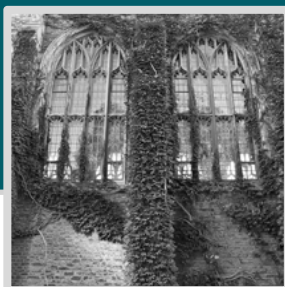


Strategic Planning Vertical Integration

January 2015



In the following report, Hanover Research presents best practices and models for achieving vertical alignment—alignment of strategic planning priorities at the institutional, college, departmental, and programmatic levels—in higher education. The first section of the report reviews literature on the topic and best practices for vertical alignment in strategic planning, and the second section profiles institutions that have implemented vertical integration into their strategic planning processes.

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EXECUTIVE SUMMARY AND KEY FINDINGS

INTRODUCTION

In this report, Hanover Research reviews the literature on best practices and models for vertical alignment during strategic planning within a higher education institution. This report also provides examples of how four institutions have vertically integrated strategic priorities. The report comprises two sections:

- **Section I** outlines the challenges that result from lack of coordination among different units within an institution during strategic planning, defines vertical and horizontal alignment, and presents practical considerations for implementing vertical alignment in strategic planning.
- **Section II** includes profiles of strategic planning strategies at four institutions that have applied some form of vertical integration to their planning processes.

An appendix to this report provides examples of templates, checklists, and rubrics used for vertical integration planning and implementation at some of the institutions profiled in this report.

KEY FINDINGS

- **The strategic planning process should establish clear linkages between institution-wide goals and those of academic schools and departments.** The Society for College and University Planning (SCUP) defines this process as “vertical alignment,” a method for “aligning and leveraging strategies, actions, and responsibilities at institutional, college, departmental, and programmatic levels.”¹ Vertical alignment can help unify goals and initiatives across an institution and expedite the execution of key strategies more consistently.
- **Establishing a plan for vertical alignment can help institutions address several common strategic planning challenges by unifying and streamlining the planning process.** For example, communication and coordinated planning across multiple organizational levels within an institution can help reconcile the divergent goals of a unit and the broader institution. A plan can also help to prevent planning, assessment, and budgeting cycles from conflicting with vertical alignment.
- **When developing a vertically aligned strategic plan, the institution-wide plan should be a living document that integrates feedback from each organizational level within the institution.** Each academic unit or program’s plan is tied to the goals of a higher level plan in the institution, so the planning process should also allow lower level units

¹ Norris, D., and N. Poulton. “A Guide to Planning for Change.” Society for College and University Planning, 2010. p. 27. <http://www2.cortland.edu/dotAsset/90d13b15-af02-4732-a13f-0b2c5f81b958.pdf>

to suggest revisions when the boundaries of a higher level plan appear too restrictive or unnecessary. A university cannot achieve its goals if the academic units below it cannot execute their own strategic plans.

- **Commonly, lower level units can select one or more of the institutional goals or themes they believe are most relevant to their own strategic goals.** In their planning documents, lower level units should explicitly state how each strategic goal or objective relates to major institutional themes. Templates, rubrics, and other instructional documents are useful tools to guide lower level units through this process. For example, Kansas State University provides specific templates and checklists to academic departments or colleges and major units to guide unit administrators through developing their own strategic plans.
- **Synchronizing the annual operating plan and budget planning cycles annually and over the long term will help institutions execute strategic actions more efficiently.** SCUP recommends that institutions consider state and federal fiscal cycles (where applicable), academic planning cycles, and human resources calendars, and how these will affect the timing for implementing strategic actions.
- **Lead administrators should propose a clear timeline for the alignment process and provide forums for feedback from stakeholders.** Both Kansas State University and California State University-Chico, for example, have held retreats for strategic planning administrators to discuss progress and challenges across organizational units at different levels within the institution. They also elicited feedback from a broader set of stakeholders, including faculty, staff, students, and alumni. This approach can build a sense of ownership in the planning process at multiple levels, while still ensuring that different levels of the institution are moving toward a common goal.

SECTION I: MODELS AND BEST PRACTICES FOR VERTICAL INTEGRATION

Internal coordination throughout the strategic planning process is integral at all organizational levels to effect holistic change. From academic departments and programs, to colleges and schools, to the entire institution, each organizational level's vision and initiatives should be aligned for an institution to progress toward achieving its strategic goals. As Dr. William Swart, professor and administrator at Eastern Carolina University and strategic planning expert, explains:

If a university has a strategic plan but its academic units (colleges and departments) do not have corresponding tactical plans, then it will be impossible for it to achieve its vision (except by sheer luck and coincidence). If an academic unit has a tactical plan, but the university does not have a strategic plan, then there will be no coordination, and units are likely to be moving in different and contradictory directions. **Thus, any university that takes on a strategic planning effort must carry it throughout all of its organizational levels.**²

However, alignment or “vertical integration” of strategic planning throughout an institution means more than just developing planning documents at multiple organizational levels in the institution. Planning should involve “intentional correlation” between the institution's goals and those of academic schools and departments.³ This coordination should extend through both strategic planning and outcomes assessments, so that both department-level and institution-level plans and assessment results inform the decision-making process for future initiatives.⁴

CHALLENGES THAT RESULT FROM LACK OF STRATEGIC PLANNING COORDINATION

Nearly every higher education institution in the United States has a strategic planning process and a budgeting process that guides institutional practice at some level. However, the implementation and effectiveness of these processes varies widely. Lack of coordination can lead to a range of roadblocks for an institution's planning initiatives, outcomes assessments, and budgeting cycles. As strategic planning and vertical integration are concepts that grew out of business applications, it is not surprising that business faculty and administrators within higher education have often been at the forefront of strategic planning initiatives in colleges and universities. In 2004, Roller, Bovee, and Green, a group of higher education business education administrators, identified three areas where

² Swart, W. *Leadership for Academic Units*, 2010. p. 107.

http://books.google.com/books?id=Uf7GrptiwUIC&dq=vertical+alignment+for+university+strategic+planning&source=gbs_navlinks_s

³ Roller, R., S. Bovee, and J. Green. “Integrating Strategic Planning, Budgeting, and Outcomes Assessment in Christian Business Education.” Christian Business Faculty Association Conference, 2004. pp. 5-6.

<http://www.cbfa.org/Roller-Bovee-Green.pdf>

⁴ Ibid.

universities commonly face challenges in strategic planning, budgeting, and outcomes assessment:⁵

- Differences between institutional level and department, division, and/or school level;
- Incongruences between departmental and institutional level goals; and
- Conflicting planning, assessment, and budgeting cycles.

Challenges as a result of **differences between the institution and the departments, divisions, or schools** may arise from different perspectives or access to information across organizational levels. For example, a unit within an institution may view its competitive placement among peers differently than the institution sees its position as a whole, and this may influence the content of planning documents differently.⁶ For this reason, a certain level of flexibility is needed within the strategic planning framework to allow academic units to evaluate what is most important to them and to choose their own goals within the university-wide framework. This can help to establish a “feeling of ownership” in the planning process, while still enabling all stakeholders to move toward a common goal.⁷

Divergent goals between a unit and the broader institution are another common challenge to strategic planning and budgeting. Within an academic school or department, leaders are likely to develop plans that will benefit their own unit, although these may be “in conflict or not synchronized with organizational goals.”⁸ Institutions that consciously align their strategic planning at all levels are less likely to encounter this issue.⁹

Finally, **conflicting planning, assessment and budgeting cycles** can hinder an institution’s progress in achieving the goals set out in a strategic plan. If the results of a program assessment are not available until after the budget proposal has already been approved, this can make it difficult to link an established priority to the proper resources needed to affect the change. For these reasons, vertically aligning strategic planning objectives and integrating assessment and budget cycles are key for optimizing the effectiveness of planning at all institutional levels.

VERTICAL AND HORIZONTAL ALIGNMENT

There are many approaches that universities have applied when re-evaluating their unit or division strategic plan for alignment with the broader university goals. However, any approach falls into one of two directional planning processes: top-down or bottom-up. As the Society for College and University Planning (SCUP) highlights, institutions often try to

⁵ Bulleted points taken verbatim, with minor alterations to improve readability, from: Ibid., pp. 4-6.

⁶ Ibid., pp. 4-5.

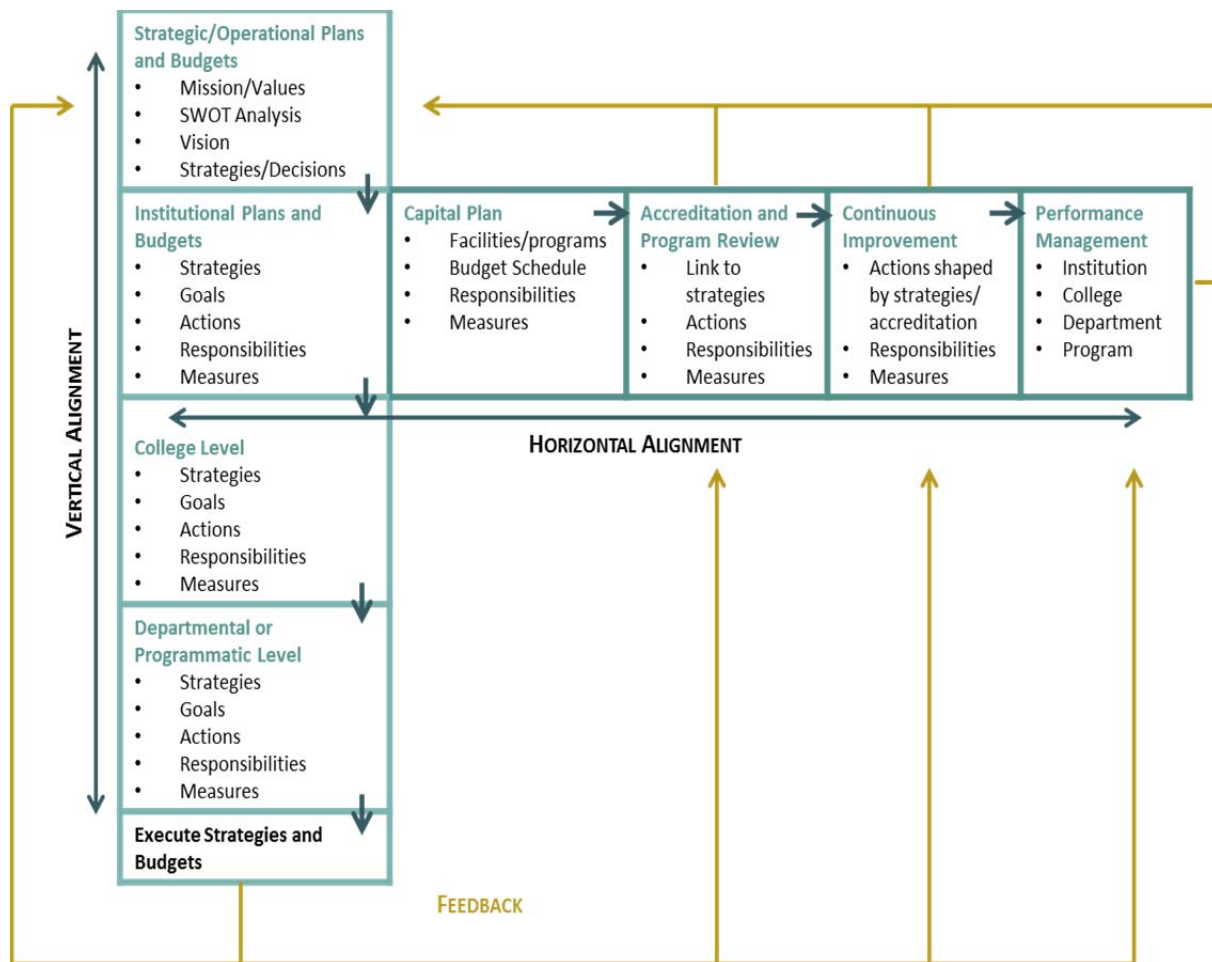
⁷ Lerner, A. “A Strategic Planning Primer for Higher Education.” College of Business Administration and Economics, California State University, July 1999. p. 12. <http://www.nu.edu.sa/userfiles/awadm/m31.pdf>

⁸ Roller, Bovee, and Green, Op. cit., p. 5.

⁹ Ibid., pp. 5-6.

maintain “a virtuous balance between top-down and bottom-up thinking and planning.”¹⁰ In a bottom-up approach, an institution’s strategic plan is based on a combination of the strategic planning goals in each department. Conversely, in a top-down approach, each department aligns its mission, goals, and objectives to those of the overarching institutional strategic plan.¹¹ SCUP notes that planning processes are “highly situational,” but some processes can be managed centrally (top-down) while others will be better served through consensus-building with decentralized participation (bottom-up).¹²

Figure 1.1 Vertical and Horizontal Alignment for Planning, Accreditation, Continuous Improvement, and Performance



Source: SCUP¹³

Moreover, planning can be coordinated vertically and horizontally. SCUP defines vertical alignment as “aligning and leveraging strategies, actions, and responsibilities at institutional,

¹⁰ Norris and Poulton, Op. cit., p. 26.

¹¹ Roller, Bovee, and Green, Op. cit., p. 31.

¹² Norris and Poulton, Op. cit., p. 26.

¹³ Figure adapted from: Ibid., p. 30.

college, departmental, and programmatic levels.”¹⁴ Vertical alignment can help unify goals and initiatives across an institution, and when budget cycles are also aligned, it can expedite the execution of key strategies more consistently. Horizontal alignment is defined as “the alignment of strategic planning, capital planning, accreditation and program review, continuous improvement, and performance management.”¹⁵ Figure 1.1 presents the relationship of processes and feedback that affect vertical and horizontal alignment within an institution.

PRACTICAL CONSIDERATIONS FOR VERTICAL ALIGNMENT

There are three levels for strategic planning to consider when implementing a vertical integration plan, as shown below in Figure 1.2. The strategic level of planning consists of establishing high-level institutional goals and establishing an implementation plan, while the operational level involves smaller planning at the division- and department-level of an institution. Tactical planning, the third level of institutional planning, consists of developing the policies and procedures that will ensure “effective management, planning, budgeting, and assessing,” especially at the department level.¹⁶

Figure 1.2: Levels of Institutional Planning

STRATEGIC LEVEL	OPERATIONAL LEVEL	TACTICAL LEVEL
<ul style="list-style-type: none"> • Institutional objectives and goals • Implementation plan 	<ul style="list-style-type: none"> • Divisional-level plans • Departmental-level plans 	<ul style="list-style-type: none"> • Policies • Procedures

Source: SCUP¹⁷

Dr. Swart’s book, *Leadership for Academic Units*, highlights several basic and practical considerations for achieving institutional alignment.¹⁸ At the institutional level, the strategic planning document – based on the mission, vision, and values of the university – establishes boundaries by which all other units will develop their own planning elements (missions, tactical initiatives, and tactical objectives).¹⁹ The academic division’s operational planning should be based on a draft of the university’s plan, and each department’s plan should be based on the draft document for its managing academic unit.

At all levels, these documents are still considered to be in “draft” form because vertical alignment requires an “interactive sequence in which each successive level down in the organization has the opportunities to negotiate the modification of the higher level plan” if its boundaries seem too restrictive or unnecessary.²⁰ This multi-level feedback exchange is suggested in the SCUP model presented in Figure 1.1 but not fully illustrated as a multi-

¹⁴ Ibid., p. 27.

¹⁵ Ibid., p. 31.

¹⁶ Hinton, K. “A Practical Guide to Strategic Planning in Higher Education.” Society for College and University Planning, 2012. pp. 28-29. <http://www.keene.edu/ksc/assets/files/19900/scpguideonplanning.pdf>

¹⁷ Ibid., p. 28.

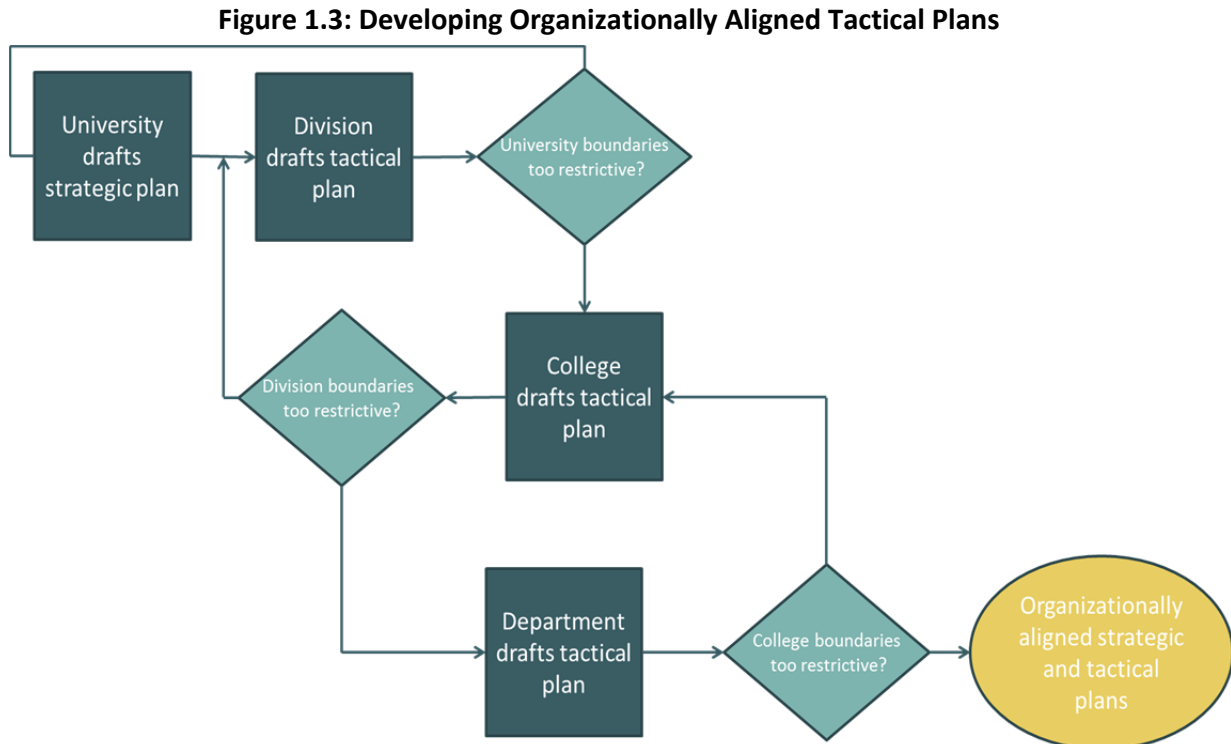
¹⁸ Swart, Op. cit., p. xi.

¹⁹ Ibid., pp. 106-109.

²⁰ Ibid., p. 110.

directional process rather than strictly a top-to-bottom approach. **At each level, the strategic plan is a part of a feedback loop of nesting tactical plans, whereby the university cannot achieve its goals if the academic units below it cannot execute their own strategic plans.**

Figure 1.3 presents a flowchart of feedback between the university, division, college, and department level plans for a “robust” strategic planning process.²¹



Source: Swart²²

EXECUTING THE STRATEGIC PLAN AND INTEGRATING BUDGETS

SCUP emphasizes that in addition to this feedback loop between different organizational levels, tactical planning and execution are a vital part of implementing a strategic plan.²³ Over the past decade, institutional planning has shifted from having a primary emphasis on planning (90% of effort) over execution (10%), to a process that gives more weight to the execution of an institutional plan (60% of effort) over the planning process (40%).²⁴

One of the key elements for executing the strategic plan is integrating the annual operating plan and budget planning processes. Strategic planning should guide the institution in how it will allocate resources to achieve its goals, and SCUP emphasizes that “it is critical that the

²¹ Ibid.

²² Ibid.

²³ Norris and Poulton, Op. cit., p. 33.

²⁴ Ibid., p. 37.

budget cycle and the planning cycle be aligned, not only on the annual basis, but over the long term.”²⁵ This can be difficult because budget cycles must be aligned with state or federal fiscal cycles, academic planning cycles run by the academic calendar year, and human resources calendars, which often operate on a January-to-December calendar. All of these calendar cycles should be considered when integrating strategic planning and budgeting processes.²⁶

Budget and planning cycles should be aligned not only at the institutional level but also at the academic unit level. Some of the top sources of frustration for academic unit administrators are related to funding resources, such as “adequate staffing, funding, faculty compensation, and research support; reasonable program reinvestment; appropriate technology reinvestment; and influence on budgeting processes.”²⁷ Roller, Bovee, and Green suggest that an effectively integrated strategic plan and budget process will fulfill the all of the elements presented in Figure 1.4 below.

Figure 1.4: Elements of an Effective Departmental and Institutional Planning and Budgeting Process

- ✓ Fully identify the cost of proposed action plans;
- ✓ Be supported by data from the planning process;
- ✓ Be informed by clear departmental strategic priorities and rationale;
- ✓ Be informed by full disclosure of relevant institutional priorities, constraints, and data; and
- ✓ Generate results that are assessed and inform future planning efforts.

Source: Roller, Bovee, and Green²⁸

Roller, Bovee, and Green also recommend embedding estimated costs into an academic unit’s operational “action plan” alongside each objective so that this information can easily be integrated into the budget planning process. It also “enables requests for additional funding to be supported by the results of assessment and environmental scanning processes and the resulting strategic priorities of the unit and institution.”²⁹

STRATEGIC PLANNING EVALUATIONS AND LEADING CHANGE

SCUP identifies four main review points in the annual and long-term planning cycle where institutions have an opportunity to examine whether goals are being smoothly implemented. During the annual cycle, the planning committee should meet at the *beginning* and the *midpoint* of the planning year. The first meeting allows the committee to review progress in the previous year and recalibrate or confirm goals for the coming year. The midpoint review serves to confirm that the institution is on track with its annual goals at

²⁵ Hinton, Op. cit., p. 15.

²⁶ Ibid., pp. 15-16.

²⁷ Roller, Bovee, and Green, Op. cit., p. 18.

²⁸ Figure contents taken verbatim from: Ibid.

²⁹ Ibid., p. 19.

a point where corrections can still have a positive impact on the remaining time left in the year.³⁰ The third and fourth review points take place near the end of the multi-year planning cycle. These points provide an opportunity to document achievements over the life of the plan and to reflect on how the planning process can be improved.³¹

For colleges, schools, or other academic units within a university, Roller, Bovee, and Green suggest a number of ways that unit administrators can effect change in the strategic planning process. Figure 1.5 lists actionable recommendations for academic unit leaders.

Figure 1.5: Leading Organizational Change as an Academic Unit Administrator

- ✓ Lead school-level planning and assessment efforts;
- ✓ Meaningfully involve faculty and staff in the strategic management process;
- ✓ Ensure that the school's strategic plan is appropriately informed by operational and student learning assessment results and environmental scanning;
- ✓ Clearly define a relevant mission and goals for the school that support the institutional mission and goals;
- ✓ Clarify the strategic priorities of the school and ensure that these priorities are in alignment with those of the institution;
- ✓ Communicate the school's strategic priorities and budgeting implications to the administration (in the context of presenting the strategic plan for review and approval);
- ✓ Implement school-level performance evaluations that are tied to strategic goals and priorities; and
- ✓ Ensure that annual operating and capital budget requests flow from and are supported by the strategic plan.

Source: Roller, Bovee, and Green³²

SCUP also suggests a number of practices that “leading-edge” institutions have used to help track progress, increase communication, and execute planning strategies for vertical and horizontal alignment, presented in Figure 1.6 on the following page.³³ **A major component of these vertical and horizontal alignment practices is improving the transparency and availability of planning documents by creating online repositories that can be easily updated and tracked over time.**

³⁰ Hinton, Op. cit., p. 20.

³¹ Ibid., pp. 20-21.

³² Bulleted points presented at the Christian Business Faculty Association Annual Conference in 2004 and taken verbatim from: Roller, Bovee, and Green, Op. cit., p. 34.

³³ Norris and Poulton, Op. cit., pp. 26 and 31.

Figure 1.6: Vertical and Horizontal Alignment Strategies

VERTICAL ALIGNMENT STRATEGIES	HORIZONTAL ALIGNMENT STRATEGIES
<ul style="list-style-type: none"> • Maintain online records of products from strategic thinking or planning processes, including mission, values, and vision statements, the results of a SWOT analysis, and records of strategies and strategic decisions. • Maintain online records of institutional-level results of strategic planning, including strategies, goals (with targets), actions, responsibilities (individuals or groups responsible for specific actions), and measures/metrics that show progress. • Maintain online records that reflect how institutional-level strategies cascade to the college, departmental, and programmatic levels through processes of operational and budgetary planning. • Maintain online records of the expeditionary execution of strategies, allowing for progressive refinement and recalibration of strategies as conditions change and analytics yield fresh insights. 	<ul style="list-style-type: none"> • Maintain a changing online record of strategies, goals (targets), actions, responsibilities, and measures that cascade from institutional to college to departmental to programmatic levels. The “responsibilities” record creates a sort of community of practice for those responsible for the execution of actions derived from strategies. • Maintain a changing online record of capital plans, linked to the evolving strategic plan and strategies, that can be refined and revised annually. • Use templates and rubrics that reflect the “look” of particular regional and programmatic accreditations and to conduct online accreditation activities. By definition, these approaches are linked to strategic planning, a key accreditation requirement. • Manage continuous improvement activities in the same manner as accreditation and program review and link these activities to strategies and/or “get-well” recommendations resulting from accreditation reviews. • Ensure that performance measurement and management are integral parts of all these horizontally aligned processes. At each stage and process, measurement is contextualized to strategies, actions, and/or external recommendations.

Source: SCUP³⁴

³⁴ Table contents taken verbatim from: Ibid.

SECTION II: INSTITUTIONAL PROFILES

In this section, Hanover presents examples of vertically integrated strategic planning strategies implemented by U.S. higher education institutions. When available, each profile includes information about the transition to a vertically integrated planning process, and an appendix to this report includes illustrative examples of planning templates referenced in these profiles.

KANSAS STATE UNIVERSITY

In February 2010, the president and provost of Kansas State University (Kansas State) announced the K-State 2025 Visionary Plan (“K-State 2025”), an initiative aimed at propelling the University into the top 50 public research universities by 2025. The initial strategic planning process was “the culmination of an 18-month process that involved more than 500 students, faculty, staff, alumni, and friends” of the University.³⁵ The resulting plan included seven “theme areas” with eight “common elements” consistent throughout each theme, as well as eight “key university metrics” to evaluate and benchmark progress over time. These theme areas, common elements, and key metrics are presented in Figure 2.1.

Figure 2.1: Core Components of K-State 2025

THEME AREAS	COMMON ELEMENTS	KEY METRICS
1. Research, Scholarly and Creative Activities, and Discovery (RSCAD)	<ul style="list-style-type: none"> • Diversity • International • Sustainability • Communications and Marketing • External Constituents • Culture • Funding • Technology 	<ul style="list-style-type: none"> • Total Research and Development Expenditures • Total Endowment • Number of National Academy Members • Number of Faculty Awards • Number of Doctorates Awarded • Freshman-to-Sophomore Retention Ratio • Six-Year Graduation Rate • Percentage of Undergraduates Involved in Formalized Research Experience
2. Undergraduate Educational Experience		
3. Graduate Scholarly Experience		
4. Engagement, Extension, Outreach, and Service		
5. Faculty and Staff		
6. Facilities and Infrastructure		
7. Athletics		

Source: Kansas State University³⁶

As a second phase to the institutional strategic planning effort, in September 2011 the University president announced plans to align the college, major unit, and departmental planning processes with the new K-State 2025 strategic plan.³⁷ Figure 2.2 presents the

³⁵ “Message from the President and Provost.” 2025 Visionary Plan, Kansas State University. <http://www.k-state.edu/2025/plan/>

³⁶ “K-State 2025: A Visionary Plan for Kansas State University.” Kansas State University. <http://www.k-state.edu/2025/plan/2025-visionary-plan.pdf>

³⁷ “Aligning College/Major Unit/Departmental Planning.” 2025 Visionary Plan, Kansas State University. <http://www.k-state.edu/2025/initiatives/college-planning/>

timeline of steps toward achieving vertical alignment of strategic plans throughout the University.

Figure 2.2: Strategic Alignment Timeline



Source: Kansas State University³⁸

To assist academic units in the vertical integration process, Kansas State developed a set of templates and guidance resources for the units to use throughout the planning process. The planning resources provided to the academic units included:³⁹

- Strategic Action Planning and Alignment Guidance and Instructions (College, Major Unit, and Department levels);⁴⁰
- Strategic Action Plan and Alignment Template for College/Major Unit;⁴¹
- Strategic Action Plan and Alignment Template for Departments;⁴²
- Strategic Action Planning Alignment Checklist (Department level only);⁴³ and
- Strategic Action Planning and Alignment Response Chart (College, Major Unit, and Department levels).⁴⁴

³⁸ Ibid.

³⁹ Ibid.

⁴⁰ "College/Major Unit/Departmental Strategic Action Planning and Alignment Guidance and Instructions." Kansas State University, November 3, 2014. <http://www.k-state.edu/2025/documents/2014.11.03-Strategic-Action-Planning-and-Alignment-Guidance-and-Instructions.pdf>

⁴¹ "Strategic Action Plan and Alignment Template for College/Major Unit." Kansas State University, October 2014. <http://www.k-state.edu/2025/documents/K-State-2025-Strategic-Direction-Action-Plan-and-Alignment-Template-Oct-2014.docx>

⁴² "Strategic Action Plan and Alignment Template for Departments." Kansas State University, July 3, 2013. <http://www.k-state.edu/2025/documents/K-State-2025-Dept-Strategic-Action-Plan-Template-7-3-13.docx>

⁴³ "Strategic Action Planning Alignment Checklist." Kansas State University, January 25, 2013. <http://www.k-state.edu/2025/documents/K-State-2025-University-Alignment-Checklist-1-25-13.docx>

⁴⁴ "Strategic Action Planning and Alignment Response Chart." Kansas State University, October 14, 2014. <http://www.k-state.edu/2025/documents/K-State-2025-Alignment-Response-Chart-Oct-2014.pdf>

The “Strategic Action Planning and Alignment Guidance and Instructions” include an array of basic information about the planning initiative, including points of contact during the planning and review process, a timeline overview, the submission process, and detailed instructions for colleges, major units, and departments on how to complete their plans.⁴⁵ This document also outlines the “guiding principles” for the planning process at the academic unit level, presented in Figure 2.3 below.

Figure 2.3: Guiding Principles for Planning

- [The plan must] work for your unit – Be sure your plan reflects your strengths and your vision of where you are going by 2025.
- College/Major Unit/Departmental plans should align with and support the K-State 2025 University Visionary Plan, where appropriate.
- Goal setting should be comprehensive in scope:
 - Involve faculty, staff, students, and alumni;
 - Be inclusive of all levels;
 - Include quantitative measures for outcomes; and
 - Use web tools to aid collaboration.
- Planning will translate into operational plans that will relate to budget, staffing, and evaluation.

Source: Kansas State University⁴⁶

Other templates and checklists used by Kansas State University are available in the appendix to this report. The templates and associated alignment checklist assist colleges, major units, and departments with defining their own goals, linking these to higher level goals in the institution, and articulating desired outcomes in the short-term, intermediate-term, and long-term. The templates also ask each unit to evaluate its existing resources, needed resources to achieve its goals, and plan for acquiring the resources needed to achieve its goals. This process helps link strategic planning to budget and human resources planning.

The college and major unit plans were submitted in May of 2012, and they were reviewed and compared across colleges. These proposed college plans were refined several times “to address gaps and strengthen quantitative measures.” Departmental plans were developed later after the college-level planning document revisions were complete. The revision process included several retreats for deans and other key planning contacts from each unit to discuss changes and refine guidance documents for future use, as well as individual unit “progress checks” as the documents neared completion. Additionally, the institution used the initial college and major unit plans to add metrics for evaluating progress toward thematic goals across the institution because “metrics should be strategic and meaningful for [academic] units as well as the university.”⁴⁷

⁴⁵ “College/Major Unit/Departmental Strategic Action Planning and Alignment Guidance and Instructions,” Op. cit.

⁴⁶ Table contents taken verbatim, with some modifications to improve readability, from: Ibid., p. 1.

⁴⁷ “2025 Planning Contacts Meeting.” Kansas State University, November 8, 2012. <http://www.k-state.edu/2025/documents/2025-Planning-Contacts-Meeting-November-8-2012.ppsx>

UNIVERSITY OF DAYTON

The University of Dayton most recently developed a strategic planning document in 2006 that defined five “common goals” for the University moving forward. Key points and tactics to achieve change support each goal. The University chose Education, Scholarship, Identity, Engagement, and Stewardship as the overarching goals for the institution.⁴⁸ Vertical alignment of academic units and departments through comprehensive strategic planning was not a part of the overall goal for the University of Dayton. However, some academic units, such as the School of Education and Allied Professions, have developed their own strategic plans in alignment to the institutionally-defined goals.⁴⁹

Although each academic unit was not required to conduct a vertical alignment process, each one is obligated to develop an “assessment plan” that is consistent with the University of Dayton’s overall assessment plan. These plans are similar to a strategic plan but are more concentrated on assessing student learning outcomes and linking them to the institution’s strategic plan. In contrast, vertical alignment links broader departmental strategic planning goals with the institution’s goals. Therefore, these assessment plans provide a lesser degree of vertical alignment within an institution.

The overarching objectives for the University of Dayton’s learning outcomes are:

- Scholarship;
- Faith Traditions;
- Diversity;
- Community;
- Practical Wisdom;
- Critical Evaluation of Our Times; and
- Vocation.

Figure 2.4 on the following page presents the required elements for each unit’s assessment plan. In 2008, the institution shifted its assessment requirements to a “less is more philosophy” that allowed academic units to focus more deeply on a smaller number of outcomes during each review cycle.⁵⁰ The Finance and Administrative Services unit, which manages the University assessment process, hosts sample assessment plans on its website as further guidance to units developing their own reports.⁵¹

⁴⁸ “Strategic Plan Introduction.” University of Dayton Strategic Plan.

https://www.udayton.edu/strategicplan/strategic_plan_introduction.htm

⁴⁹ “School of Education and Allied Professions: Strategic Plan.” University of Dayton, March 16, 2012.

https://www.udayton.edu/education/_resources/documents/dean_office/Strategic_Plan.pdf

⁵⁰ “Assessment Plans of Individual Units.” Finance and Administrative Services, University of Dayton.

https://www.udayton.edu/finadmin/ir/assessment/unit_plans.php

⁵¹ “Assessment Best Practices.” Finance and Administrative Services, University of Dayton.

https://www.udayton.edu/finadmin/ir/assessment/best_practice.php

Figure 2.4: Essential Elements for Unit Assessment Plans

<ul style="list-style-type: none"> • Definition of the unit • Mission and goals of the unit mapped to broader university goals/mission/strategic plan • Outcomes mapped to university-wide learning outcomes as listed in the University Assessment Plan (Units are not expected to cover all of the university-wide learning outcomes but must map their outcomes to at least one of the university-wide learning outcomes.) • Accreditation requirements, if applicable; • Assessment schedule - when each of the outcomes will be assessed • Definition of "players" - those responsible for assessment (individuals, committee, etc.) • Areas in which units will collaborate on assessment programs - joint efforts, if applicable (for example, general education and library literacy, or graduate programs and corresponding undergraduate programs) 	<ul style="list-style-type: none"> • Description of the process involved - what gets done by whom - define responsibilities • How assessment will be documented, including the assessment plan, revisions to the plan, measurement results, and actions taken as a result of assessment • How assessment results will be used • How assessment results will be communicated to constituents - internal and external audiences (both external to the unit within UD and external to UD, such as accrediting bodies, employers, and prospective students) • Measurements to be used, having sufficient sensitivity to identify specific gaps in student learning - include multiple measures, multiple sources, direct and indirect measures • Constraints, if any, of communicating results to external audiences • How information will be reported to the University Assessment Committee • How results will be tracked over time
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Source: University of Dayton⁵²

At the University of Dayton, each department within the College of Arts & Sciences develops an assessment plan. Other academic units within the college, such as the School of Business Administration, the School of Law, and the Libraries division, develop their own assessment plans. Every assessment plan must include the following core components: the departmental mission, learning outcomes and measures, assessment responsibilities, and assessment schedule.⁵³

Vertical integration of institutional goals is required for the section on learning outcomes and measures, where each unit must clearly show how its outcomes correlate to institution-wide goals. However, units can focus on one or two learning outcomes during each annual review cycle to evaluate their plan to meet each goal in-depth, rather than superficially evaluating all seven institutional measures. Figure A.4 in the appendix to this report provides an example of how the Geology Department at the University of Dayton aligned department learning outcomes and metrics to the University-wide objective of "Practical Wisdom."

⁵² Figure contents taken verbatim from: "Assessment Plans of Individual Units," Op. cit.

⁵³ See for example: "Geology Department Assessment Plan." University of Dayton.

https://www.udayton.edu/finadmin/ir/assessment/docs/Assessment_Plan_Geology_2010-11.pdf

KENT STATE UNIVERSITY

The University Strategic Plan at Kent State University (Kent State) takes a different approach to vertical alignment compared to the institutions discussed earlier in this section. The University outlines six strategic goals within its strategic plan, each with a number of key themes and tactical objectives. These goals include:⁵⁴

1. Ensuring Student Success
2. Enhance Academic Excellence and Innovation
3. Expanding Breakthrough Research and Creative Endeavors
4. Engaging with the World Beyond Our Campuses
5. Securing our Financial Future
6. Developing and Recognizing Our People

The Kent State strategic plan also assigns tactical objectives within key themes to a specific organizational unit within the University. This process clearly maps institutional strategic goals to particular organizational units.⁵⁵ While this centralized process takes some of the onus off of organizational units in steering the development of their own strategic plan at a high level, these units are still responsible for creating their own themes, projects, and tasks within the assigned tactical objectives and the metrics that will be used to evaluate their progress.⁵⁶ Figure 2.5 below presents an example of a strategic goal, supporting key theme, affiliated tactical objectives, and assigned units responsible for that objective.

Figure 2.5: Excerpt from Kent State University Strategic Plan

STRATEGIC GOAL	KEY THEME	TACTICAL OBJECTIVE
4. Engaging with the World Beyond Our Campus	4.1 Incorporate global perspectives into all of our educational, research and service initiatives.	<ul style="list-style-type: none"> • Internationalize the curriculum among all Kent State campuses (<i>Academic Affairs</i>) • Support initiatives of international students and international student organizations (<i>Enrollment Management and Student Affairs</i>) • Review diversifying the curriculum to infuse diversity throughout all disciplines (<i>Diversity, Equity and Inclusion</i>) • Enhance the awareness and reputation of Kent State University with global stakeholders (<i>University Relations</i>)

Source: Kent State University⁵⁷

⁵⁴ Bulleted points taken verbatim from: “University Strategic Plan.” Kent State University. <http://www2.kent.edu/excellenceagenda/index.cfm>

⁵⁵ Ibid.

⁵⁶ See for example: “Division of Human Resources Strategic Plan for a Culture of Excellence: 2012-2017.” Kent State University. <http://www2.kent.edu/hr/upload/hr-strategic-plan-2013.pdf>

⁵⁷ “Strategic Planning Document.” Kent State University, p. 10. <http://www2.kent.edu/excellenceagenda/upload/strategic-goals-2.pdf>

Apart from the University's strategic plan, at a minimum other organizational units in the University have a "Strategy Map" that outlines the vertical alignment of University strategic goals and key themes with the strategic plans and key themes of the unit. The Strategy Map also outlines the metrics that will be used to evaluate progress in each major area.⁵⁸

Some units have a full strategic plan in addition to the Strategy Map. For example, the Division of Human Resources has a nine-page strategic plan that includes information on how the department's mission aligns with institutional goals, strategic directions for the unit with associated key themes and projects (similar to the structuring of the University strategic plan), and the Strategy Map.⁵⁹ Others, such as the Division of Academic Affairs and the Division of University Relations, only have a Strategy Map (See Figure A.5 in the appendix).⁶⁰

CALIFORNIA STATE UNIVERSITY-CHICO

At California State University-Chico (CSU-Chico), the Division of Academic Affairs has undertaken an initiative to create strategic alignment from the CSU system-wide strategic plan down through the accomplishment reports for individual faculty and staff. This effort demonstrates the cascading alignment that institutions can pursue from the highest level of strategic planning to connect goals with individual staff actions. **Error! Reference source not found.** on the following page presents the Academic Affairs alignment plan developed as a part of The Academic Plan.⁶¹

According to the provost and vice president for academic affairs, the Academic Plan 2007-2012 "provides an initial roadmap for our journey to excellence in instruction, research, creative activity, and public service. In it, we identify five Academic Affairs goals and associated strategies by which we support the University's strategic priorities."⁶² Prior to this process, the unit's plan had strategic goals that related to the overall mission of University, but the relationship between individual goals for the unit was not clearly mapped to specific University goals. Academic Affairs is currently undergoing a review of its Academic Plan through the "Creating New Possibilities" initiative to ensure this alignment.

⁵⁸ See for example: "EMSA Divisional Strategy Map." Kent State University, July 20, 2010.

<http://www2.kent.edu/emsa/about/upload/emsa-divisional-strategy-map.pdf>

⁵⁹ "Division of Human Resources Strategic Plan for a Culture of Excellence: 2012-2017," Op. cit.

⁶⁰ [1] "Academic Affairs Strategy Map." Kent State University, January 27, 2010.

<http://cmsprod.uis.kent.edu/about/administration/provost/upload/Academic-Affairs-Strategy-Map.pdf>

[2] "University Relations Strategy Map." Kent State University.

<http://www2.kent.edu/about/administration/ur/upload/University-Relations-strategic-map.pdf>

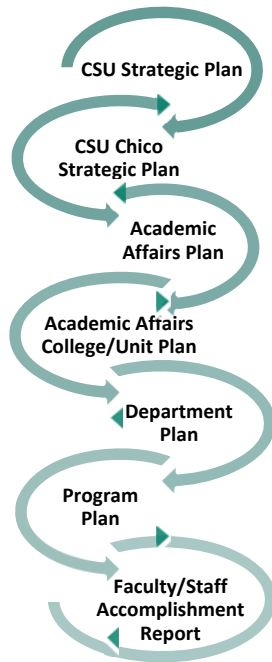
⁶¹ "Achieving Strategic Alignment: From CSU Strategic Plan to Individual Faculty/Staff Member." CSU Chico.

<http://www.csuchico.edu/vpaa/wasc/docs/EERDocs/Theme4/CSUAASPCascade5-08v.1.0.pdf>

⁶² "Strategic Planning Within Academic Affairs." Provost and Vice President for Academic Affairs, CSU Chico, 2014.

<http://www.csuchico.edu/vpaa/planning/planning/planning-in-aa.shtml>

Figure 2.6: Achieving Strategic Alignment in Academic Affairs at CSU Chico



The “Creating New Possibilities” project began in fall 2013 with Phase I, which consisted of “possibility” conversations with University stakeholders.⁶³ Discussions were data-driven, with multiple parties independently analyzing 61 datasets to produce themes for improvement in the Academic Plan.⁶⁴ Phase II commenced in spring 2014 with a number of mini-retreats and consultation sessions to interpret the findings of the Phase I data analysis.⁶⁵ The following six themes emerged from this analysis:⁶⁶

- Theme 1: Student Lifelong Success
- Theme 2: Excellence in Teaching and Learning
- Theme 3: Building Community
- Theme 4: Faculty Renewal
- Theme 5: Staff Renewal
- Theme 6: Organizational Process Improvement

The Academic Affairs planning is currently in Phase III, with designated committee members assigned to develop “action groups” organized around the six themes identified.

The committees were asked to develop short-term, intermediate, and long-term actions that will help the University to achieve the goals of each theme.⁶⁷ During this process, groups work with an Evaluation Rubric document that requires each theme and proposed action to be directly linked to at least one strategic priority from the University-wide plan.⁶⁸

In addition, the committee must identify the following criteria: Key Performance Indicators, Organizational Impact Level, Organizational Implementation Level, Resource Predictability, Timeframe for Implementation, Resource Intensity One Time versus Ongoing, Scope of Impact, and Intensity of Impact. A template of the rubric is presented in Figure A.6 in the appendix to this report.

⁶³ “Phase I: Fall 2013.” *Creating Our Future Together*, CSU Chico, 2014.

<http://www.csuchico.edu/futurepossibilities/phases/phase1.shtml>

⁶⁴ Data were analyzed by the Academic Plan Committee (APC), the Associated Students, and the Academic Senate in collaboration with the President’s Cabinet members, the Staff Council, the Council of Academic Deans (CAD), the Council of Chairs, and the CSU, Chico California Faculty Association (CFA). “Final Report on the Possibility Conversations.” CSU Chico, March 28, 2014. p. 1.

http://www.csuchico.edu/futurepossibilities/documents/apc_report_phase1_final_draft.pdf

⁶⁵ “Phase II: Spring 2014.” *Creating Our Future Together*, CSU Chico, 2014.

<http://www.csuchico.edu/futurepossibilities/phases/phase2.shtml>

⁶⁶ “Creating New Possibilities.” *Creating Our Future Together*, CSU Chico.

<http://www.csuchico.edu/futurepossibilities/index.shtml>

⁶⁷ “Phase III: Action Conversations, Fall 2014.” *Creating Our Future Together*, CSU Chico, 2014.


<http://www.csuchico.edu/futurepossibilities/phases/phase3.shtml>

⁶⁸ “APC Evaluation Rubric.” CSU Chico, October 2014.

http://www.csuchico.edu/futurepossibilities/documents/apc_evaluation_rubric.pdf

APPENDIX

Figure A.1: Strategic Action Plan and Alignment Template for College/Major Unit, Kansas State University



**K-State 2025 Strategic Direction Action Plan and Alignment Template
for the College/Major Unit of _____**

1. What is your College's/Major Unit's mission/vision and how does your organization contribute to achieving the University's vision for K-State 2025?
Response:

2. What are your College's/Major Unit's key activities and outcomes and how do they link to K-State 2025 themes/common elements and outcomes? Identify the University metrics that directly link with your plan in brackets. (If your plan includes more than one theme or goal with specified activities and outcomes, you may repeat the table as necessary)

Key Activities	Short Term (2011 - 2015) Key Outcomes	Intermediate (2016 - 2020) Key Outcomes	Long Term (2021 - 2025) Key Outcomes
What we plan to do...	What do we expect to happen _{xxx} ...	What do we expect to happen _{xxx} ...	What do we expect to happen _{xxx} ...
2025 Linkages			
2025 Common Elements/Themes	Short Term (2011 - 2015) 2025 Key Outcomes	Intermediate (2016 - 2020) 2025 Key Outcomes	Long Term (2021 - 2025) 2025 Key Outcomes

3. Identify the K-State 2025 Visionary Goal key benchmarks (metrics) that are supported by your action and alignment plan (please check all that apply).

<input type="checkbox"/> Total research & development expenditures	<input type="checkbox"/> Endowment pool	<input type="checkbox"/> Number of National Academy members
<input type="checkbox"/> Number of faculty awards	<input type="checkbox"/> Number of doctorates granted annually	<input type="checkbox"/> Freshman to sophomore retention rate
<input type="checkbox"/> Six-year graduation rate	<input type="checkbox"/> Percent of undergraduate students involved in research	<input type="checkbox"/> None

4a. What resources and/or opportunities exist for your College/Major Unit to achieve its vision and outcomes?
Response:

4b. What resources and/or opportunities are needed for your College/Major Unit to achieve its vision and outcomes?
Response:


5. How do you propose to acquire the resources needed for your College/Major Unit to accomplish its vision and outcomes?
Response:

Revised October 2014

Source: Kansas State University⁶⁹

⁶⁹ "Strategic Action Plan and Alignment Template for College/Major Unit." Kansas State University, October 2014. <http://www.k-state.edu/2025/documents/K-State-2025-Strategic-Direction-Action-Plan-and-Alignment-Template-Oct-2014.docx>

Figure A.2: Strategic Action Plan and Alignment Template for Departments, Kansas State University



K-State 2025 Strategic Action and Alignment Plan Template for Departments

College or Major Unit:

Department:

1. What are your Department's mission and vision and how does your organization contribute to achieving the University's and your College's/Major Unit's vision for K-State 2025?
2. What are your Department's key strategic activities and outcomes?
3. Identify [in brackets] which of your Department's strategic outcomes are directly linked to your College's/Major Unit's outcomes. *(If your Department or similar unit is not in a College or Major Unit, skip this question.)*

Key Activities	Short Term (2013 - 2015) Key Outcomes	Intermediate (2016 - 2020) Key Outcomes	Long Term (2021 - 2025) Key Outcomes
<i>What we plan to do...</i>	<i>What we expect to happen...</i>	<i>What we expect to happen...</i>	<i>What we expect to happen...</i>
<input style="width: 95%; height: 15px;" type="text"/>	<input style="width: 95%; height: 15px;" type="text"/>	<input style="width: 95%; height: 15px;" type="text"/>	<input style="width: 95%; height: 15px;" type="text"/>
<input style="width: 95%; height: 15px;" type="text"/>	<input style="width: 95%; height: 15px;" type="text"/>	<input style="width: 95%; height: 15px;" type="text"/>	<input style="width: 95%; height: 15px;" type="text"/>
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- 4a. What resources and/or opportunities exist for your Department to achieve its vision and outcomes?
- 4b. What resources and/or opportunities are needed for your Department to achieve its vision and outcomes?
5. How do you propose to acquire the resources needed for your Department to accomplish its vision and outcomes?
6. How does your plan link to the K-State 2025 themes/common elements, outcomes, and university metrics? *(Use the K-State 2025 University Strategic Action Planning Alignment Checklist to identify those linkages.)*

July 3, 2013

Source: Kansas State University⁷⁰

⁷⁰ "Strategic Action Plan and Alignment Template for Departments." Kansas State University, July 3, 2013. <http://www.k-state.edu/2025/documents/K-State-2025-Dept-Strategic-Action-Plan-Template-7-3-13.docx>

**Figure A.3: Strategic Action Plan and Alignment Checklist (Departmental level only),
Kansas State University**



K-State 2025 University Strategic Action Planning Alignment Checklist

College or Major Unit:

Department:

1. The following is a list of the Visionary Goal Benchmark (B) Metrics included in the K-State 2025 Visionary Plan. Please place an "X" to the left of each Metric that is supported by your Department's Strategic Action Plan.

Visionary Goal:	
By 2025 Kansas State University will be recognized as one of the nation's Top 50 Public Research Universities.	
Benchmark Metrics	
<input type="checkbox"/>	B-1 – Total research and development expenditures
<input type="checkbox"/>	B-2 – Endowment pool
<input type="checkbox"/>	B-3 – Number of national academy members
<input type="checkbox"/>	B-4 – Number of faculty awards
<input type="checkbox"/>	B-5 – Number of doctorates granted annually
<input type="checkbox"/>	B-6 – Freshman-to-sophomore retention rate
<input type="checkbox"/>	B-7 – Six-year graduation rate
<input type="checkbox"/>	B-8 – Percent of undergraduate students involved in research

2. The following is a list of all the Common Elements (CE) included in the K-State 2025 Visionary Plan. Please place an "X" to the left of each Common Element that is supported by your Department's Strategic Action Plan.

Common Elements	
<input type="checkbox"/>	CE-1 – Communications and Marketing
<input type="checkbox"/>	CE-2 – Culture
<input type="checkbox"/>	CE-3 – Diversity
<input type="checkbox"/>	CE-4 – External Constituents
<input type="checkbox"/>	CE-5 – Funding
<input type="checkbox"/>	CE-6 – International
<input type="checkbox"/>	CE-7 – Sustainability
<input type="checkbox"/>	CE-8 – Technology

3. The following is a table of all the University outcomes by each Thematic Goal and time-frame, as well as the University Thematic Goal Metrics. Please place an "X" to the left of each University thematic goal, outcome, and metric that is supported by your Department's Strategic Action Plan.

Thematic Goal I: Research, Scholarly and Creative Activities, and Discovery (RSCAD)		
<input type="checkbox"/> Create a culture of excellence that results in flourishing, sustainable, and widely recognized research, scholarly and creative activities, and discovery in a variety of disciplines and endeavors that benefit society as a whole.		
Short Term Outcomes (2011 – 2015)	Intermediate Outcomes (2016 – 2020)	Long Term Outcomes (2021 – 2025)
<input type="checkbox"/> T1-A – Increased intellectual and financial capital to support RSCAD	<input type="checkbox"/> T1-J – Intellectual and financial capital in place for expanded RSCAD efforts	<input type="checkbox"/> T1-N – Fifty nationally recognized K-State researchers, a high proportion of which are members of their national academies
<input type="checkbox"/> T1-B – More clusters/centers of collaborative RSCAD focus	<input type="checkbox"/> T1-K – Nationally and internationally recognized research centers	<input type="checkbox"/> T1-O – Extramural funding competitive with our benchmark institutions
<input type="checkbox"/> T1-C – Increased funding for investigator-based research, research centers, and graduate training grants	<input type="checkbox"/> T1-L – Recognized for prominent and productive placement of our graduates	<input type="checkbox"/> T1-P – Research and development expenditures competitive with benchmark institutions
<input type="checkbox"/> T1-D – Tuition waivers for all GRAs	<input type="checkbox"/> T1-M – Increased participation by undergraduates in expanded opportunities in research	<input type="checkbox"/> T1-Q – Competitive amongst our peers in the percentage of undergraduates involved in research
<input type="checkbox"/> T1-E – Competitive compensation and support available to GRAs, GTAs, and Gas		
<input type="checkbox"/> T1-F – Enhanced and systematic approach for UG research		
<input type="checkbox"/> T1-G – Successful recruitment, retention, evaluation, compensation, and rewards strategies in place to support RSCAD needs		
<input type="checkbox"/> T1-H – Enhanced visibility and appreciation for research, discovery, and scholarly and creative activities		
Metrics for Thematic Goal I		
<input type="checkbox"/> T1-1 – # of interdisciplinary research projects, institutes, and centers		
<input type="checkbox"/> T1-2 – Total sponsored extramural funding expenditures		
<input type="checkbox"/> T1-3 – # of juried, adjudicated, or externally vetted performances, shows and designs		
<input type="checkbox"/> T1-4 – # of refereed scholarly publications per academic year and allocated faculty member		
<input type="checkbox"/> T1-5 – Total international research and development expenditures		

Thematic Goal II: Undergraduate Educational Experience Build a connected, diverse, empowered, engaged, participatory culture of learning and excellence that promotes undergraduate student success and prepares students for their professional, community, social, and personal lives.		
Short Term Outcomes (2011 – 2015)	Intermediate Outcomes (2016 – 2020)	Long Term Outcomes (2021 – 2025)
<ul style="list-style-type: none"> □ T2-A – Excellent, customized academic advising and services available to all students to support their success and degree completion □ T2-B – Engaged students benefitting from high impact educational practices used by excellent faculty and staff across the university □ T2-C – Increased participation by undergraduates in expanded opportunities for meaningful research □ T2-D – Successful integration of undergraduate education and meaningful research is standard practice □ T2-E – Effective evaluation practices that recognize and reward teaching, advising, and life-long learning/professional development □ T2-F – Effective system in place that supports and promotes teaching excellence □ T2-G – Successful recruitment and retention strategies that address our entire student population □ T2-H – Improved six-year graduation rates and retention ratios 	<ul style="list-style-type: none"> □ T2-I – Integrated learning communities experienced by students, faculty, and staff that promote student success within a culture of excellence □ T2-J – Excellent reputation for high quality teaching and advising that prepares students for their professional, community, social, and personal lives □ T2-K – Superior and diverse faculty recognized for teaching excellence □ T2-L – All UG students engaged in a diversity of experiences that expand their viewpoint □ T2-M – Increased undergraduate contributions in the creation of scholarship through research □ T2-N – Ongoing improvement of six-year graduation rates and retention ratios 	<ul style="list-style-type: none"> □ T2-O – An undergraduate educational experience recognized as one of the best among the nation’s Top 50 Public Research Universities □ T2-P – Faculty teaching and advising awards comparable to our benchmark institutions □ T2-Q – Freshman to Sophomore retention ratios comparable to benchmark institutions □ T2-R – Six-Year graduation rates comparable to benchmark institutions
Metrics for Thematic Goal II		
<ul style="list-style-type: none"> □ T2-1 – # and % of undergraduate students participating in a meaningful international experience □ T2-2 – # and % of undergraduate students completing an experiential learning experience □ T2-3 – Total funding awarded for undergraduate scholarship support □ T2-4 – # and % of students participating in an undergraduate student success program □ T2-5 – # of students awarded national and international prestigious scholarships □ T2-6 – % of undergraduate enrollment by demographic group □ T2-7 – Student satisfaction and utilization rates 		

Thematic Goal III: Graduate Scholarly Experience Advance a culture of excellence that attracts highly talented, diverse graduate students and produces graduates recognized as outstanding in their respective professions.		
Short Term Outcomes (2011 – 2015)	Intermediate Outcomes (2016 – 2020)	Long Term Outcomes (2021 – 2025)
<ul style="list-style-type: none"> □ T3-A – Competitive compensation and support available for GRAs, GTAs, and GAs □ T3-B – Tuition waivers for all GRAs □ T3-C – Engaged graduate students integrated in university life with enhanced visibility and appreciation □ T3-D – Outstanding mentoring for our graduate students □ T3-E – Expectation of excellence for the graduate scholarly experience □ T3-F – Increased capacity to secure funding for graduate research and teaching □ T3-G – Broader spectrum and greater overall number of courses offered at the graduate, and especially at the PhD level □ T3-H – Expanded partnerships with industry and government to provide high level learning and experiential training opportunities for graduate students 	<ul style="list-style-type: none"> □ T3-I – Increased participation by our graduate students in unique high level learning and experiential training □ T3-J – Expanded reputation for outstanding graduates with the critical skill sets needed to excel in their careers in a global environment □ T3-K – Increased funding for graduate research and teaching □ T3-L – Increased number of nationally and internationally recognized award-winning graduate faculty □ T3-M – Increased number of Doctorates Awarded 	<ul style="list-style-type: none"> □ T3-N – National and international reputation for outstanding graduates with demonstrable career success □ T3-O – World-class reputation as a preferred destination for outstanding graduate students □ T3-P – Stable funding for graduate research and teaching competitive with benchmark institutions □ T3-Q – Doctorates Awarded comparable with benchmark institutions
Metrics for Thematic Goal III		
<ul style="list-style-type: none"> □ T3-1 – # and % of graduate students with assistantships, endowed scholarships, and fellowships □ T3-2 – Total funds awarded for graduate assistantships, endowed scholarships, and fellowships □ T3-3 – # and % of graduate programs offering competitive compensation and support packages □ T3-4 – # of private/public sector partnerships supporting graduate experiential training opportunities □ T3-5 – # of graduate students participating in a unique high level learning and experiential training □ T3-6 – # of graduate terminal degrees awarded □ T3-7 – Total graduate students enrolled by demographic group and degree type □ T3-8 – Graduate student satisfaction and utilization rates 		

Thematic Goal IV: Engagement, Extension, Outreach and Service Be a national leader and model for a re-invented and transformed public research land-grant university integrating research, education, and engagement. [Engagement refers to all EEOS (engagement, extension, outreach, and service)]		
Short Term Outcomes (2011 – 2015)	Intermediate Outcomes (2016 – 2020)	Long Term Outcomes (2021 – 2025)
<ul style="list-style-type: none"> ☐ T4-A – Enhanced integration between academics and student service learning ☐ T4-B – Increased participation by undergraduates in expanded opportunities for meaningful Engagement experiences ☐ T4-C – Increased recognition of our services as a source of expertise, information, and tools for disciplines worldwide ☐ T4-D – Increased numbers and diversity of faculty and staff participating in Engagement ☐ T4-E – Increased extramural funding for Engagement initiatives at the local, state, national, and international level ☐ T4-F – Recognition as leaders in Engagement within our state and nation ☐ T4-G – Enhanced visibility and appreciation for Engagement and its interconnectedness with research and education within our university community 	<ul style="list-style-type: none"> ☐ T4-H – Exposure on a national level as a leader/partner engaged in significant social, political, health, economic and, environmental issues ☐ T4-I – All undergraduate students engaged in at least one engagement/service learning project ☐ T4-J – Increased number of graduate students involved in Engagement ☐ T4-K – Increased appreciation by K-State graduates for lifelong involvement in engagement and service ☐ T4-L – Increased capacity to respond to emergencies worldwide ☐ T4-M – Preferred destination for faculty, staff, and students who value Engagement as integral to their academic and personal lives 	<ul style="list-style-type: none"> ☐ T4-N – Nationally recognized as a leader in and model for a re-invented and transformed land-grant university integrating research, education, and engagement ☐ T4-O – Nationally and internationally recognized as leaders in Engagement on a global scale ☐ T4-P – Recognized as a leader in Engagement reaching both rural and urban communities
Metrics for Thematic Goal IV		
<ul style="list-style-type: none"> ☐ T4-1 – # and % of undergraduate students participating in engagement/service learning ☐ T4-2 – Total extramural-funded expenditures for Engagement initiatives at the local, state, national, and international level ☐ T4-3 – # of partnerships by sector and geographic boundary supporting collaborative research, education, and engagement ☐ T4-4 – # of engagement activities and programs disaggregated by geographic boundaries ☐ T4-5 – # of participants involved in community-based research and outreach projects ☐ T4-6 – Economic impacts on rural and urban communities in Kansas 		
Thematic Goal V: Faculty and Staff Foster a work environment that encourages creativity, excellence, and high morale in faculty and staff, responds to changing needs, embraces diversity, values communication and collaboration, and is respectful, trusting, fair, and collegial for all.		
Short Term Outcomes (2011 – 2015)	Intermediate Outcomes (2016 – 2020)	Long Term Outcomes (2021 – 2025)
<ul style="list-style-type: none"> ☐ T5-A – Total compensation competitive with aspirant university and regional employers for faculty and staff in high priority areas ☐ T5-B – Efficient, effective, and integrated university HR processes and services that place employees in the right positions with the right skill sets at the right time ☐ T5-C – Career-long learning recognized by the university and its employees as a shared value and responsibility ☐ T5-D – Effective evaluation processes that result in accountable faculty and staff with a clear understanding of their job expectations and how they contribute to the University's mission 	<ul style="list-style-type: none"> ☐ T5-E – Total compensation competitive with aspirant university and regional employers for all employees ☐ T5-F – Faculty and staff current with developments in their fields and the skills needed to achieve excellence in performing their jobs ☐ T5-G – Successful recruitment and retention of a talented and high performing, diverse workforce 	<ul style="list-style-type: none"> ☐ T5-H – Talented and high performing, diverse workforce recognized for excellence and award-winning faculty and researchers ☐ T5-I – Stable funding available for recruitment and retention of top level faculty and staff ☐ T5-J – Optimal number of faculty and staff comparable with our benchmark institutions
Metrics for Thematic Goal V		
<ul style="list-style-type: none"> ☐ T5-1 – # of national and international faculty awards ☐ T5-2 – # and % of faculty with endowed chairs, professorships, and fellowships ☐ T5-3 – Competitive compensation packages for faculty and staff ☐ T5-4 – # and % of faculty and staff participating in international experiences ☐ T5-5 – % of tenure/tenure-track faculty by demographic group ☐ T5-6 – % of fulltime staff by demographic group ☐ T5-7 – % of faculty and staff reporting satisfaction in the work environment 		

Thematic Goal VI: Facilities and Infrastructure Provide facilities and infrastructure that meet our evolving needs at a competitive level with our benchmark institutions and are an asset to recruit and retain quality students, faculty, researchers, and staff.		
Short Term Outcomes (2011 – 2015)	Intermediate Outcomes (2016 – 2020)	Long Term Outcomes (2021 – 2025)
<ul style="list-style-type: none"> ☐ T6-A – Responsive, timely, and strategic facilities services aligned with campus operational needs as well as future planning and implementation ☐ T6-B – Adequate temporary space to house programs and staff impacted by renovations of existing facilities ☐ T6-C – Robust and reliable information technology ensuring business continuity and consistent with the achievement of the highest quality levels of support for research, instruction, student services, and administration 	<ul style="list-style-type: none"> ☐ T6-D – Adequate office space for all K-State employees equipped to support their work and productivity ☐ T6-E – Enhanced campus community experience and collaborative learning and working environments promoted by facilities that support multidisciplinary work and integrated interaction between students, faculty, researchers, staff, and administrators ☐ T6-F – Efficient, reliable, and cost-effective central and building utilities with the capacity for expansion as needed to support campus needs and guarantee the safety, comfort, and integrity of our research, animal, and human environments 	<ul style="list-style-type: none"> ☐ T6-G – High quality, technology enabled, flexible and adaptable classroom space appropriate to the evolving needs of the learning environment and readily available to K-State faculty and students ☐ T6-H – High-quality research laboratories and specialty spaces that enhance research and scholarly activities ☐ T6-I – Well-maintained buildings, utilities, IT infrastructure, and grounds consistent with the expectations and image of a highly ranked land grant research and teaching institution ☐ T6-J – An excellent campus community experience supported by facilities and landscapes that enhance social interaction, learning and collaboration ☐ T6-K – Signature facilities that promote collaborative learning and working environments, multidisciplinary work, and integrated interaction between students, faculty, researchers, staff, and administrators
Metrics for Thematic Goal VI		
<ul style="list-style-type: none"> ☐ T6-1 – # and % of technology enabled classrooms ☐ T6-2 – Total expenditures for physical facilities and infrastructure projects ☐ T6-3 – Total annual expenditures for deferred maintenance ☐ T6-4 – Total funding available to support facilities and infrastructure needs ☐ T6-5 – % of faculty, staff, and students reporting satisfaction with facilities and infrastructure 		

Thematic Goal VII: Athletics Strengthen the interconnectivity between intercollegiate athletics and the campus community to prepare our student-athletes for success in school, in sport, and after graduation and benefit our university, community, and state.		
Short Term Outcomes (2011 – 2015)	Intermediate Outcomes (2016 – 2020)	Long Term Outcomes (2021 – 2025)
<ul style="list-style-type: none"> ☐ T7-A – Outstanding academic and athletic success by our student-athletes ☐ T7-B – Enhanced learning environments and relationships promoted by facilities and integrated activities that support interaction between students, student-athletes, and the campus community ☐ T7-C – Enhanced integration between academics and athletics ☐ T7-D – Increased support for academics through athletics ☐ T7-E – Exposure on a national and global level with unique branding that highlights the academic/athletic success of our student-athletes 	<ul style="list-style-type: none"> ☐ T7-F – A world-class student-athlete experience ☐ T7-G – Outstanding student-athletes prepared to excel in their chosen careers and community and personal lives ☐ T7-H – Increased funding for our total endowment 	<ul style="list-style-type: none"> ☐ T7-I – National reputation for a world-class student-athlete experience ☐ T7-J – Recognized leader in integrating academics and athletics ☐ T7-K – World-class facilities at all levels ☐ T7-L – Sustained funding for student-athlete scholarships
Metrics for Thematic Goal VII		
To be determined		

Source: Kansas State University⁷¹

⁷¹ “Strategic Action Planning Alignment Checklist.” Kansas State University, January 25, 2013. <http://www.k-state.edu/2025/documents/K-State-2025-University-Alignment-Checklist-1-25-13.docx>

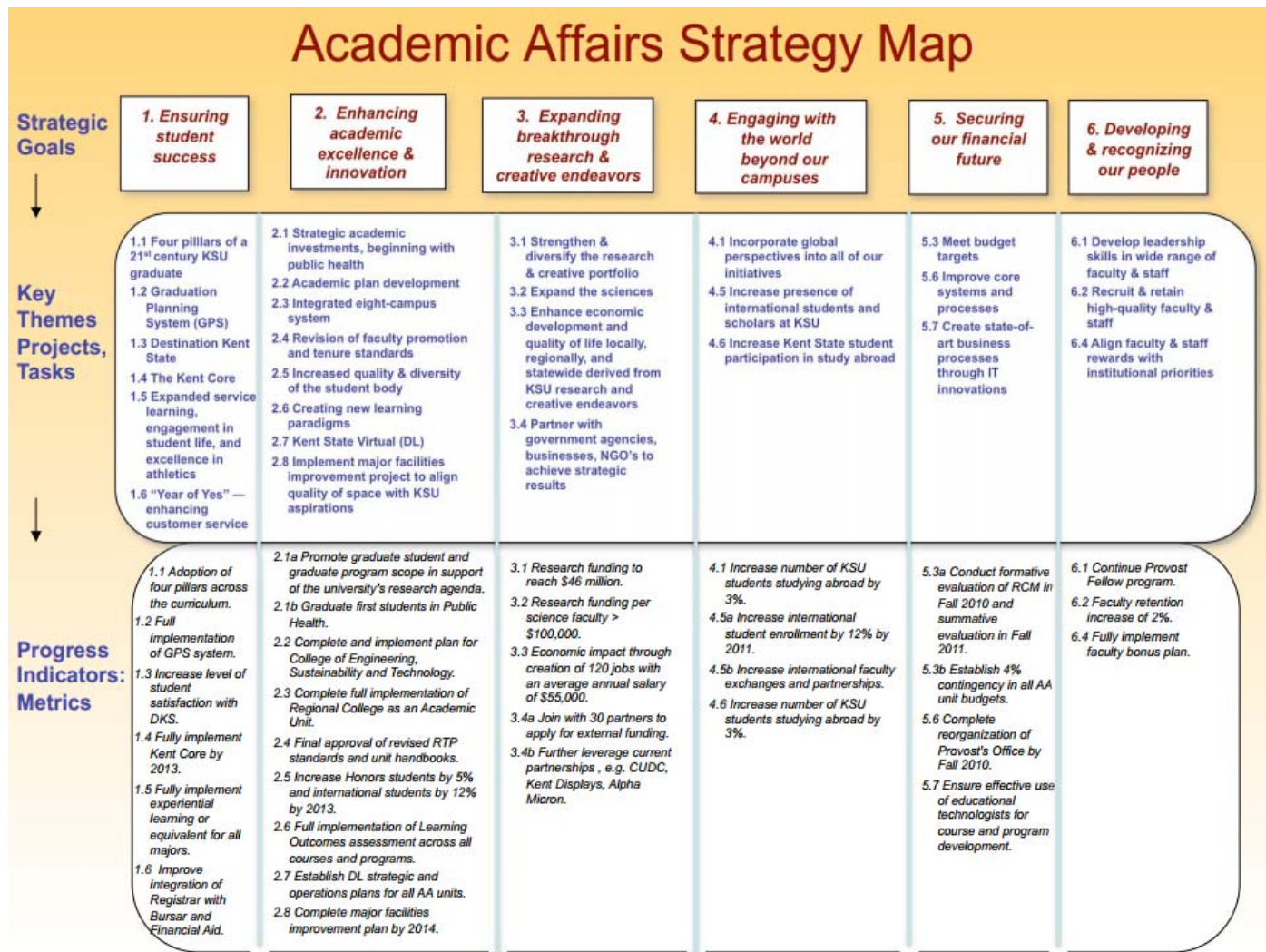
Figure A.4: University of Dayton Geology Department Assessment Plan for “Practical Wisdom” University-wide Objective

UNIVERSITY-WIDE OBJECTIVE: PRACTICAL WISDOM
All undergraduates will develop and demonstrate practical wisdom in addressing real human problems and deep human needs, drawing upon advanced knowledge, values, and skills in their chosen profession or major course of study. Starting with a conception of human flourishing, students will be able to define and diagnose symptoms, relationships, and problems clearly and intelligently, construct and evaluate possible solutions, thoughtfully select and implement solutions, and critically reflect on the process in light of actual consequences.
PERTINENT GEOLOGY DEPARTMENT OUTCOMES
<ul style="list-style-type: none"> • Students will demonstrate a firm grasp of the basic principles of Geology as developed in the introductory sequence of Physical Geology, Historical Geology, and Mineralogy. • All graduates will demonstrate a familiarity with the fundamentals of geological field investigation. • Graduates will be adequately prepared for employment in the geologic and/or environmental arenas. • Graduates will demonstrate an understanding of the relationship between science, culture, and society. • Environmental Geology majors will display interdisciplinary knowledge that is significant for success in their field
MEASURES TO BE UTILIZED
<ul style="list-style-type: none"> • All students will pass a “Second Year Review” of basic knowledge in Geology. The average score on the first time taking the exam will exceed 80%. • All physically able graduates will complete at least 15 days of intensive training in the fundamentals of field investigation, through course work in Field Geology and/or Environmental Instrumentation Laboratory, independent study and/or thesis work, and class field trips. In conjunction with this work they will demonstrate skills such as detailed note-taking and interpretation of observed field relationships, mapping of rock types or landforms at a variety of scales, detailed observation and description of earth materials (including measurement and descriptions of stratigraphic sections), and field-based sampling procedures and subsequent processing and analysis of samples in the laboratory. • At least 75% of graduating students will complete an internship, summer research experience, summer job, student teaching (for dual degree students), or volunteer experience in an earth science-related field. • On the Annual Survey of Exiting Students, over 75% of graduates will “AGREE” or “STRONGLY AGREE” with the statement, “As an undergraduate in the Geology Department of the University of Dayton I believe I am adequately prepared for a career in geology and/or environmental geology.” • On a Post-graduate Survey of alumni to be administered three years after graduation, at least 75% of alumni will AGREE or STRONGLY AGREE with the statement, “I believe that my undergraduate experience at the University of Dayton adequately prepared me to pursue a career in earth and environmental sciences or related fields.”

Source: University of Dayton⁷²

⁷² Figure contents taken verbatim from: “Geology Department Assessment Plan.” University of Dayton, September 2011. pp. 2-3. https://www.udayton.edu/finadmin/ir/assessment/docs/Assessment_Plan_Geology_2010-11.pdf

Figure A.5: Academic Affairs Strategy Map for Kent State University



Source: University of Dayton⁷³

⁷³ "Academic Affairs Strategy Map." Kent State University, January 27, 2010.
<http://cmsprod.uis.kent.edu/about/administration/provost/upload/Academic-Affairs-Strategy-Map.pdf>

Figure A.6: CSU Chico Academic Affairs Planning Evaluation Rubric

APC Evaluation Rubric

Theme:		
Proposed Action Title:		
Description:		
Key Performance Indicators (Please identify one to three measures/outcomes that will indicate/mark measured success (or failure) of the action.)		
KPI #1:		
KPI #2:		
KPI #3:		
Background		Comments/Explanation
Strategic Priority Alignment (check all that apply) <input type="checkbox"/> Believing in the primacy of learning, we will continue to develop high-quality learning environments both inside and outside the classroom. <input type="checkbox"/> Believing in the importance of faculty and staff, and their role in student success, we will continue to invest in faculty and staff development. <input type="checkbox"/> Believing in the wise use of new technologies in learning and teaching, we will continue to provide the technology, the related training, and the support needed to create high quality learning environments both inside and outside of the classroom. <input type="checkbox"/> Believing in the value of service to others, we will continue to serve the educational, cultural, and economic needs of Northern California. <input type="checkbox"/> Believing that we are accountable to the people of the State of California, we will continue to diversify our sources of revenue and strategically manage the resources entrusted to us. <input type="checkbox"/> Believing that each generation owes something to those which follow, we will create environmentally literate citizens, who embrace sustainability as a way of living. We will be wise stewards of scarce resources and, in seeking to develop the whole person, be aware that our individual and collective actions have economic, social, and environmental consequences locally, regionally, and globally.		
Organization Impact Level (Consider groups affected by this action, check all that apply)	<input type="checkbox"/> Student <input type="checkbox"/> Faculty <input type="checkbox"/> Staff <input type="checkbox"/> Community/Others	
Organization Implementation Level (Consider who will implement this action, check all that apply)	<input type="checkbox"/> Department <input type="checkbox"/> College (list all involved in comments) <input type="checkbox"/> Academic Affairs (division-wide) <input type="checkbox"/> Multiple Divisions	
Resource Predictability (implementation and ongoing costs, consider direct costs and additional workload)	<input type="checkbox"/> many unknown costs <input type="checkbox"/> some costs are known <input type="checkbox"/> most costs are known	
Criteria	Values	Comments/Explanation
Timeframe for Implementation	<input type="radio"/> unknown <input type="radio"/> long-term, may require multi-year planning, discussion, changes to reorganization, infrastructure <input type="radio"/> medium-term, requires > one semester, up to an academic year <input type="radio"/> short-term, immediate impact, can be implemented quickly: weeks or up to one semester	
Resource Intensity One Time (Initial costs of implementation; consider direct costs and additional workload.)	<input type="radio"/> very high costs (>\$200K), with major impact on budget, entails trade-offs, significant reallocation <input type="radio"/> significant costs (\$100K-\$200K), with significant impacts on budget, implies some trade-offs, reallocation <input type="radio"/> moderate costs (\$25K-\$100K), with low to moderate impacts on budget, probably can be accommodated with only limited reallocation. <input type="radio"/> very low to no cost or possible cost savings (\$0-\$25K), little impact on budget, can be accommodated within normal budget allocation processes.	
Resource Intensity Ongoing (What are the ongoing costs after initial implementation?)	<input type="radio"/> very high costs (>\$200K), with major impact on budget, entails trade-offs, significant reallocation <input type="radio"/> significant costs (\$100K-\$200K), with significant impacts on budget, implies some trade-offs, reallocation <input type="radio"/> moderate costs (\$25K-\$100K), with low to moderate impacts on budget, probably can be accommodated with only limited reallocation. <input type="radio"/> very low to no cost or possible cost savings (\$0-\$25K), little impact on budget, can be accommodated within normal budget allocation processes.	
Scope of Impact (Describe affected groups in comments)	<input type="radio"/> unknown how many participants will benefit <input type="radio"/> will affect relatively narrow group of participants, specialized program <input type="radio"/> will affect many participants, broad reach <input type="radio"/> will affect most/all participants across campus	
Intensity of Impact	<input type="radio"/> unknown or very low impact <input type="radio"/> low-moderate impact on participants <input type="radio"/> moderate impact on participants <input type="radio"/> very high, transformative impacts	

Source: CSU Chico⁷⁴

⁷⁴ "APC Evaluation Rubric." CSU Chico, October 2014.
http://www.csuchico.edu/futurepossibilities/documents/apc_evaluation_rubric.pdf

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4401 Wilson Boulevard,
Suite 400
Arlington, VA 22203

P 202.559.0500 F 866.808.6585
www.hanoverresearch.com