

STRATEGIC PLANNING: THE EDUCATORS' IMPERATIVE

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THRESHOLDS

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Strategic Planning: Education for Employment in Illinois

By John S. Washburn

In July, 1982 the Illinois State Board of Education began a major policy study on the topic of education for employment. The long-range study included a thorough analysis of the State's vocational, adult, employment and training, and career education programs. The State Board recognized that these complex and diverse programs were being affected by dramatic socio-economic developments affecting the schools, the workforce, and society in general.

The State Board of Education is now in the process of implementing a new policy statement and administrative plan for education for employment. The policy and administrative plan were approved on December 19, 1984 after more than two and a half years of strategic planning on the part of State Board staff. This strategic planning--of a local, regional, and statewide nature--has been a crucial part of the State Board's leadership in education for employment reform.

The strategic planning process for the State's education for employment program included a lengthy process of consensus building based on a combination of 1) research and data collection and 2) large and small group interaction. To facilitate the understanding of the strategic planning process for the State's education for employment program these research and group processes are described chronologically.

Phase I: July, 1982 through September, 1983

The need for a major policy study on education for employment was established by the State Board of Education in July, 1982. At that time, staff outlined the process for conducting the policy study and identified two separate related courses of action. One course of action involved research and data collection. While the other action involved actions of internal and external groups.

Research and data collection initiatives involved surveying students, business and industry representatives, organized labor, governmental agencies, and local administrators and teachers regarding their perception of needs for the State's program. A thorough literature review identified new and future trends in the workforce as well as challenges for the State's education for employment program. Finally, data collection

instruments were distributed in 'regional' workshops providing an organized means to collect input, by geographic area, regarding the needs in education for employment. These data were used by the several study groups described herein.

Concurrently, three internal committees were formed to examine challenges for the State's education for employment program. Each group worked on a key question that was identified as a result of the literature review and data collection process. These key questions related to important issues including changing technology, a changing workforce, and a changing national and international economy. Each of the internal groups made recommendations for improvement in education for employment programs and services.

In addition to the internal staff committees, an external ad hoc advisory committee was appointed by the State Superintendent of Education to provide advice and assistance with regard to changes in the education for employment program. The ad hoc advisory group membership included representation from a broad range of constituent groups. The ad hoc advisory group met three times and helped to identify challenges for the State's program, problems in the existing system, and recommendations for Board action. The challenges and problems have continued to be the focal themes for subsequent work on the policy study.

As a result of the research and data collection initiatives and work with internal and external groups, the State Board approved four recommendations addressing problems requiring immediate attention. Two recommendations were more broadly based and were intended to guide the long-term development of education for employment. These immediate and long term recommendations, approved in September, 1983 were used to guide the planning process for the final phase of the Board's policy study. The recommendations called for State leadership to develop a new policy statement and administrative plan for education for employment.

Phase II: September, 1983 - December 19, 1984

During this period, staff conducted several research and data collection studies including: a thorough study of existing labor market information (organized through the Illinois Occupation Information Coordinating Committee); a study of internal and external variables which would affect geographic boundaries for 'regionalized' education for employment programs and services; a series of 'regional' workshops as a vehicle for local input into development of the State's program; and, a formal assessment of 1500 individuals regarding their perceptions of student outcomes for the State's education for employment program.

In terms of group interaction, the ad hoc advisory group (initiated in Phase I of the policy study) was expanded by the State Superintendent to provide an even broader base of support for developing the State's new policy and administrative plan for education for employment. Using research data collected and analyzed earlier, the ad hoc advisory group reviewed, in three meetings, alternatives for the new policy

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and administrative plan. Members of the advisory group helped with various meetings of constituent groups at which time further input was provided for the long term improvement of the education for employment program.

In July, 1984 the State Superintendent proposed several preliminary recommendations for State Board review. Public hearings were held as a means of further clarifying the superintendent's recommendations prior to final adoption by the Board in December, 1984.

In short, the State Board of Education, using several processes for data collection and consensus building, used a variety of planned activities to make recommendations for improvement in the State's education for employment program. Throughout the entire process, staff have never lost sight of the initial challenge and systemic problems, identified in Phase I of the policy study, that were used to formulate the new policy and administrative plan. They continue to be the themes around which the State's education for employment program is being revitalized.

On their own, research and data collection or group interaction would not have provided the impetus for the State Board's study and subsequent approval of recommendations. All along, data collection and consensus-building activities have been integral parts of the strategic planning process.

Staff working on the policy study have identified several principles which should guide any strategic planning process. They include recognition of:

1. the importance of planning, on an incremental basis, taking recommendations and subsequent actions one step at a time;
2. the importance of collecting hard data as well as involving groups in consensus building; and,
3. the importance of administrative support of the kind and character necessary to make difficult, and often complex, decisions.

Each of these principles was followed during the course of the policy study on education for employment. They continue to be followed as the State Board implements the new policy and administrative plan for education for employment.



An Envisioning Approach to Educational Planning

By Warren Ziegler

Since I first began research and work in educational planning in the late 1960's (at the Syracuse University Educational Policy Research Center), I continue to be impressed with how little serious and substantial planning, strategic or visionary, takes place in the educational domain. Much of what passes for planning is what I had earlier called 'anticipatory administrative behaviour' in a monograph for OECD (1960) which surveyed how educational planning in the United

States approached the future.

This issue of Thresholds in Education gives a call to arms, as it were: an invitation to those responsible for and responsive to education to initiate a breakthrough in the planning side of educational policy formation so that something happens in learning (i.e., what our kids--and adults too--learn, when, where, how, and why) which hasn't happened before.

Something new! That sets the tone for this introductory essay on an envisioning approach to education. We don't do envisioning unless we choose to bring into existence something not previously in existence. Thus, those members of the educational polity satisfied with 'the way things are' need not heed the call to new approaches to educational planning, for they shall not want to do it. Two ingredients necessary for a willingness to envision and invent in education are (1) a dissatisfaction with some aspect of the present, and (2) a sense of hope for the future. Without these together, the non-cognitive imaging apparatus of the right brain cannot be called upon deliberately to envision a future state of affairs in education which is new, desirable, and actionable.

Dr. Warren Ziegler is currently President of Futures-Invention Associates, a Denver based consulting firm specializing in planning. Dr. Ziegler became interested in futures-invention and educational planning while at the Syracuse University Educational Policy Research Center. Since leaving Syracuse, Dr. Ziegler has worked with educational and non-educational groups to help them define their own futures.

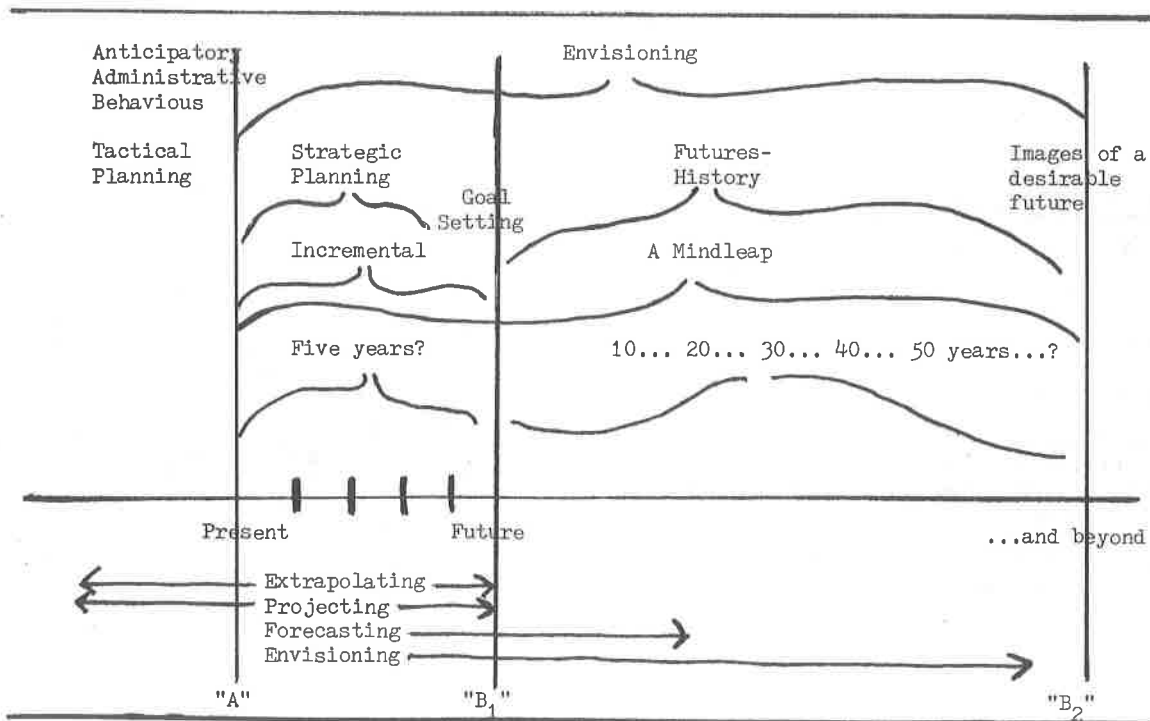
This essay deals explicitly with the envisioning approach--some of its principles, conditions, and consequences. The actual techniques have been assembled over the years into a method called futures-invention. The method has been employed with thousands of participants and hundreds of institutions and organizations both within and outside the domain of education. There is insufficient space in this article to do justice to the technical exercises and methods. These have been set forth in a number of Mindbooks of which the most generic is A Mindbook of Exercises for Futures-Inventors (1982).

A Model for Planning

It may be helpful to provide a diagrammatic of educational planning in various of its aspects so that the interested reader can locate herself along a continuum of 'tactics,' 'strategies,' and 'visions.' Since the Second World War, the generic concept of planning has given birth to a veritable jungle of competing practices,

techniques, models and theories. This should not be surprising. In the second half of the 20th Century, the mental culture of the West has absorbed the idea of rapid and consequential social change. The unravelling of the social fabric, devolution of time-honored institutions, and traumatic value shifts have caught us unprepared. Rational planning (what Karl Mannheim, the great mid-Century German sociologist called 'substantive rationality') has constituted the main Western invention for dealing with this societal transformation taking place before our generational eyes. Professor Thomas Green at Syracuse University has called planning an attempt to 'fix the future'--to locate it, describe it, and control it. Over the last 40 years in American education, one planning fad has subsumed the previous in rapid fire sequence as administrators, executives, policy formulators at the state and local levels have tried to achieve an evermore technically precise and ethically acceptable contract with the future so that it will stay in

A DIAGRAMMATIC OF EDUCATIONAL PLANNING



place long enough for us to do something about it.

Most planning, therefore, falls within the category of linkage--how to get from 'A' to 'B'; how to link 'A' with 'B.' Tactical planning is mainly about 'A,' the contingent present--short-term, action-oriented, with a heavy emphasis on trade-offs and on what works. Strategic planning

encompasses a longer duration, at least into the near-term. It takes into account what 'B' looks like, mainly through the activities of defining goals, setting objectives, pinpointing targets. More often than not, it is incremental, step-by-step, moving from the present 'A' to the near-term 'B₁' and back again into the domain of tactical

analysis in the present.

Visioning has to do mainly with imaging space between 'B₁' and 'B₂'. It helps us to raise and respond to questions like, "Where are we going? What does it look like 'out there?' What do we want to bring into existence--to achieve, which is new and different, which we judge to be worthwhile, important, good?" Its main technique is imaging. This is a special, disciplined use of the imagination, and it relies heavily on the competences of intentioning and discernment. It rests on the notion that we can intend the future. Practitioners are trained in the disciplines of imaging and intentioning, neither of which appear very regularly in the graduate school curricula of public administration, business administration, educational administration (where most planning is taught). In short, envisioning commences with a mindleap into the future of the concerns or focus of the project and its participants, and only when those desirable futures are fleshed out in quite specific and concrete terms are the linkages back to the present forged.

As you look at the diagrammatic, try to keep a number of things in mind:

1. This is a heuristic rather than a predictive model. It helps us to learn something about the kinds of planning we might want to undertake.
2. The indicated timespans are arbitrary. Planning is not a science. It is an art. Envisioning can discern short-term as well as long-term priorities by describing images of those futures which are appealing and compelling, but are neither predictions nor forecasts.
3. The timespan for goal-setting also varies considerably, but probably makes more sense for the short and the medium term rather than over a period of 20 or more years.
4. In conventional planning, the overriding question is how to link-up 'A' with either 'B₁' or 'B₂', i.e., how do we best get from here to there? Criteria for defining 'best' most often determine the planning methods and the planning polity used (e.g., criteria of efficiency, which is a resource concern; criteria of effectiveness, which is a performance concern; criteria of politicality, which is a membership or participation concern; and criteria of comprehensiveness, which is a system concern.

But...where is there?

5. Planning for and about the future assumes or asserts some kind of knowledge claim about the future through the use of one or more forecasting, extrapolation or projection methods and techniques. These tend to rely upon left-brain diagnostics and are cognitive in character, i.e., what do we think we know about the future.
6. Envisioning relies upon the imagination or, more precisely, a wide variety of imaging and discerning techniques and methods. These involve a great deal more of right-brain, heuristic, synthetic, intuitive, creative, wholistic, and non-cognitive disciplines and competences.

7. Do not consider that the three basically different configurations (visionary planning, strategic planning, and tactical planning) are a substitute for each other. There are no either-or issues here. Despite the linear, incremental diagrammatic, the overall model is more like a river or a flow. The question is, "Where do you want to get on and get off the river?" Each of the approaches flows into the other.

The 'Why's' of Envisioning

Modern educational delivery systems were born in the middle of the last century, generated out of an industrial era and culture. Their major management model is industrial, hierarchical, input-output oriented, statistical and quantitative (e.g., test scores and averages), with a heavy emphasis on a division of labor and specialization in role-definition (i.e., teachers, administrators, janitors, students, parents, etc.), lock-step and age-graded (though this has changed in higher education with the 1970's advent of the part-time, adult learner). All in all, this is a highly rationalized model in which the enormously creative, lively, conflicted, spontaneous, investigative, non-role-defined character of human learning gets packed into squares, cubicles, chairs, front-to-back teaching methods and top-to-bottom organizational arrangements.

In that mental culture, envisioning and visions, imaging and images as a way of fixing the future are considered esoteric, 'cloud nine,' uncontrollable, suspicious, and replete with risks. In these few pages there is insufficient room to make a cogent argument about why to do envisioning and futures-invention. In any event, the argument rests in the practice--do it and find out what happens. One small reminder of its rationale lies in the expanding recognition that youngsters currently lodged in the educational delivery systems will be living out the great part of their lives in the next century, some far beyond the middle. As for us adults, the major economic and technological shifts in work as we move out of the industrial era--after 250 years--invite a pro-active and inventive stance towards work, its models, its organizational arrangements, its satisfactions, its techniques, and its meanings. All of these are undergoing demonstrably rapid change.

In short, do we not want to learn how to learn our way into the future? Its first step is to take the inventive, creative, imaging and envisioning stance, to learn its craft, its disciplines, its practices...prior to conventional planning.

The Conditions for Envisioning

Over the past 15 years, experience with futures-invention sponsors and projects (not only in education but also with corporations, churches, governments at the local, state and federal/national levels, professional and civic groups, communities, etc.,) has taught us some things about when and when not to do it.

1. Because for many it is a new approach, sponsors have to want to do futures-invention. That 'wanting' comes from a deep sense of dissatisfaction with some aspect of the present, though often that 'sense' is not explicit and has to be

tested and validated in preliminary action-research and negotiations.

2. Participation in projects and process should be broad, diversified, and flat. Hierarchical organizations in which 'leaders' won't share their images with 'members' in an egalitarian and open spirit of inquiry and search should stay away from this approach.
3. Following from that, participation in the envisioning process should be invitational and voluntary. To coerce persons into envisioning is to ask for mistrust, suspicion, recalcitrance, game-playing and all of the worst accouterments of intra-organizational, power, and internecine conflict.
4. Futures-invention is no panacea. There are none. Visions of the future do not solve problems. They illuminate and inform our conduct in the present in such a way as to help transform it through new practices, institutions, behaviors which we willingly come to out of the compelling quality of the images.
5. The more diversified the make-up of the participants, the more likely will they generate new and vital images of the future. Sameness of biography (race, culture, level of educational attainment, occupation, income, etc.) breeds mediocrity of vision. The problem with so much goal-setting is that the goals for the future are very much alike and emerge from the present with perhaps a small change in their language.
6. Futures-invention involves trust and risk-taking. If they are absent in the cognizant action-setting, it is better first to focus on building those relational qualities to at least a modest level whereby participants can sustain and support (even while they clarify and critique) each other's mind-leaps into the future.

And Some Consequences

Keep in mind that persons who do not image their futures--personal, organizational, educational, society, etc.--are destined to live

Over the years, we have learned that the 'future' does not exist out there. It is a metaphor for the human imagination.

out somebody else's images of their futures. The rule of experience is just this: either you generate and own your images or you have to 'buy into' somebody else's images. Of course, collective images shared and owned by the polity are both desirable and possible, but only if they emerge from creative and loving conflict, clarification, and deep listening rather than from the more familiar soporifics of sloganeering and the lowest common denominator.

Over the years, we have learned that the 'future' does not exist out there. It is a metaphor for the human imagination. Therefore, once the future has been envisioned, the linear time frame--ten, twenty, even more years--tends to evaporate. Persons begin to search for those parts of their visions and images which can be translated into new beginnings in the here and now and the near-term. Participants ask themselves, "What can we do now to launch ourselves into the future?" "What actions, practices, different allocations of energy and resources, new understandings about education and learning, do not need to wait 20, 30, or 40 years, but can be launched immediately or in the short-term, given the commitment and ownership which compelling images generate in their owners?"

This is the nodal point where strategic planning and envisioning intersect. It is ripe for a creative and pro-active, and at the same time practical and do-able, stance towards important decisions to be made as a consequence of the envisioning.

Above and beyond these action consequences and outcomes, sound envisioning creates other expectations. First, because the approach is participatory in nature, much trust among the participants is generated in a team-building effect. We have found this to be more true of organizations (corporations, schools, churches, etc.) than of communities, cities, governments. That trust tends to continue over time. Often, it leads to a restructuring of role relationships along flatter and more equitable lines.

Second, once a group of participants have learned the imaging, intentioning, discerning, creative conflict and listening skills involved in the futures-invention methods, they don't stop using them. To the contrary, they often begin to apply them to a variety of community or organizational problems outside the domain or focus of the planning exercise. This tends to place change pressures on previously existing structures.

Third, as a corollary of the above, once begun, the envisioning process can rarely be cut off without generating a lot of negative feelings and producing a reduction in trust in the persons who cry halt to the process.

And finally, those who have tried it and know, envisioning leads to a good deal of self-empowerment and to a demand by those so empowered to extend that experience to others.

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Strategic Planning for Educators: A Model for Building Effective Learning Communities

By Warren H. Groff

Introduction

A new civilization is emerging in our lives and blind men everywhere are trying to suppress it. This new civilization brings with it new family styles; changing ways of working, loving, and living; a new economy; new political conflicts; and beyond all this an altered consciousness as well. Pieces of this new civilization exist today. Millions are already attuning their lives to the rhythms of tomorrow. Others, terrified of the future, are engaged in a desperate, futile flight into the past and are trying to restore the dying world that gave them birth (Toffler, 1980).

The industrial nations of the world are in the turbulent times of a structural shift from an industrial society based on physical productivity of material goods to a technical society based upon the exchange of ideas, information, and knowledge. During the industrial society the engine fueled by a power source was the tool that permitted us to handle large amounts of physical matter with ease and speed. 'Capital' in the industrial society was primarily concerned with materials, equipment, machinery, and physical plant. Secondary considerations were location to materials and markets and a relatively unskilled and compliant labor force comfortable working at tasks that processes materials into finished products.

As society evolved from a primitive stage to the more advanced industrial stage, it created numerous, very distinctive institutions to plan for and coordinate specialized functions associated with the industrial society. During the industrial society, we witnessed major advances in systems--communications systems,

economic systems, school systems, finance systems, transportation systems, and research and development networks. The numerous distinctive institutions that were created incorporated the underlying principles of the industrial society such as the division of labor, the hierarchical structure, the principles of standardization, and the metallic character of the factory. Schools, for example, were designed to produce compliant children who would do what they were given to do, who would be very comfortable working at a conveyor belt and who didn't object to being treated like a piece on a conveyor belt as their cognitive, psychomotor, and attitudinal skills were assembled for them. They were batch processed through eight to twelve years of compulsory education and training. Schools and colleges were designed primarily like broadcast television--education and training services were delivered in uniform packages and in a manner and at a time convenient to the provider.

Shortly after World War II, the industrialized nations began to experience a transition. Nations that were devastated during WW II rebuilt their physical infrastructure with the newest technology. Research and development networks began to spew out new products at an increasing rate. When Sputniks I and II were launched in 1957, education and training systems were expanded to produce the critical mass of engineers, scientists, and technicians necessary to compete in the space race. In addition, planning focused on acquiring more resources and building facilities for the increased number of students resulting from the equal rights demand for access to education.

During the 1970s, the transition to a technical society based upon ideas, information, and knowledge began to accelerate. The need for education and training increased. Schools and colleges, however, were encumbered with the philosophies, policies, pedagogy, practices, technology, delivery system, physical facilities, reward systems, and financing structures developed during the waning of the industrial society. In an effort to remain competitive in a world economy, corporations invested heavily in education and training.

During the late 1970s, a new approach for planning and managing our institutions and systems began to evolve. Although this new approach to planning and managing is still in the early stages of evolution, this new technology for institutional advancement is based upon 1) a comprehensive assessment of the external environment of the institution's service area, 2) a critical audit of an institution's internal environment, 3) the development of visions and alternative scenarios based on the assessment of the external environment and the audit of the internal environment, 4) the selection of

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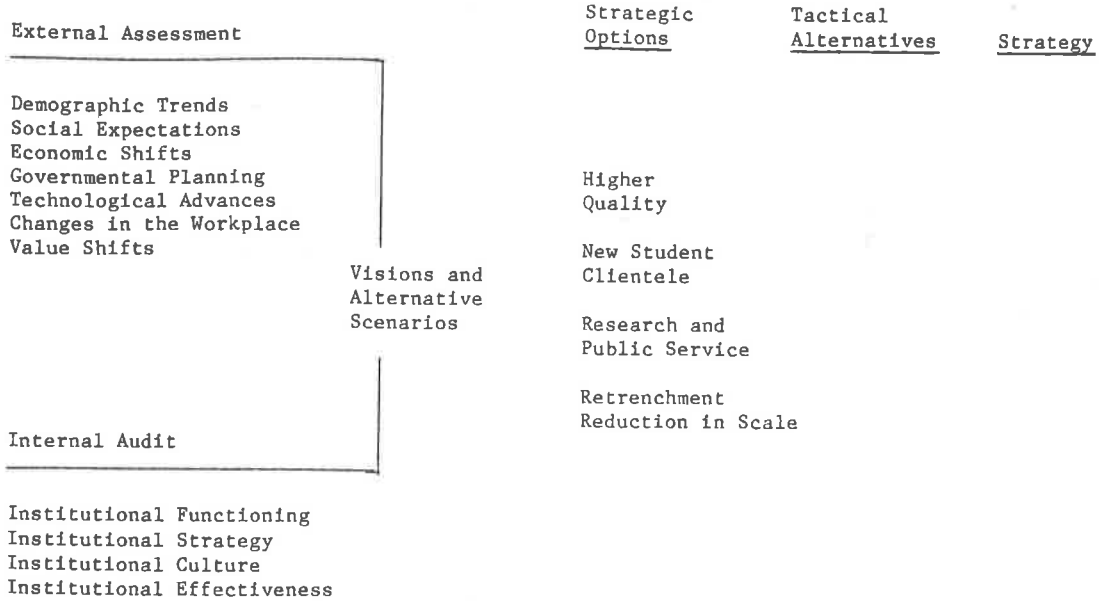
strategic options and tactical alternatives, and 5) the specification and management of strategy (see Figure 1).

Although the transition from an industrial society to a technical society is still in the early stages of evolution, one principle is clear--learning is the key capital forming

industry of the postindustrial economy. It is in this context that leadership must examine institutional advancement. Never before in the history of this nation has there been a need to forge a tighter relationship between education and the society of which it is a part.

FIGURE 1

STRATEGIC PLANNING AND MANAGEMENT



Developing a Strategic Plan Based on Needs and Wants of Individuals and Establishments

Things are not going to get better, things are going to get different. We are not in a recession, we are in something much more profound than that. We are changing economies and we haven't changed economies for a hundred and fifty years.

Of course, there is a lot of uncertainty, but we have got to make uncertainty our friend. We have had an economy that rested on the industrial sector, which has served us magnificently for so long, but we are shifting to a new economy that rests on information and electronics. This is not going to happen tomorrow; it is happening today. We are more in the new economy than we are in the old economy (Naisbitt, 1982).

All educational institutions are 'of society.' That is to say, they were created to fill a role that society deemed necessary as it relates to its well being. Therefore, it is important for education to understand the needs and wants of individuals and establishments that comprise the society of which education is a part.

Individuals

The values and expectations of people are key determinants of behavior. Understanding what people want to change and what they hope will remain the same is vital to policy and decisionmakers.

The greying of America is the greying of the baby boom. The huge bulge of babies of the post World War II era have been slowly moving toward midlife transition. The baby boomers first filled our maternity wards to overflowing as newborns, then caused classroom and teacher shortages as youngsters, and then challenged our traditional

institutions as young adults. Currently they are transforming workplace values and practices. As of July 1, 1984, the median age of the U.S. population climbed to a record 31.2 years.

Although the above statement is true for the nation, the demographic profile varies considerably from state to state and region to region. Projections show a decline in high school graduates in all but ten states between 1979 and 1995. Eleven states are expected to decline 30% or more and Washington, D.C. expected a decline of 59%. On the other hand, six states are expected to experience an increase of 10% or more with Utah leading the way with 58%, followed by Wyoming with 49% and Idaho with 28%.

An individual's welfare in American society depends upon that person's ability to work. It is estimated that 90% of the present workforce will still be working in 1990 and 75% of the workforce will be working in the year 2000. If predictions prove correct, by 1990, thousands of jobs may be eliminated or drastically changed by advances in science and technology and through tough international competition. In fact, it has been stated that 75% of all available jobs in the year 2000 have not even been described yet. Research, however, has documented repeatedly that many employees lack basic education and training for specific jobs that exist in today's world of work.

Establishments

The Census bureau regularly reports data about the world of work through its ten aggregate categories of establishments (see Figure 2). Each aggregate category is a listing of types of agencies or organizations that do essentially the same type of work. The impact of the transition to a technical society is most severe on communities that relied heavily on old smokestack manufacturing industries 1) that have felt the sting of international competition or 2) that are subject to automation or the unprecedented infusion of contemporary technology into the workplace. For example, in Richland County, Ohio, manufacturing accounted for 51% of the jobs in 1970 and 41% of the jobs in 1980. This contrasts with 44% and 35% for Ohio and 26% and 21% in the U.S. for the same period of time. In some communities, the economic transition has caused an epidemic of plant shutdowns and left behind a trail of human and community devastation.

Research indicates that all establishments pass through various stages of growth and development, each stage with its own strategy or management style. In addition, research indicates stages leading to the adoption of technology are 1) awareness, 2) interest, 3) evaluation, 4) trial, and 5) adoption. The adoption process begins with awareness of a concept, idea, or technology. This is followed with interest in obtaining more information about the concept or technology. Then, the technology is evaluated to see how it relates to present and anticipated situations. If the technology would seem to be worthy of use, it is applied on a small scale in order to determine its utility or impact. If feasible, the technology is integrated in a concentrated and continuous way on a larger scale until it reaches the point of full adoption.

The needs and wants of persons and establishments in various geographic regions are quite different. Literacy for persons residing in contemporary high technology corridors is different from survival needs of persons residing in communities ravaged in the economic transition.

Figure 2
Categories of Establishments

1. Agricultural services, forestry, fisheries
2. Mining
3. Contract construction
4. Manufacturing
5. Transportation and public utilities
6. Wholesale trade
7. Retail trade
8. Finance, insurance, real estate
9. Services
10. Nonclassified

Manufacturing (#4)

1. Food and kindred products
2. Tobacco
3. Textile mill products
4. Apparel and other textile products
5. Lumber and wood products
6. Furniture and fixtures
7. Paper and allied products
8. Printing and publishing
9. Chemicals and allied products
10. Petroleum and coal products
11. Rubber and miscellaneous plastic products
12. Leather and leather products
13. Stone, clay and glass products
14. Primary metal industries
15. Fabricated metal products
16. Machinery, except electrical
17. Electric and electronic equipment
18. Transportation equipment
19. Instruments and related products
20. Miscellaneous manufacturing industries
21. Administrative and auxiliary

Services (#9)

1. Hotels and lodging places
2. Personnel services
3. Business services
4. Auto repair services
5. Miscellaneous repair services
6. Amusement and recreational services
7. Health services
8. Legal services
9. Educational services
10. Social services
11. Museums, botanical zoological
12. Membership organizations
13. Miscellaneous services
14. Administrative and auxiliary

Institutional Plans

Most institutions of society have defined their purposes casually. Explanation tends to follow fact and is more often a journal entry than a blueprint or a grand design. Ambiguity in institutional and major unit goals and objectives leads to less purposeful resource development--human, fiscal, and capital. A major role of the resource development office, then, is that of providing assistance, perhaps primary leadership, in developing the institutional long-range plan.

Tools for assessing the external environment include needs assessment, market analysis, environmental scanning and trend analysis. Needs assessment is a generic term used to describe a process for determining the discrepancy between existing and desired levels of attainment with respect to educational goals; it often suggests

the need for a new program. Market analysis consists of obtaining detailed information about markets or market segments served or unserved by an institution or system; market analysis is an organized effort to identify specific wants and needs of market segments and the ways in which institutions meet or could meet them through a coherent plan of research, strategy and communication. Environmental scanning consists of sampling and analysis of data about specific areas such as employment trends, health conditions, literacy, disadvantage, etc. Trend analysis consists of a systematic review of comparable data over time to determine direction.

The purpose of assessing the external environment and auditing the internal environment is to develop visions and alternative scenarios. At the very least, the process should yield a set of assumptions about future conditions. One important assumption relates to funding. The federal era in education is waning. The administration's policies toward education, the economic effects of federal budget deficits, the high cost of interest on the national debt, large military weapons expenditures and planned new weapons systems, and international issues including the strong dollar and trade imbalances are forces that are causing major shifts in federal budget appropriations.

Ultimately, assumptions form the conceptual framework for the most likely scenario for an institution or system. From that conceptual framework, long-range goals and short-range objectives can be formulated for the system or institution and all major units. With proper planning, the tasks of strategic planning, reaffirmation of accreditation and resource development can occur simultaneously.

Building Effective Learning Communities

For the first time in history education is now engaged in preparing men for a type of society which does not yet exist. Educational action to prepare for work and active life should aim less at training young people to practice a given trade or profession than at equipping them to adapt themselves to a variety of jobs, at develop their capacities continuously, in order to keep pace with developing production methods and working conditions.

This presents educational systems with a task which is all the more novel in that the function of education down the ages has usually been to reproduce the contemporary society and existing social relationship... At a time when the mission of education should be to train, 'unknown children for an unknown world,' the force of circumstances demands that educationists do some hard thinking, and that in so doing they shape the future (Faure, 1972).

If communities and the persons who reside in them are to be the beneficiaries and not the victims of the transition to the technical society, then the distinctive types of institutions that comprise the capital forming industry--learning--must adopt a technology to accomplish that goal. The technology of strategic planning and management is based upon 1) an assessment of the external environment to determine

opportunities and threats and 2) an audit of the internal environment to determine strengths and weaknesses. These two activities should yield visions and scenarios of alternative futures and from which an institutional plan can be developed. The intent is to develop an institutional plan that will capitalize on strengths, minimize weaknesses, take advantage of opportunities, and reduce or eliminate threats.

Visions and conceptual frameworks will guide our policy--and decision-making processes and help us to maximize purposeful human activity. They will also help us to develop the appropriate balance between 1) academic education and vocational training, 2) science and technology and the arts and the humanities, 3) education as a consumer product and education as an investment product, and 4) doing things right and doing the right things.

Educators must provide the leadership to design and implement effective learning communities.

The challenge, however, goes far beyond the development of strategic plans for establishments that are a part of the key capital forming industry of the postindustrial society. Educators must provide the leadership to design and implement effective learning communities. Not only must education develop the intellectual capital necessary to manage our institutions and systems strategically, we must rethink the way we manage the learning tasks of an advanced society. Niebuhr (1984) recommends six implementation strategies to hasten the arrival of the new Information Age Paradigm:

1. Orient the citizen learner;
2. Link the institutions in the learning system;
3. Sharpen the personal, communal and economic goal-setting process;
4. Develop institutional awareness and adjustments;
5. Devise new ways to support expanded intentional learning;
6. Adjust to high-technology delivery systems.

Building effective learning communities or a new Information Age Paradigm will require a new type of educational leader. The forces of the 1970s caused us to design programs of preparation and management technology to run our institutions more efficiently based on an audit of the internal environment. Management became pitted against labor and domestic protectionist policies were developed to prevent intrusion from foreign forces. In short, we caused the disappearance of the statesman leader in preference to the institutional manager.

To develop the statesman leaders who can design the new Information Age Paradigm, we need something like '2020 for Educational Leaders.' The purpose of 2020 for Educational Leaders would be to develop the intellectual capital necessary to design and implement the education and training industry of an advanced society. Why 2020? First, 2020 creates a positive image. When a physician or friend indicates you have 20/20 vision, you immediately think in terms of clear

focus, sharp definition, and a feeling of certainty. Second, from a human resources planning perspective, persons now going through undergraduate programs or in their early professional development will still be working in the education and training industry in the year 2020. Third, from a physical plant and fiscal resources planning perspective, facilities we create will shape the learning climate and encumber us for the next 30 to 50 years. Although the details of 2020 for Educational Leaders have yet to be specified, the intent would be to develop visions about the nature of the lifespan learning system that should be developed for the year 2020 and then to define more clearly increments of growth over the next several years for the redesign and restructure of our education and training industry (Groff, 1984).

Challenge

The biggest 'infrastructure' challenge for this country in the next decade is not the billions needed for railroads, highways, and energy. It is the American school system, from kindergarten through the Ph.D. program and the post-graduate education of adults. And it requires something far scarcer than money--thinking and risk-taking (Drucker, 1981).

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Strategic Planning and Long-Range Planning Are Not the Same

By Dale D. McConkey

A long-standing story in the airline industry is told as follows:

An airline captain comes on the plane's intercom and announces to the passengers, "I have some good news for you and some bad news. The bad news is that we're lost. The good news is that we have a strong tail wind and we are making very good time."

With only slight variation, the same story could be told of many organizations in both the private and public sectors--including educational institutions. The major thrust of the story is especially pertinent to those entities which have not distinguished strategic planning from long-range planning. Before pursuing any major endeavor, we must establish the major direction to which we should aim.

Strategic vs. Long-Range Planning

Probably the only characteristic the two types of planning have somewhat in common is that both cover a long-range period of time. Even this similarity is not 100 percent because strategic planning covers a longer period (commonly 10 years) than does long-range planning (commonly 5 years).

It may help the reader to establish the distinction which must be made by making reference to what strategic planning does and does not involve:

Does Involve: Evaluating and choosing the directions, alternatives, choices, and options available to the institution.

Does Not Involve: Setting objectives--even long-range objectives.

The number one strategic decision (direction) which a university must address is its purpose or 'mission.' Unless the mission is well thought out and defined as specifically as possible, the organization has no major focal point for what it must accomplish. The natural result is to

squander scarce resources in scattergun fashion thus destroying any possibility for becoming effective.

Other examples of strategic directions which must be decided include: what major programs will the school offer (vocational, academic, adult); to what audiences will the programs be offered (day students, night students, undergraduate, graduate, post-graduate); what geographical area will the school serve (state, national, international); and, what delivery system will be used (multi-media, classroom, correspondence)?

Once these directions have been determined (strategy) they constitute WHAT the organization wants to accomplish. Next, they are implemented or translated into action through the long-range objectives and plans which constitute the HOW--'how' the 'what' will be achieved.

On Purpose vs by Accident

A management group which is consistently successful does things on purpose--seldom, if ever, by accident. To prevent making strategic decisions by accident, one must be able to identify those actions which are of a strategic nature as well as those which are not. The writer has observed many instances in which managers made strategic decisions (which changed the very nature of the organization) but failed to recognize them as such. In other cases, managers made decisions which they labeled as being strategic but which, in reality, covered nothing more than fairly important operational matters.

Some major characteristics of strategy include:

1. It tends to change the nature of the organization--e.g., its mission, its primary programs or its markets.
2. It involves unusual risk--sometimes wholesale changes are made in resource allocation between and among major programs.
3. It involves unusual benefits or returns.
4. It involves unusual commitment--large funding, time, and effort over a long period of time.
5. It requires high level approval--commonly by the governing body.

Examples of actions which are clearly of a strategic nature include:

- The decision of a university in Ohio to emphasize quality education over enrollments and to limit total enrollments to 15,000 students.
- The decision of a Wisconsin university to allocate a large block of funding to meet the needs of the state's 76,000 small business persons.

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- The action by a college to quit competing with several other colleges and to specialize in adult education.
- The decision of a university to discontinue its school of nursing.
- The plan of a private high school to expand and start an undergraduate college program.
- A school board decides to begin a new vocational program for high school level students.

Some examples of subjects which are not strategic would include:

- A college makes a \$2 million data processing installation for better recordkeeping.
- A college begins offering joint appointments to better utilize its faculty.
- A school begins stricter screening of students under its loan program.
- A university adopts a matrix organization for its academic staff and clerical employees.
- A college increases the class contact hours for its faculty.

A Comparison

A side by side comparison of the salient aspects of both strategic and long-range planning follows:

- | | |
|--|--|
| <p style="text-align: center;"><u>STRATEGIC</u></p> <ol style="list-style-type: none"> 1. DOES NOT involve objectives 2. SETS major direction 3. WHAT the organization should be 4. WIDE angle focus 5. LONGEST time for which an organization plans 6. Primarily the responsibility of TOP management 7. EXAMPLES
Mission--Achieve a total vo-tec enrollment of 3500 students by September 1988. | <p style="text-align: center;"><u>LONG-RANGE</u></p> <p>EMPHASIZES objectives
 IMPLEMENTS major directions
 HOW the organization will achieve the WHAT
 NARROWER focus
 the INTERMEDIATE time--i.e., between strategic and short-range planning periods
 The responsibility of top AND middle management</p> |
|--|--|

Strategy Before Action

Probably one of the chief problems facing management today is the tendency of many managers to get busy before they have first determined at what they should get busy. The natural result is a flurry of directionless activity.

No matter how EFFICIENT they may become in their actions, they will never become EFFECTIVE until they first determine WHAT it is they should get busy at. Thus, strategy must precede action--even long-range actions.

The number one strategic decision (direction) which a university must address is its purpose or 'mission.'



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Computer Assisted Strategic Planning in Education

By Clark Holloway

Throughout the strategic planning literature the words 'company' or 'firm' are often used instead of the more general, but also longer and more cumbersome word 'organization.' By implication it is understood that strategic planning is good for non-profit as well as profit organizations; the thought is sometimes made explicit (Holloway, 1985). We now discuss some of the planning differences and similarities between the two types of organizations.

Even now, only a few of our states have begun to look at strategic planning. When the incoming governor of Texas in 1979 asked to see the state's long-range plan, he was told there was none. Since then, some progress has been made, but it may be difficult to sell the multi-year approach when there is an election coming up in the short term (Carlson, 1982). A useful approach which could be used by a forceful governor would have planning started and pushed soon after inauguration so there would be time to get a program under way. Other types of organizations have been more receptive to strategic planning. Hospitals, for example, continue to be threatened by a variety of environmental forces, including government regulations, growth of medical technology, health manpower specialization, financial limitations, public demands, court rulings, and competition from other providers of health care. Strategic planning has become an important management tool for adapting the hospital to the changing environment, and for directing the organization's decision making (Ford, 1980). Walters, et al., (1976) report on academic planning.

Peker (1982) has suggested some reasons which may slow the growth of planning in non-profit groups:

- In the early stages of development, the organization is single-goal oriented, resulting in little emphasis on planning.

- Unlike industry, a strong common thread is found in most associations; thus most members of the American Bar Association are lawyers. There may be a reluctance to accept outsiders; the organization is regarded as a private club.
- Some functions are often performed by part-time or volunteer personnel. Salaries may be lower than in industry.
- It is difficult for staff to take the initiative for planning if the organization is dependent upon its members, volunteers, and board for funding. In a non-profit organization, the one who holds the purse strings also dictates objectives and strategy.

Organizational Considerations

By far the bulk of the strategic planning literature is devoted to business organizations, although there are also many articles on the non-profit sector. The planner for such an organization would be well advised to search the literature for articles on groups similar to his, in order to obtain a preview of what differences or difficulties he might expect.

While it is usually straightforward to state the mission, objectives and goals for a corporation, it is often difficult to do this clearly and precisely for the non-profit organization (NPO). There is a wide range of types of NPO's, some resembling the corporate organization quite closely, and others showing essentially no similarities. This may be true even within a single field, such as education. The American Red Cross, for example, fits the corporate mold. There are executive levels, managers, and employees, all paid salaries, in addition to the volunteer workers. Some church denominations fit the opposite extreme, with no hierarchy at all. Each member of the congregation, including the minister, has an equal voice in temporal affairs. In this circumstance the feedback and cascade principles (Holloway, 1985) are missing, and in the absence of a leader it may be very difficult to enunciate and agree on mission and objectives. We are not commenting on the spiritual side, where the minister is, in fact, the acknowledged leader. Many churches do have a hierarchy which does permit strategic planning, and there are numerous articles in the literature discussing planning in churches (King, 1982; Wasdell, 1980; Hussey, 1974).

Computer Assistance

As discussed above, the general concepts of strategic planning apply equally well in the profit and non-profit sectors, although the situation must be reviewed for each particular organization. The same caution applies with regard to computer assistance. Figure 1, adapted from Holloway and Pearce (1982), illustrates the components of a computerized university planning system.

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Environmental Forecasts

The need for environmental and demographic data in the university context is obvious. Percent of the population of college age and family income are but two examples. One purpose in computerizing long range environmental forecasts is to reduce to a minimum the amount of time spent by professional staff in coordinating, summarizing, and supervising production of a massive final report, thereby freeing up many many man months per year.

Internal University Data

Note that in Figure 1 both internal and external data are held in a common data bank, and that plans, once formulated, themselves become a part of the data bank. The data base has several uses. First, it is valuable in printed form as a manual reference document. Second, it is a consistent pool of information from which all computer models, including forecasting models, can proceed. The necessity for agreement in input assumptions among various models cannot be over-emphasized. There are substantial benefits in using a common data base, avoiding wasted effort resulting from the resolution of differences between departmental studies, and accelerating the availability of case studies.

The Simulation Model

Such a model is typically developed and used on a 'quick-and-dirty' basis; to generate guidelines for system-wide growth and adaptivity to environmental change. Such a model is designed to provide a situational forecast of a period commonly specified as up to 30 years in the future. It is intended to provide a means for evaluating the sensitivity of alternative strategies to various expectations concerning operational factors, and to suggest an order of development consistent with a least-cost principle under each alternative. As noted in Figure 1, outputs from this model are exploratory plans.

The Multi-Year Model and the One-Year Model

Planning activities with a 5-year horizon differs from short-range approaches. In short-range planning the concern is for operational detail, from which specific action plans for all activities can be drawn. It might be undesirable to predict that kind of detail far into the future. Instead, the need is for an overall picture, relevant, but only in moderate detail, which will provide an idea of what strategic and operational situations might be expected over a 5-year period, and what effect present decisions might have on the future. It should be possible to better estimate the decisions that are necessary to attain certain future goals.

It is reasonable to argue that a planning tool suitable for one time scale might be unsuitable for another. A detailed model which is excellent for short-range planning would not be required beyond a period of one year. However, the need does exist for an alternative planning tool for the period beyond that time, frequently five years.

Interrelationships Among Models

A combination of models, as discussed, provides an excellent long term planning system. The simulation model takes for its guidance the long term objectives of the university, and can be used to refine these targets. Once the simulation model has been constructed and run, the state of the university in any given year is predictable in

probability terms in the context of these long term targets. Figure 1 indicates that university objectives drive all three computer models, and themselves may be refined by the Simulation Model. All models take data from the Data Bank, and may supply data in return. The Multi-Year Model is consistent with the One-year Model since it is computer-created from it. Each model also contains Report Writers which generate specialized reports. Additionally, since all models are structurally related and draw upon the same Data Bank, all reports are consistent.

Starting a University Planning Activity

Factors to be considered in instituting planning where it has not been done before are discussed by Holloway (1985). It is highly recommended that the process of computer assistance outlined in Figure 1 be brought in at the beginning.

The first step in a new planning effort might be to ask each school and academic responsibility center to submit a plan detailing how it would sustain a hypothetical 25 percent cut in funding over the next five years, also to spell out what they would accomplish if they received a 25 percent increase.

In evaluating each of their programs the units would be asked to use the following criteria:

Quality--as measured by national ranking, accreditation reports, and other documentation of scholarly productivity;

Centrality--an evaluation of whether the unit is at the core of carrying out the University's mission (providing challenging liberal arts, pre-professional, or professional education; connected with other University units critical to the University mission);

Comparative advantage--need for the program, in the light of the availability of comparable programs in the region and nationally;

Student demand.



*Season's
Greetings*

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All such information would be introduced into the Simulation Model. Exploratory runs on this model might suggest the elimination of some departments, the upgrading of others, or the shuffling of programs among schools within the university.

After circulation and discussion of these preliminary reports, work can proceed in creating the detailed strategic and operational plans of the university, using the multi-year and the one-year models, as already discussed.

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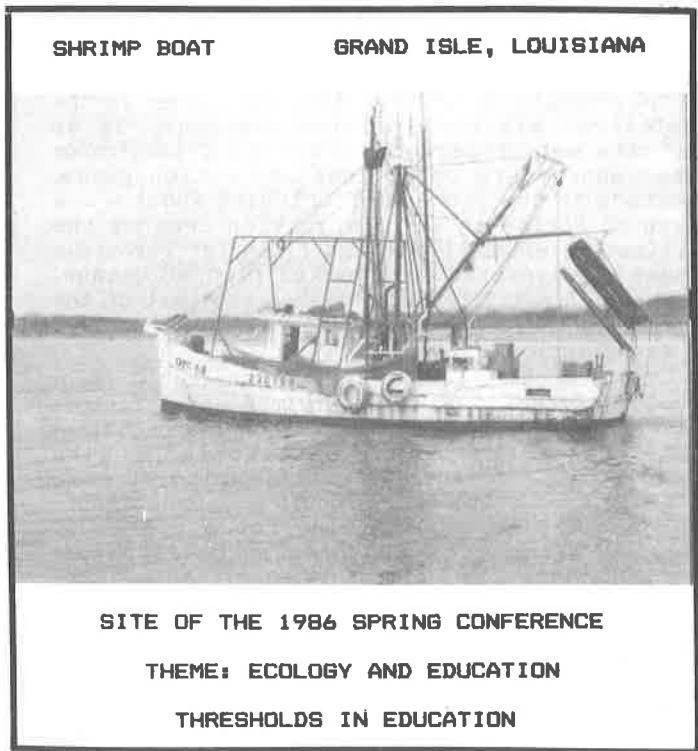
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Strategic Planning: A Catalyst for Change

By Mary Kay Kickels

Strategy is the primary source for the shared vision and collaboration in an organization. To be effective, strategy must be more than a mindless ritual or an action plan that is patronized by those participating in the process and is quickly forgotten once management signs off on the plan. If the process is viewed as a dynamic one, it has the potential of unifying an organization by developing a shared vision in the members of the management team, a common belief in the effectiveness of new directions and programs and commitment to implementing the action plans that are the result of the planning process. If it is given support within the organization, strategic planning can move the organization beyond simplistic schemes and reactive postures toward a more purposeful view of the future. And if the strategic plan is carefully crafted and implemented, it is likely to affect significant change in the organization, whether it be a school system or a corporation. It can create, in effect, a new environment where a new long-term view is integrated into short-term contingency planning.

Strategy is "the conceptual glue that binds the diverse activities of a complex organization together" (Vancil, 1976). Strategy, even in the simplest of all complex organizations, is an intricate web of personal statements, long-range goals, short-term objectives and action plans. Investing in the process of bringing about a new course of action in an organization demands the mobilization of all human and financial resources to meet the expected outcomes or planned change. It demands creativity and skill on the part of the individuals charged with driving the plan through the organization.

The essential feature of all strategic planning is a forecast of those environmental factors that will have significant impact on the organization. Most educational institutions, like corporations, are involved in planning of some sort. In some instances, schools use management-by-objectives or goal-setting for purposes of resource allocation and program development. Often, the activity is nothing more than contingency planning to avert a strike or a budget crisis. The long-range strategic view never quite

gets a chance to surface. How, then, can a planning process become more pervasive and innovative for schools and businesses?

Many corporations are involved with some kind of operating plan or a set of guiding principles that provide a structure for goal-setting and decision-making. The structure provides a framework for the operating plans, revenue forecasts, and resource allocations, which become the foundation for new ventures and initiatives. Many educational institutions have found that their long-term vitality can be enhanced by adopting some of the procedures that have been used in corporate settings. The notion of business strategy, therefore, is particularly useful in providing a purpose and design to educational institutions, helping them to achieve their goals.

The Nature of Strategic Planning

Strategy focuses on "long-term direction," is primarily qualitative, provides guidance for the preparation of short-term plans, integrates functional plans into an overall scheme for the company, is realistic and action oriented, and is understood throughout the top and middle levels of the organization (Yavitz & Newman, 1982). The nature of strategic planning is a forecast of the world ahead, or of those parts of the environment that pose a threat or an opportunity to the success or the survival of the organization. Viewed simply, the strategic view must acknowledge changes that lie ahead. The strengths and capabilities of the organization must be anticipated. James (1984), contends that strategy restructures functions in order to change the emphasis from theoretical planning to practical implementation. "You can plan, model, and simulate your way out of trouble and on to victory" (James, 1984). How is this accomplished? The typical scenario is to anticipate social, political, technological and economic shifts, that would significantly alter the environment, and then relate those changes back to the mission and objectives of the organization. Such is the process that is taken at the Encyclopaedia Britannica Educational Corporation (EBE) in its strategic planning process. A look at some of the strategic concepts that are used in this company can provide some applications for "doing the right thing" in educational settings.

Strategy at Encyclopaedia Britannica Educational Corporation

The strategic planning processes at EBE begins with a consideration of the major issues that confront the company. These are some of the questions that are asked: What is our business? How does it look to us this year? What will it be in the next three to five years? How will the planning process take shape this year? What results do we want? How will these results be shared or driven through the company?

For strategic planning to be successful, it needs a champion for the cause. Typically, planning has been viewed as a 'dispensable' function, one that can be easily displaced by more pertinent issues that need attention on a daily

Dr. Mary Kay Kickels is currently Vice President, Corporate Planning, Encyclopaedia Britannica Educational Corporation. Between 1975-82 Dr. Kickels was at Triton Community College in a variety of roles, culminating her work there as Vice President, Human Resources and Marketing. Dr. Kickels was recipient of a Danforth Foundation Grant, a Ford Foundation Fellowship, and a Kellogg Foundation Grant, all for purposes of pursuing leadership training and planning skills in educational change.

basis. Detractors of the process tend to argue that research and planning functions do not figure into bottom line profits or results, and are,

The planning process will not be functional or successful unless someone in a 'high place' (such as a chief-executive officer, president, chairman of the board), endorses the concept and backs its implementation.

therefore, not critical to the function of the organization. The planning process will not be functional or successful unless someone in a 'high place' (such as a chief-executive officer, president, chairman of the board), endorses the concept and backs its implementation.

Strategy, as a moving game plan, must finally settle into an integrated management unit. At EBE, as in many corporate settings, the authority and responsibility for the planning function rests with the Vice President of Corporate Planning and the staff in the newly-created Research and Development division. However, the key to the implementation of strategic plans involves an approach that crosses all departments and divisions in the company. The strategic plan is increasingly viewed as an integral part of the decision-making process at EBE and as a way for all division heads, managers, and directors to match operating decisions with long-term strategies and operations. From the start, the chief executive officer and all division heads made a commitment to the strategic planning process, expressing a desire for greater contingency planning.

Organizing to support the planning strategy is a key to its success. The critical issue is not the particular position of strategic planner, nor the existence of a separate research and development unit. Rather, it is important that provision is made for these functions, and that support is given to the process and to the vital activities that are associated with coordinating the development and execution of the plan. The planning function should be centralized in an individual whose responsibility is to see that the activities are carried out with skill, creativity, and efficiency.

Strategists Are Change Masters

According to Rosabeth Moss Kanter (1983), a corporate or academic planner is, in essence, a change master who measures what already is and who mobilizes people around what is not yet known. "Change masters are literally the right people in the right place at the right time. The right people are the ones with the ideas that move beyond the organization's established practice, ideas they can form into visions" (Kanter, 1983). The tools of change masters are creative and integrative. These individuals can create useful structures and teams that promote innovation and change through a strategic planning process. The strategic planners, or change masters, facilitate the development of the strategic plan. But they do not create the plan. It is the collaborative effort across divisions and departments. For strategic planning to be successful, it must be an

integrated approach and a team effort. At EBE, this is achieved by the establishment of a number of task forces comprised of division directors and carefully selected staff persons from all divisions in the company. The catalysts for action are the staff planners who work closely with the task forces.

Linking Strategy with Human Resource Planning

Successful companies, like successful school systems, realize that 'people planning' must be a part of long-term strategic planning. This method of weaving people directly into the plans can give organizations a competitive edge. There are three important activities in human resource planning:

- (1) identifying and acquiring the right number of people with the proper skills;
- (2) motivating them to achieve high performance; and
- (3) creating interactive links between business objectives and people-planning activities.

EBE Microcas Study

The EBE task forces begin their work with some basic assumptions derived from corporate planning emphases, marketing surveys, and management reports. The task forces are charged with the responsibility of preparing three-to-five-year business plans that take into consideration the economic, educational, and technological opportunities and threats in the environment. Each task force is asked to improve the fit between long-term and short-term goals and to address the following issues:

- Image - how are we perceived?
- Description of the market
- Assessment of the competition
- Company's market position
- Strengths, opportunities, weaknesses, and threats
- Prospects for growth
- Objectives - where should we be?
- Strategies - how do we get there?

The task forces are asked to focus clearly on essential issues and possibilities and to make key recommendations to management for the next three years, with potential extrapolations for two years beyond. Company resources are relied upon (computer support, management reports, etc.) in the course of the concentrated two-month planning process. At various stages, division heads are invited to review and react to evolving work of the task forces. The end result is a three-year strategic plan, consisting of basic recommendations for the planning and development of new products and initiatives. The long-term plan provides a full look at the opportunities and the challenges that lie ahead, along with the company's strategies for staying competitive, and suggests options for maintaining and increasing the company's vitality and market position.

A great deal of research is conducted in developing the plan: sales history of EBE's products are analyzed; catalogs are studied for needs and gaps in certain product lines; customers are polled for product requirements; new programs are tested and researched; consultants are called in to give their appraisal of current products and to recommend new programs; formal environmental

scanning is matched with more informal analyses of 'what sells and what does not'; the 'stars' (successes) are studied and questions are asked about the 'dogs' (failures). There is, then, a considerable amount of information gathering that is conducted prior to the actual drafting of the plan. The information that is gathered from the research, which is subsequently discussed at weekly task force meetings, forms the basis of the strategic planning document. The planning document reports the significant findings of this information-gathering, and contains one of the most significant elements in the process: basic recommendations for the future. Educators will be pleased to note that these recommendations are written in behavioral terms. The recommendations are the key to EBE's strategy, proposing the action steps that must be approved by management and then adopted as long-term goals. The recommendations that are vetoed are those that are viewed as 'not consistent with the company's mission and goals' or are 'not a priority at this time.' The plan is presented to management for decision, commitment, and action. The basic action recommendations are considered by the company's officers who, after considerable discussion, assign to each recommendation a high, medium, or low priority, with corresponding implications for further action.

At this point, the company has a basic picture of its present business. The strategic planning process thus provides a time for EBE's management team to renew its commitment to EBE's core business, while considering various alternatives for the future. The recommendations that are designated as 'high priorities' for implementation are then translated into action steps, or tactical plans. The final phase of the planning process at EBE involves the implementation of priority recommendations. This is accomplished in and through key people in the company, who develop and carry out the activities that accomplish the priority recommendations.

Strategic Change Masters

While 'strategic' is a somewhat overused word and many companies are dropping it as a modifier to 'planning,' it does express an important idea for a part of the change process in organizations. Strategic planning is a deliberate and conscious expression of a direction. According to Kanter (1983), strong leaders, or change masters, create a vision of a possible future that allows themselves and others to envision a new reality in their organization and to aid in its translation into concrete terms. The envisioning of this new direction of necessity involves a departure (change) from traditional patterns and implies a process or event that helps to create a new reality (strategy). "Change involves the crystallization of new action possibilities (new policies, new behaviors, new patterns, new methodologies, new products, or new market ideas) based on reconceptualized patterns in the organization" (Kanter, 1983).

The tools of the change masters are a set of guiding principles that can help people understand that their environment is not only rich with information but also full of opportunities for innovation. The development of intelligent strategic planning in any organization involves a respect for the organization's culture and the extracting of the elements in that culture that are critical to the development of new thought patterns and action plans. This process demands special skills on the part of the people who are

responsible for planning and development, people who are adept at anticipating the need for productive change. "Developing new strategies and then orchestrating the transition from an organization's current position to a new position is an involved process, calling upon all the personal skills and energy a planner possesses" (Castleman, 1985).

Overall, the process of strategic planning in the corporate sector is a relatively simple one and the process provides a model for educational systems. If the process is approached in a simple and flexible way, it can produce desired benefits. The model used by the Illinois Central Gulf Railroad is also appropriate for a school district, college, or university. Basically, all planning efforts have to answer these three questions:

Where are we?
Where do we want to go?
How are we going to get there?

The final imperative of the process is to capitalize on the creative forces of people within and outside of the organization, people who will collaborate and bring about a vision of what the organization can be, rather than what it is.

Addressing these three questions involves taking a look at the internal environment (the 'culture' of the organization) and analyzing current and potential markets and opportunities. The final imperative of the process is to capitalize on the creative forces of people within and outside of the organization, people who will collaborate and bring about a vision of what the organization can be, rather than what it is. The strategic planning process is a catalytic event that can help our schools and businesses and direct the organizational energies toward new programs, products, market opportunities, and technologies. Commitment to a formal planning process can turn the concept of strategy into an effective catalyst for organizational change.

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Implementing Strategic Planning -- A Case Study for Institutional Change at Cuyahoga Community College

By Nolen M. Ellison and Janet D. Smith

Introduction

Professor Igor Ansoff (1985), well known author and consultant on planning, strategy and management, recently summarized the 'new ball game' of the current era as one characterized by "limited to mixed growth, accelerating change, proliferating technologies, global competition, socio-political pressures and controls, simultaneous multiple challenges and differentiated novel challenges." This description is one which, unlike the period up to the 1950s when 'shared familiar opportunities' was a more accurate description, requires planning as well as managing for strategic renewal. The description, while intended for the business sector, is just as accurate for the academic sector. Today's higher education leaders (and their executive and management staff) can no longer conduct business as usual. Rather, it is imperative that we be prepared to 'abandon the kind of knitting' that is of no further avail...to engage in the development of planning and management strategies that are best suited to the level of 'turbulence' to which the institutional missions now refer.

This article describes how Cuyahoga Community College District, in many ways not atypical in its 'turbulence index' from other large urban institutions, has chosen to respond in its approach to institutional planning. The description details its transition from a highly formalized long range planning process to a focus on strategic planning in 1981 as a means of bringing about institutional change. Assessment of initial efforts and key enhancements to the process in more recent times are also offered. The paper concludes by offering specific pre-requisites and ingredients for effective strategic planning as it has been learned by those who have been intimately involved in the process.

Strategic Planning at Cuyahoga Community College (FY '82-'85)

In January, 1981 the President assigned to the Vice President for Educational Planning and Development and her senior staff the responsibility for formulating and implementing improvements to the College's long- and short-range educational planning processes. These

improvements were to be aimed at ensuring that planning focused on innovation and that growth occurred as part of the formal planning process. The institution's educational priorities and plans were to be the 'driver' of overall institutional planning. The Strategic Planning Process was designed to meet a single objective: the enablement of change.

By July, 1981, staff were trained by a consultant from the Office of the President, and had developed a plan for a strategic educational planning method to be implemented in time for FY 1983 resource allocation. This staff, it is worth noting, was comprised of the District Directors of Evaluation and Information, Student Development, Curriculum, Academic Support, and of Grants Planning and Management.

During the summer months the staff developed a Strategic Planning Design Document. This design, in essence, outlined the steps that were to occur in the strategic planning process (Figure 1). They also prepared the "Environmental Scan" and the "Internal Resource Audit" along with a brief analysis of "Issues and Opportunities" derived from comparing these two documents. During the fall, the Strategic Educational Planning Advisory Committee (SEPAAC) was charged with reviewing the prepared work and identifying possible growth opportunities for the College; that is, a limited number of projects that, if invested in then, would yield significant benefits to the College for the next several years and beyond.

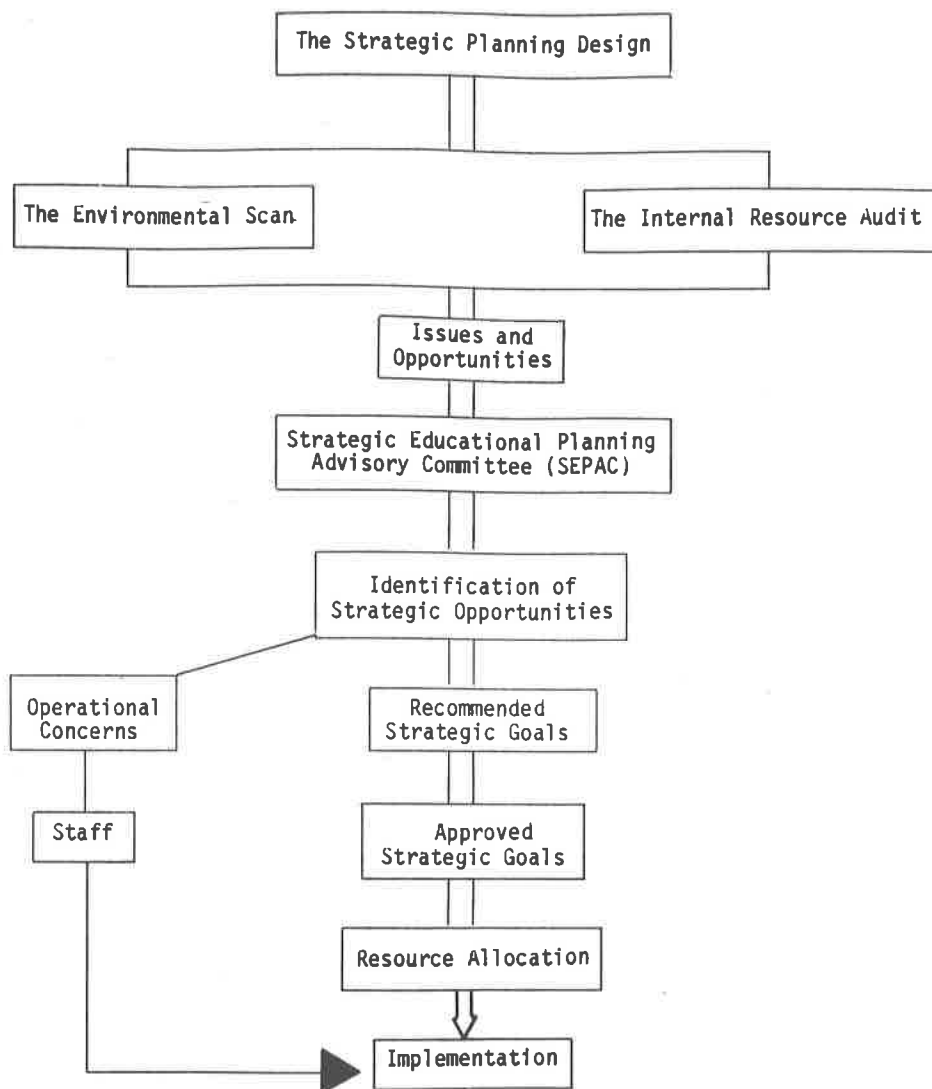
Although the process remains as an executive planning responsibility, the eleven-member committee was made up of faculty and administrators from the three campuses. They met during October and November and proposed more than twenty-five strategic targets. The selection of strategic goal(s) was guided by several criteria: (1) the opportunity should fit the scope and mission of Cuyahoga Community College; (2) the opportunity should be a new venture rather than the refinement of a current service; (3) the prospects for success should be based upon an awareness of the external demands and constraints affecting the opportunity; and (4) the proposal should match the College's capacity to implement it. The decision tree for the selection of strategic goal(s) is outlined in Figure 2.

The strategic planning process was implemented annually. From 1982-1984, a number of programmatic innovations introduced as strategic educational goals have resulted in major successes. They include the College's summer and weekend college, Career Development Institute, National Youth Demonstration program, state-of-the-art instructional delivery system and most notably, the advanced communication and advanced manufacturing programs of the College's \$8.2

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Figure 1

STRATEGIC EDUCATIONAL PLANNING PROCESS (SEPP)



million Unified Technologies Center. The 'albatross' strategic goal of the period was its FY '84 "strategies to realign institutional direction and effectiveness." Designed to meet the training challenges resulting from steadily increasing local under- and un-employment, the goal represented a 'call to arms' to every functional unit of the College. It finally 'died of its own weight,' having been acknowledged as too cumbersome and its implementation plan inadequately if not poorly conceptualized.

All the strategic goals had been approved by the President, and had their start-up funds allocated as the top priority of the fiscal year budget plan. This is an important consideration:

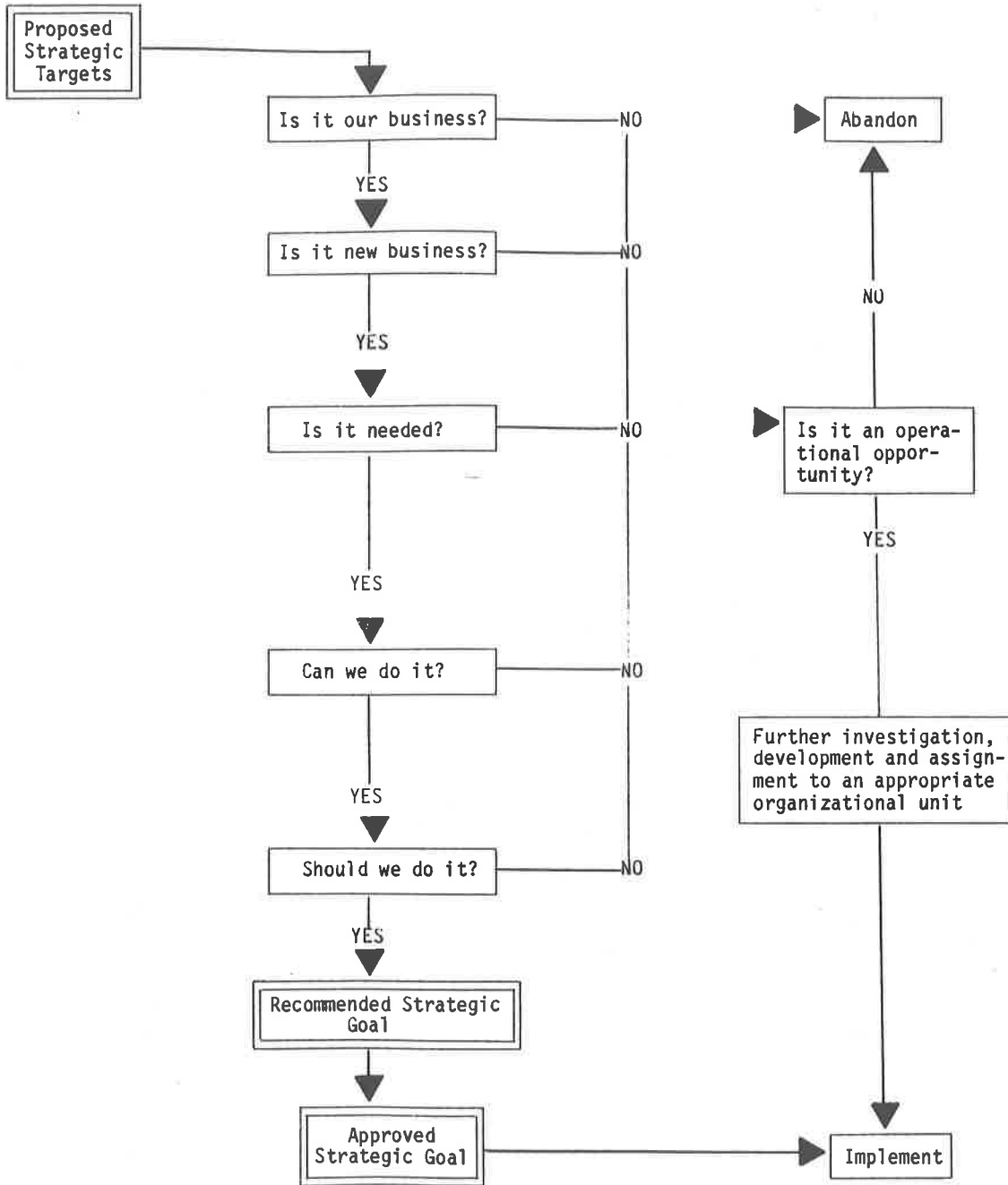
the Strategic Educational Planning Process was executed with the purpose of committing funds through the resource allocation and budgeting processes. These goals had a greater chance for full implementation by virtue of the funds committed to them as much as by the intrinsic appeal of their potential.

The Strategic Educational Planning Process had been most effective over the three years. The process had:

- Ensured that strategic decisions regarding educational programming were made in an effective and timely fashion;
- Promoted systematic educational innovation

Figure 2

DECISION TREE FOR SELECTION OF RECOMMENDED STRATEGIC GOALS (FY 1983-85)



- and institutional growth;
- Focused on the long-range strategic leadership and decision-making role of the President and the Board of Trustees;
- Built, to the extent feasible, on the substantial planning and management system development work completed over the previous six years; and
- Resulted in improved and expanded training opportunities for the citizens of Cuyahoga County.

The Purpose of an Enhancement Design

Despite its contributions, it became evident that certain enhancements to the strategic planning process would add even greater value to its impact. Ways of improving the process were indicated by the findings that the strategic planning process:

- Was not adequately coordinated with biennial and other long-range planning, annual operational planning, or the annual resource

- allocation process;
- Did not adequately address planning as it related to the implementation of strategic goals;
- Had limited its focus to new institutional ventures; and
- Had so far been restricted to changes only in the academic program of the College.

Proposed enhancements envisioned a strategic planning process that would:

- Serve as the primary planning activity of the annual resource allocation and budget process and provide institutional direction to the biennial budget and capital improvement planning submitted to the Ohio Board of Regents;
- Ensure cabinet level leadership and responsibility in the formulation of strategic goals;
- Improve related operational planning by development of detailed plans;
- Expand the focus of strategic planning to include all operational, management and support areas within the College;
- Provide for expanded application of strategic thinking to all individuals, levels and contexts within the College; and
- Provide for greater creativity and foresight in the use of resources available to meet the training and educational challenges of the local community.

In the strategic planning process implemented for FY '86 the Executive Vice Presidents for Academic Affairs as well as Human Resources and Administrative Affairs were together seen as the primary support arm of the Board and the President. Substantive planning assistance in strategic goal identification was provided by the President's Cabinet expanded to include the Deans of Instruction and Student Development which served as the Strategic Planning Advisory Committee. Strategic Goal Implementation Task Forces related to the approved strategic goal were also utilized. The planning staff, comprised of the Vice President for Educational Planning and Development, the Assistant Vice President and Associate Director for Institutional Planning and Research, and Directors of Academic, Fiscal and Policy Affairs, Curriculum Management, Vocational Education, Academic Support Services and Student Development completed the staff work required for the process.

The Executive Vice President for Human Resources and Administrative Affairs issued the updated Budget Preparation Procedures Manual. The Executive Vice President for Academic Affairs issued the Academic Plan for Advancement. The annual budget process remained basically the same, except for inclusion of strategic directions generated by the strategic planning process into the Executive Budget/Resource Allocation Guidelines issued by the President, and the requirement that strategic objectives be included with the budget requests of appropriate units. The Executive Vice Presidents ensured that executive budget requests focused on institutional plans and priorities and that targets for enhancements and innovation were included within appropriate areas of operations.

A summary of the design elements of the FY '86 Strategic Planning Process is shown in Figure 3.

Key Design Elements (Strategic Planning Process - FY 1986)

The primary purpose of the FY '86 Strategic Planning process was to establish and link strategic initiatives with resource allocation/reallocation/supplemental allocation and annual and biennium budgeting and operations. The Enhanced Strategic Planning process occurred as the planning activity to the annual resource allocation process. It consisted of the following major steps:

A. Phase 1 - Planning Framework

The responsibility primarily of Academic Affairs staff and occurring between June and September, the outcome of this phase was a Strategic Planning Framework and context for FY '86. Phase 1 required review and enhancement of the Strategic Planning Process and confirmation of the calendar; preparation and college-wide distribution of a Strategic Planning framework for the Year(s) ahead--The President's statement; an Environmental Scan Update which focused on analysis and implications of external conditions most relevant to an institutional market service plan; an Internal Resource Audit which described faculty capability, skills and training needs, programmatic changes and needs, program related quality, cost, capacity and opportunity elements, and management systems capacities, limitations, and related conditions; identification of Issues and Opportunities which appeared to represent major challenges to the College in the year(s) ahead; and a Charge to the Strategic Planning Advisory Committee.

B. Phase 2 - Strategic Goal Recommendation

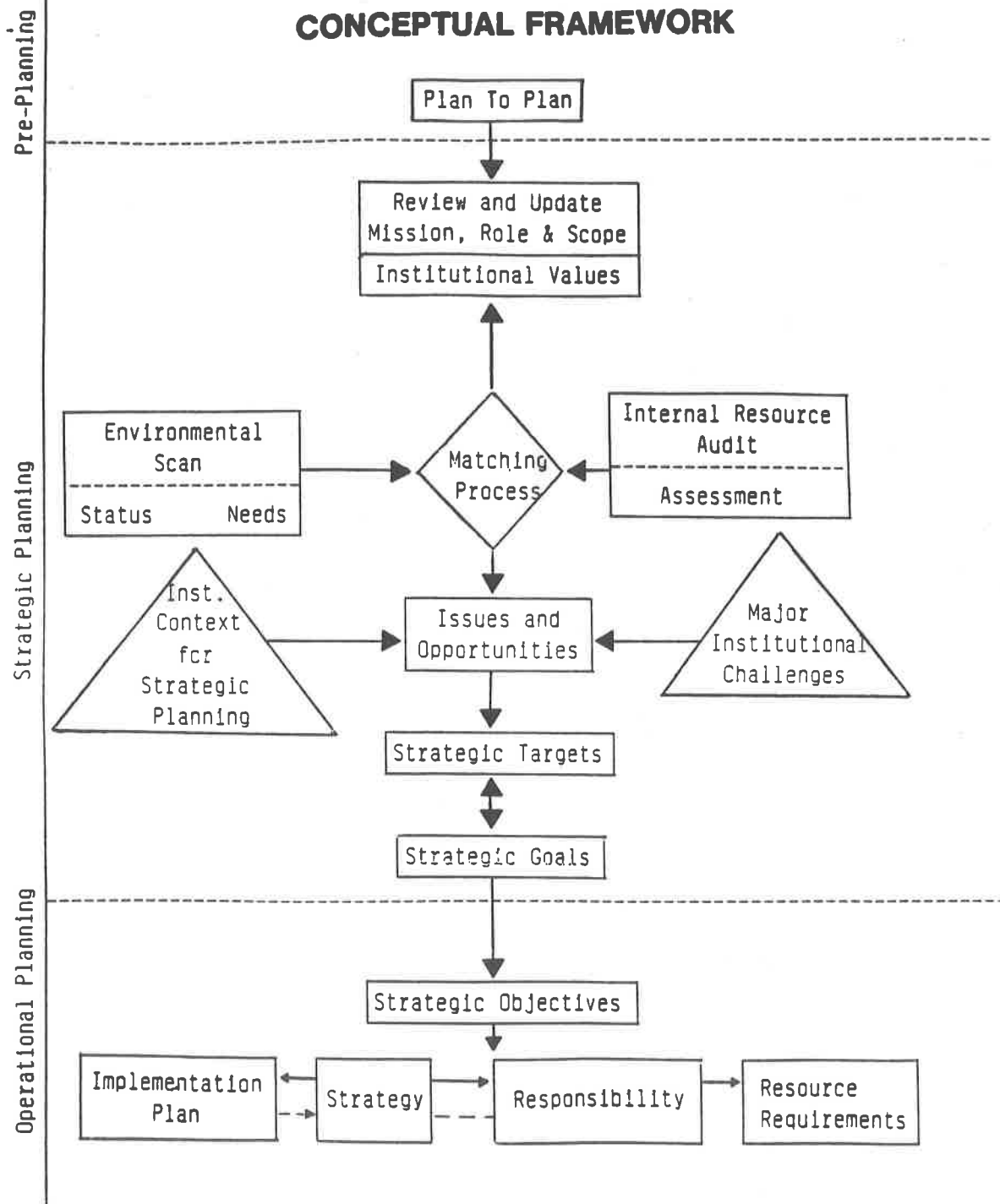
The responsibility of Cabinet membership (expanded to include all Deans) as the Strategic Planning Advisory Committee and occurring during October and November, the outcome of Phase 2 was the Strategic Goal for FY '86 to FY '90. Phase 2 required establishment of, and information about Planning Standards and Criteria (Executive Budget Guidelines, Productivity Standards, and other planning tools); determination and confirmation of preliminary Base Budget figures; identification of specific strategic targets of opportunity related to institutional management and/or programmatic issues; formulation of a strategic goal with corresponding objectives which represent fundamental change orientations in the form of significant enhancements or new business; development of estimated budget requirements; confirmation of strategic goal and estimated budget recommendations; and confirmation of Strategic Goal Implementation Task Force (SGITF) Membership and Charge. A modified set of criteria were used to select a strategic initiative. They were that a strategic initiative (1) be an institution-wide initiative; (2) require a total institutional commitment; (3) have the potential for lasting impact on the whole College or its environment; and (4) have clear indication of a demonstrable outcome.

C. Phase 3 - Developing Strategy for Goal Implementation

The responsibility of Task Forces selected by their operational leadership responsibility for implementation of objectives within the strategic goal, phase 3 occurred from December to January and had as its outcome detailed strategic goal implementation plans. Phase 3 required refinement

Figure 3

FY '86 STRATEGIC PLANNING PROCESS



of objectives; identification of and criteria for assessing outcomes; detailed description of a plan to accomplish each objective (including structure, process, responsibility, time frame and plan for integrating activities with ongoing unit operations); detailed assessment of resources required to accomplish objectives; reallocation or supplemental source of funding, and special strategic goal budget requirements, and integration of objectives and budget requirements into appropriate unit level planning and budgeting framework.

The enhanced strategic planning process has indeed been the driving force to resource allocation, reallocation and supplemental allocation and has resulted in a strategic goal which now represents the 'driving theme' for all operational planning. It is a goal designed to "make and market Cuyahoga Community College as the College of First Choice for adults and high school graduates throughout the county."

Summary

Cuyahoga Community College's Institutional Development Program was launched in 1975. As its management system development effort evolved, the environment served by the College changed significantly. It grew increasingly more turbulent and uncertain. Rapid institutional growth had come to an end, and, after a short period of enrollment decline, modest growth followed by unpredictable enrollments were evident. Over the last four years, a new era has begun--one that continues to demand aggressive, creative and innovative long-range educational and institutional planning if growth is to be maintained and strengthened in the foreseeable future. Institutional growth, in essence, is a goal to be attained through extraordinary thought and effort...it has required a most effective strategic planning process.

The College has made impressive progress in the development and implementation of modern management systems and practices, including short- and long-range institutional planning processes. These systems are clearly set forth in its Planning, Management, and Evaluation Manual, the annual budget process documented in its Resource Allocation Design Document and Budget Preparation Procedures Manual, and in strategic planning as described in its Strategic Planning Design Document update in 1985.

There is no question that Cuyahoga Community College has become a classically well-run organization, particularly in its financial management and control and in its strategic planning for

educational programs and services. But Cuyahoga Community College's long range, strategic and operational planning occur at different levels within and outside the College. Its strategic planning must reflect as well as influence state level planning. Plan implementation occurs only at the operational level. Thus, while strategic planning and budgeting are different processes, their integration is imperative to ensure that strategic planning outcomes can effectively influence annual program planning and implementation. Achieving the coordination and development of line managers required for strategic planning to permeate all levels of the organization requires a carefully constructed and closely scrutinized strategic planning model.

Conclusion

Today's higher education planning has changed. The function no longer requires traditional, linear-thinking operations managers. Thus, there will continue to be winners and losers. The winners are concerned about institutional survival. Winning institutions are:

- Adept both at developing plans and ensuring their execution,
- Visionary and able to ingest gargantuan amounts of unrelated student and competitive data, and catalyze the key elements of information into solid, doable plans that will put the institution out in front of its competitors,
- Missionary and able to effectively nurture the institutional plan and infuse it into the daily tasks and decisions of thousands of employees.

These fast-trackers thoughtfully and continually combine executive and management skills and experience in planning and strategic management, finely honed over the years, with new and timely expertise. Such institutions are ready to redefine their plans, and allocate their resources in light of the opportunities and challenges anticipated by new and emerging trends.

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