



## STRATEGIC PLANNING MANUAL

**AMBERTON UNIVERSITY**  
**STRATEGIC PLANNING MANUAL**

*Revised*  
*June 2016*

# STRATEGIC PLANNING MANUAL

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# **SECTION ONE**

## **AN INTRODUCTION TO STRATEGIC PLANNING AND CONTROL**

The responsibility for strategic planning and control rests with the President who, as Chief Executive Officer of the corporation, has the specific duty to oversee and control the essential planning elements of the University. In order to handle the daily activities and coordination of strategic planning and control, an administrator will assume the duties of the Vice President for Strategic Planning and Control.

### **DEFINITION**

The concept of strategic planning and control (SP/C) is best understood by defining terms. *Strategic* refers to all the elements that are critical and essential to the present and future operations of the University. *Planning* is the detailing of a scheme or method for the accomplishment of an objective. Thus, strategic planning implies the defining of goals or objectives, as well as identifying the methodologies to be employed for accomplishing the goals.

*Control* is the process whereby factual pieces of information are gathered, interpreted, and compared to pre-defined standards to assure quality standards and goal satisfaction. This process is often referred to as *assessing outcomes*.

### **FUNCTIONS OF STRATEGIC PLANNING AND CONTROL**

The planning and control functions of the Office for SP/C are designed to assist institutional leaders with planning and in making decisions. The SP/C office is involved in mission reviewing, goal setting/attaining, self-analyzing, outcome assessing, future projecting, and future planning. From these endeavors, a broad model is developed. The model is designed to produce a flexible profile (not a rigid plan, but a framework for action), an image of the future intended for the University.

### **THE SCOPE OF STRATEGIC PLANNING**

Usually, planning is characterized by emphasizing either short-term or long-range planning models. Short-term planning covers a period from six months to three years. Long-range planning normally exceeds three years and often emphasizes five to seven year planning models. At Amberton University, strategic planning is a process that has no end. It has benchmarks, but planning will not reach completion in eighteen months or in five years. Regularly, goals are assessed. If a goal is worthy of accomplishment, whether it takes a year, five years, or ten years, it will be pursued until achieved. Thus, the strategic planning process of Amberton University is a continuous, sliding plan that is composed of goals and objectives of both a short-term and long-range perspective. To Amberton University, strategic planning is an ongoing process of planning steps that allow for continuous reevaluation and reshaping of the University's future.

## METHODOLOGY AND SCOPE

Amberton University utilizes the *Strategic Planning Manual* to assure compliance to the mission statement of the University and to control the process for formulating and completing institutional goals.

The strategic planning function of the University is ongoing, with formal reviews and updates made annually. In addition to goals development and compliance,

### Amberton must ensure the:

Ethical treatment of students in such matters as truth in advertising, refunds after withdrawal from a course, adjudication of grievances, and maintenance of privacy.

Ethical treatment of employees in hiring, performance review, adjudication of grievances, workload and remuneration.

Appropriate balance of centralization and decentralization in decision-making responsibilities and authority relative to the Board, administration, faculty, and staff.

Management processes that foster institutional efficiencies, enabling the institution to respond to priorities.

Institution's procedures, making sure that methodologies are designed to help develop the whole student by refraining from doing for the student what the student can do for his/her self.

Continual development and professionalism of all personnel in dealing with students, the public and co-workers.

Principle that all University services are provided on a first come, first serve basis with no partiality shown to anyone.

Coordination of course offerings to degree programs and student needs in order to maintain a good balance between classes offered and the program needs of students.

Continual evaluation of methodologies for reviewing academic programs, courses and operational processes.

Merits of learning outcomes relative to specific courses and programs; such reviews will include the evaluation of performance for certifications or licensure and any other standards that enable direct comparisons of the student's performance with others in similar settings.

Success of students in terms of retention and graduation rates.

Academic credentials of the faculty and the faculty's "fitness for purpose" in teaching in relevant areas and delivery methodologies.

Scope and nature of the curriculum and research resources meet the needs of the students and the generally accepted standards of an accredited University.

Continual evaluation of University programs, procedures and methodologies, both by session and longitudinally, to determine weaknesses and strengths in the systems in order to improve the educational processes.

## **ORGANIZATIONAL DESIGN**

I. The following terminology is used to clarify the organizational, decision support systems of Amberton University:

- A. Councils or Committees—Units of a permanent nature created for the purpose of evaluating and/or recommending action relative to the present and/or future operations of Amberton University.
- B. Task Force Groups (T.F.G.) or Teams—Units of a temporary nature created for the purpose of evaluating and/or recommending action relative to a specific project or target. These units automatically dissolve upon the completion of their specific work assignment.

II. Designation and Definition of Specific Work Units

- A. Administrative Council - Meets with the President
  - 1. Chairperson: President
  - 2. Permanent Members: Vice Presidents for Academic Services, Administrative Services, and Strategic Planning and Control
  - 3. Other Members: Selection based on need and skills
  - 4. Purpose: To evaluate and recommend final action relative to all strategic planning issues
- B. Academic Council
  - 1. Chairperson: Vice President for Academic Services
  - 2. Permanent Members: Full-time Faculty Council Members
  - 3. Other Members: All Academic Personnel
  - 4. Purpose: To serve as a clearinghouse for all educational Task Force Groups. Based upon information received and trends projected, the Academic Council will address all academic issues and make recommendations to the President
- C. Staff Council
  - 1. Chairperson: Vice President for Administrative Services
  - 2. Permanent Members: All Staff Personnel
  - 3. Other Members: Selection based upon needs and skills
  - 4. Purpose: To provide detailed strategical information relative to all aspects of the operations of Amberton University and to make observations and recommendations to the Administrative Council

D. Strategic Planning Committee

1. Chairperson: Vice President for Strategic Services
2. Permanent Members: Administrative Council with input from divisions. Administrative Council makes up the core nucleus of the Strategic Planning Committee.
3. Members: Ad Hoc department managers, directors, faculty.
4. Purpose: To evaluate, annually (1) the Academic Assessment techniques utilized, (2) the variables and factors considered in the evaluation process, and (3) the clarity of presentations and interpretations of findings of the strategic planning process.

E. Futuristic Committee—Ad Hoc

1. Chairperson: Vice President for Strategic Services
2. Other Members: Selection based upon need and skills
3. Purpose: To participate in games and scenario exercises based upon information generated through the Academic Committee and/or other committees. This is a brainstorming committee designed to synthesize information and to coordinate it with trends and potential events and develop real or theoretical alternatives

F. Task Force Groups (T.F.G.)

1. Chairperson: Selection based upon skills and needs
2. Members: Selection based upon needs and skills
3. Purpose: Designed to study and render recommendations relative to specific tasks or issues. The need for a Task Force Group may be identified by any other unit and recommended to the Administrative Council for activation

G. Teams

1. Chairperson: Selection based upon need
2. Members: Selection based upon need
3. Purpose: Designed as a specialized unit to investigate and render opinions relative to a specific issue or task (Teams are usually a sub-unit of a Task Force Group)

III. The Organizational System

A. Authority Chart--See Exhibit A

B. Major Operational Areas and Components--See Exhibit B

**EXHIBIT A**

**AMBERTON UNIVERSITY  
AUTHORITY CHART**

BOARD OF TRUSTEES  
DETERMINE POLICIES

PRESIDENT  
DESIGNS REGULATIONS

DIVISIONAL  
VICE PRESIDENTS  
ENACT RULES & PROCEDURES

MANAGERS & DIRECTORS  
DEVELOP PROCESSES



## **EXHIBIT B**

### **AMBERTON UNIVERSITY STRATEGIC PLANNING**

#### **MAJOR OPERATIONAL AREAS AND COMPONENTS**

##### **INSTITUTIONAL DEVELOPMENT**

- Policies and Regulations Manual
- Strategic Planning Manual
- University Publications
- Alumni
- Goals Developing
- Assessing outcomes
- Graduates

##### **ACADEMIC DEVELOPMENT**

- Degree Programs
- Courses
- Record Keeping
- Delivery Systems
- Admission Standards
- Performance Standards
- Research
- New Academic Programs
- Assessing Educational Performance
- Hiring Faculty
- Teaching Methodologies

##### **LIBRARY DEVELOPMENT**

- Services/Staff
- Collection
- Acquisitions
- Research Services
- Procedures
- Media Equipment
- Assessing Services & Use

##### **FACILITY DEVELOPMENT**

- Space Utilization
- Construction/Renovation
- Maintenance
- Security
- Disaster Recovery
- Technology Development and Support

##### **STUDENT SERVICES DEVELOPMENT**

- Academic Advising
- Registration
- Services
- Financial Support
- Student Appeals/Discipline
- Assessing Services and Performance

##### **PERSONNEL DEVELOPMENT**

- Recruiting/Hiring/Workload
- Evaluation of Employees
- Professional Development/Training
- Wage/Salary Administration
- Employee Security/Freedom

##### **ORGANIZATIONAL DEVELOPMENT**

- Structure, Board Composition
- Committees, Task Forces
- Administration/Staff/Faculty
- Titles and Terms
- Faculty and Staff Organization

##### **FINANCIAL DEVELOPMENT**

- Source of Income
- Financial Stability
- Accounting/Assets Handling
- Budgeting
- Endowments
- Pension Funds
- Investments

# **SECTION TWO**

## **THE MISSION OF AMBERTON UNIVERSITY**

The Mission Statement of Amberton University enumerated below is reviewed annually. The Board of Trustees evaluates and approves only those resolutions that are in compliance with the statement.

### **AMBERTON UNIVERSITY POLICIES AND REGULATIONS**

#### **MISSION STATEMENT**

Amberton University is a specialized institution designed to meet specific educational needs of mature students.

Amberton University is committed to Christian values, both in its conduct of business and in its educational philosophy. The University's employees endorse and strive to live the ethical values and principles taught by the New Testament of the *Bible*. This commitment to Christian ethics enables the University to provide its students with a stability of values and a value system.

Amberton University combines relevant technical and cognitive training with techniques for problem solving in developing the student's capability to identify and select solutions to economic, social and personal problems. The academic skills and Christian values imparted by the University enable each student to better appreciate his own worth and to exercise insight into those patterns of facts and events which affect human relations and social values.

Amberton University will provide educational programs and services in those areas it is best qualified. When academically and financially feasible, the institution is committed to the continuous transformation of the educational process in direct response to the needs of the student and community.

Amberton University, in its endeavor to be a center for learning, a society in which all are students, will employ responsible experimentation and innovation. New as well as traditional techniques will be continuously identified, applied and evaluated in an effort to facilitate teaching and learning.

## **AMBERTON UNIVERSITY AFFIRMS**

That there is a God and He is clearly revealed through the *Bible*;

That Jesus Christ is the Son of God and is the example to be imitated;

That the educational process may not be divorced from the divine reality of God;

That spiritual commitment, tolerating no excuse for mediocrity, demands the highest standards of academic excellence;

That truth, having nothing to fear from investigation, must be pursued relentlessly;

That freedom, whether spiritual, intellectual, or economic, is indivisible;

That the student, as a person of immortal heritage, is the heart of the educational enterprise;

That knowledge calls, ultimately, for a life of service;

That into this specialized Christian institution, there shall never be admitted any religious test for admission or graduation; but, that all students hereof shall forever enjoy full, free, absolute and uninterrupted freedom of conscience.

**Last Approved by the Board of Trustees  
March, 2016**

# **SECTION THREE**

## **GOALS**

In accordance with the progressive and open philosophy of the University, recommendations for improvements are solicited from any individual or group interested in the quality development of Amberton University. Usually, recommendations are expressed directly to a specific University employee and the employee is capable of handling the issue immediately. However, when a recommendation presented to a University official merits or requires interdivisional cooperation or financial resources for proper evaluation, the recommendation is forwarded to the Office for Strategic Planning and Control for processing.

The Office for Strategic Planning and Control directly coordinates recommendations that are of a global nature (recommendations that transcend divisional lines or have an impact on the entire institution) relative to the University. Recommendations that suggest that all salaries be increased or that the University integrates computer operations throughout the institution are of a global nature. In addition, any recommendation that requires Board approval--such as approving a new degree--is considered global in nature. A global recommendation, evaluated and determined to be worthy of accomplishment, becomes a University goal.

Recommendations that directly impact only a specific administrative division will be handled by that division. Recommendations that new furniture be provided in a specific office, or that colored chalk be provided in the classroom are best evaluated and handled by the division directly responsible for the area addressed. Such a recommendation, when evaluated by the division as meriting accomplishment, will be classified as a divisional objective.

In summary, recommendations that impact only a specific division are forwarded to that division for evaluation and action. Recommendations that cross divisional lines are considered global in nature and are handled directly by the Office for Strategic Planning. All global recommendations that are reviewed and determined to be worthy of accomplishment become University goals. Divisional recommendations considered worthy of accomplishment become divisional objectives.

## **THE LIFE CYCLE OF GOALS**

### **I. GOAL IDENTIFICATION**

Goal identification is an ongoing process. A potential goal may be the thought of an individual, or the recommendation of a committee. While its source is unimportant, a goal must be clearly identified in order for it to be transmitted. Individuals and committees often provide an abundance of ideas that could become goals; however, for such ideas to be considered, they must be given written substance. The earliest evidence of a potential goal is usually provided in an idea paper. (See Exhibit C.)

## II. IDEA PAPER

An idea paper is the conceptualization of an abstract; it is putting into writing a goal proposal. A good idea paper might include a brief review of the circumstances or problems relative to the goal, a definition/clarification of the goal, and the methodology that might be employed in evaluating its merits. While there is no formal structure for an idea paper, it is the beginning of the evaluation process.

## III. EVALUATION

The evaluation process of a potential goal combines the findings of both the internal and external variables that might influence the practicality or feasibility of the goal and the proposed goal's relationship to other goals (those already approved and/or being considered). Many a worthy goal, while feasible internally, is beyond the capability of the institution when external factors are considered. Another goal, while worthy of consideration, may prove to overlap a goal that has already been accepted. The evaluation process allows a full disclosure of all factors relative to the goal.

## IV. REVIEW

Once an idea paper has been developed and evaluated, the Office for Strategic Planning and Control will present the proposal to the administrative council for merit review. If the proposal is found to have merit, the council may act immediately or select a committee to evaluate the proposal (see Procedures for Evaluating Goals) and forward their finding to the council.

## V. GOAL SETTING

Once a potential goal has been deemed worthy of becoming an institutional goal, the goal itself must be clearly defined and articulated to all elements of the institution. Goal setting requires more than a passive acceptance of its existence. Goal setting must result in an institution's active acknowledgment of the goal and a willingness on the part of the institution to seek its completion.

## VI. TACTICS

Strategic planning is the overall plan designed by an institution to coordinate the completion of goals. Tactics are plans specifically designed to accomplish a designated goal. Each time a goal is accepted as an institutional mission, tactical plans are designed which forward the goal to completion and establish standards of measurement that will determine when the goal has been reached.

## VII. CONTROL

Control is the method whereby tactical plans are regularly evaluated to make sure that the goal is proceeding on schedule. If it is determined that tactical plans are failing to bring a goal to completion, the control process will determine if failure is the result of poor planning or the result of changes in internal or external variables. Major internal or external variable

changes may result in a reevaluation and/or reaffirmation of the goal itself.

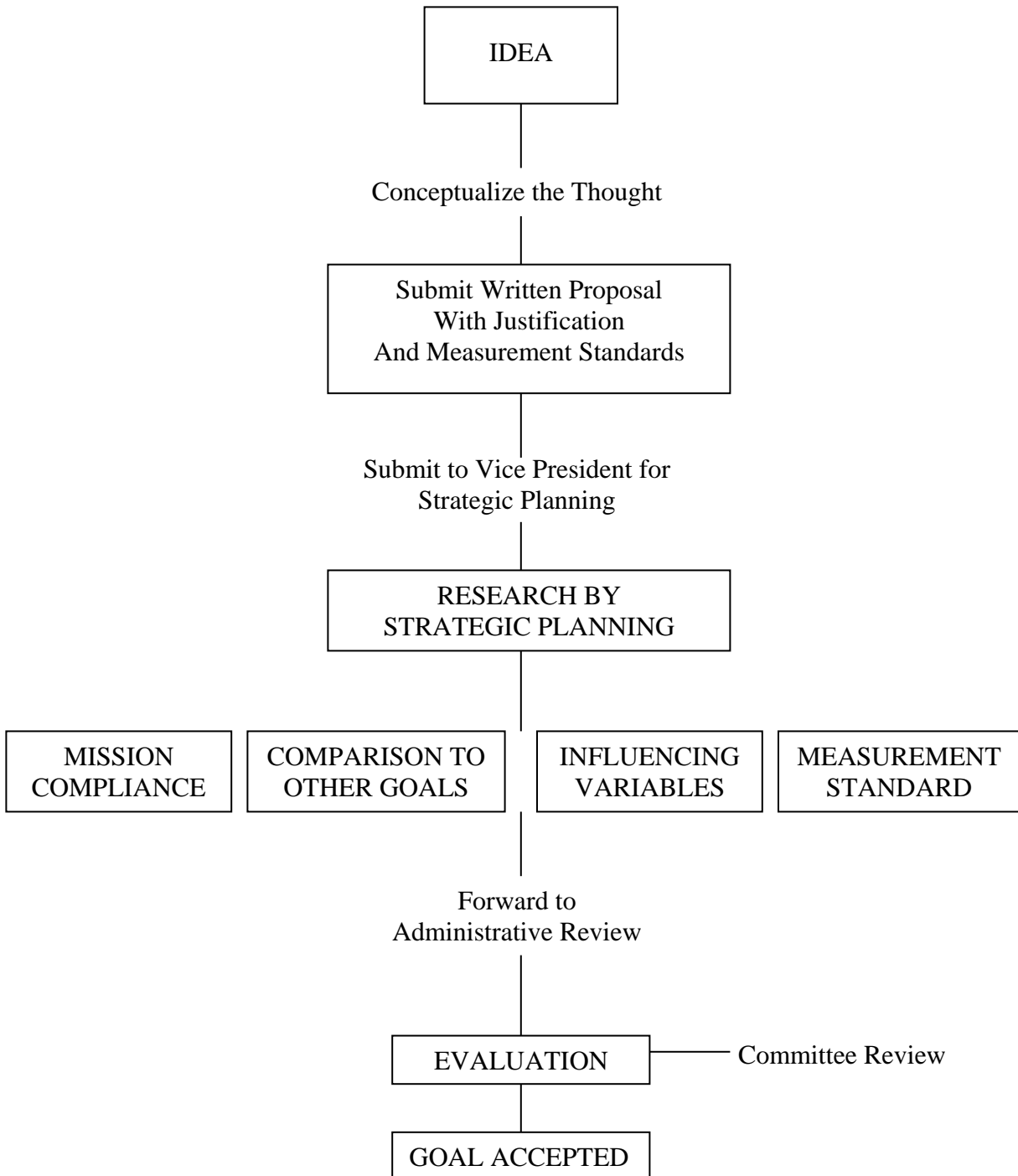
#### VIII. COMPLETION

A goal is to be completed. Some planning processes seem to imply that the identification of a goal is an end accomplishment; not so. A goal worthy of being identified, evaluated, and accepted demands a conclusion. The records for goals and a completed goal are maintained in the strategic planning office.

# EXHIBIT C THE MAKING OF A GOAL

SOURCE of Goal: Anyone

PROCEDURE:



## PROCEDURES FOR EVALUATING GOALS

Generally speaking, goals are divided into two major categories, pragmatic or normative. A pragmatic goal is directed toward the achievement of a concrete objective. The result is usually observable and clearly measurable. A normative goal is more value oriented and is, therefore, more difficult to observe. A normative goal identified as “striving for academic excellence” or “providing a relevant degree” can only be measured by general consensus or majority agreement.

In order to properly evaluate a goal, the following general standards should be considered:

- Analyze the goal in terms of clarity. Is the goal stated clearly enough that individuals, both inside and outside the organization, will understand its intent?
- Analyze the goal in terms of its relevance to the broader objectives of the institution. Does it directly support and contribute significantly to the overall mission of the University?
- Analyze the goal in terms of its realistic attributes. Is the goal challenging enough to merit consideration, yet reasonable and attainable?
- Analyze the goal in terms of benefits. If accomplished, who will benefit, and are there tradeoffs to other groups?
- Analyze the goal in terms of the allocation of resources required. After considering the financial costs, time demands, and human resources required to attain the goal, is it worth the effort?
- Analyze the goal in terms of its measurability. How will goal attainment be measured?

When the goal is the development of a new course or academic program, in addition to an assessment of the goal to general standards, the research project committee/task force will comply with the guidelines provided for New Courses or Programs (Regulation # 453).



## **THE IMPACT OF A GOAL ON THE UNIVERSITY**

The ultimate impact of a goal on the University is constructive change. (See Exhibit D.) One goal of strategic planning is to measure the attainment of the goal. Once an idea becomes designated as a goal, three actions must occur. First, the operational components must be modified to manage the new goal. For example, changes might need to be made in the wording of publications or a change might need to be made in the system of registration. (For a complete list of the major operational areas and components, see Exhibit B).

Second, plans must be made and tactics decided upon to pursue the goal. Someone must be designated as responsible for the pursuit of the goal and a work group, if applicable, should be identified. Next, strategies must be delineated and a time line decided upon for the strategies.

Third, budget allocations must be made. Once an idea has been accepted as a goal, it must have the financial resources necessary for attainment. (Exhibit E: Budget Assessment and Process identifies the budgeting process of Amberton University.)

The budget process begins in January of each year. The approach used is a zero-based budgeting concept--every year the budget unit starts with zero and all allocations must be justified. Working with a January deadline, faculty, staff, and directors are encouraged to request funds for the new year. Any funds requested must have justification before they will be approved. For instance, a decision to pursue a new goal would require a justification. (This procedure would have already been accomplished while investigating an idea.)

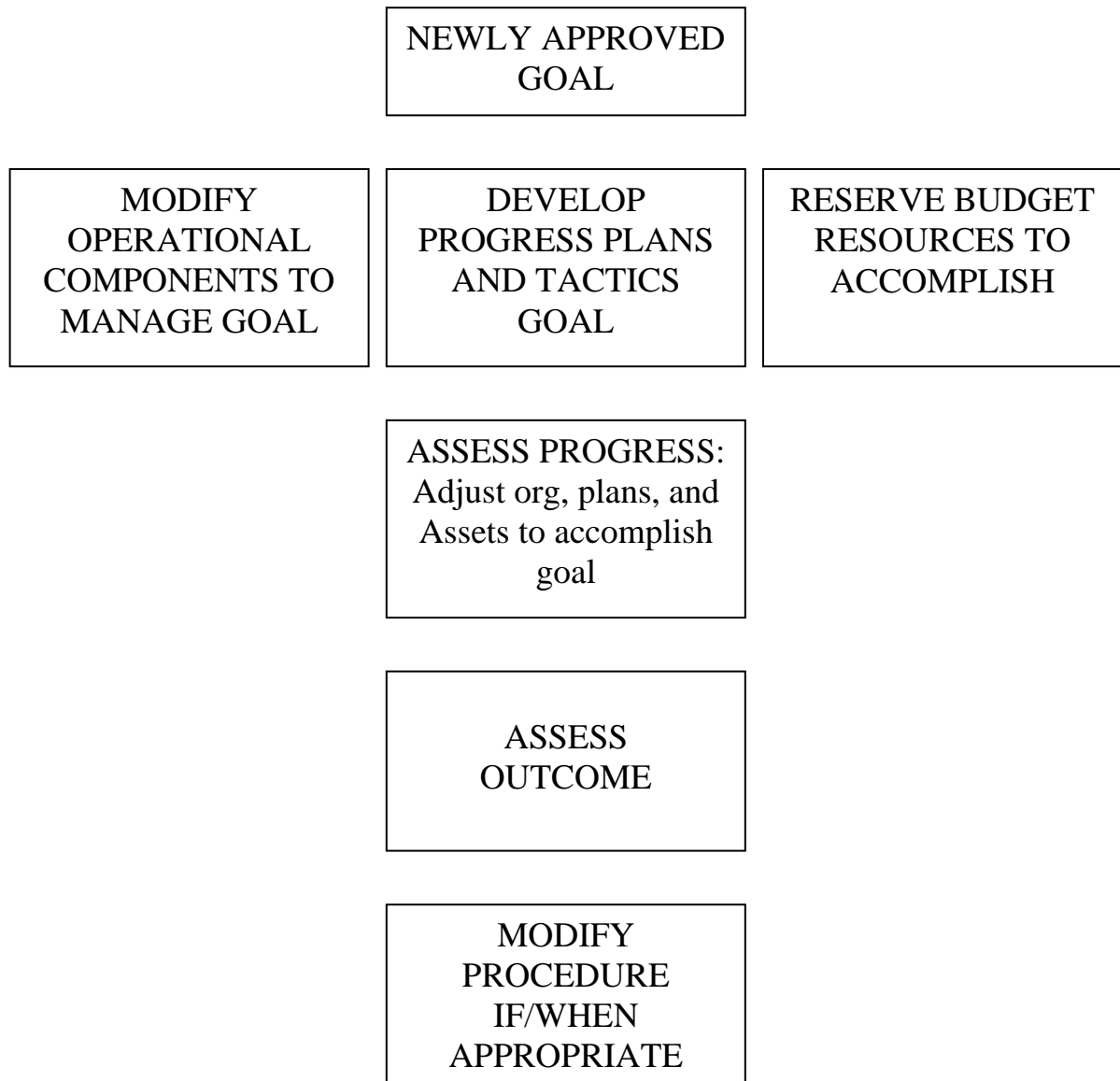
Once budgets are prepared, they are reviewed first in the applicable budget unit. They are then reviewed administratively by the deans/directors and vice presidents and presented to the President. The President finalizes the budget and presents it to the Board of Trustees. Finally, in March, the budget is solidified with the Board approval.

Once a goal has moved through this stage, it moves into the assessment phase. All major operational areas of the University are evaluated annually. (See Section Four for process.) Operational areas are evaluated by assessing each of the major components associated with the major operational area.

To encourage University-wide participation in assessment, the focus of control for evaluating operational components is delegated to those most familiar with the operations of the components being investigated. While the Office for Strategic Planning helps develop standards and tools for assessment, the actual process of assessing takes place at the lowest unit level possible. Results of assessments are then forwarded to the Office for Strategic Planning and coordinated with the assessments of other components until all components within a major operational area have been assessed. These findings are reviewed by the administration and corrective steps are taken when and where appropriate. As a part of the assessing process, each unit involved in the process is encouraged to identify and expand the tools used in the assessment process.

## EXHIBIT D

### THE IMPACT OF A GOAL ON THE UNIVERSITY



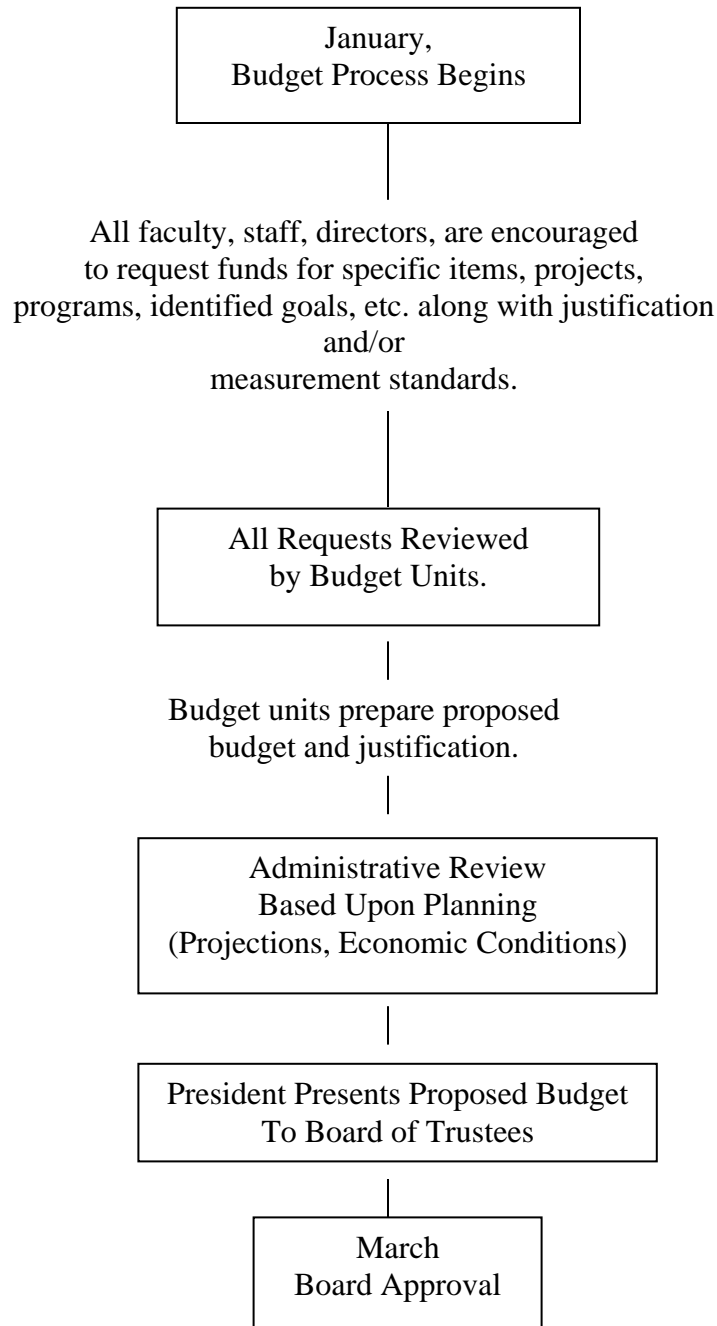
## EXHIBIT E

### BUDGET ASSESSMENT AND PROCESS

#### PRINCIPLES:

- The fiscal year is June 1 – May 31.
- The budget is approved by the Board of Trustees.
- The budget (financial statements) is audited by an external CPA firm, annually.
- The budget is developed on a “zero based” concept (each line item must be justified).

#### PROCEDURES:



# **SECTION FOUR**

## **STEPS IN STRATEGIC PLANNING**

- I. Identify and evaluate internal and external variables for strengths and weaknesses, opportunities and threats, and project futuristic trends.
- II. Analyze variables that will impact the organization, both positively and negatively, and determine the outer perimeters of influence that could be exerted by each.
- III. Evaluate goals and select those most feasible based upon organizational purpose, variables analysis, and futuristic trends.
- IV. Identify and select optimum strategies for accomplishing goals and prepare tactical plans for implementing strategies throughout the organization.
- V. Implement the strategic plan.
- VI. Control the process, evaluate the progress, and adjust the plans to changing conditions.

## **ELEMENTS INCLUDED IN THE STRATEGIC PLANNING STEPS**

- Step I. Identify and evaluate internal and external variables for strengths and weaknesses and project futuristic trends.
- A. Review and evaluate the internal variables. (See Major Operational Areas and Components, Exhibit B)
    1. Review and evaluate the mission statement and goals of the University.
      - a. Determine if actual practices/programs comply or conflict with stated mission and objectives of the University.
      - b. Determine if the clientele and geographic areas, which are served complement or conflict with purpose and/or goals.
    2. Review and evaluate the academic development of the University.
      - a. Review administrative structure, operations, and decision-making processes.
      - b. Review competency expectations for each degree program of the University.
      - c. Review each course relative to its value to each academic program, and evaluate each academic program for compliance with competency objectives.
      - d. Determine if the record keeping processes of the academic operations (faculty records, course records, graduation records, etc.) are in good order.
      - e. Study enrollment and enrollment trends not only in undergraduate and graduate programs, but also in degree programs.

- f. Review the activities and procedures whereby the University engages in institutional research.
  - g. Review the delivery systems (scheduling, etc.) utilized by the University.
  - h. Review the admission standards of the University.
3. Review and evaluate the organizational development and the decision-making processes utilized by the University.
    - a. Review the Charter, Bylaws, and Board structure.
    - b. Study the organizational structure for operational efficiency and decision making.
    - c. Study titles and terms.
    - d. Review the advisory committees utilized by the University and their effectiveness.
    - e. Review faculty and staff organizations.
  4. Review and evaluate the personnel development of the University.
    - a. Review the performance of each of the administrators.
    - b. Review the general performance of the faculty.
    - c. Review the performance of all professional staff personnel.
    - d. Review the general performance of staff personnel.
    - e. Review the recruiting and selection processes.
    - f. Review the workload of all Amberton University personnel.
    - g. Review the security and academic freedom afforded to all employees.
    - h. Review the procedures for selection and evaluation.
    - i. Review the opportunities for training and growth.
    - j. Review the promotion and salary procedures.
  5. Review and evaluate the financial/facility development of the University.
    - a. Review the sources of income available to the University.
    - b. Review the financial stability/security of the University.
    - c. Review the administrative structure for handling of assets.
    - d. Review the budgetary process and control methods employed.
    - e. Review the controls placed upon endowment and pension funds.
  6. Review and evaluate the facility development of the University.
    - a. Review the quality of facilities.
    - b. Review space utilization.
    - c. Review the quality/adequacy of equipment.
    - d. Review inventories and controls.
    - e. Review maintenance/preventive maintenance plan.
    - f. Review facility security.
    - g. Review disaster recovery plan.
    - h. Review the quality/adequacy of technologies.
  7. Review and evaluate the Library of the University.
    - a. Review the staff.
    - b. Review budgetary procedures.
    - c. Review the resources for quality and adequacy.

- d. Review research services.
  - e. Review the acquisition and weeding procedures for holdings.
  - f. Review media equipment - quality, quantity, needs.
8. Review and evaluate the student services of the University.
    - a. Review the academic advising and guidance procedures.
    - b. Review the job placement process.
    - c. Review student involvement in decision making.
    - d. Review discipline procedures and disclosure.
    - e. Review the financial aid procedures and programs.
  9. Review and evaluate the institutional development of the University.
    - a. Review the *Policies and Regulations Manual*.
    - b. Review the *Faculty/Staff Manual*.
    - c. Review the *Strategic Planning Manual*.
    - d. Review the University catalog and recruiting activities.
    - e. Review other University information brochures.
    - f. Review and evaluate alumni relations/surveys.
- B. Review and evaluate external variables.
1. Review and evaluate economic trends.
    - a. Review business trends that may influence the University.
    - b. Review financial trends that may influence the University.
  2. Review and evaluate social/governmental trends.
    - a. Review social trends related to a philosophical commitment to higher education.
    - b. Review legal decisions related to higher education.
    - c. Review governmental decisions (local, state, and federal) related to higher education.
  3. Review and evaluate population data and trends.
    - a. Review demographic trends relative to the University's area of influence.
    - b. Review growth trends relative to the University's area of influence.
  4. Review and evaluate accreditation and educational planning.
    - a. Review state trends relative to certification standards for higher education.
    - b. Review federal trends relative to certification standards for higher education.
    - c. Review regional trends relative to certification standards for higher education.
  5. Review technological trends.
    - a. Review educational support systems being developed.
    - b. Review equipment/services support systems being developed.
  6. Review and evaluate competition in the areas of gifts and marketing.
    - a. Review state trends in marketing for students and gifts campaigns.

b. Review private trends in marketing for students and gifts campaigns.

7. Review and evaluate associations/cooperatives in the area relative to higher education.

a. Review local associations/cooperatives for relevancy to the University's needs.

b. Review state and regional associations/cooperatives for relevancy to the University's needs.

Step II. Analyze variables that will have an impact on the organization, both positively and negatively, and determine outer perimeters of influence that could be exerted by each.

A. Each of the variables reviewed and evaluated should be analyzed for trends and/or projections and recommendations made when/where appropriate.

B. Forecast or project trends relative to purpose, compliance, goal setting, and goal accomplishment based upon research and evaluation.

C. Recommend how resources, human and physical, can be used more effectively/efficiently.

D. Project enrollment and constituency trends.

E. Recommend new programs and/or courses.

F. Project educational trends.

G. Project social trends that will have an impact on the University.

Step III. Evaluate University goals and actively pursue the most feasible based upon organizational purpose, variable analysis, and futuristic trends.

A. Reaffirm or redefine the purpose and mission of the University.

B. Evaluate and identify goals that are achievable, and establish procedures for accomplishment.

C. Evaluate and establish procedures for minimizing weaknesses of the University that cannot be entirely eliminated.

Step IV. Identify and select optimum strategies for accomplishing goals, and prepare tactical plans for implementing strategies throughout the organization.

A. The identification and selection of optimum strategies for accomplishing goals are determined through designated work units. (See the section on Organizational Design for specifications concerning standing work units.)

- B. Tactical plans for implementing strategies throughout the organization will be coordinated through both administrative and academic personnel of the institution. (Review the section on Organizational Design for a more information.)

Step V. Implement strategic plan.

It is essential that there be a good understanding of the relationship between planning and implementation. Too often, strategic planning is conceived as simply involving future projections. This is not the case. Planning and implementation are highly interrelated. Effective planning should lead to implementation; proper implementation should lead to improved planning. This merging of planning and implementation can be achieved only through advanced consideration of the problems that will be encountered, and by involving all interested parties, through appropriate participation, in the planning process.

It should be understood that planning and implementation are equally concerned with the elements of the planning process earlier described. However, planning, as such, proceeds from purpose down through the steps to financial considerations, while implementation proceeds from financial considerations up through the various stages to purpose.

A misunderstanding often exists with respect to the planning and implementation relationships. Because financing is the necessary first step of implementation, it frequently dominates the thinking of those responsible for the institution's future to the point where it becomes the first step of planning. However, when planning consists primarily of asking how much money is available, real strategic planning ceases to exist.

Step VI. Control the process, evaluate progress, and adjust plans to changing conditions.

- A. The process of strategic planning is controlled and evaluated regularly through reports prepared by the Vice President for Strategic Planning and Control.
- B. Adjustments to the strategic planning process are handled through the Office for Strategic Planning and Control based upon control reports. Adjustments are implemented through standing strategic planning units. (See Section One, Organizational Design, for further information.)



## **SECTION FIVE**

### **ASSESSING TOOLS**

Each operational area and/or component of the University is regularly evaluated by using clearly defined assessing tools (see Section Five). The tools/variables/factors used in the assessment process are reviewed annually to determine their merits relative to the evaluation process.

During the assessment process, or at any time during the year, new components may be identified as critical to the mission of the University. As new components are added, assessing tools are identified that are to be used in the evaluation process.

## ASSESSING TOOLS

### I. AREA: Institutional Development

#### A. COMPONENT: All Components

##### ASSESSING TOOLS:

- *Policies and Regulations Manual*
- *Strategic Planning Manual*
- *University Catalog*
- *University Schedule of Classes (2 years)*
- Departmental Assessment Reports (STARS)
- Other University Publications
  - Alumni Records
  - Number
  - Address
  - Mail Outs/Email
  - Surveys
- Recent Graduates Survey
- Accreditation (Regional and Program Specific) Standards
- Educational/Governmental Publications Influencing University Policies

### II. AREA: Academic Development

#### A. COMPONENT: Degree Programs

##### ASSESSING TOOLS:

- Written Procedures for Developing a Degree Program (Regulation # 453)
- Annual Assessment Reports by Degree Program
- Student Survey Recommendations for Programs/Degrees
- Graduate/Alumni Surveys Relative to Degree Programs
- Agency/Businesses Recommendations Relative to Degree Programs
- Other Accredited University Programs/Degrees
- Publications Related to Degree Programs
- Graduate Achievements—LMFT, LPC, etc. Examinations (TeXes)

#### B. COMPONENT: Courses

##### ASSESSING TOOLS:

- Written Procedures for Developing Courses (Regulation # 453)
- Instructor/Course Evaluations
- Graduate/Alumni Surveys Relative to Courses
- Agency/Businesses Recommendations Relative to Courses
- Other Accredited University Courses
- Publications Related to Courses
- Graduate Achievements--LMFT, LPC, etc. Examinations (TeXes)
- Competency Development and Assessments
- Evaluations of Course Materials (Regulation #'s 465 and 468)

C. COMPONENT: Record Keeping

ASSESSING TOOLS:

- Student Records
- Record of Academic Work--Electronic Transcript.
- Record of Transfer Work--Transfer of Credit Transcript
- Admission Records
- Financial Aid/VA Records
- History Database--three year history of students
- Appeals/Discipline Records
- Alumni Records
- Academic Records (Regulation #'s 465 and 468)

D. COMPONENT: Delivery Systems

ASSESSING TOOLS:

- *Schedule of Classes*
- Student/Graduate Survey Recommending Delivery Systems
- Agency/Business Requests for Specified Delivery Systems
- Publications Discussing Delivery System Trends

E. COMPONENT: Admission Standards

ASSESSING TOOLS:

- *University Catalog*
- Graduate/Alumni Survey Recommendations

- Publications/Literature of Other Institutions and Agencies Covering Trends and Standards
- *Schedule of Classes*
- Historical Statistics: Majors, New Students, Hours Transferred, Retention, Sex, Race, Etc.

F. COMPONENT: Performance Standards

ASSESSING TOOLS:

- Instructor/Course Evaluations by Students
- Grade Distribution Statistics
- Peer Assessment
- Publications
- Service--Committees
- Training
- Contributions--New Courses, Leadership, etc.
- Productivity Statistics
- Evaluation of the Professoriate (Regulation # 419)

G. COMPONENT: Administrative System

ASSESSING TOOLS:

- Organizational Chart
- Record of Appeals Relative to Procedures
- Personnel Evaluations
- Administrative Team--Procedures, Participation, Composition
- Faculty Evaluation (Regulation # 412)

H. COMPONENT: Research & Professional Development

ASSESSING TOOLS:

- Faculty Requests (Regulation # 412)
- Funds Provided
- Research/Professional Development Reports

III. AREA: Library Development

COMPONENT: All Components

ASSESSING TOOLS:

- Library Development Plan
- Usage Reports (Digital and Print)
- List of Holdings
- Reports of Services
- List of Acquisitions
- List of Media Equipment
- Budget
- Inventory of Lost/Weeded Books
- Purpose of the Library (Regulation #684)

IV. AREA: Facility Development

COMPONENT: All Components

ASSESSING TOOLS:

- Facility Development/Utilization Plan (Regulation # 525)
- Leases for offsite location(s)
- Budget
- Maintenance Reports
- Security Reports
- Disaster Recovery Plan (Regulation # 247)
- Evaluation of Personnel

V. AREA: Student Services Development

COMPONENT: All Components

ASSESSING TOOLS:

- Registration Procedures
- Student Surveys/Complaints
- VA Records (TEA/VA Audits)
- Title IV Federal Financial Aid Handbook & Reports
- New Student Survey Instrument
- Graduating Students Survey Instrument
- Problem Resolution Reports

- Appeals/Discipline Reports

## VI. AREA: Personnel Development

COMPONENT: All Components

### ASSESSING TOOLS:

- Human Resource Inventory: Age, Classification, Sex, Race, Performance, Etc.
- Records of All Employees
- Records of Training Events
- Table of Salaries/Wages Compared to State and Regional Norms
- Employee Policies/Regulations
- Benefits
- Academic Freedom Responsibility Policy
- Security Reports
- Recommendations from Faculty/Staff (Regulation #'s 314, 325, 412, 419)

## VII. AREA: Organizational Development

COMPONENT: All Components

### ASSESSING TOOLS:

- Charter and Bylaws
- Board Policies
- Mission Statement
- Board Size
- Annual Report to the Board
- Manual of Job Descriptions, Titles and Terms
- Policy and Regulations Manual
- Organizational Chart
- Publications/Literature on Trends in Higher Education Administration

## VIII. AREA: Financial Development

COMPONENT: All Components

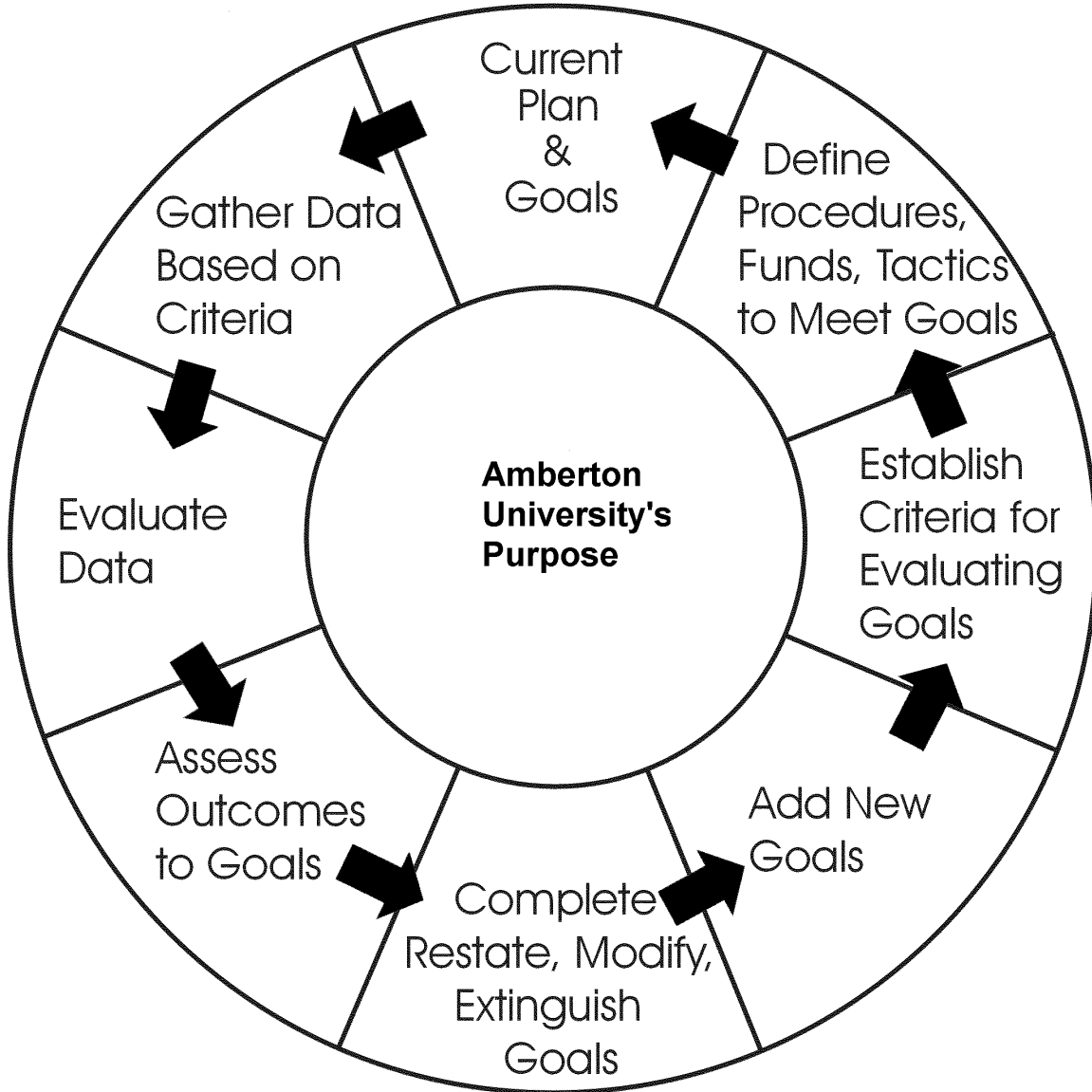
### ASSESSING TOOLS:

- Sources of Income

- Budget, Budget Process (Regulation #'s 501 and 503)
- Income/Expense Statements
- Funds Balance Statement
- Audit (CPA)
- Session/Annual/Historic Statistics On:
  - Total Credit Hours Enrolled
  - New Students
  - Total Head Count
- Publications/Literature Relative to Financial Trends and Accounting Procedures (NACUBO, etc.)

**EXHIBIT F**

**AMBERTON UNIVERSITY'S STRATEGIC PLANNING PROCESS**





## SECTION SIX

### BRINGING IT ALL TOGETHER

#### GOALS AND THE FUTURISTIC STRATEGIC PLAN

One of the major objectives of planning is to identify institutional goals and to develop a scheme or method for accomplishing the goals so identified. Regularly, goals are accomplished and new goals are developed as the institution continually responds to the current and future educational needs of its constituency. The process is unending. (See Exhibit F.)

All steps previously identified as parts of the strategic planning process come together with the development of a strategic plan that projects an image or general composite of the institution at some chosen moment in the future. The strategic plan, which is composed of several projections, is not definitive but provides a general view of the institution based upon information gained through the strategic planning process.

A strategic plan is a valid and valuable tool in that it provides a linking of all the planning variables in such a way that institutional goals are projected to realistic outcomes. While a goal evaluated singularly may prove desirable to the institution, only when all goals are projected to their conclusions can the institution predict the future. The strategic plan is a prototype that synthesizes the strategic planning process. Goals and objectives are identified in the plan for the areas of Academics, Administrative Services (including Student Services), Enrollment Management and Recruiting, Facilities/Location, Financial/Investments, Library Services, Personnel/Organizational Structure, and Technology for a multi-year time-period, usually three to five years. Annually, an analysis is made of the data elements (goals, objectives, etc.) and adjustments can be made to the plan as needed.