



Connecticut Community College System
Integrating Planning and Budgeting

“The only admissible defense of a proposal to increase resources or to decrease resources should be How Consonant the Proposal is With the Role of the Organization (Mission), its Desired Accomplishments (Vision and Goals), its Situation (Where are we now?), and the Ways in Which it Will Tend to do Things (Values and Objectives) as it Pursues Those Desired Accomplishments Within the Context of its Role and Situation.”

*Dr. Raymond M. Haas, Professor Emeritus/Consultant
University of Virginia*

~~~~~  
*Dr. Corby A. Coperthwaite  
Office of Planning and Assessment  
Board of Trustees  
Connecticut Community-Technical Colleges  
61 Woodland Street  
Hartford, Connecticut 06105*

*Phone: (860) 725-6604  
Fax: (860) 566-1308  
CCoperthwaite@commnet.edu*

~~~~~

Acknowledgements

The process proposed is certainly not original, but an extrapolation of best practices and ideas modified to meet the needs Connecticut Community College System. Special thanks should be given to Billie T. Alban, Organizational Consultant; Dr. Thomas B. Flaherty, Central Connecticut State University; Dr. Raymond M. Haas, University of Virginia; Dr. William E. Knight, Bowling Green State University; Dr. Jing Luan, Cabrillo College; Dr. Michael E. Moore, Georgia State University; and Dr. Margi Winters, Tunxis Community College. What I have learned about planning comes from their teaching.

Table of Contents

Acknowledgements	2
Table of Contents	3
Reasonable Expectations of a Planning Process	4
PART 1	5
Planning Definitions	5
Sample	5
Strategic Planning Process and Model	6
Committees and Responsibilities	8
Board of Trustees	8
Executive Planning Committee	8
Table 1: Executive Planning Committee	8
Strategic Planning Operations Committee	9
Strategic Planning Advisory Committee	9
Time Line	10
PART II	11
Connecticut Community College System Statutory Mission	11
Connecticut Community College System Statement of Purpose (Draft)	12
External Challenges Facing Higher Education	13
Association of Governing Boards’ Ten Public Policy Issues for Higher Education	13
ACE: Administrators’ Views of Challenges Facing Institutions	13
Public Confidence Issues Facing Higher Education	13
“SWOT”	14
Sample SWOT Analysis	15
Development of Strategies and Activities	17
Introduction	17
What Are Strategies?	17
The 12 Steps To Success	18
Connecticut Community Colleges Strategies Documentation Form (SAMPLE) ..	19
Connecticut Community Colleges Strategies Documentation Form	20

Reasonable Expectations of a Planning Process

“Perhaps the best one can expect from the systematic use of planning and budgeting in an academic environment is simply that many parts of an organization move in roughly the same direction and at roughly the same speed.

A plan in higher education is, in effect, a presentation of a set of criteria against which the organization can judge ideas that have not yet been thought of.”

*Dr. Raymond M. Haas, Professor Emeritus/Consultant
University of Virginia*

Strategic Planning is an essential process to under gird the operation of the Community-Technical College System in this 21st Century. The challenge, however, is to make certain that the System and the twelve community colleges that it serves do strategic planning in concert with one another and state higher education goals without curtailing creativity and independence where independence is possible.

The desired outcome is that the 12 colleges move roughly in the same direction and at roughly the same speed while preserving their uniqueness. As a system we identify shared goals and objectives. We implement strategies for the common good. In this way we can link the various councils, management teams and others to affect change. This is sometimes distinct from but always supportive of a college’s individuality.

With those thoughts aimed at coordination in mind, a structure is being shaped that includes the Board of Trustees, an Executive Planning Committee (Chancellor and key staff members together with the Council of Presidents), a Strategic Planning Operations Committee as a “hands on” group to provide process expertise and data, and a Strategic Planning Advisory Board consisting of an inclusive cross section of full time faculty and community college professionals that are drawn from all colleges, academic disciplines and support services.

PART 1

Planning Definitions

Goals are all-encompassing statements about the general directions the system is headed. They should guide the system for the next three to five academic years as it pursues its vision for the future. Actions must be taken in order to reach the goals. But actions are activities, or strategies in this document; they must be evaluated in order to provide a gauge of goal accomplishment. Therefore, objectives have been chosen to be this gauge. The relationship of these three (3) elements then shares this hierarchy with goals on top, objectives in the middle and strategies at the bottom. Finally, there are the activities that operationalize the plan on an annual basis.

Objectives have the characteristics of being 1) an outcome from a specific action and 2) time sensitive and 3) quantifiable via **progress indicators**. While this is the ideal, not all objectives are quantifiable without additional planning and analysis. For example, an objective can be implementing strategic planning. This particular objective will not generate any quantifiable outcomes right away. In this case, the outcome would be “accomplish implementation”.

Planning is about coordinating **strategies** to achieve forward looking goals. Some of the efforts are new initiatives, and many are simply on-going college business activities. Keeping the System Office open is on-going system business, but extending the hours that the System Office remains open is not. On-going activities are not documented in a strategic plan, because it is assumed that they were the results of previous planning efforts and they have become part of the day-to-day operation. A strategic plan rightfully highlights only strategies/activities that are new. These strategies are change agents and they too may be quantifiable. They are the most active and exciting part of a strategic plan. They do not exist alone, or in isolation of the other actions/strategies from previous plans. An objective can be achieved by one or many strategies. Strategies are reviewed and revised yearly.

Sample

Goal

Offer a curriculum that responds to present and anticipates future community needs with an emphasis on occupational and transfer education.

Objective

1.1 Increase the satisfaction level of Business and Industry representatives with the preparedness of Community College graduates.

Strategies

- a) Refocus Continuing Education to better meet business community needs by developing 3 new options for career development
- b) Work with 5 occupational programs to redesign their certificate requirements to better match current industry requirements and increase certificate completion rates.

Strategic Planning Process and Model¹

Step 1: The statement of purpose should be reviewed/revised to answer the question, **"What is the role of the system?"**

Step 2: A vision-values statement should be drafted/reviewed/revised to answer the question, **"Where do you think the system should be in three to five years?" "What are the core values (guiding principles) that focus our work and shape the decisions we make?"** Once approved, the vision-values statement should be incorporated into all appropriate system publications and distributed to every employee.

Step 3: Using group process techniques, surveys, self-studies, accreditation reports and other means, a prioritized list of internal Strengths and Weaknesses needs to be developed.

Step 4: An external environmental scan should be completed, using available data resources. Environmental Opportunities and Threats should be identified from this data.

Step 5: Goals should be established from the analysis in Steps 3 & 4 and the mission and vision statements. The question at this point in the planning process is: **"Having read the environmental scan and the internal assessment of strengths and weaknesses, and drawing from your own perspective, what are the Strategic Goals the system should be guided by in the future?"** Each goal should be specifically tied to a Strength, Weakness, Opportunity or Threat (a goal may be attached to more than one of these).

Step 6: For each goal, one or more objectives should be identified.

Step 7: For each objective, progress indicators should be identified and baseline measurements established

Step 8: For each objective, one or more strategies/activities should be established.

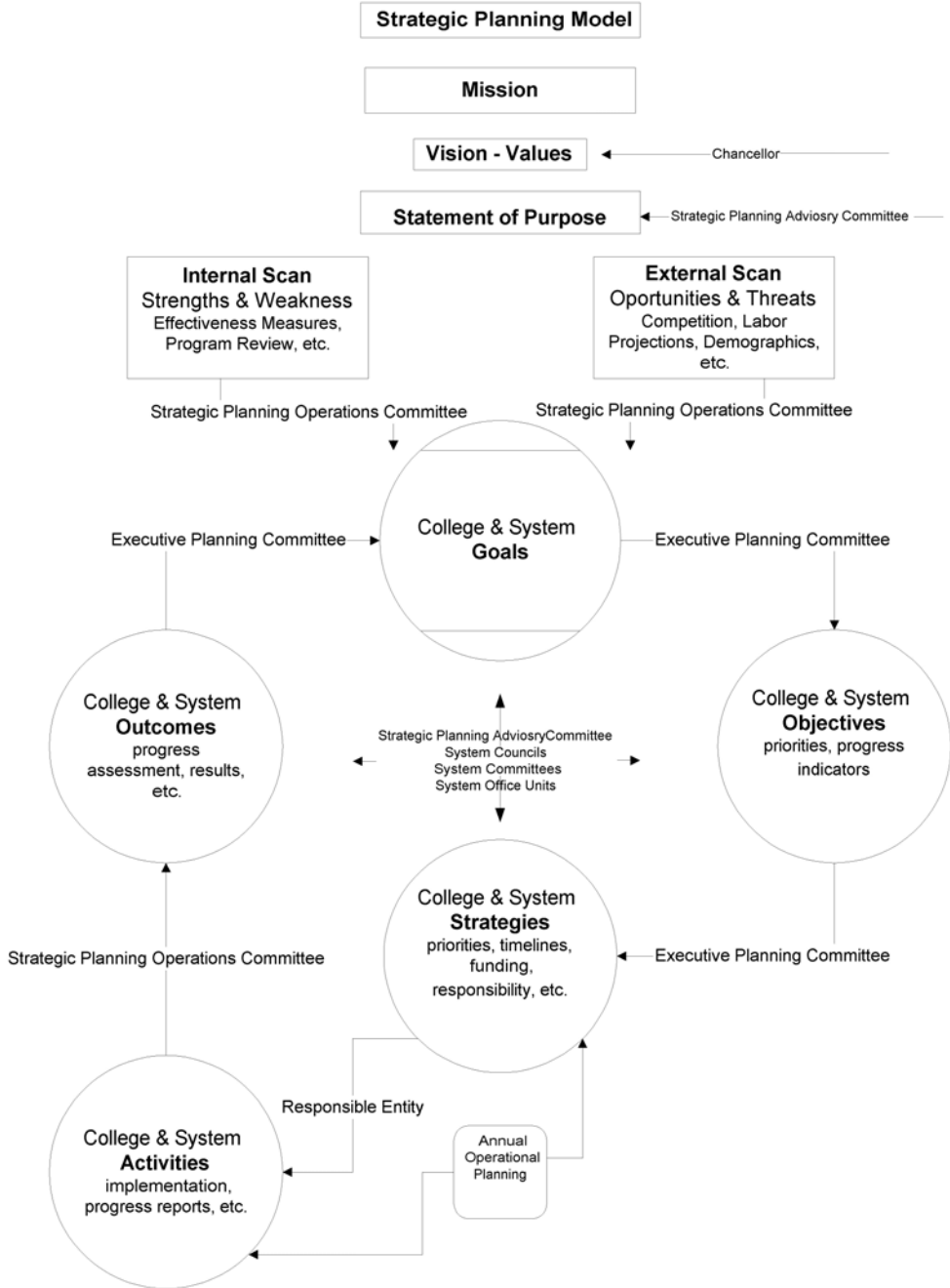
Step 9: Determine the priority, funding and organizational responsibility for completing the strategies.

Step 10: Monitor activities to implement the strategies and recommend corrective actions if necessary.

Step 11: Measure progress against the objectives chosen for each goal.

Step 12: Review and revise strategies/activities for next year.

¹ adopted from process originally outlined by Dr. Margi Winters, Tunxis Community College



Committees and Responsibilities

Board of Trustees

- Approve Vision and Values
- Approve Statement of Purpose
- Approve Strategic Plan
- Review progress toward goals

Executive Planning Committee

The Council of Presidents is the Executive Planning Committee. Other individuals, members of the Chancellor's staff, system committees, etc. will be consulted as needed. This group will meet monthly (standing agenda item for the Council of Presidents' meeting) or more often as needed. This group will:

- Recommend a planning process to the Chancellor
- Recommend a calendar for planning and evaluation to the Chancellor
- Recommend a Statement of Vision and Values to the Chancellor
- Recommend Statement of Purpose to the Chancellor
- Develop, revise and recommend a Strategic Plan to the Chancellor
- Develop and/or recommend strategies (top down and bottom up) to the Chancellor
- Recommend progress indicators to the Chancellor
- Recommend time lines and assign responsibilities
- Review assessment of progress toward goals

Table 1: Executive Planning Committee

Richard Sanders	President, Naugatuck Valley Community College, Chair
Marc Herzog	Chancellor
Paul Susen	Acting Chief Academic Officer
Cathryn Addy	President, Tunxis Community College
R. Eileen Baccus	President, Northwestern Connecticut Community College
Jonathan Daube	President, Manchester Community College
Janis M. Hadley	President, Housatonic Community College
Martha McLeod	President, Asnuntuck Community College
Grace Jones	President, Three Rivers Community College
Dorsey Kendrick	President, Gateway Community College
Wifredo Nieves	President, Middlesex Community College
Ira H. Rubenzahl	President, Capital Community College
William H. Schwab	President, Norwalk Community College
Dianne Williams	President, Quinebaug Valley Community College
Corby A. Coperthwaite	Director of Planning and Assessment, Staff Support, Non-Voting

Strategic Planning Operations Committee

The Chancellor, based on functional needs, appoints representatives to the Strategic Planning Operations Committee. Appointments are reviewed annually. The recommended membership is not based on democracy or equal representation among colleges. This is a "roll up your sleeves" working group and specific skill sets are needed. This group will meet monthly and perhaps more often as needed. This group will:

- Revise and recommend planning processes to the Executive Planning Committee as needed
- Develop, revise and recommend a calendar for planning and the assessment of progress (system, system office, and colleges) to the Executive Planning Committee
- Develop, revise and recommend progress indicators to the Executive Planning Committee
- Assess progress and provide feedback to the Executive Planning Committee
- Develop and update internal/external environmental scan for the Executive Planning Committee

Strategic Planning Advisory Committee

The Chancellor, based on recommendations from the presidents, appoints representatives to this broad based, system-wide advisory committee. Appointments are reviewed annually. Selection will be based upon needs of the system, the need for inclusiveness, diversity across disciplines, etc. Membership could include representation from the faculty, librarians, student services, information technologies, division directors, department chairs, human resources, marketing, classified staff, administrative services, facilities, or others. In addition the Chancellor will appoint representatives from the various deans' councils.

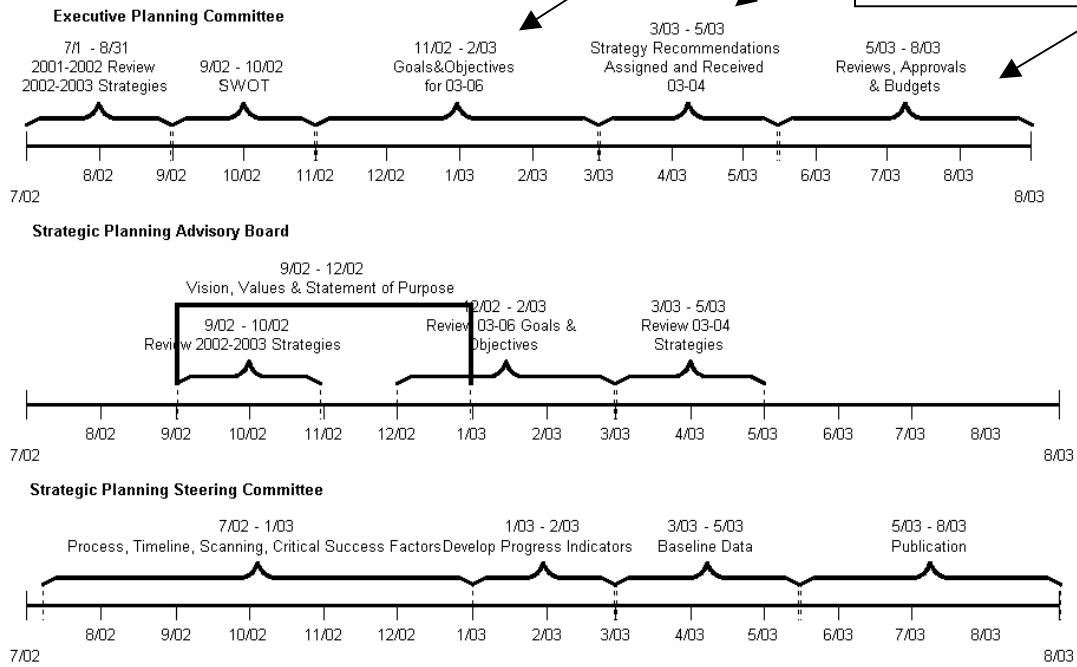
This group will meet quarterly with the possibility of some sub-committee work in between. This group will:

- Review system goals, objectives and strategies and provide feedback to and from the various college and system constituents

Time Line

July 2002 - Aug 2003 Planning Calendar

Examples of Linkages:
 College objectives
 • Additional Responsibilities
 System Office Units
 System Councils
 System Committees



Three-Year Strategic Plan September 2003-August 2006

PART II

Connecticut Community College System Statutory Mission

Sec. 10a-80. (Formerly Sec. 10-38I). Community service programs at regional community-technical colleges. (a) The primary responsibilities of the regional community-technical colleges shall be (1) to provide programs of occupational, vocational, technical and technological and career education designed to provide training for immediate employment, job retraining or upgrading of skills to meet individual, community and state manpower needs; (2) to provide programs of general study including, but not limited to, remediation, general and adult education and continuing education designed to meet individual student goals; (3) to provide programs of study for college transfer representing the first two years of baccalaureate education; (4) to provide community service programs as defined in subsection (b) of this section and (5) to provide student support services including, but not limited to, admissions, counseling, testing, placement, individualized instruction and efforts to serve students with special needs.

(b) As used in this section, "community service programs" means educational, cultural, recreational and community directed services which a community-technical college may provide in addition to its regular academic program. Such community service programs may include, but shall not be limited to, (1) activities designed to enrich the intellectual, cultural and social life of the community, (2) educational services designed to promote the development of skills for the effective use of leisure time, (3) activities and programs designed to assist in the identification and solution of community problems and (4) utilization of college facilities and services by community groups to the extent such usage does not conflict with the regular schedule of the college.

Connecticut Community College System Statement of Purpose (Draft)

Connecticut's Community Colleges are statewide leaders and partners in the academic, economic, and cultural lives of our communities, providing comprehensive, accessible, innovative, and affordable learning to diverse populations. To realize this distinctive mission, the Community Colleges:

- Provide a broad range of credit and non-credit liberal arts and sciences, career, and technical associate degree and certificate programs leading to transfer, employment, and lifelong learning;
- Promote learner success and inclusion through a stimulating, nurturing learning environment, high-quality instruction, support services, and co-curricular activities;
- Support economic development through partnerships with labor, business, industry, government and our communities, providing workforce development, business development and technology transfer;
- Build community through the sponsorship of intellectual, cultural, social and recreational events and activities;
- Engage students and community members to become active and responsible leaders in their communities.

External Challenges Facing Higher Education²

Association of Governing Boards' Ten Public Policy Issues for Higher Education

1997 and 1998	1999 and 2000	2001 and 2002
Higher Education Act Reauthorization	Teacher Prep and the K-12 Relationship	Tax Cuts and the Federal Budget
The Federal Budget Squeeze	Affordability vs. Access	Economic Slowdown
Federal Tax Proposals	Cost and Price of Higher Education	Affirmative Action
Innovative State Financing	Implementation of Recent Federal Legislation	Student Aid Policies
Affirmative Action	Federal Support for University Research	Economic and Work-Force Development
Health-Care System Changes	Diversity in Admissions	Information Technology
Fair Use Under Copyright Law	Information Technology and New Competition	Teacher Training and Quality
Job Training	Economic and Financial Trends	Public Perception of Higher Education
The Quality of Teaching and Learning	Creating a Sustainable Society and Future	Standards, Accountability and High-Stakes Testing
The Virtual University	Rethinking Public Higher Education Systems	Intercollegiate Athletics

ACE: Administrators' Views of Challenges Facing Institutions

Challenge	Percent Citing
Adequate finances	71%
Maintain enrollment	30%
Maintain quality	27%
Facilities and technology	27%
Strengthen curriculum	21%
Diversity	17%
Assessment	16%
Effective faculty	14%
Fund Raising	13%
Enrollment growth	11%
Serve new needs and populations	5%
Recruitment and retention of faculty members	3%

Public Confidence Issues Facing Higher Education

Research overhead charges
Student loan defaults
Low graduation rates
Free speech/hate speech
Affirmative action
Athletics scandals
Teaching quality
Political Correctness

² Source: SCUP Planning Strategic Planning Workshop, January 2002

A Situation Analysis provides a common understanding of the present and the anticipated future

“SWOT”

Strengths – Weaknesses – Opportunities – Threats

Strengths and Weaknesses are Internal
(Management Information Systems)

Opportunities and Threats are External
(Environmental Scanning)

Matches that emerge from the SWOT analysis will inform Goal Setting
Leverage = Opportunity/Strength
Constraint = Opportunity/Weakness
Vulnerability = Threat/Strength
Problem = Threat/Weakness

Source: Boone L.E. & Kurtz, D.L. (1995). *Contemporary Marketing, The Dryden Press, pg. 175.*

A. Taxonomy for the External Environment

1. Social/Cultural
2. Political/Legal
3. Competition
4. Technology
5. Economy

B. Taxonomy for the Internal Environment

1. Physical Evidence
2. Place
3. Price
4. Process
5. Promotion

Sample SWOT Analysis

S.W.O.T. Analysis

<p>Strengths</p> <ul style="list-style-type: none"> • Promotion <ul style="list-style-type: none"> – History of school – Reputation of school • Price <ul style="list-style-type: none"> – Low tuition • Place <ul style="list-style-type: none"> – Residential Capacity • Process <ul style="list-style-type: none"> – Faculty interest in distance learning – Low Student/Faculty Ratio 	<p>Opportunities</p> <ul style="list-style-type: none"> • Social/Cultural – <ul style="list-style-type: none"> – Close to major population centers – Growth in population 18-24 – Growth in minority population • Economic <ul style="list-style-type: none"> – Recession • Technology <ul style="list-style-type: none"> – Growing acceptance in distance learning • Competition <ul style="list-style-type: none"> – Residential
<p>Weaknesses</p> <ul style="list-style-type: none"> • Physical Evidence <ul style="list-style-type: none"> – Rising costs for student services – Quasi-endowment down to \$40,000 • Process <ul style="list-style-type: none"> – Only used to dealing with traditional undergraduates – Lack of Technology Infrastructure – Number of nursing faculty w/ M.S. vs. B.S./RN 	<p>Threats</p> <ul style="list-style-type: none"> • Social/Cultural <ul style="list-style-type: none"> – Changing service needs of incoming students • Economic <ul style="list-style-type: none"> – Shrinking state funding – Recession • Competition <ul style="list-style-type: none"> – Online providers – Liberty State & lower tuition – Many similar providers

S.W.O.T. Analysis

Leverage	<ul style="list-style-type: none">• Close to major population centers + Reputation of school• Demographic changes + low student/faculty ratio• Demographics + Residential Capacity
Vulnerability	<ul style="list-style-type: none">• Competition from online providers + Faculty interest in distance learning
Constraint	<ul style="list-style-type: none">• Poor technology infrastructure vs. Market acceptance of distance learning
Problem	<ul style="list-style-type: none">• Competition from online providers + Poor technology infrastructure• Changing needs of incoming students + Used to dealing with traditional students

Development of Strategies and Activities

Introduction

Strategic Planning is one of the most critical tasks taken on by the system. It is a large undertaking that relies on strategic vision, research, and most of all, the collaboration of the 12 colleges. Strategy/activity development is a phase in the process that involves every college and system-wide collaborations of all forms.

If you have wondered how the budgetary process works, how the system adapts to change, and how you can be part of it, strategies are the place to start. Prior to starting to develop individual strategies/activities, it is recommended that the Objectives in the strategic plan and the strategic planning process in general be reviewed for the purpose of understanding their intent (<http://www.comnet.edu/co/planning>). Objectives guide the development of strategies/activities. A clear understanding of the hierarchy of goals, objectives and strategies/activities can no doubt assist you in identifying the direction the college is moving toward, framing your action plans, and developing corresponding strategies of your own.

What Are Strategies?

Strategies have the following characteristics:

1. According to our planning model, strategies need to be action oriented and they represent the developmental aspect of the colleges and system units. They are specific actions designed by colleges or system units to achieve the Objectives and may be quantifiable.
2. Strategies are directly related to the budget. Each strategy proposal needs to include a check for one of two fiscal impacts: a) whether there is existing funding and staffing resources already built in, or b) whether additional funding is necessary. Please refer to the Strategy Template for detailed information.
3. A strategy needs to have a rationale grounded in research and careful deliberation.
4. A given strategy typically remains effective for a year (perhaps longer) and it needs to be a change agent. Every strategy is evaluated at year's end by responding to the question of: "Yes, the strategy has been executed." or "No, the strategy hasn't been executed." If no, a brief explanation is needed.

5. There is no minimum and maximum limit on the number of strategies each college or system unit will identify and each college or system unit need not identify a strategy for every Objective. However, new strategies to meet system Objectives should be documented and submitted for approval to the Executive Planning Committee or delegated by the Executive Planning Committee.
6. Some strategies only impact one's own college, but others may require collaboration with other colleges or across system units. The tasks of the Executive Planning Committee are to determine the feasibility of each strategy from the perspective of the entire system, to approve plans for collaborations for those strategies that require involvement across system units, to approve and prioritize strategies, and to recommend resource decisions to the Chancellor.

The 12 Steps To Success

There are a variety of sources for colleges or other system units to use for identifying strategies. Strategic objectives may be a good place to start. Enrollment and budget trends, program reviews, Accreditation self-studies, and other research documents are good sources, too. A typical set of steps for identifying and writing strategies is as follows. The person(s) responsible for the strategy/activities:

1. Reviews the strategic goals and objectives;
2. Collects internal documents, data, budgetary history and projections, as well as documents from external sources;
3. Incorporates components of system, college and unit plans into the strategies;
4. Studies the goals and objectives the system had in place in the past, which can be useful for the future;
5. Lists briefly the directions that each college/system unit would like to go;
6. Examines the objectives of the plan to find a linkage to an objective(s)
7. Translates the broad directions into initial set of strategies;
8. Breaks each individual strategy into an activity that the college/system unit believes can be accomplished in one year, two-years, etc., if a strategy is for multiple years;
9. Weighs the fiscal impact of each strategy;
10. Writes a rationale for the strategy;
11. Submits the strategies to the Executive Planning Committee for review, and
12. Revises the strategies if necessary

Connecticut Community Colleges Strategies Documentation Form (SAMPLE)

Date: April 5, 2002

Strategy: Work with 5 occupational programs to redesign their certificate requirements to better match current industry requirements and increase certificate completion rates.

Lead Person's College	Lead Person's Name	Lead Person's Phone Number	Lead Person's E-Mail	College/System Unit Represented (See Legend)
Manchester	John Doe	673-1234	JDoe@mcc.comnet.edu	College of Technology

Will other departments **within** your component be involved: Yes, No.
 If "Yes", please specify: _____ five selected departments _____

Will other departments **outside** your component be involved: Yes, No.
 If "Yes", please specify: _____

Estimate Completion Date: _____ May 2003 _____

RATIONALE (Specify why this strategy is needed.): Some departments may be able to increase their certificate completion rates by aligning their certificate requirements with current industry requirements.

<p>Activities (Specify in detail how and what you will accomplish.):</p> <ol style="list-style-type: none"> 1. Identify departments that may be able to improve their certificate completion rates by this strategy. 2. Meet with department program directors to explain certificate program options such as stepping stone certificates. 3. Redesign certificate programs. Validate with advisory committees as necessary. 4. Submit revised programs to curriculum committee for approval. 	<p>Expected Completion Date</p> <ol style="list-style-type: none"> 1. Sep 2002 2. Sep 2002 3. Jan 2003 4. Mar 2003
<p>Linkage to Objective(s): Objective 1.1</p>	
<p>Fiscal impact: <input checked="" type="checkbox"/> No, budget & staffing resources already built in. <input type="checkbox"/> Yes, funding required to execute strategy: Amt: \$0,0 <input type="checkbox"/> Yes, external funding source is needed. Amt needed: \$ 0,0 If external funding sources are available, please specify: _____</p>	

Executive Planning Committee Approval: Yes No Returned for Revision
 Comments:

Signature of Approving Authority: _____

Mid-Term Review and Funding Estimation:

1. Yes, the strategy has been completed.
2. Yes, the strategy is in progress. Describe progress made so far (refer to your original description of strategy above):
3. No, the strategy has not begun. Please explain:
4. Yes, No, this strategy can be implemented/will be continued in year 02-03. (If "Yes", continue to next)
5. Yes, No, additional (funds not yet built in budget) funding is needed for 02-03 for this strategy.

Amount: \$ _____
 Justification:

Connecticut Community Colleges Strategies Documentation Form

Date: April 5, 2002

Strategy:

Lead Person's College	Lead Person's Name	Lead Person's Phone Number	Lead Person's E-Mail	College/System Unit Represented (See Legend)

Will other departments **within** your component be involved: Yes, No.

If "Yes", please specify: _____

Will other department **outside** your component be involved: Yes, No.

If "Yes", please specify: _____

Estimate Completion Date: _____

RATIONALE (Specify why this strategy is needed.):

Activities (Specify in detail how and what you will accomplish.):	Expected Completion Date
Linkage to Objective(s): Objective(s)	
Fiscal impact: <input type="checkbox"/> No, budget & staffing resources already built in. <input type="checkbox"/> Yes, funding required to execute strategy: Amt: \$0,0 <input type="checkbox"/> Yes, external funding source is needed. Amt needed: \$ 0,0 If external funding sources are available, please specify: _____	

Executive Planning Committee Approval: Yes No Returned for Revision

Comments:

Signature of Approving Authority: _____

Mid-Term Review and Funding Estimation:

1. Yes, the strategy has been completed.
2. Yes, the strategy is in progress. Describe progress made so far (refer to your original description of strategy above):
3. No, the strategy has not begun. Please explain:
4. Yes, No, this strategy can be implemented/will be continued in year 02-03. (If "Yes", continue to next)
5. Yes, No, additional (funds not yet built in budget) funding is needed for 02-03 for this strategy.

Amount: \$ _____

Justification: