Procedure for Institutional Strategic Planning, Deployment and Effectiveness

Summer 2010
Purpose:

1. To provide a structured approach to strategic planning and to identify the categories to be addressed in the Lake Erie College Strategic Plan.
2. To provide mechanisms for the deployment of the strategic plan throughout all departments and levels of the College.
3. To establish the routine periodic review process for LEC’s Strategic Plan for adequacy, suitability and effectiveness.

Scope:

The scope of strategic planning embraces all aspects of the institution, our Board, President, Senior Administration, Academic Affairs, Enrollment Management, Student Affairs, Finance, Administrative Services, Institutional Advancement and Athletics. Service to our Alumni, the professions of our degree granting programs and the community at large must also be considered during planning, deployment and review for effectiveness.

Responsibilities:

The likelihood of our success in fulfilling our mission and vision is higher when we utilize effective planning. It is further optimized when planning is conducted in accordance with a procedure that maximizes the Senior Administration’s ability to consider all the variables and opportunities.

1. **Board of Trustees** – responsible for approving the Mission of the College along with the overarching strategic plan and reviewing its effectiveness as set forward by the Senior Administration.
2. **President and Senior Administration** – responsible for the initial strategic plan, its deployment, review and update. They are also responsible for the overall effectiveness of the plan.
3. **Deans and Directors** – responsible for the further development and deployment of the strategic plan by developing purpose statements for their areas and developing goals, objectives, action steps and Overarching Development Plans (ODPs) and Professional Development Plans (PDPs) for their respective areas of control.
4. **Faculty** – responsible for completing an annual PDP in consultation with the Associate Dean and/or Dean of their area as outlined in the Faculty Handbook.
5. **Staff** – responsible to complete a PDP based on the purpose statement, goals, objectives and action steps of their department.

Working Definitions:

1. **Board of Directors** – Subject to its charter and the laws of the State of Ohio, the Board shall have ultimate authority over the college, its operations and funds.
2. **President and Senior Administration** – President, Vice President for Academic Affairs, Vice President for Finance and Administration, Vice President for Enrollment Management and Student Affairs, Vice President for Institutional Advancement, Associate Vice President for Academic Affairs, and Associate Vice President for Academic Planning and Research.
3. **Deans and Directors** – Supervisory personnel who are also budget holders.
4. **Stakeholders** – Individuals or groups of individuals that have something to gain or lose from the success or failure of the College. This group may include, but is not limited to: students, faculty, staff, administration, board members, alumni, and community members.
5. **Key Result Areas (KRAs)** – Items/topics taken directly from the Mission Statement or Purpose Statements that will be areas to focus on for the success of the Strategic Plan and the College.
6. **Key Indicator Measures (KIMs)** – Measures for each of the KRAs that will provide insight into the College’s success in accomplishing its mission. KIMs can be broken out into tiers or levels of applicability:
   - **Tier 1** Measures are for the broadest and most important for the overall success of the College. Senior Administration and the Board of Directors would use Tier 1 measures to ensure the effectiveness of the Strategic Plan.
   - **Tier 2** Measures are sub-measures and are used to support Tier 1 measures. They would be used at the Division or Department level of the organization.
   - **Tier 3** Tier 3 and below would be measures that support the upper Tier measures at the department or individual level.
7. **Benchmarking** – Improvement process in which an organization measures its performance against that of best in class organizations, determines how those organization achieved their performance levels and uses the information to improve its own performance. The subjects that can be benchmarked include strategies, operations, processes, procedures and measures.
8. **Overarching Development Plan (ODP)** – Plans developed and used by Senior Administration and each Division/Department to determine its course of action (action items/steps).
9. **Professional Development Plan (PDP)** – Individual’s annual plan to determine action items to be accomplished. All faculty are required to complete a PDP as outlined in the Faculty Handbook. Staff, at the discretion of their supervisor, will also be required to complete a PDP. PDPs have a self-report section that show how they have performed relative to their previous year’s PDP.
10. **Outcomes** – Strategic Plans will be reviewed to determine:
    a. **Suitable** – appropriate for the needs of the college (i.e. they support the overarching institutional strategic plan and action steps or they support underlying functions necessary for accreditation requirements).
    b. **Effective** – producing a definite or desired result (i.e. key indicator measures at targeted goal or trending in a positive manner).
    c. **Adequate** – meeting the basic expectations as determined by the stakeholders and/or LEC.
Procedure:

Strategic Planning will be conducted annually, although the Strategic Plan will project 3 to 5 years out. The President, through the AVP Academic Planning and Research, will schedule a series of planning meetings for the annual strategic planning process. Each year the initial meeting will involve the Senior Administration along with any others deemed necessary and should include representation from, and/or be informed by, the AQIP Planning Committee. A review of the prior year’s activities, KRAs, KIMs and the Mission will be conducted and appropriate adjustments will be made to the College’s goals and objectives. If appropriate, recommendation for change in the Mission statement will be made to the Board of Directors. Upon completion of this review, Senior Administration will conduct a similar review, to include the Deans/Directors, of divisional goals, objectives and action steps. Appropriate adjustments will be made to their goals, objectives, etc., and the individual divisions/departments will begin their review, to be lead by the Deans/Directors, and will involve all departmental staff and faculty in a review of their KRAs, KIMs, goals, objectives, action steps, and if appropriate, their Purpose Statements. The expected outcome from these annual meetings is a dynamic Strategic Plan that can be implemented and is designed to optimize LEC’s future. Updates will be presented to the Board of Directors on an annual basis.

The Planning Cycle:

1. The Planning Process will include a timetable for the ongoing development of the plan.
2. Where are we Now? (a global overview of LEC’s current position)
   a. Degree granting programs/majors/minors
   b. Facilities
   c. Technology
   d. Divisions/Departments
   e. Current activities (i.e. accreditation reviews, portfolio, action projects)
   f. Changes/new developments within the institution
   g. An analysis of the marketplace or environmental scan
3. Where are we Going?
   a. Quality: educational, student life, alumni
   b. Target students
   c. Admissions
   d. New degree/certificate programs and/or majors
   e. Tuition
   f. Professional associations related to degree/certificate programs
   g. Technical services/technology integration
   h. Fund raising
   i. New markets
   j. The community served by LEC
   k. Benchmark data
   l. Work force: skills required, compensation, benefits, employee development
4. **A Recap** of the current year’s key activities and accomplishments and a comparison to benchmark or comparison data, if available.

5. Review LEC’s **Strengths and Challenges**.


7. Review/revise and create **KRAs and KIMs**.

8. Develop overarching **College Strategies and Initiatives** through a brainstorming process of meeting participants.

9. **Analysis** of implications of current year’s strategy for each of the major functions of the College, including Academic Affairs (all degree/certificate programs, AQIP, research and library), Finance, Enrollment Management and Student Affairs, Administrative services (including Technology and Facilities), Athletics, Institutional Development and Professional Development.

10. **Deployment**. Senior Administration will create an overarching development plan and each level of the organization will create specific Division/Department Development Plans (ODPs) that will include:
   a. Goals, objectives and action items
   b. Progress measures or evidence
   c. Supporting objectives (who, what, priority, when) for each Key Result Area of the College, written and distributed to each major area.

11. **Effectiveness**. Each semester, the College’s overarching strategic plan will be reviewed for progress on measures and accomplishment of supporting objectives by Senior Administration. Objectives will be reset as appropriate. Each Division/Department will be responsible for reviewing their progress each semester to include:
   a. Review action items from previous semester meetings.
   b. Updates on Tier 1/Tier 2 Key Result Measures
   c. Update on teams formed to accomplish objectives.
   d. Update on ODPs.
   e. New action items on information presented in ‘a-d’ – Measures or evidence should be developed for each action item, if possible, to determine if the action has been effective.
   f. Review any suggestions/new methods and ideas that may improve LEC.
   g. Changes that could affect the Strategic Plan.
   h. Rate overall adequacy, suitability and effectiveness of Strategic Plan.
   i. The Strategic Plan is evaluated by considering all the information reviewed at this meeting.

Effectiveness indicators will be coded as follows:
- **Red** – plan not functioning, must take immediate corrective action.
- **Yellow** – plan not functioning as well as needed or expected, corrective action required.
- **Green** – plan functioning well, no corrective action required.
- **Blue** – plan exceeding expectations.

12. **Board of Directors Approval** – The Senior Administration’s ODP, KRAs and KIMs will be reviewed annually by the Board of Directors.