by a case study and a series of collaborative exercises that focus on building a plan from the ground up. Although the order of the slide deck implies a linear approach to integrated planning, you are encouraged to use the content in a way that meets your planning needs.
- » **Vocabulary.** While planning vocabulary can vary widely within an institution, SCUP strives to achieve a consistent workshop vocabulary (see the SCUP PI glossary in the back of this workbook). We urge participants to support a common language at their own institution.
- » **Feedback.** There are several devices for gathering input and feedback built into the workshop, both during and after the workshop. Feedback results will help us continually improve the workshop.
- » **Engagement.** The PI stresses and encourages ongoing relationship building beyond the workshop experience. Please refer to the various SCUP engagement opportunities listed in the workbook. This extends the concept of a peer learning network and underscores the notion that good planning takes sustained interaction.

To Optimize Your Workshop Experience

- » Please silence your cell phones.
- » Put away laptops/tablets.
- » **Photo and video policy.** During the Planning Institute, participants are permitted to take photos of the displays on the artifact wall, of slides that are displayed on the screen, and activities taking place in the room. However, participants are not permitted to take video of the facilitator's presentation, table discussions, or group activities.

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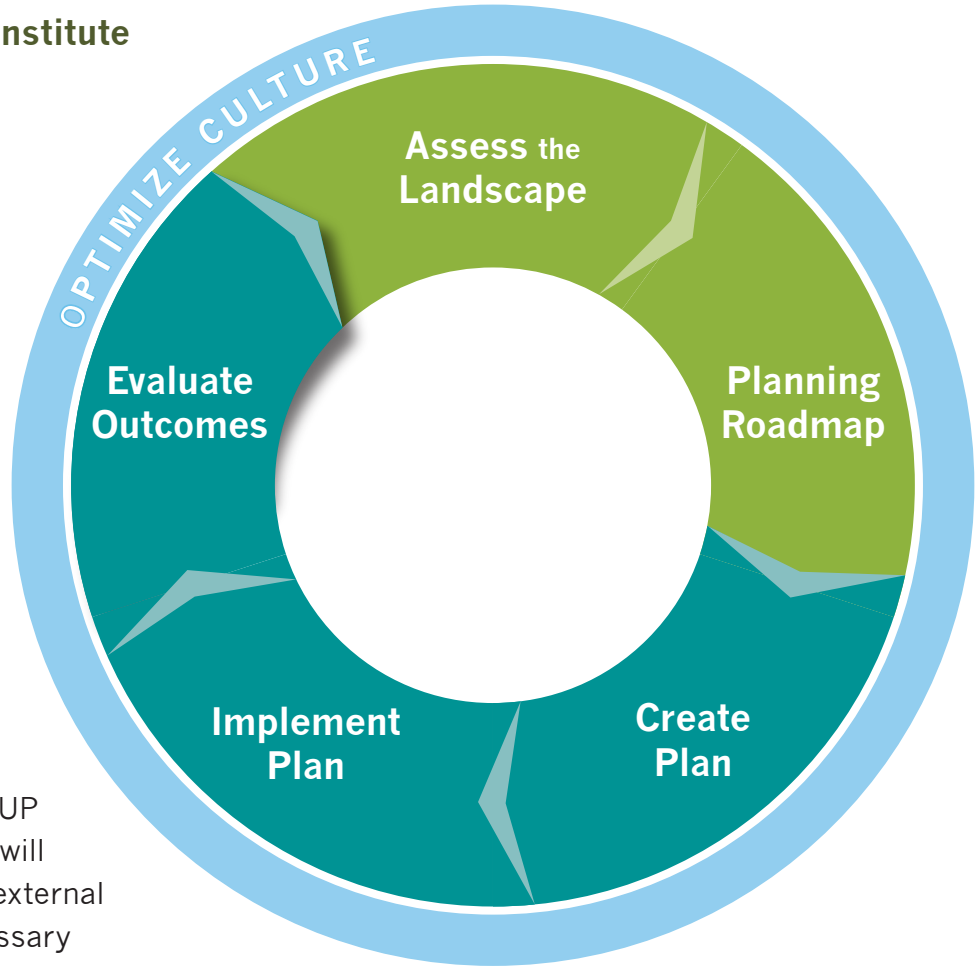
The SCUP Planning Institute

About the SCUP Planning Institute

Many strategic planning models don't work in higher education because they're not designed for higher education. Strategic planning processes designed for corporations or non-profits don't account for higher education's complex environment and the unique challenges it faces.

The SCUP Integrated Planning model is different. It has been developed exclusively for higher education. Our model will help individuals, teams, and institutions solve their thorniest problems. When you use the SCUP Integrated Planning model, you will get an accurate picture of your external environment, ask hard but necessary questions, and build actionable plans. The result? You'll do more than implement a strategic plan. You'll foster an institutional planning culture.

This workshop series guides you through the SCUP Integrated Planning model. After each workshop, you will go back to your campus with tangible takeaways and tools that you can use to grapple with practical problems. SCUP's Integrated Planning model is widely applicable and easily adaptable. It can be used to solve departmental issues or reach an institution-wide goal. It can be tailored to any institution, regardless of size or type.

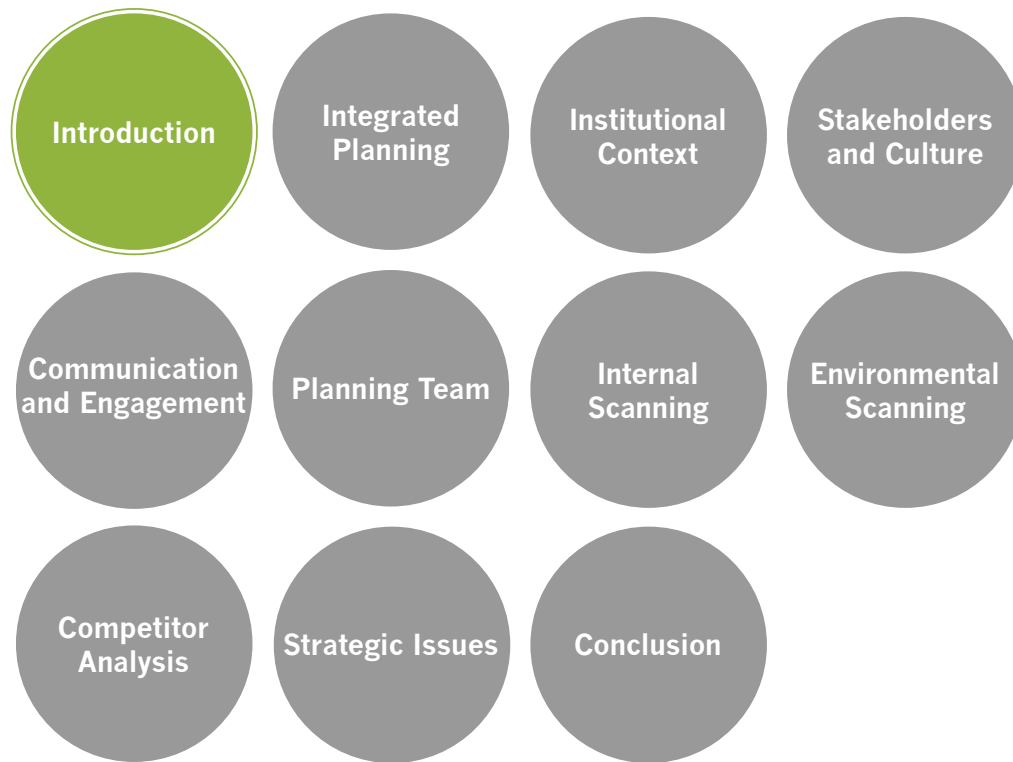


SCUP Planning Institute 1

SCUP Planning Institute 2

SCUP Planning Institute 3

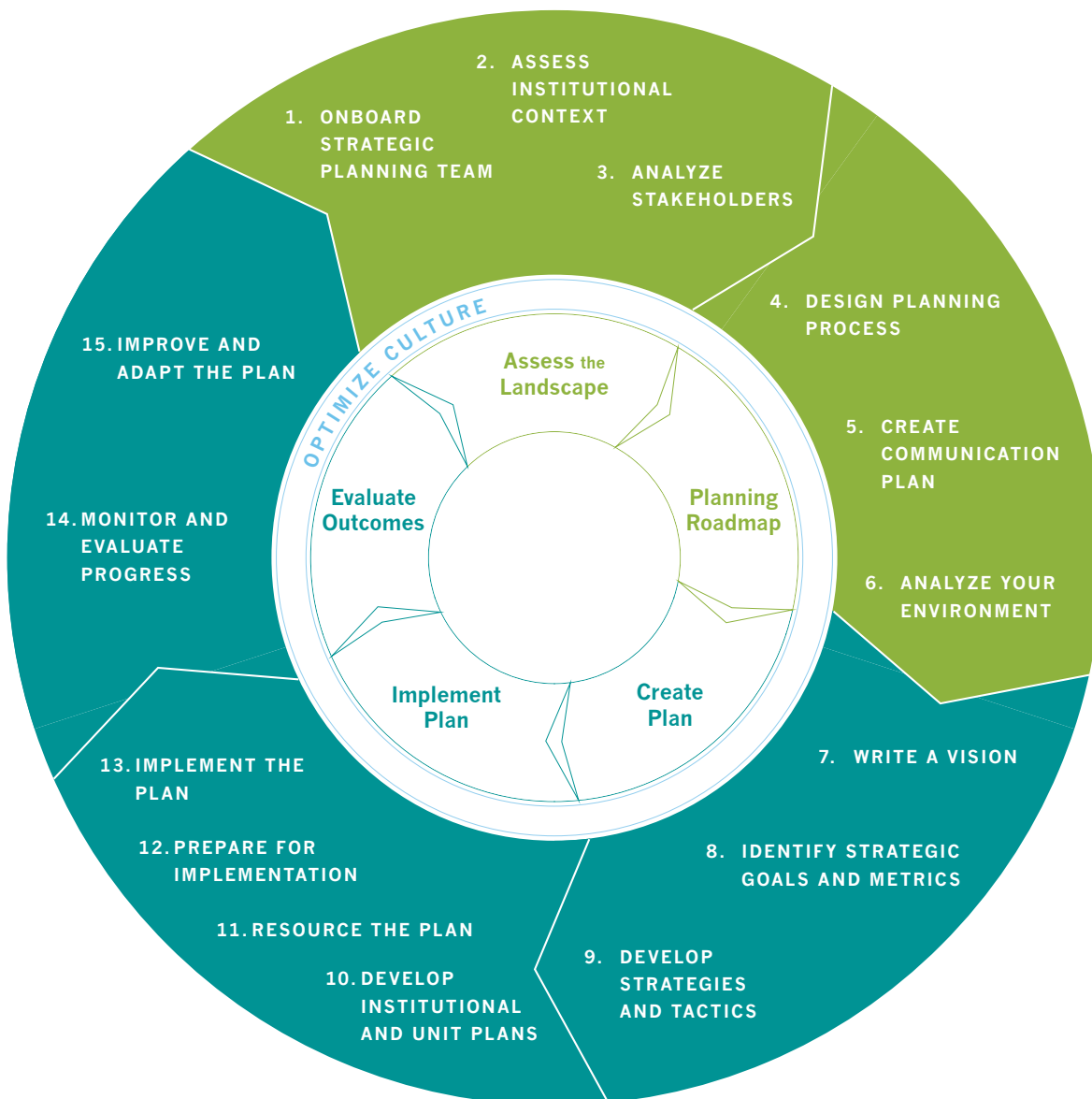
Introduction



Notes

SCUP Planning Institute 1 Learning Outcomes

1. Assess your institutional context and its readiness for change so you can limit change inhibitors and pave a pathway to success.
2. Identify and analyze stakeholders for your institution's planning efforts, effectively engage stakeholders in the planning process, and create a communication plan that ensures a transparent and inclusive planning process.
3. Analyze your institution's internal and external environment, including global forces and trends, internal mandates, and competitors.
4. Identify how you can adapt integrated planning to your institution's unique situation.

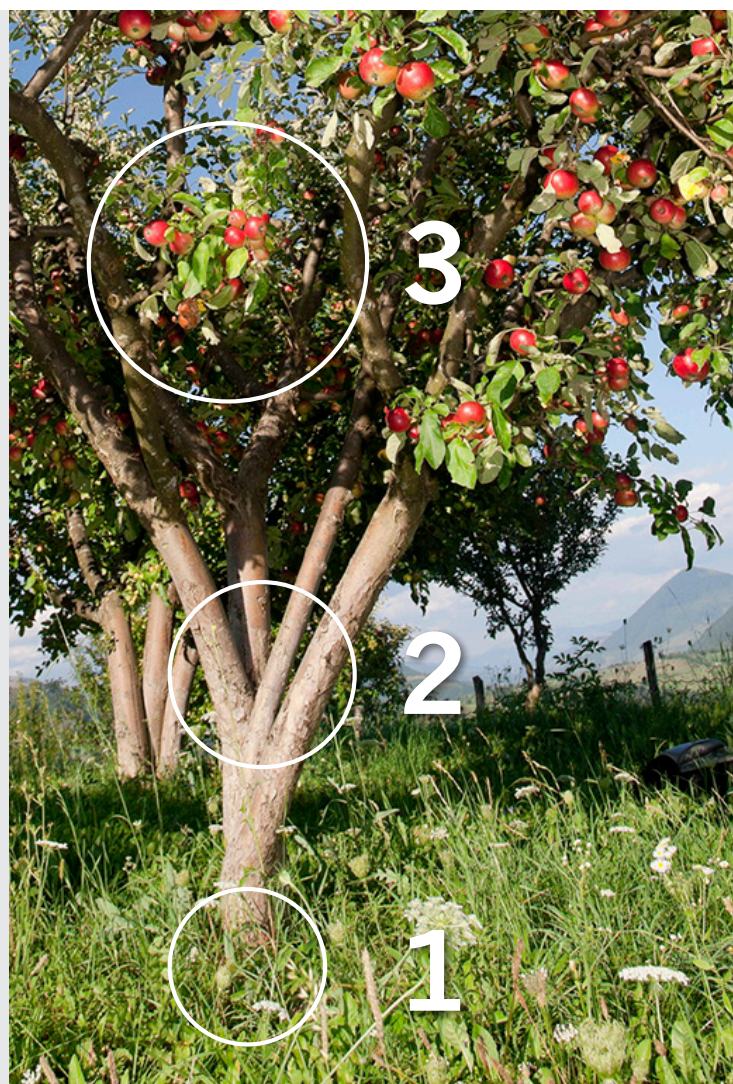


Planning Institute Themes

Building and Sustaining
an Integrated Planning Culture

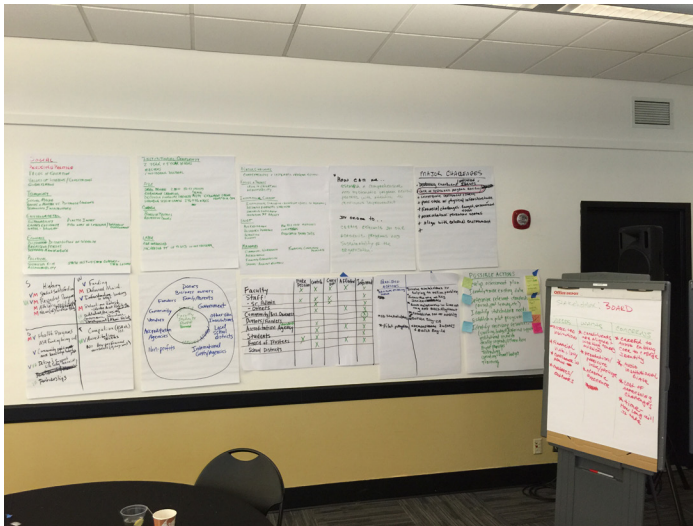
Developing and Implementing
a Strategic Plan

Laying the Groundwork for
Strategic Planning



Notes

Artifact Wall

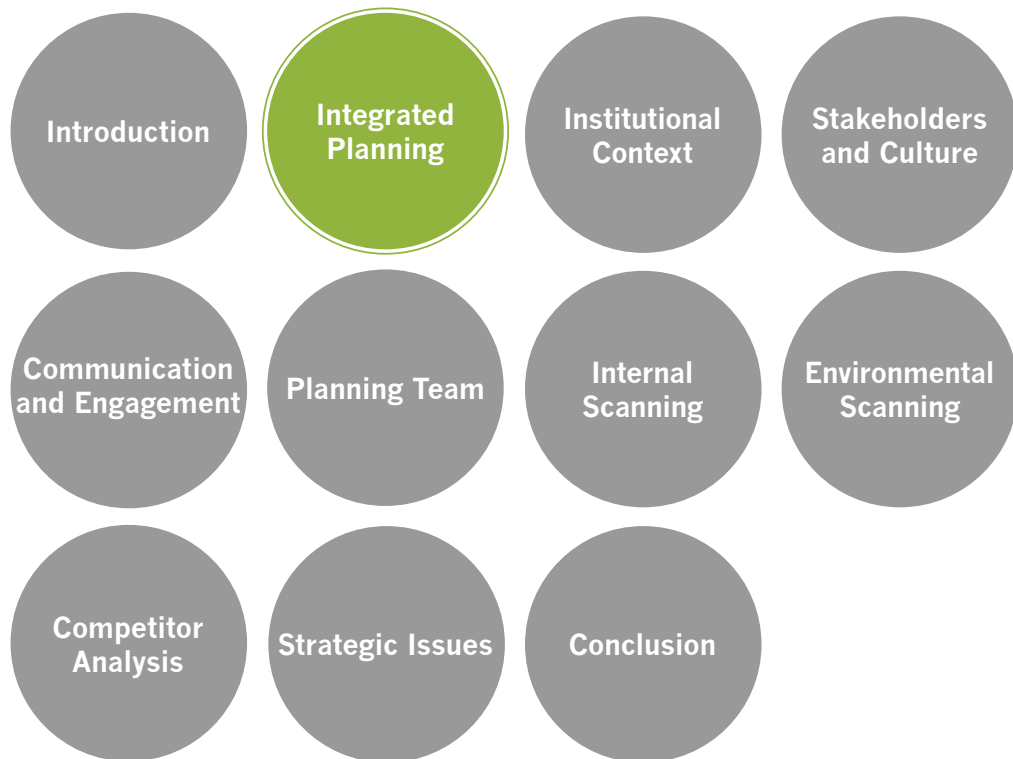


Instructions

1. Chart out a wall location for 8–12 sheets of flipchart paper.
2. During small group exercises, document the outcomes on a piece of flipchart paper. Make sure to label your artifact.
3. Hang each sheet of flipchart paper on the area of wall you charted out.
4. As you work through the course, consider using previous artifacts as source materials to help you solve succeeding activities.
5. Peer around the room. What are others doing? How might you infuse some creativity into your wall? How can you stretch the concept to meet the particular needs of your group?

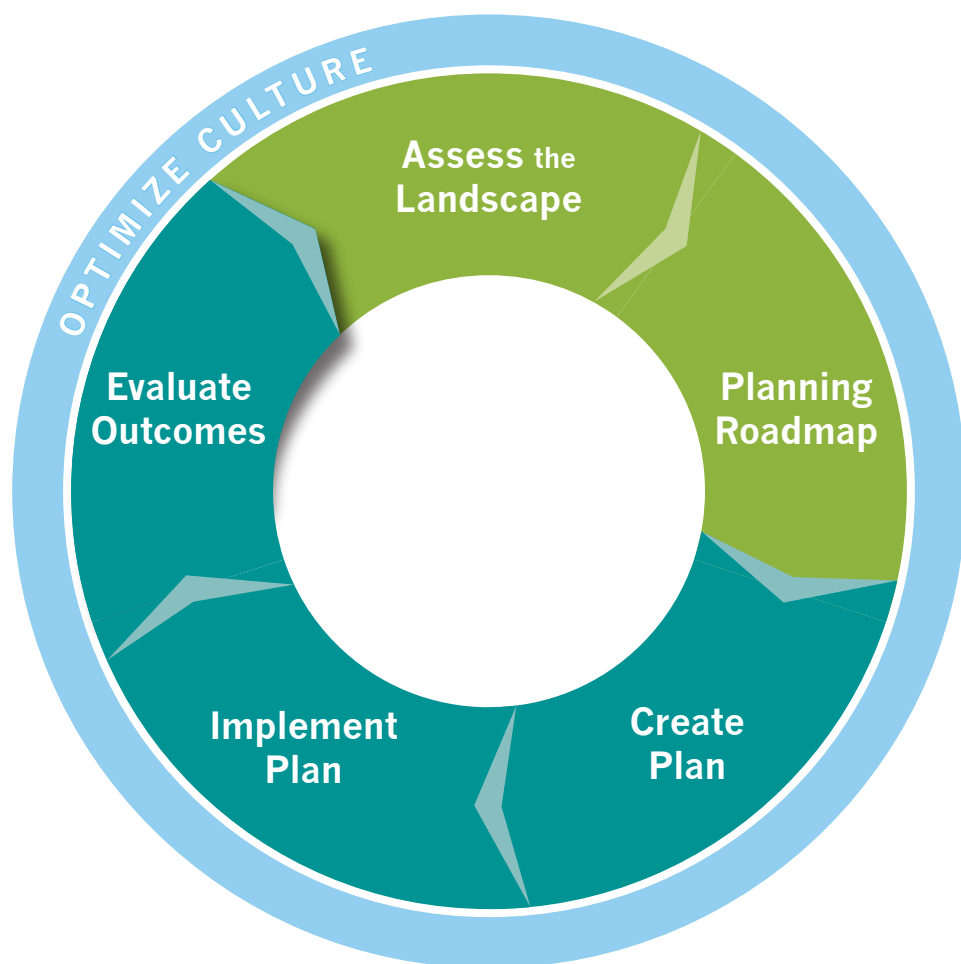
Notes

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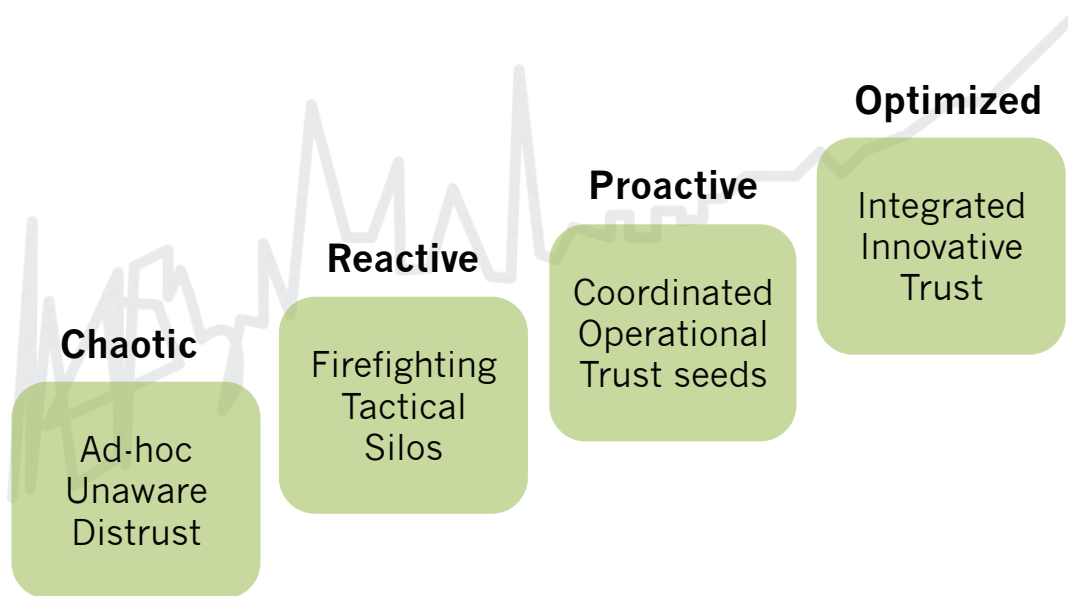
Aha Moments From This Module

Integrated Planning



Notes

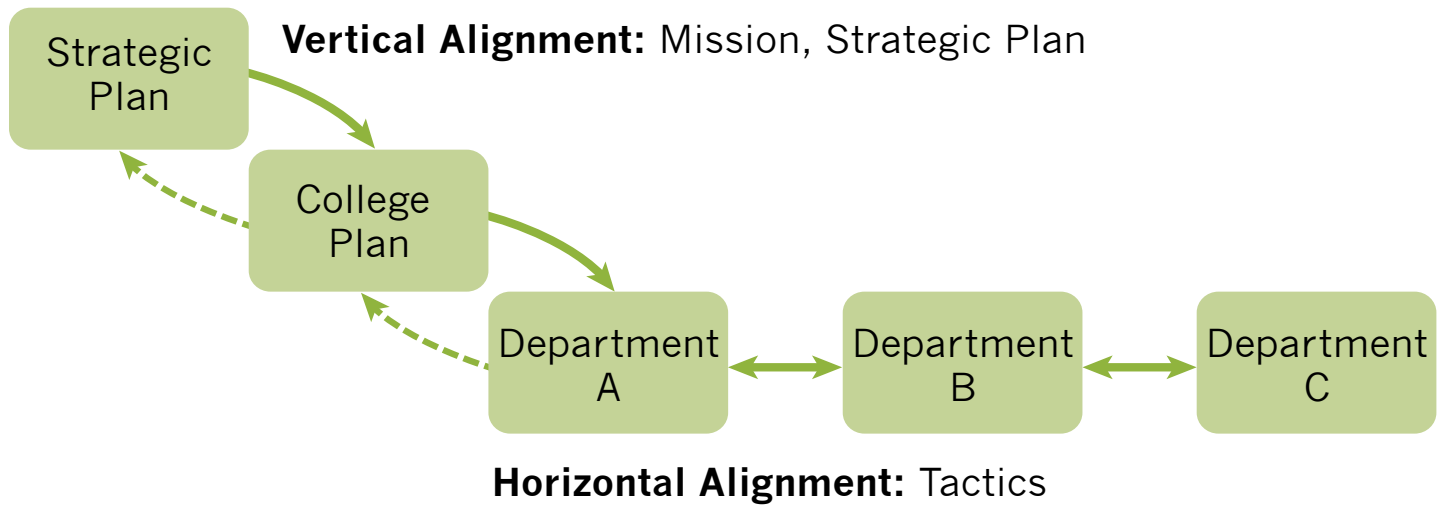
Integrated Planning Maturity Stages



Notes

Stage One Chaotic	Stage Two Reactive	Integrated Planning Elements	Stage Three Proactive	Stage Four Optimized
Unaware The institution doesn't plan or stakeholders are unaware of (or apathetic about) institutional plans or planning.	Tactical There is evidence of planning, but it is mostly tactical in nature. Institution tries to be "all things to all people."	Sustainability Planning is durable	Operational Planning is important, but mostly focuses on current state operations. Strategy may exist, but it struggles to gain traction.	Strategic The institution is secure in its identity and direction. Planning is a journey. Focused choices lead to thriving institutional health.
Distrust Institutional stakeholders are disconnected. Distrust is fostered through poor communication, rumor, or a culture of cynicism	Silos Bonds exist, but are mostly defined by the unit in which one resides. Silos combat the finding of common ground.	Relationships Planning is collaborative	Trust seeds The institution recognizes the power of relationships and community, but may struggle to capitalize on them.	Trust Planning is open, participatory, and ongoing. Relationships are strong and the change conversation is sustained.
Ad-hoc Any planning that takes place is uncoordinated, poorly communicated, and rarely reinforced. Resource allocation is random and the institution is aware of external threats.	Firefighting A lack of coordination and communication results in frustration, firefighting, and duplication of effort. The institution is unaligned to the external environment.	Alignment Planning is designed	Coordinated Alignment is mostly vertical (not horizontal). There is evidence of processes to coordinate planning, but is mostly driven by the annual budget cycle.	Integrated Alignment is practical, organizational, and cultural. The institution prepares for change in an integrative fashion. Resource allocation process is open and transparent.
Unprepared and incapable The institution lacks direction, knowledge, skill, and time to embark on planning. The institution cannot navigate change.	Short-term thinking Planning may be present, but lacks strategic focus and is defined or driven by immediate concerns. Change is slow.	Preparedness for Change Planning is indispensable	Emergent readiness The institution has many elements in place for change initiatives, but may struggle with capacity, capability, or unforeseen external threats.	Agile and ready The institution balances a clear view of the long-term with an ability to navigate change in the short run. Institution optimizes change opportunities.

Alignment



Definitions

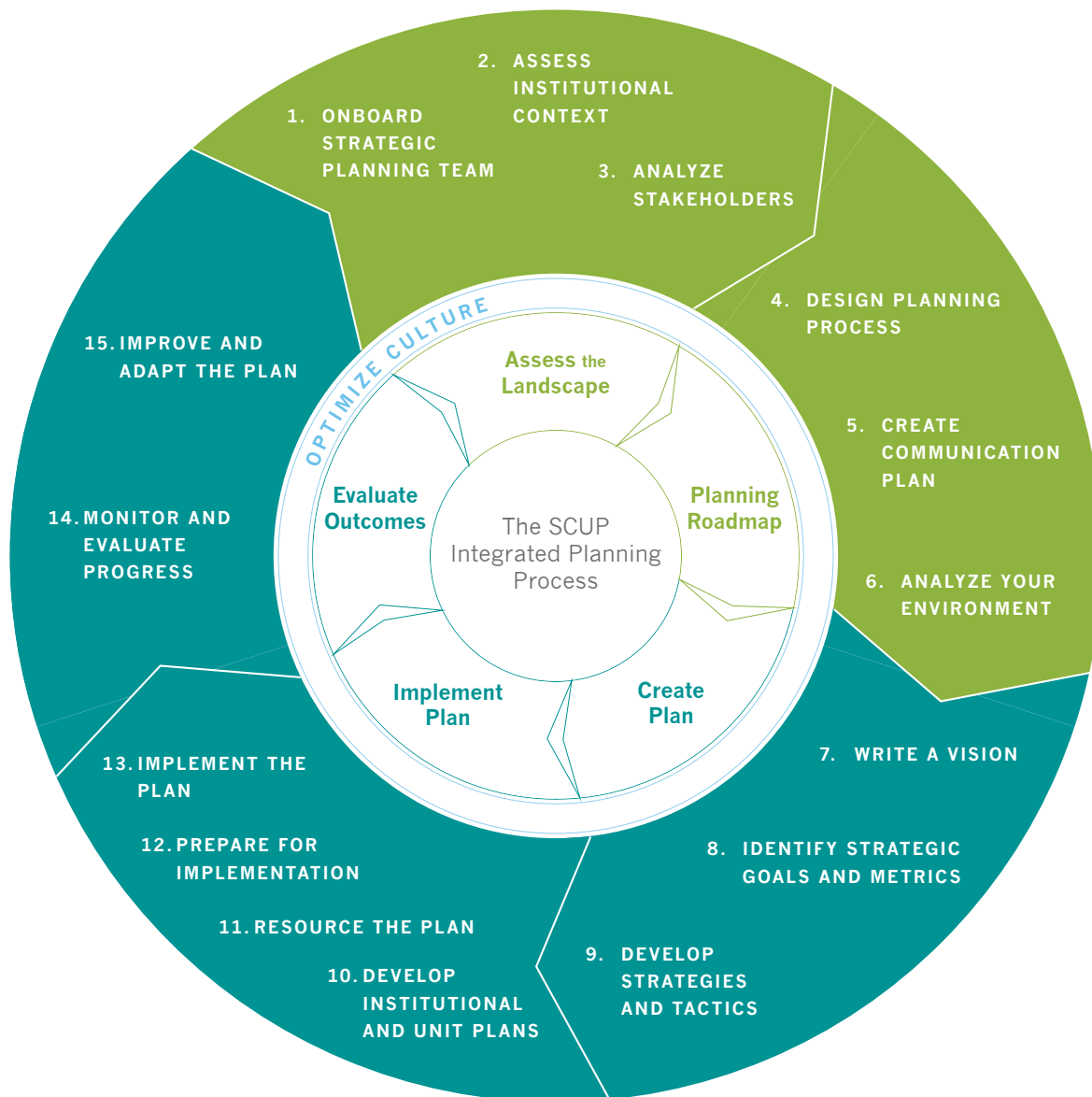
Alignment: A state of agreement and cooperation among individuals, groups, processes, documents, etc., about what should be done, how, and why.

There are two types of alignment:

Vertical alignment: The direct connection of desired outcomes from mission to on-the-ground operations.

Horizontal alignment: The coordination of groups across boundaries so they effectively work together towards the same goals.

Notes



Assess the Landscape

1. Select and onboard a strategic planning team
2. Assess your institutional context and its readiness to plan
3. Analyze your stakeholders and determine how your stakeholders will be engaged in the planning process

Planning Roadmap

4. Design and document your planning process (*including timeline and planning horizon*)
5. Create a communication plan
6. Analyze your internal and external environment

Create Plan

7. Write a guiding vision
8. Identify goals, and metrics
9. Develop strategies and tactics
10. Develop institutional and unit plans
11. Resource the plan

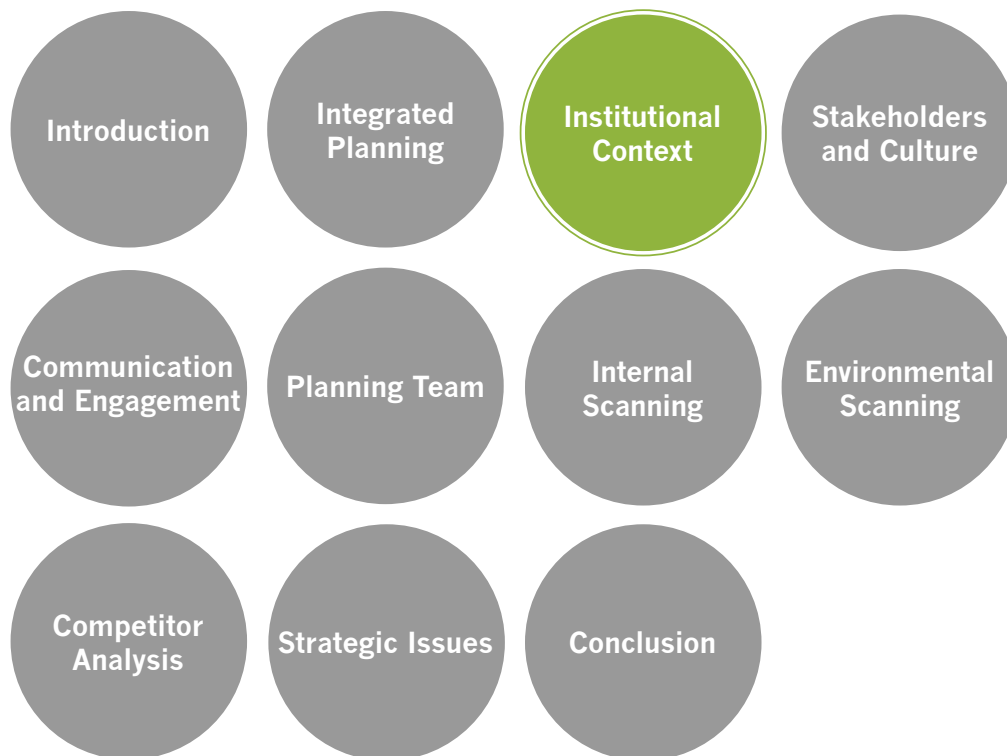
Implement Plan

12. Prepare for implementation
13. Implement the plan

Evaluate Outcomes

14. Monitor and evaluate progress
15. Improve and adapt the plan

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Aha Moments From This Module

Appendix Resources

Frameworks for Integrated Planning (p.84)

Challenges in Integrated Planning (p.85)

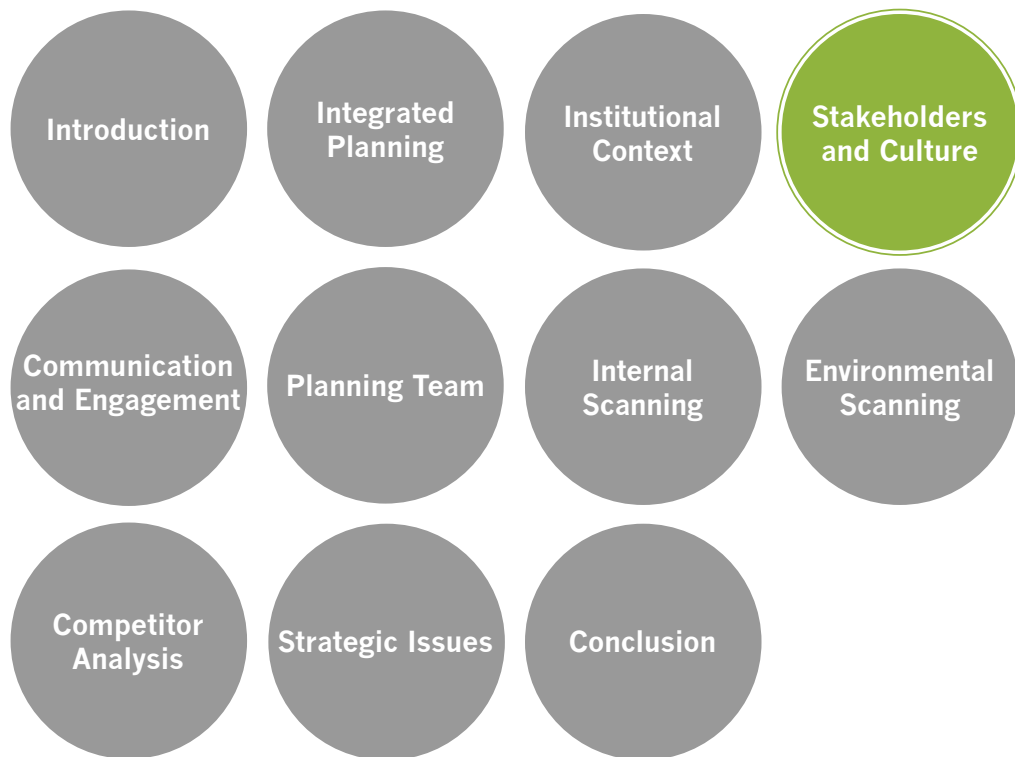
Achieving Integration (p.86)

Aligning Assessment, Planning, Budgeting



Notes

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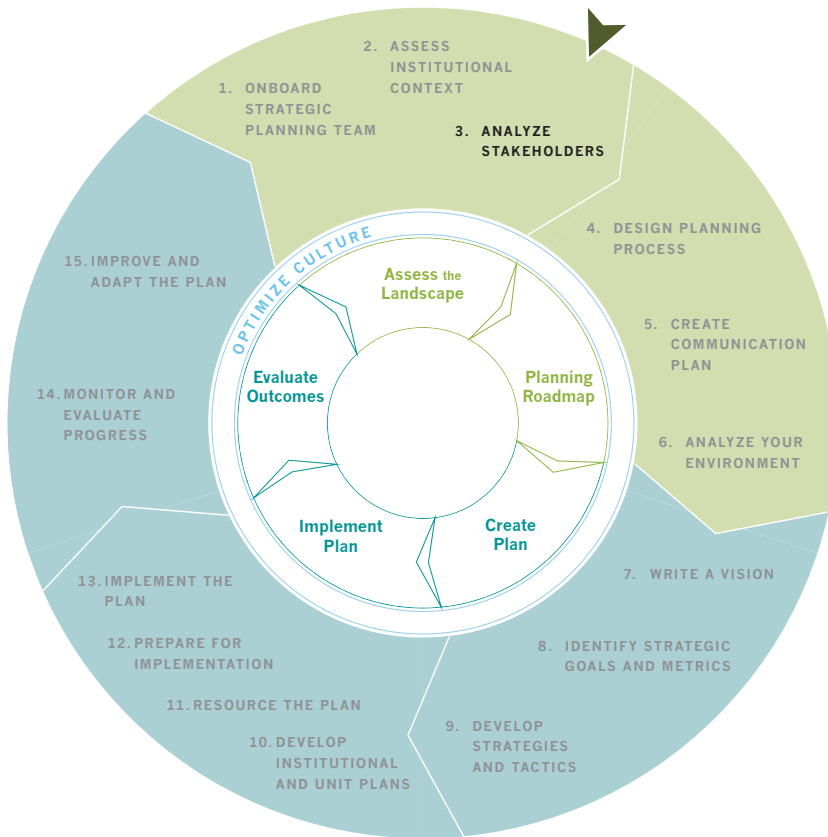


Aha Moments From This Module

Appendix Resources

Linking Planning and Budgeting (p.89)

Stakeholders and Culture



Definition

Organizational Culture: a system of assumptions, values, and beliefs that drives behaviors, actions, roles, and practices in an organization.

Stakeholder: An internal or external person, group, or organization that will affect or be affected by an institution's choices and actions.

For a planning effort to succeed and be implemented, collective commitment from the institution is critical. To get that collective commitment, you need to do two things:

1. Design your planning process so it leverages your institution's organizational culture.
2. Involve stakeholders in the planning process in a meaningful way.

Source: Hinton, 2012.

Notes

Next Module

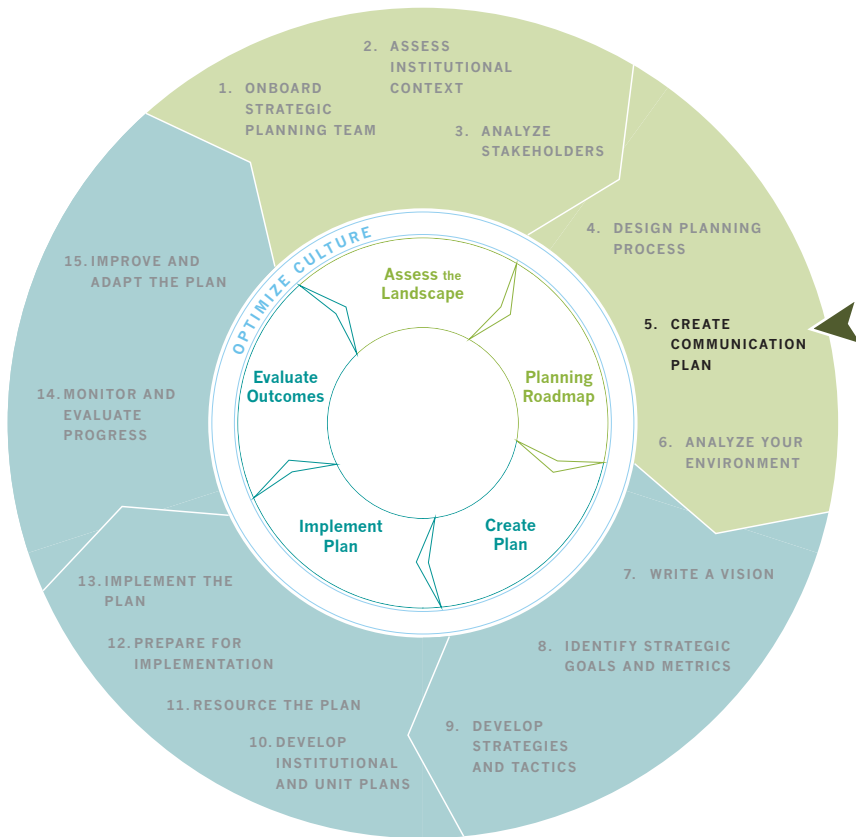


Aha Moments From This Module

Appendix Resources

Common Stakeholder Issues and What They Mean for Planning (p.90)

Communication and Engagement



Designing Engagement

- » At which points in the process will the entire community be involved?
- » What form will that involvement take?

Source: Hinton, 2015.

Notes

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Aha Moments From This Module

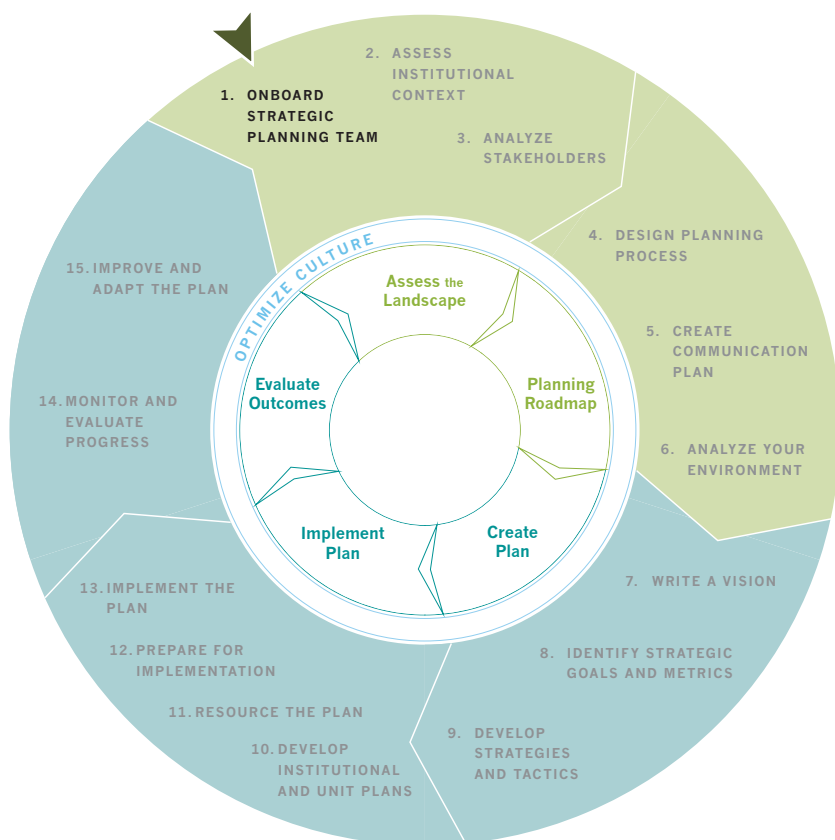
Appendix Resources

Stakeholder Input (p.91)

Communication (p.96)

Example Communication Plan (p.97)

Planning Team



Definitions

Planning team: A formal group of people assembled to prepare a plan.

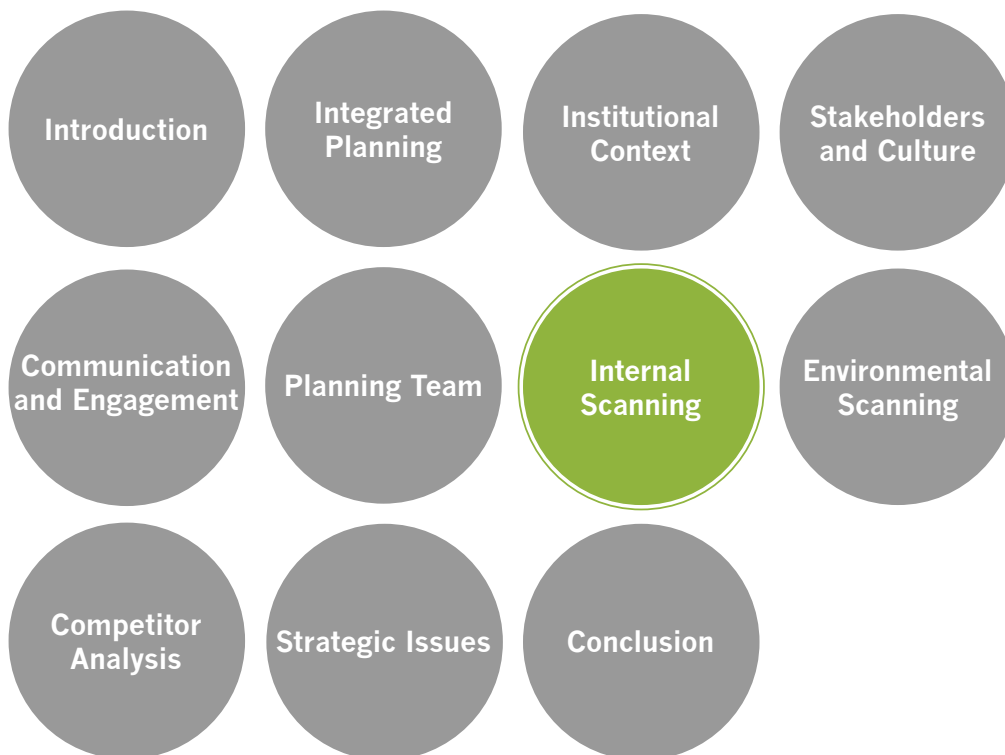
Implementation team: The group of people who coordinate the implementation of the strategic plan.

What does the planning team do?

- » Convene regularly
- » Negotiate difference
- » Navigate compromise
- » Represent units
- » Request resources
- » Align actions
- » Assess the landscape
- » Communicate direction and progress
- » Liaise to executive leadership
- » Build the plan
- » Serve as ambassadors to the planning process

Notes

Next Module



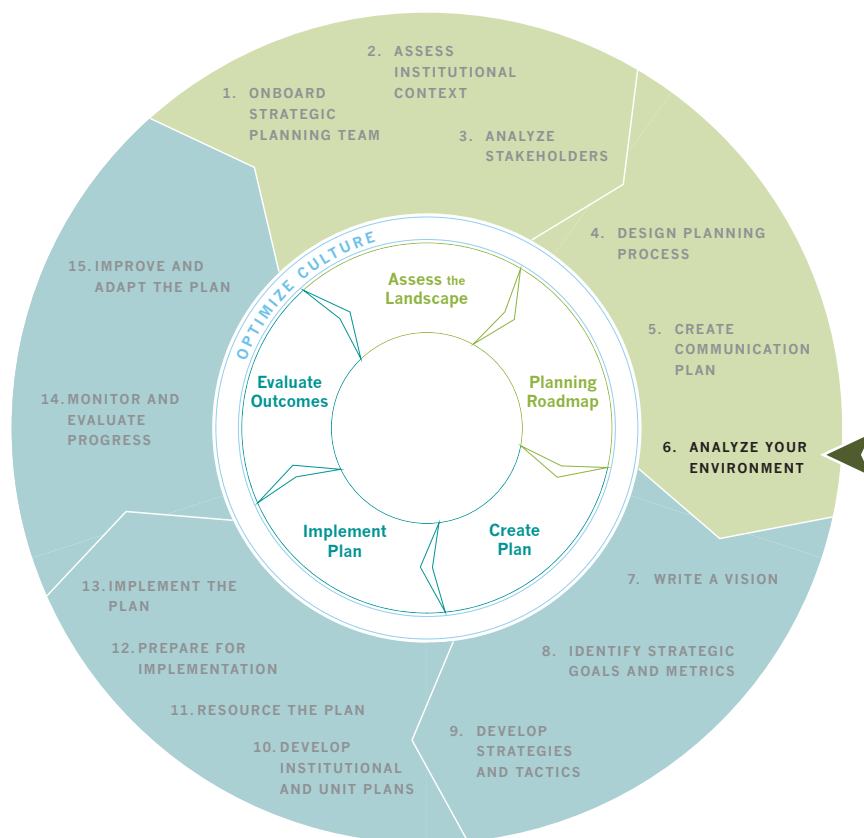
Aha Moments From This Module

Appendix Resources

The Strategic Planning Team (p.98)

Planning Team Member Responsibilities (p.100)

Internal Scanning



Mandates: What **must** the institution do?

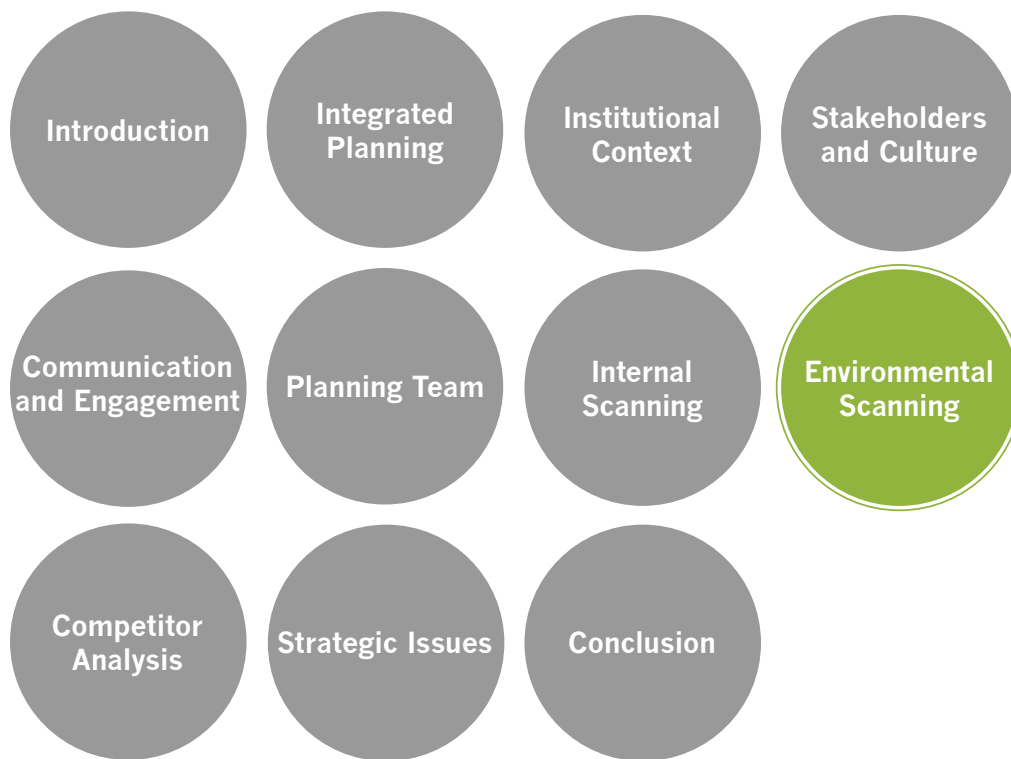
Mission, Vision, Values: What **should** the institution do (and how)?

Organizational Capacity: What **can** the institution do?

Capabilities: What **is** the institution doing and how well?

Notes

Next Module



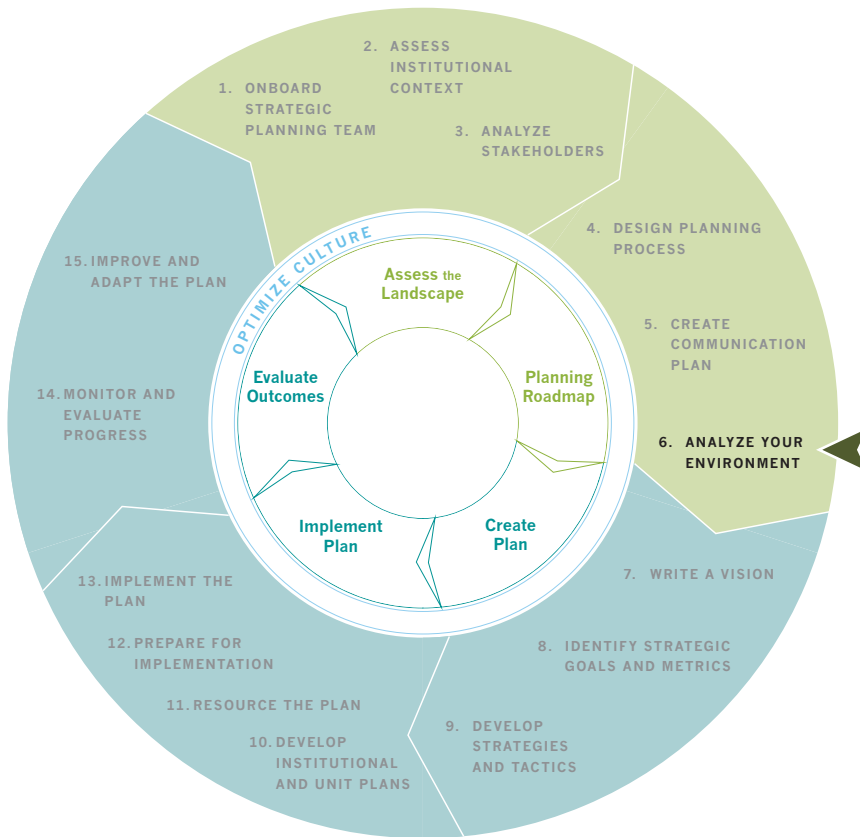
Aha Moments From This Module

Appendix Resources

How Mandates Will Affect Planning (p.101)

Determining Organizational Capacity and Capabilities (p.102)

Environmental Scanning



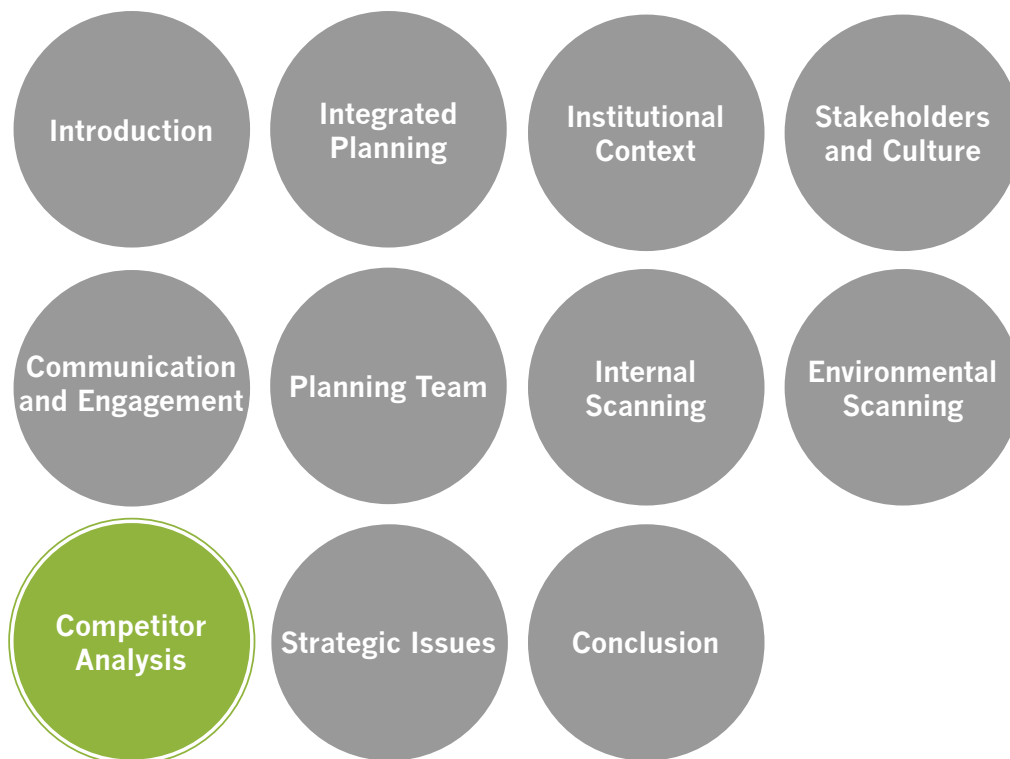
Definitions

Environmental scanning: An exploration and analysis of the external factors affecting an institution.

Good environmental scanning looks at what's happening **inside** and **outside** higher ed.

Notes

Next Module

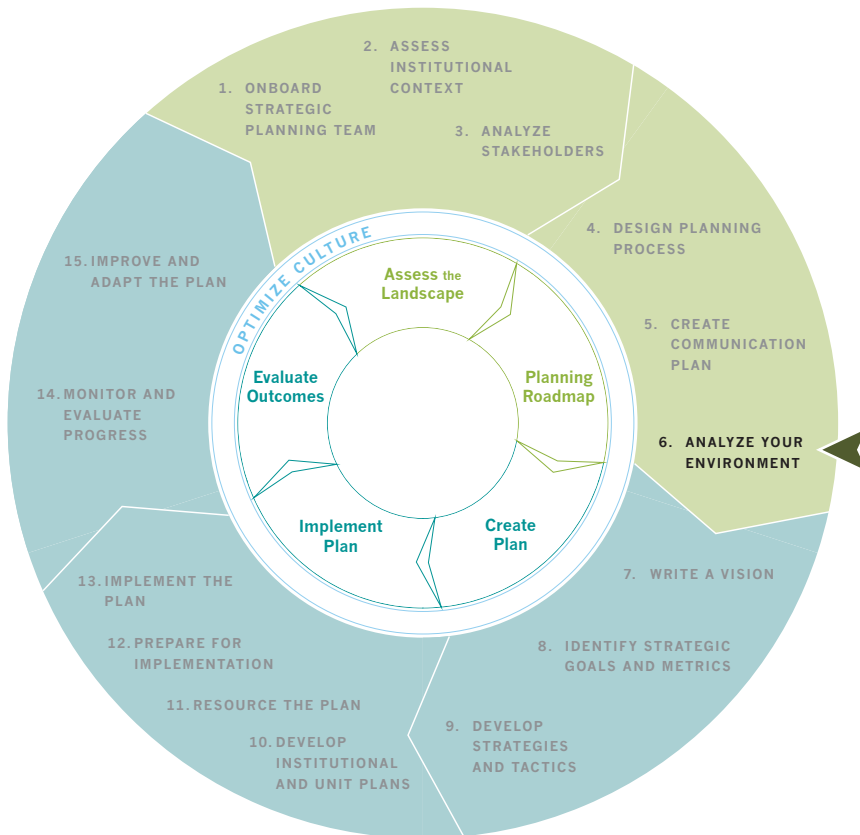


Aha Moments From This Module

Appendix Resources

Resources for Environmental Scanning (p.104)

Competitor Analysis



Think, Pair, Share

What's the first word that comes to mind when you hear the phrase "competition in higher education"?

Definitions

Competition: When multiple organizations try to provide value to the same group of users.

Competitor: An individual or organization that provides a similar program or service to the same users as you.

Notes

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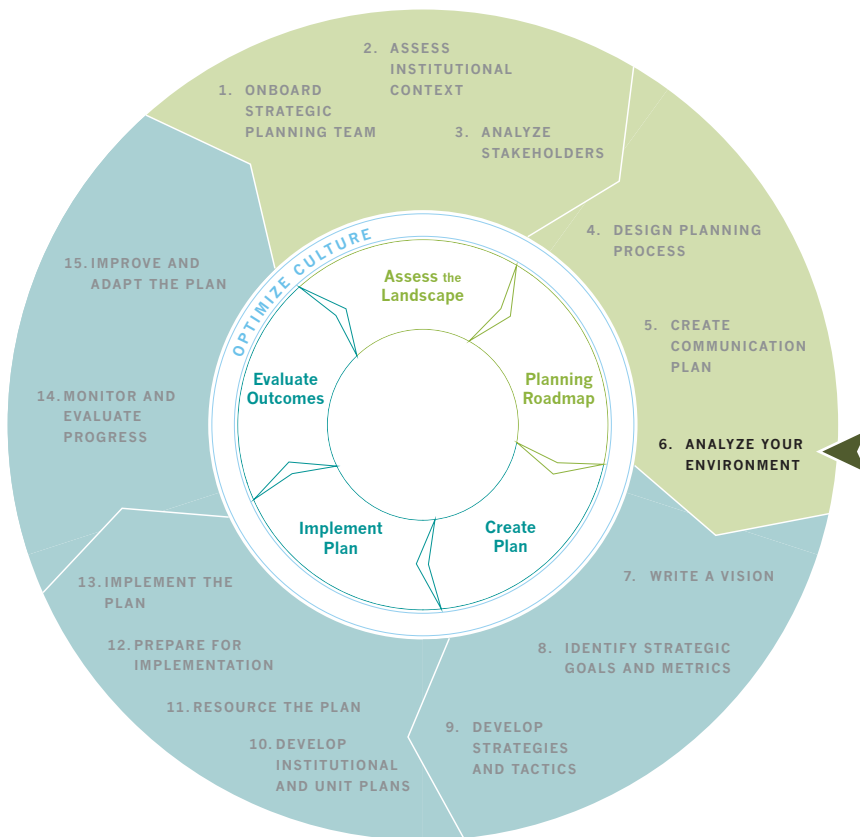


Aha Moments From This Module

Appendix Resources

Capabilities and Differentiation (p.105)

Strategic Issues



Definitions

Strategic issues: Pressing problems and/or significant opportunities that must be strategically addressed for an institution to meet its mission and/or remain operationally viable.

Notes

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Aha Moments From This Module

Appendix Resources

Strategic Issues
(p.107)

Conclusion

Synthesis and Takeaways

Notes

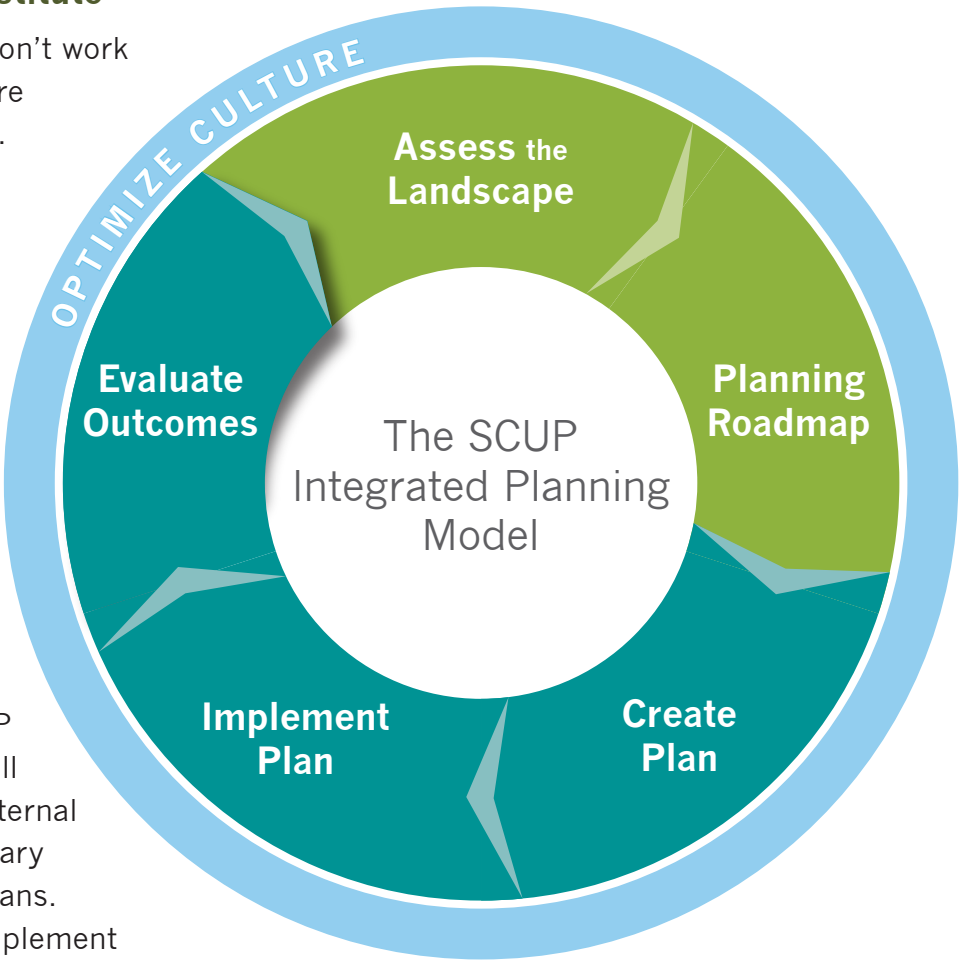
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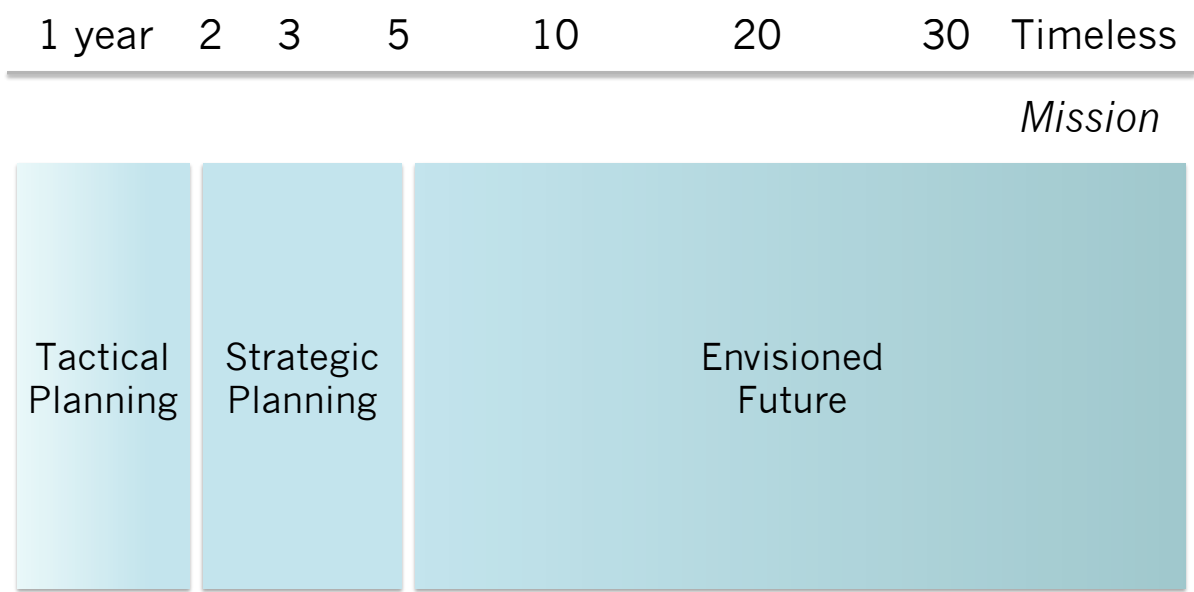
Notes

Frameworks for Integrated Planning

Integrated planning aims for the following:

Integration of plan by horizon and over time.

Institutions that practice sound integrated planning have different types of plans with different horizons—immediate, short-term, strategic, and long-term.



Integration of planning by stage.

There are 4 main stages in the planning process: germinate, build, implement, and galvanize. Sound integrated planning requires institutions to pay strict attention to integration and alignment practices during each stage.

Challenges in Integrated Planning

Let's be honest: integrated planning is hard.

Why?

- » Institutions are complex. There are many boundaries, groups, services, initiatives, etc., within a single institution.
- » Higher ed's culture. Higher ed institutions have multiple cultures within and across academic and administrative functions. Further, many academic functions value autonomy, which makes it difficult to align

initiatives.

- » Disparate worldviews. Within an institution, different groups have different aims, so there's different understandings of what constitutes a threat and what constitutes an opportunity.

We don't tell you this to discourage you. We tell you this to manage expectations. You won't be able to go back to your institution and just start integrated planning. It is an evolutionary process that takes time.

Institutional Characteristics and How They Affect Integrated Planning

Characteristic	Easier	Harder
Size	Small Can rely on 1 person or committee to coordinate and integrate planning.	Large Need more structure, process, and technology to coordinate and integrate planning.
Structure (examples: decision making, budgeting, physical locations)	Centralized Less processes to work through; possible to set up single integrated planning process or framework.	Decentralized Will require more engagement and buy-in and a process that allows flexibility and adaptability.
Designation	Private President and board of trustees tend to have more power, making it easier to integrate planning.	Public State and local controls can complicate integrated planning.
Mission and Values	Specialized A specific focus (example: religious universities) already guides many decisions.	General Harder to integrate planning when the institution serves many different purposes.
Incorporation	Profit Corporate culture and revenue goals provide clear focus for everyone.	Nonprofit Focus comes from mission, which can be harder to guardrail and is open to interpretation.
Wealth	Less More motivation to use integrated planning so they can eliminate redundancy and save resources.	More With more resources, need different motivations to integrate planning.
Labor	Non-Union May be fewer regulations on who can do what work.	Union Staff may have different expectations regarding engagement and negotiations; may be more regulations/restrictions on who can do what work.

Source: Adapted from Brodnick and Norris, 2016.

Achieving Integration

Depending on where your institution is on the maturity stages, there are 3 “levels” at which you can adopt integrated planning practices:

- » Practical (Surface)
- » Organizational (Structure)
- » Cultural (DNA)

	Practical Your practices link plans and planning efforts across the institution	Organizational Your organization’s design aligns units and departments	Cultural Your culture values collaboration, cooperation, and communication across different units
Incentives Rewards that encourage behaviors. When to use: as often as you can to encourage grassroots behavior change	Budget allocation, resource allocation, access to sought-after spaces, software, or tools	New positions	Recognition
Authority/Coercion Decisions from on high, typically without consultation. When to use: Very infrequently, only when political or financial pressures call for immediate change.	Rules regarding budget and planning processes	Changing/combining departments	Update institution’s values statements
Relationship Building Finding common ground across complex boundaries and meaningful vehicles for collaboration and cooperation. When to use: As often as you can.	Assign staff responsibility to build bridges and communicate between units.	Cross-departmental composition of planning and implementation teams.	Create a staff senate or bolster shared governance

	Practical Your practices link plans and planning efforts across the institution	Organizational Your organization's design aligns units and departments	Cultural Your culture values collaboration, cooperation, and communication across different units
Communication Clear, authentic, sustained, and reinforced communication across all units. When to use: All the time.	Transparent planning process, seek feedback from stakeholders throughout process, a written plan that is vertically and horizontally designed	"Integrative ambassadors" regularly meet and discuss.	New mechanisms for elevating communication to an important campus value and/or cultural construct. Driven by transparency and consistency.
Processes The way your institution functions. When to use: As often as you can.	Link unit plans with institutional plans and with each other in a way that transcends the past practice of passive alignment.	Create teams and/or units around a goal instead of a function. Example: registering for classes (student affairs, academic affairs, IT), improving wireless (student housing, IT, greek life), a planning team and an implementation team	Coordination and alignment becomes culturally accepted norms.
Organizational Design The structure of your institution and its governance. When to use: Only as necessary.	Grassroots continuous improvement efforts	Aligning governance bodies so roles and authority are clearly defined and encourage healthy dialogue and cooperation, someone in each unit responsible for planning, someone in charge of the planning processes for the entire institution	Strong, sustained leadership both at the top and distributed through an effective leadership team) that demonstrates a strong link between integrated practices and durable change, a president that champions planning as indispensable for change.

7 Factors That Lay the Groundwork for Integrated Planning

1. **Develop the value of planning** (give planning the proper emphasis as an institutional priority)
2. **Build planning capacity** (develop durable planning practices, shared expectations for planning across the institution, and training people to plan)
3. **Agree on priorities** (decide what goals everyone will pursue, link unit work to institutional priorities, stay disciplined about planned priorities)
4. **Integrate plans across campus boundaries** (broad institutional perspective, bridge campus units by developing shared initiatives, leveraging scarce resources, or cultivating informed trade-offs, understanding how one unit affects another)
5. **Pursue planning-related professional learning** (training all planners across campus)
6. **Be agile** (as you develop a planning culture, it will be easier for you to be agile)
7. **Manage change** (integrated planning makes it easier for you to anticipate change)

5 Strategies for Developing a Culture of Integrated Planning

1. Balance creativity and discipline via distributed leadership.
2. Connect choices to underlying values.
3. Develop planners across the institution.
4. Celebrate the expert-generalist.
5. Bridge pragmatism and ambition for sound implementation.

Source: Young and Baker, 2016.

Linking Planning and Budgeting

Questions to Help Link Budgeting and Planning

Processes

- » Are plans completed in time to inform budget decisions?
- » If you experience a budget shortage, how do you use the plan to prioritize what gets funding?
- » If you experience a windfall, how do you use the plan to allocate the additional resources?
- » How does the plan inform measurement of budget performance?
- » Do planning and budget processes feel like the same process (as opposed to two separate processes)?

Tools

- » Do your budget templates help others align resources with strategic plan priorities?
- » Do your plans document how they will be resourced?

Information

- » Do planning and budget processes use the same data?
- » What assumptions drive budget decisions? Are those assumptions informed by the plan?
- » How are planning and budgeting decisions documented?
- » Do stakeholders understand the budget process and how decisions are made?
- » Is budget performance discussed in the context of plan priorities?

Responsibilities

- » Which offices and committees have the authority to link plan and budget decisions?

- » What criteria do decision makers use to make budget decisions?
- » How do planning teams and budget committees work together? Do they share members?

Sources: Accreditation standards from Higher Learning Commission, Accrediting Commission for Community and Junior Colleges, and Middle States Commission on Higher Education. Avalone, 2017. Fairbairn and Cantrell, 2017. Goldstein, 2017.

Keys to Effectively Connect Planning to Budget

- » Leadership support.
- » Broad participation by key internal and external stakeholders.
- » A clear intention to integrate planning outcomes into budget development and resource allocations.
- » Communication to provide sufficient background information to interested participants.
- » Communication to stakeholders when decisions are made, particularly when decisions create commitments.
- » Performance data about strategies and tactics is used to inform ensuing planning budget processes.

Source: Anderes, 1997.

Where to Start?

For advice on how to link planning and budgeting: Brett Fairbairn's "No-Brainer or Brain-Twister? : Linking Planning and Budgeting." in *Planning for Higher Education Journal*.

Common Stakeholder Issues and What They Mean for Planning

When it comes to planning, the success of any part of the process depends on it being designed based on the characteristics of the stakeholder who much participate in that part of the process or who will be influenced by it.

Let's look at a few common issues and how we can mitigate them:

from those actions to improve. You might not be able to conduct your entire strategic planning process this way, but you might be able to apply Agile approaches to small pain points this stakeholder experiences prior to undertaking a broader strategic planning effort.

Sources: Delprino, 2013. Willson, 2006

Stakeholder doesn't trust planning.

If there is strong stakeholder distrust in the planning process itself, it helps to involve that stakeholder in planning the planning process. What is the source of their distrust? How might the planning process be structured to prevent that from happening? Will trust need to be built before the planning process can begin?

Stakeholder doesn't think planning is necessary.

Figure out *why* the stakeholder believes this, then involve the stakeholder in relevant activities that express the need for planning. For example, one university's faculty didn't believe the university needed to change. Planners created a faculty environmental scanning group so faculty have a better understanding of external influences on the university.

Stakeholder doesn't think plans work/ has planning fatigue.

In this instance, you need to focus on producing results—fast. An incremental planning approach, also known as Agile, is a quick, iterative cycle that emphasizes small actions first, then learning

Stakeholder Input

Planning Steps and Stakeholder Input

Providing stakeholders with the chance to decide their own level of involvement can start the process with goodwill and transparency. It also allows you to manage expectations if certain stakeholders over- or underestimate their influence on the plan.

When you're looking at your planning process and determining how you will incorporate stakeholder input, you need to figure out:

- » What need does it fulfill?
- » When does it need to happen?
- » How will you get the input?
- » How will you use the input?

Reasons you need stakeholder input

- » To prioritize a set of recommendations
- » To make a decision
- » To seek input on a decision
- » To share information and then solicit feedback
- » To test the soundness of a decision
- » To discuss a sensitive topic
- » To gather information on a sensitive topic
- » To hear concerns

At minimum, you need institution-wide stakeholder engagement at the following times:

Internal Scanning

You need to know what the entire campus community thinks about the institution's current situation and direction. Questions you might ask:

- » What challenges will we need to deal with over the next five years?

- » What is it about this university that makes you the most proud?
- » What one thing must we change to succeed in the next five years?
- » What one piece of advice would you like to give the president?

Vision and/or Priorities

When planning identifies a major direction for the institution, you need to validate this direction with the campus community. Questions you might ask:

- » How will these priorities benefit students?
- » How will these priorities harm students?
- » What do you think about this direction?

Full Draft

When you have a draft plan that is ready for public presentation, you need to get feedback from institutional stakeholders. Questions you might ask:

- » What were you excited to see in the plan?
- » What is missing from the plan?
- » What's unclear?
- » How does the plan align to our mission and values?

Improving the Plan:

After the first year of implementation, you need to ask stakeholders how the plan can be improved. Questions you might ask:

- » Are we aiming for the right goals?
- » Are we too ambitious? Not ambitious enough?
- » What has changed since we improved the plan? How does that affect the plan?

- » What are some challenges we've encountered?
- » Do we need to change our strategies and tactics? If so, how?

Improving the Planning Process

After you've created the plan and implementation is underway, circle back to stakeholders to determine how the planning process can be improved. Questions you might ask:

- » What went well?
- » What would you change?
- » What advice do you have for the planning team?

Sources: Billups, 2015. Sanaghan, 2009. Hinton, 2012

How to Get Input

There are a number of different methods of soliciting input:

- » Open forums and discussion groups led by the president or members of the planning committee.
- » Online polls, chat clients (Slack), crowdsourcing software, Twitter, Facebook
- » Focus groups with stakeholder groups.

At each stage of input, you want to communicate:

- » The purpose of the planning process
- » Where you are in the planning process
- » The goal of that stage of the planning process
- » What kind of input you need
- » How that input will be used

Beyond that, there are a number of different ways to structure these meetings.

Example

One university needed stakeholder input on four of their plans goals. They set up a speed dating

approach. When attendees arrived, they each received a "dance card" indicating the three tables they would visit and the times they would visit them. This allowed attendees to give input to multiple goals and connect with other attendees.

At the table, attendees discuss the goal and prioritized the tactics assigned to that goal. At the end of the three planning rounds, the priorities for each of the four goals were identified. The group then reconvened to discuss these priorities.

While these sessions are important for getting necessary information from your stakeholders, they do something else—they help your stakeholders reflect about your institution's mission, its path forward, and how their work moves the institution forward.

There are many great resources about facilitating stakeholder input. In particular:

The People Side of Strategic Planning, Robert Delprino

Collaborative Strategic Planning, Patrick Sanaghan

Sources: Hinton, 2012. Kogler Hill et al., 2009.

How to Use Input

It's important that you use the input you receive from stakeholders. That said, the plan cannot reflect the favored goals of all groups. While it's key for stakeholders to have their ideas and concerns heard, the best plans are focused. Choice is important.

You will need someone to record and process the input you receive from stakeholders.

How much weight should the input have? It

depends on your institution's culture. If your institution expects consensus and group decision making, stakeholder input will need to have more weight. If your institution expects senior leadership to make decisions, then stakeholder input will have less weight.

Source: Hollowell et al., 2010.

Engagement Principles

A great way to make sure your entire institution is on the same page about engagement is to create engagement principles. The University of British Columbia Campus and Community Planning developed engagement principles to “create a clarity and transparency to how [they] define, design, implement and conclude public engagement” during planning. It includes guidelines for enacting each principle. Note: “process” means “engagement process,” not “planning process”. We’ve included two examples from this document

Communication

Leadership and Communication

It is *crucial* that your institution's leadership visibly supports the planning process. Your president does not need to organize the planning effort, but if he is not advocating for institution-wide strategic planning...you're going to have to build that support first.

Beyond the people at the top of your institution's org chart, it can be very beneficial to identify a planning advocate in each department. These are people who have influence in their department. They are not formally involved with the planning effort, but support it. They are the people others go to with questions and for advice. Providing these people with in-depth information about the planning process turns them into advocates and gives them the resources they need to respond to questions from their influence group.

Resources might include:

- » Why your institution is planning.
- » How the planning process will influence day-to-day work (including its connection to budgeting).
- » How the planning process will invite and use stakeholder input.
- » Planning process timelines.
- » FAQs.
- » Monthly progress reports.

Communication Tips

- » Keep communications simple and straightforward. Speak in your stakeholders' language.

- » Create a strategic planning website that outlines the process that you will use and when you will need stakeholder feedback.
- » Translate big picture strategies to day-to-day departmental work.
- » Own up to any failures and focus on lessons learned. You will gain credibility.
- » Faculty and professional staff require more detail about how resources are being reallocated to support planning initiatives than do more transient groups.
- » Alumni and other external constituencies, particularly donors, are usually more interested in results than the more technical details that drive those results.
- » Communication is not meant to be a one-time occurrence at the beginning of the strategic planning process. To be effective, clear and consistent communication must be continually provided throughout the process and as results become known or significant accomplishments are reached. Accomplishments can include the development of mission and vision statements, identification of committee memberships, status of specific action steps, or information gained from key indicators.
- » Consideration also must be given to presenting the information in a way that allows stakeholders to provide feedback—both publicly and privately (think of your introverts!).

Sources: Hollowell et al., 2006. Delprino, 2013.

The Strategic Planning Team

Team Size and Makeup

Size: Ideally, planning teams are representative but not huge: 10-12 people. Remember: your plan will have broad stakeholder involvement, so you can keep your planning team manageable.

Cabinet: Senior administrators should be involved, but you don't need the entire cabinet on the team.

President: Should the president be on the planning team? That depends on your institution. The president should be visibly involved in planning to provide leadership, endorse the process, and give weight to decisions made by the team.

Board: While the governing board is often responsible for approving the strategic plan and monitoring it at a strategic level, board members are usually not on the planning team.

Faculty and Students: Faculty are key to the planning effort, so you need strong faculty representation. The student perspective is important to many of the strategic planning activities, so recruiting a student to join the team is a good idea.

Do you have...

- » Top-level decision makers?
- » Mid-level managers?
- » Technical and professional opinion leaders?
- » Representatives of key stakeholder groups?
- » Process experts?
- » Constructive critics?

Your team should...

- » Be representative

- » Have members capable of substantive dialogue with the people they represent
- » Be positive about the potential of planning.

Look for committee members who...

- » Are available (do they have the time to participate?)
- » Positively contribute
- » Think broadly about issues
- » Consider the unusual in addition to the comfortable alternative
- » Tolerate ambiguity
- » Align decisions with strategy
- » Can explain the planning process and champion it with the people they represent

Team Charter

You should have a written charge for the committee that includes:

- » The **size and composition** of the planning committee
- » The **length of terms**
- » The **scope of responsibilities** of the committee (committees often believe they have no authority at all or that every action taken on behalf of the strategic plan should be approved by them prior to action). You need to literally tell the members of the committee the scope of their responsibility. Try describing it based on the planning process—at each step, what power does the committee have?
- » The **expectation for participation** for each member. Important to specify obligations—attending meetings, contributing at the meetings, collecting information from stakeholders, helping to education the

SCUP Planning Institute Glossary

The purpose of the SCUP PI Glossary is to establish a shared understanding of planning terms. Keep in mind, there is wide variability in how these terms are applied throughout higher education.

A

Academic planning. Planning that outlines an institution's overall academic goals and how those goals will be met.¹ It can include academic program planning, academic structure, organizational framework, institution-wide outcomes or competencies, and division or department goals and how they align to the overall AP. See also *academic program planning*.

Academic program planning. A subset of academic planning, academic program planning measures, analyzes, and prioritizes academic programs to help institutions achieve strategic balance.² See also *academic planning*.

Accreditation. Higher education accreditation is a type of quality assurance process under which services and operations of institutions or programs are evaluated by an external body to determine if applicable standards are met. If standards are met, accredited status is granted by the agency. In most countries around the world, the function of higher education accreditation is conducted by a government organization, such as a ministry of education.³

Acculturation. The process by which people learn the requirements of their surrounding culture and acquire values and behaviors appropriate or necessary in that culture (Lindsay Grace, 2009).⁴

¹ Academic planning often makes explicit links to planning in student services, enrollment, career services, libraries, and technology. Faculty roles related to teaching, research, and service tend to be included in planning and tenure governance documents, not academic plans.

² An effective APP progress utilizes criterion such as external and internal demand, quality of program inputs and processes, equipment and facilities, quality of program outcomes, size and productivity, revenue, and costs.

³ In the United States, however, the quality assurance process is independent of government and performed by private membership associations. In the US, accreditation often requires a major strategic planning effort.

⁴ A key requirement in affecting change (and grasping why change is so hard) in higher education. The concept of acculturation is built off this definition of culture: "a historically transmitted pattern of meanings and system of inherited conceptions by which [people] communicate, perpetuate, and develop their knowledge about and attitudes toward life" (Clifford Geertz, 1973). "Our lack of understanding about the role of organizational culture in improving management and institutional performance inhibits our ability to address the challenges that face higher education" (William G. Tierney, 2008).

Action planning. See *tactical planning*.

Alignment. A state of agreement and cooperation among individuals, groups, processes, documents, etc., about what should be done, how, and why.

Alignment, horizontal. The coordination of groups across boundaries so they effectively work together towards the same goals.

Alignment, vertical. The direct connection of desired outcomes from mission to on-the-ground operations.

Assessment. Processes that use data and information to measure the effectiveness of institutional efforts and identify how those efforts can be improved. Includes strategic plan evaluation, student learning outcomes, institutional effectiveness, etc

B

Benchmarks. Specific performance indicators used to compare institutions or programs against established criteria. See also *metrics*, *evaluation*.

Bottom-up leaders. These are informal leaders who use influence and politics to persuade and bring about change.

Budget, capital. A plan of funding and expenditures for future buildings, major renovations, and remodeling.

Budget, operational. A plan of revenue to be generated and expenditures (or transfers) from that revenue over a finite period of time (such as a fiscal year).

Budget planning. The process for allocating funds in an institution. See also *resource planning*, *capital planning*.

Budget process. The method and timeline (or cycle) used by an institution to create its operating budget..

C

Campus master planning. Planning that outlines the long-term direction of the physical campus (often called the "physical manifestation of an institution's strategic plan"). It includes elements such as land development, facilities,

transportation, infrastructure, landscape, and town/gown. At its best, it is a roadmap for the future of a campus, and becomes a crucial tool in confirming that short-term projects are working in conjunction with long-term plans and goals. See also *capital planning*, *physical planning*, *strategic planning*.

Capabilities. How an institution uses its organizational capacity (the things it does). See organizational capacity (Leinwand and Mainardi, 2016).

Capabilities, basic. The capabilities every institution should be proficient in (Leinwand and Mainardi, 2016).

Capabilities, distinctive. What your institution does well, what the stakeholders you serve value, and what your competitors can't beat (Leinwand and Mainardi, 2016).

Capital planning. Within the context of its strategic plan and campus master plan, the process by which an institution decides which long-term investments in future buildings, major renovations, and remodeling to make.⁵ See also *budget planning*, *campus master planning*, *physical planning*, *resource planning*.

Change management. A systematic approach to dealing with change, both from the perspective of an organization and on the individual level.

Coalition. A group of people—often from disparate parts of a complex organization—who have joined together for a common purpose. These groups are either formal (see steering committee, planning team, or implementation team) or informal (see kitchen cabinet). Coalition-building is a required element of integrated planning.⁶

Collective leadership. Leadership by group—either a group of top-down leaders or a group of bottom-up leaders.

Communication plan. A document that outlines how you will inform, engage with, and seek feedback from your plan's stakeholders, including specific audiences, messages, delivery methods, and frequency.

Conflict. A struggle or contest between people with opposing needs, ideas, beliefs, values, or goals.

5 This planning should ensure that any proposals to erect or renovate buildings are made within the context of the strategic plan and campus master plan.

6 Successful coalition-building is a required element of successful integrated planning. Without the ownership developed through a thoughtfully designed participatory process, the likelihood of a failed plan is enormous. (Robertson and Tang, 1997).

Consultant. External agent(s) that provide guidance for fee on any part of the integrated planning process.⁷

Critical success factor. A condition or variable that is necessary for an institution or project to achieve its mission. Answers the question: what must we do to be successful?

D

Difference. A way in which ideas, people, or things are not the same.

Disruption. Short for “disruptive innovation,” which is an innovation that makes a complicated and expensive product simpler and cheaper and therefore attracts a new set of customers.”⁸

E

Environmental scanning. An exploration and analysis of the external factors affecting an institution. See also *STEEP analysis*.

Execution. See *implementation*.

F

Facilities planning. See *physical planning*.

Financial planning. See *budget planning*.

Futuring. An exercise that helps institutions plan for future forces by thinking in the future tense, then using the resulting insights to shape plans and actions, both today and into the future.

G

Gap analysis. A method to assess the current state, the desired future state, and what an institution needs to move from the current state to the desired future state.

Goal. A broad, general statement of intended outcomes or results. See also *GOST*.

GOST. Pronounced “ghost”, GOST is an acronym for Goals, Objectives, Strategies, Tactics..

7 Consultants are often hired when institutions determine a part (or all) of the planning process is too complex or difficult to handle solely with institutional staff and faculty. Consultants can help identify, and provide solutions for, stumbles, misdirection, or political problems that slow or stop the planning process. Consultants should not tell the institution what its strategic plan should contain or how it should be implemented without institution-wide input. (Karen Hinton, SCUP, 2012).

8 *The Innovative University: Changing the DNA of Higher Education from the Inside Out*, by Henry Eyring and Clayton Christensen (Jossey-Bass, 2011)

I

Implementation. The process of putting a plan into action.

Implementation plan. A document that outlines how the strategic plan will be put into action, monitored, and revised.

Implementation team (I-Team). The group of people who coordinate implementation of the strategic plan.⁹ See also *planning team*.

Initiative. A general term for a strategy, program, product, service, or project.

Institutional context. An institution's distinct set of challenges, conditions, and history that shape planning and strategy (Norris and Poulton, 2008).

Institutional plan. A plan for a specific aspect of operations or for cross-boundary initiatives that cover the entire institution. Examples: academic plan, campus master plan, budget plan, IT plans, student life, enrollment services, etc.

Integrated planning. A sustainable approach to planning that builds relationships, aligns the organization, and emphasizes preparedness for change. Integrated planning is both an overarching model of alignment—the connective tissue *amongst* disparate institutional planning efforts—and a process of planning *within* each of the institution's component planning efforts. See also *strategic planning*.

K

Kitchen cabinet. Informal or unofficial group of trusted advisors often, but not always, involved in an integrated planning process.¹⁰ See also *consultant*, *sponsor*, *planning team*.

Key Performance Indicator (KPI). A quantifiable metric used to evaluate the success of an organization, employee, etc., in meeting objectives for performance (*Oxford English Dictionary*). See also *metrics*.

L

Landscape. See *environmental scanning*.

⁹ Often, an I-Team follows the work of the of the P-Team which, once a plan is complete, disbands. Dependent on the institution, there are several variations (in use and composition) of the I-Team.

¹⁰ Members of a kitchen cabinet can be individuals or groups, internal or external to an institutional planning process. Though they do not serve as sponsors, champions, or members of the planning team, members of kitchen cabinets are often called upon to provide key advice.

M

Mandate. A directive an institution is required to do (or not do), often imposed by an external actor or force. Mandates may be *formal*, such as laws, rules, regulations, or *informal*, such as political mandates for change or deeply held public expectations.

Maturity model. A step approach that enables institutions to assess their planning capability. The integrated planning maturity model can be used as a tool for institutions to develop a roadmap for improving integrated planning.

Metric. A measurement that tracks, monitors, and assesses the effectiveness of an objective, initiative, or plan.

Milestone. A significant date or event during the implementation of a plan.

Mission. An institution's stated purpose or reason for existence.

O

Objective. A specific, measurable outcome an institution intends to accomplish. See *GOST*.

Operational planning. A process for determining the day-to-day operations of an institution or unit over the next one to twelve months.

Opportunities. See *SWOT analysis*.

Organizational capacity. The resources an institution has available to use, including physical resources (land, buildings), IT, budget, and human resources (time and skill).

Organizational culture. A system of assumptions, values, and beliefs that drives behaviors, actions, roles, and practices in an organization.

Outcome. A result from the implementation of a plan or any of its components.

P

Performance measure. See *metrics*.

Physical planning. Commonly known as facilities planning, physical planning is planning that outlines goals and uses for all of an institution's owned and/or leased space. It is based on an institution's strategic plan and includes short-term tactics and prioritization of, and funding for, annual facility-related projects. While a physical plan, which has a shorter time horizon, typically responds to a campus

master plan (which generally has a time horizon of ten years) it also aligns with other unit plans (academic plan, technology plan, budget plan). See also *campus master plan*.

Plan to plan. See *planning roadmap*.

Planning horizon. The amount of time an institution will look into the future when preparing a strategic plan (or the amount of time covered by a particular plan or planning cycle). In general, its length is dictated by the degree of uncertainty in the external environment. The higher the uncertainty, the shorter the planning horizon.¹¹

Planning roadmap. The “plan to plan,” the planning roadmap documents the planning process to be used, including activities, timeline, stakeholders, planning horizon, and scope.

Planning team (P-Team). A formal group of people assembled to prepare a plan.¹² See *implementation team*.

Power. The ability or capacity to influence or direct the behavior of others.

R

Resource planning. The process for determining and allocating resources in an institution, including funds, people, space/facilities, technology, and equipment.

S

Scenario planning. A process that generates multiple well-crafted contradictory narratives about the future to anticipate possible outcomes of driving forces (Wade, 2012).

Shared leadership. Group leadership where top-down leaders and bottom-up leaders partner together.

SMART. An acronym that describes the characteristics of a good goal. It stands for:

- » *Specific:* Clearly define the intended outcome.
- » *Measurable:* The goal can be quantified.
- » *Assignable:* A person, department, or committee could be given responsibility for the goal

¹¹ Planning horizons are often, though not always, affected by presidential turnover as new presidents want to develop and execute their own plan.

¹² The nerve center of an integrated planning process, the composition and activities of a planning team are crucial to the success, or failure, of any institutional strategic planning efforts. Initially, the establishment of a planning team means the creation of a new, institution-wide committee. However, for long-term continuity and to acculturate planning as an important institutional value, the P-Team should play a longer term role, often through implementation and beyond.

- » *Realistic:* It can be achieved with an institution’s resources and in the amount of time indicated.
- » *Timebound:* Identifies when the goal will be completed.

Sponsor. People (typically senior institutional leaders) who have the prestige, power, and authority to commit an institution to developing and implementing a plan and hold people accountable for doing so. There is often a single, overarching sponsor, but a group of sponsors can be called a steering committee.¹³ See also *planning team*.

Stakeholders. An internal or external person, group, or organization that will affect or be affected by an institution’s choices and actions.

STEEP analysis. A way to organize environmental scanning. STEEP stands for social forces, technological forces, economic forces, environmental forces, and political forces.¹⁴ See also *environmental scanning*.

Steering committee. See *sponsor*.

Strategic issues. Pressing problems and/or significant opportunities that must be strategically addressed for an institution to meet its mission and/or remain operationally viable.

Strategic plan. A product of the strategic planning process that documents and communicates decisions made during the planning process.

Strategic planning. A deliberate, disciplined effort to produce fundamental decisions and actions that shape and guide what an institution is, what it does, and why it does it. See also *integrated planning*.

Strategy. A plan of action created to achieve a goal or a vision or to address a strategic issue.

SWOT analysis. A structured planning method used to evaluate internal (strengths and weaknesses) and external (opportunities and threats) factors affecting an institution, department, project, industry, or person.¹⁵ See also *TOWS matrix*.

¹³ Sponsors are not necessarily involved in the day-to-day details of strategic planning, but they set the stage for success and pay careful attention to the progress of the process.

¹⁴ In higher education, pressure is often applied to make decisions quickly, acting on judgment and instinct rather than careful analysis.

¹⁵ A SWOT analysis is typically used early in a planning process, but can be returned to and re-used as needed.

- » **Strengths:** characteristics of the institution that give it an advantage over others.
- » **Weaknesses:** characteristics that place the institution at a disadvantage relative to others.
- » **Opportunities:** elements that the institution could exploit to its advantage.

T

Tactic. A specific action an institution takes to carry out a strategy.

Tactical plan. A product of tactical planning that documents and communicates tasks that need to be completed, who is responsible, timeframe, required resources, milestones, and expected outcomes.

Tactical planning. A process that details the specific tasks that need to be completed to implement a plan.

Tasks. See *tactic*.

Technology planning. A technology plan (often called an IT Plan or IT strategy) is a comprehensive plan that IT professionals develop to guide their organizations in alignment with the other key institutional planning units. See also *academic planning*, *budget planning*, *integrated planning*, *strategic planning*.

Thinking, conventional. When faced with opposing ideas, conventional thinking is simplistic in problem solving, often forcing you to make unattractive tradeoffs (Martin, 2007).

Thinking, integrative. The ability to constructively face the tension of opposing ideas and generate a new creative solution that combines the elements of the opposing ideas (Martin, 2007).

Top-down leaders. These are formal leaders who have authority based on their position in the organization.

TOWS Matrix. An evaluative framework for deriving goals for the attainment of an institutional mission (Wehrich, 1990). The acronym TOWS is sometimes referred to as Turning Opportunities and Weaknesses into Strengths. TOWS and SWOT are acronyms for different arrangements of the words Strengths, Weaknesses, Opportunities and Threats.¹⁶ See also *SWOT analysis*.

Trends. See *environmental scanning*.

U

Unit plan. Plan for a specific group that is part of the larger institution.

» **Threats:** elements in the environment that could cause trouble for the institution.

¹⁶ In the simplest version of the TOWS matrix, “threats” and “opportunities” are listed along the side of the matrix, with “weaknesses” and “strengths” across the top. The intersection of internal and external environments reveals how the organization’s resources and capabilities can be used to counteract outside threats and leverage opportunities.

V

Value proposition. A value proposition describes how a stakeholder can benefit from a product, service, or process by addressing his or her needs, wants, and concerns.

- » *Needs:* Something your stakeholder must have; something they can’t do without.
- » *Wants:* Something your stakeholder would like to have. It is not absolutely necessary, but it would be nice to have.
- » *Concerns:* Something your stakeholder fears.

Values. The guiding principles or beliefs of a person or an organization.¹⁷

Vision. A description of what an institution (and key parts of the external environment) will look like if the institution achieves its full potential.¹⁸

VOUCA. An acronym from the military to describe a rapidly changing and unpredictable world, it stands for Volatility, Uncertainty, Complexity, and Ambiguity.¹⁹

W

Weaknesses. See *SWOT Analysis*.

¹⁷ Value statements answer these questions: How do we want to conduct business? How do we want to treat our key stakeholders? What do we really care about (in essence, what do we value)? Values are a part of an organization’s culture, so there may very well be a difference between the values people *espouse* and the values they actually follow in *practice*.

¹⁸ A vision statement can include an institution’s mission, basic philosophy and core values, goals, basic strategies, performance criteria, and important decision-making rules. An institution may have to go through more than one cycle of strategic planning before it can develop an effective vision for itself; regardless, a full-blown vision is more likely to be a guide for strategy implementation than strategy formulation.

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