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ABSTRACT

A monograph, which is the first written description of a state-wide application of systematic planning based upon the concepts of corporate and conglomerate long-range planning, is presented. The six-year planning process of the Washington State community college system embraces a four-phase sequence of activities. Phase I involves the development of a tentative system-wide statement of goals and objectives, together with examples of program steps needed to implement the objectives in Washington's 22 community college districts. The purpose of Phase II was the development of 22 district long-range plans that would articulate with the Phase I system-wide statement. Phase III calls for consolidation of the planning reports from the 22 districts with the Phase I statement into a final system-wide plan for 1973-75. Phase IV will utilize the systems and procedures for planning developed in Phase I through III. Other data given in this monograph include the background for the six-year plan, the plan itself, the basic elements of a long-range plan, and additional considerations. Conclusions are given. (CK)

LONG-RANGE PLANNING

FOR

COMMUNITY COLLEGE EDUCATION

By

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Community College
Education

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PREFACE

Although the field of education has demonstrated its attraction to "fads", sometimes described as "educational kicks", it can safely be said that comprehensive planning is here to stay. The scope and complexity of education makes it a major social enterprise which must be examined with the view of future requirements and future impingements. Each institution of post-secondary education is confronted with the need for planning; each segment of institutions are dependent upon systematic planning as a component of the total state-wide post-secondary educational system which itself must be planned in the global context.

This monograph is the first written description of a state-wide application of systematic planning based upon the best concepts of corporate and conglomerate long-range planning. It should be invaluable to state systems of two-year colleges moving toward an organized and sequential planning process. It should be equally beneficial and helpful to individual institutions.

The author of this monograph, Mr. John C. Mundt, was the recipient of an in-service award for incumbent state officials responsible for community colleges made by the Center for State and Regional Leadership of Higher Education operated jointly by The Florida State University and The University of Florida under a grant from the W. K. Kellogg

Foundation. Mr. Mundt brings to his position as State Director a rich background in corporate management, governmental service and diplomacy, and educational statesmanship. His understanding and commitment to organization and design can be seen in the orderly and sequential manner in which the topic is presented in this publication. His concern for private as well as public post-secondary educational enterprise can be seen in the section dealing with the private sector. His understanding of the need for a long-range context in which to identify short-range objectives is also apparent throughout the monograph.

The Center for State and Regional Leadership provides secretariat services to the National Council of State Directors of Community/Junior Colleges, in-service opportunities for incumbent officials, and pre-service training for individuals aspiring to serve in state or regional agencies which deal with two-year colleges. The Center has operated as part of a partnership between The Florida State University and The University of Florida for the past four years. The two universities have worked as a team for more than twelve years, having originally established the Southeastern Community College Leadership Program under a grant from the W. K. Kellogg Foundation in 1960. That Program continues to operate on a self-sustaining basis whereby community college administrative personnel participate in summer workshops

conducted by the universities. In addition, students prepare for administrative leadership positions in community/junior colleges through the doctoral programs of the two universities.

Dr. James L. Wattenbarger, Director of the Institute of Higher Education of The University of Florida, and I direct the Center for State and Regional Leadership. A series of planned experiences for doctoral students preparing to serve in state agencies bring the two groups together regularly. That cooperation extends to assistance in reading the manuscripts submitted as part of the in-service program for state officials. Therefore, I wish to acknowledge the contribution Dr. Wattenbarger made in assisting me to review and edit the manuscript of this monograph.

Louis W. Bender
Professor of Higher Education

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SYNOPSIS

FOUR PHASES OF THE SIX-YEAR PLAN

The Six-Year Plan process of the Washington State community college system embraces a four-phase sequence of activities.

PHASE I

This phase, commencing in the summer of 1971, involved the development of a tentative system-wide statement of goals and objectives, together with examples of program steps needed to implement the objectives in Washington's 22 community college districts. The Phase I statement covered only the years 1973-75 and was completed in December, 1972.

There are eight goals, each representing a broad area of effort. The Phase I statement is noteworthy, among other reasons, in that it includes 44 measurable objectives (a recognition of the demand for accountability). The introduction of measurable objectives constitutes an effort essentially to use quantifiable data to assure quality. Also included are 44 more traditional general objectives (offering an appropriate balance for the measurable objectives and providing a recognition of the inherent humanism of higher education). The 88 objectives are distributed among the eight goals and provide a clear indication of where the system intends to go. They serve notice that we are willing to be held accountable for whether or not planned

results, both tangible and intangible, occur.

The structure of the Phase I statement consists of:

1. The eight goal statements of the system (common to all 22 district plans).
2. Operational definitions of the goal statements (common to all district plans).
3. 44 general objectives.
   a. The objective statement (common to all district plans).
   b. Examples of the programs and activities conducted by the districts to achieve each objective (not common to all districts).
4. 44 measurable objectives.
   a. The objective statement (common to all district plans, but with unique district targets).
   b. Three forecasts of system achievement for each measurable objective, based upon three potential budget support levels. This provides graphic portrayal of the impact of various potential budget levels on system performance.
   c. Brief analysis of the objective and the achievement of forecasts.

Using Goal II, the following extracts may be used to illustrate the foregoing structure.

> "Goal II: MAINTAIN AN OPEN DOOR BY ADMITTING ALL APPLICANTS WITHIN THE LIMITS OF THE LAW AND THE RESOURCES AVAILABLE TO THE SYSTEM, IN LOCATIONS REASONABLY CONVENIENT TO ALL WASHINGTON RESIDENTS.

OPERATIONAL DEFINITION: Open Door--This area is intended to reduce or eliminate the geographic, social, financial, academic, and other barriers to access to community colleges.

Part I - General Objectives

General Objective No. 1--To attract potential students not otherwise likely to enroll in a post-secondary educational program."

[Note: There are four additional general objectives under Goal II.]

[Note: Set forth immediately below is the first program example of the manner in which General Objective No. 1 will be achieved.]

"1. Young Adults:

A. One district will contact high school counselors in the service area and provide information for their dissemination to potential drop-out students, low-motivated students, and young adults who could profit from post-high school education.

B. Another district will work with nearby high schools to expand the admission of high school juniors and seniors to selected occupational programs.

C. A cooperative program has been developed in a third district whereby high school students enroll in regular college (or special) vocational education programs for three hours a day. This

encourages high school youth to stay in school and continue post-high school education."

[Note: Six additional programatic examples are listed under General Objective No. 1.]

[Note: There then follows Part II, the section on measurable objectuves under Goal II.]

"Part II - Measurable Objectives

1. To increase the number of occupational courses in the system that provide continuous enrollment from 566 in fall, 1971, to $\frac{665}{825}{1053}$ in fall, 1974.

One of the barriers to a truly 'open door' has been an instructional methodology which permits entry only at the beginning of quarters. To make available community college services to a broader range of citizens at times convenient to them, many colleges plan to expand the number of classes which allow continuous enrollment. The projections noted in this objective are based upon the plans of 19 districts."

[Note: The three different numbers above represent the results of three different budget levels.]

[Note: Four additional measurable objectives arelisted under Part II of Goal II.]

PHASE II

The purpose of Phase II was the development of 22 district long-range plans that would articulate with the Phase I system-wide

statement. Concluded at the end of March, 1973, with receipt in Olympia of the planning reports of the 22 individual districts, Phase II district statements included the local objectives and programs representing the achievements proposed by each district for 1973-75. Districts are as different as the communities served, so district plans do not have the same content. State-wide consistency has been achieved through the use of a standard reporting format, the use of the eight goals throughout the system, and the inclusion of the system-wide general and measurable objectives in every district plan. The base-line and target numbers for the measurable objectives vary from district-to-district.

Responsibility for organizing the planning task was assigned by each district president to the person most likely to get the job done. The assignment typically went to a dean; in some cases to the business officer or planning offer; and in two cases was carried out by the president. The planning group in each district provided a constant test of the reality of proposed state-wide procedures.

The experience in Phase II was gratifying insofar as the compatability of state-level and district-level planning was concerned. The voluntary response of Community College District No. 5 (Edmonds/Everett) was typical: "Washington Community College District 5 accepts the state system approach to planning for Washington's community colleges. We feel that the common objectives for the system, the objectives distinctly district, and those unique to the individual college allow sufficient latitude to carry out our philosophy."

The development of programs needed to carry out goals and objectives is typically and primarily a district or campus-level responsibility.

An example follows of how one college (South Seattle Community College - District No. 6) addressed one objective in local programatic terms. Using again the illustration of continuous enrollment, there follows an extract from the South Seattle Plan:

"Program Elements:

a. Identify all courses and programs, both academic and occupational, that may be suitable for continuous enrollment if adequate instructional programming care be devised (see "d" below).

b. Continue to provide enrollment and registration mechanisms that will accommodate the student who may wish to enroll at any time during the calendar year.

c. Assist the state staff in designing supplemental reporting mechanisms that will allow the College to receive reimbursement for students who enrolled after the MIS-2 reporting system cut-off dates.

d. Provide instructional programming that would be required to modify the "locked-in" timing and sequence of many instructional programs at the present time:

1) Develop programmed instruction material

2) Provide audio-visual aids to instruction

3) Develop other auto-tutorial systems as appropriate

4) Provide teacher education effort to equip the instructional staff to deal with students on a continuous enrollment basis

e. Continue to seek additional facilities and operational funds--

the major deficiencies in our continuous enrollment program at this time."

The foregoing extract is approximately one page from the 516 page composite Six-Year Plan of the three Seattle Community College campuses composing District No. 6.

Other districts, addressing this same measurable objective, identified additional program elements such as establishing developmental centers, increasing the number of instructors who are "developmental faculty," extending programs to Indian reservations, and instituting ethnic studies programs.

PHASE III

Scheduled for completion by the end of September, 1973, this phase calls for consolidation of the planning reports from the 22 districts with the Phase I statement into a final system-wide plan for 1973-75. In this way, the final system-wide statement will come to reflect both state-level and local concerns.

Phase III will be conducted primarily by the State Board staff, working with districts to resolve any problems discovered in Phase II and reconciling differences between district and state planning reports. Phase III will provide a summary of state-wide objectives based on targets reflecting actual 1973-75 operating budgets.

One other task will be completed during Phase III--the integration into the final Phase III report of comments or suggestions solicited from other educational and private sector entities. We recognize that the

community college system does not live in a vacuum and must cooperate effectively with both the common school system and the four-year institutions and universities of the state. It is most important to responsible system and district planning that we identify extra-system policies that will have impact on system and district plans (principally, those of other school systems as well as of the Council on Higher Education--the state's higher education planning agency--and the Office of Program Planning and Fiscal Management--the Governor's fiscal office). This process will become more formal as our state establishes the 1202 Commission and Advisory Council for Community Colleges mandated by the Education Amendments of 1972.

PHASE IV

This phase will utilize the systems and procedures for planning developed in Phases I through III, refine them if possible, and extend the planning process to cover the six-year period, 1975-81.

BASIC ELEMENTS OF PLANNING

Throughout the above four-phase structure, the integrity and sequence of now well-accepted planning elements were preserved: goals, objectives, programs, budgets and evaluation. These elements were, of course, not original with us but proved to be adaptable to our needs. They demonstrated, too, that many of the principles of management by objectives (MBO) and PPBE (Planning, Programming, Budgeting, Evaluation)--long employed by the private sector--can be utilized in an educational setting.

The Six-Year Plan process does not conceive of the planning elements as separate or isolated activities but rather as a continuous, well-articulated effort in which goals and objectives guide the development of programs and budgets, with periodic evaluation of results to determine necessary revisions in each step for the next planning cycle.

Finally, interspersed in the text are Seventeen Commandments of long-range planning--identified in the course of our planning experience in the State of Washington. These are as follows:

Seventeen Planning Commandments

1. Adopt planning systems and procedures that are consistent with the history, structure and personality of the institution or system involved in the planning; in our case, this called for a recognition of the balance of legal and historical responsibilities between the State Board and the district boards.
2. Because of the dynamic nature of the demand for service and diversity of clientele in community college education, planning should particularly provide mechanisms for change in community college programs and activities.
3. A long-range plan in higher education should attempt to provide for output-oriented accountability without doing violence to academic freedom or traditional humanism.
4. Long-range planning is merely one of a number of strategies in the arsenal of modern management practices; to be effective, long-range planning should be accompanied by other necessary

ancillary activities, such as proper operating and capital budgeting procedures, an efficient MIS system, effective computer utilization, and the development of competent staff resources.

5. Review the private sector application of MBO (Management by Objectives) and PPBE (Planning, Programming, Budgeting, Evaluation), as many of the same principles and techniques--though not all--are applicable in an educational setting, particularly a heavy introduction of an output-oriented emphasis.
6. One of the first basic conditions of planning is structural in nature: the adoption of known, written systems and procedures providing for the flow of assumptions, responses and decisions throughout the organization during the planning process.
7. As the validity of assumptions about the future affects the plan, early in the process the planning organization should commit to writing and take into account the events and circumstances expected to occur during the life of the plan.
8. Take steps immediately to assure the development of relevant data that are timely, comprehensive and accurate.
9. Meaningful involvement by faculty, trustees, administrators, and students is the principal sine qua non of successful planning; go to great pains to make certain this occurs.
10. Make certain that in developing system or institutional goals, an environment is created and procedures are adopted that permit individuals to also achieve their personal professional goals.

11. It is essential to secure top-level support for planning from leaders of system constituencies; this should be accomplished at the outset and then maintained throughout the planning process.
12. A state-wide plan for a system of community colleges should make adequate provision for local variations on an institutional basis.
13. The goals of the system and the institution should be idealistic but reachable; they should not be so pedestrian as to require little or no effort to attain them.
14. Both general and measurable objectives have a place in the plan; measurable objectives should have characteristics of quantifiability, additivity, divisibility, transferability, consensus acceptability, and flexibility.
15. Program budgeting is, by definition, an inevitable necessity for meaningful long-range planning; hence, steps to develop such a budgeting system should be taken as rapidly as possible.
16. As the planning process is lengthy, be attentive to the identification and application of useful interim benefits and conclusions that develop.
17. Incentives in the private sector are standard techniques for implementing long-range corporate plans; the executive and legislative branches of government should explore the introduction of incentive systems in higher education.

ACKNOWLEDGEMENTS

First, acknowledgements must surely go to the many members of the Washington State community college system who cooperated in the planning process--faculty, students, trustees, administrators and State Board members and staff. Particular thanks go to Dr. Melvin E. Lindbloom, President of Green River Community College, who quickly responded to my request to chair the State Steering Committee for the Six-Year Plan--thereafter spending many hours to shepherd the project to completion.

My gratitude must be expressed, too, to the W. K. Kellogg Foundation for financing the cost of producing this monograph, and to the FSU/UF Center for State and Regional Leadership for administering the Kellogg program. Their selection of this topic made it possible for me to develop the written story of our long-range planning experience.

To write a paper of this nature requires that one get away from the firing line for a time, with an opportunity to reflect, examine reports from sister states, and collect one's thoughts in a systematic way. It was a particular pleasure to accomplish this at Florida State University and the University of Florida with such knowledgeable and congenial hosts as Dr. Louis Bender, Dr. James Wattenbarger, and my fellow State Director, Dr. Lee Henderson. During my stay, I incidently discovered that there is a considerable kinship of concept and philosophy between the

Floridians and Washingtonians in community college work.

Hopefully, our experience in the State of Washington, as recorded in this monograph, will be of assistance to our community college colleagues in other states who may be considering serious long-range planning in their own jurisdictions.

John C. Mundt
Olympia, Washington
July, 1973

I. BACKGROUND FOR THE SIX-YEAR PLAN EFFORT

A. Environment for Planning in the Washington Community College System

It is first important to understand the context in which the six-year planning process of the Washington State community college system has developed.

Legal Structure

In the Community College Act of 1967, the Washington State Legislature transferred the community colleges from local school districts to a new state system. Twenty-two community college districts were established which together covered the entire state. Each has its own five-member board of trustees, and each member is appointed by the Governor. At the same time, the Legislature created a seven-member State Board for Community College Education. The members of the State Board are also appointed by the Governor.

While the list of State Board and district board responsibilities is lengthy, the following outline embraces the principal ones.

The responsibilities assigned to the State Board for Community College Education under the 1967 legislation include:

1. Preparation and submission to the executive and legislative branches of a single operating and capital budget incorporating the biennial budget needs of all 22 districts. (Competition between 22 districts at the legislative level for limited

resources available would not be feasible nor, therefore, in the taxpayers' interests.)

2. Allocation of capital and operating funds to the districts (a sensitive endeavor but one fortunately fairly well-developed).
3. Assurance that a comprehensive program is offered in each district and an open-door policy is maintained.
4. Preparation of a state master plan (the subject of this monograph).
5. Establishment of criteria for creation of new colleges and campuses, for modification of district boundaries, and for capital construction.
6. Establishment of minimum standards regarding personnel qualifications, district financial procedures, curriculum content and admission policies.
7. Encouragement of instructional innovation.
8. Any other powers, duties and responsibilities necessary to carry out the purposes of the 1967 Community College Act.

The district boards of trustees are charged with the following responsibilities by the 1967 Act:

1. Employment of the president, faculty and staff, and the conduct of professional negotiations with the faculty on a wide range of personnel and policy matters.
2. Operation of the community colleges.
3. Creation of comprehensive programs and maintenance of an open-door policy.

4. Award of degrees, diplomas and certificates.
5. Establishment of new facilities under approval and direction of the State Board.
6. Establishment and operation of self-supporting service facilities.
7. Application of State Board rules and regulations.
8. Performance of other activities consistent with the Act and not inconsistent with State Board directives, and performance of other duties and responsibilities imposed by law or rules or regulations of the State Board.

From the foregoing, it is clear that the State Board has a general coordinating (staff) role rather than operating (line) authority and is charged with concerns of a state-wide nature--how many new colleges are needed, where they are to be located, how much money is needed, how the resources of the system should be allocated, what policies, standards or guidelines are required for all community colleges.

In general, the district boards of trustees are charged with the responsibility for the delivery of community college services to the public--for the operation of the colleges in their districts, the determination of curriculum, the award of degrees, and the promulgation of the rules and regulations necessary for the administration of the district.

One might conclude that the Washington State Legislature adopted the General Motors approach to organization: centralized financial responsibility and decentralized operations. The third GM characteristic is, of course, lacking: an extensive incentive system; but the community

college system is a public agency and not, therefore, accustomed to incentives commonly in use in the private sector.

Complexity of the System

The community college system includes 27 campuses, some 125,000 individual students and over 7,000 employees. We offer a full range of on-campus programs, plus courses at more than 500 off-campus sites--in public schools, community centers and office buildings. The system also sponsors an overseas PREP program (Pre-Release Education Program for high school completion). Big Bend Community College has contracted on behalf of the system with the Department of Defense to offer PREP to Army personnel in Europe. Olympic College sponsors a similar program for the Navy on Guam and other locations in the Pacific. The PREP programs have given rise to the saying that the sun never sets on the Washington community college system!

Eighty-nine percent of the state's population resides within 30 minutes commuting distance of a comprehensive community college program.

Whatcom Community College has no campus and no plans to build one. They borrow or rent facilities wherever there is a need to present an educational program. Whatcom is an experimental "college without walls."

Such was the "system" created by the 1967 legislation. Needless to say, legislatures do not have magic wands that can overnight wave 22 districts into a smoothly-functioning, well-articulated "system." This takes time. One vehicle on the way to accomplishing this is widespread involvement in and common adoption of a long-range plan. This takes more time.

In any event, the legal structure and complexity of the new community college "system" clearly made some sort of common long-range plan the sine qua non of any coordinated, self-consistent, efficient operation. Moreover, the balance of responsibilities between the State Board and the district boards meant that any successful long-range plan for the system could only result from democratic, rather than imposed, procedures. The system environment and structure rejected centralized planning as too tyrannical and called for wide participation instead. It may, therefore, be said that the legal structure and the complexity of the system influenced the systems and procedures selected by those who took the planning initiative. Such judgments turned out to be both sensitive and successful.

> *Planning Commandment No. 1: Adopt planning systems and procedures that are consistent with the history, structure and personality of the institution or system involved in the planning; in our case, this called for a recognition of the balance of legal and historical responsibilities between the State Board and the district boards.*

The Demand for Community College Services

As in other states, the demand environment in which the Washington community college system operates is constantly changing. Students and potential students are no longer coming to the system merely because going to college is the thing to do. For one thing, 44 percent of the system's fall, 1972, full-time equivalent students (FTE)* were vocational--most with a specific job in mind for which they were seeking a specific marketable skill. The system expects to be 50-percent vocational by 1976-77.

*An FTE in Washington equals a student taking 15 credits for one quarter.

Ninety-percent of all higher education students in the State of Washington attend public institutions: 57-percent (headcount) of these are in community colleges. These numbers illustrate how the State of Washington gives high priority to public higher education. The community colleges now serve 20 FTE's for each 1,000 of the state's population, and the service level for all post-secondary education is one of the highest in the country.

Nearly a third of Washington community college students are 30 years of age or over (compared to 8 to 9 percent in the four-year institutions). Another third are between 20 and 30. The portion of the state's population in the 20 to 30 range will grow over the next ten years, so vocational retraining and continuing education will be increasingly in demand, as will training for leisure time pursuits.

Economic accessibility to the community college system is also noteworthy. Living costs can be minimized by those students who live at home, and tuition is low--not more than $83 per quarter, compared with maximums of $169 at the state colleges and $188 at the state universities.

It is clear that accessibility and economy are two principal reasons for the momentum of the community college movement in the state and throughout the nation. Community colleges are making it possible for all age groups to "go back to college" throughout their lifetimes.

> *Planning Commandment No. 2: Because of the dynamic nature of the demand for service and diversity of clientele in community college education, planning should particularly provide mechanisms for change in community college programs and activities.*

The Demand for Accountability

A number of forces summate in the requirement for greater accountability in education.

Students are demanding greater "relevance," seeking useful outcomes from their teaching-learning experience. The local community, particularly through community college advisory committees for vocational programs (made up of labor and management representatives), increasingly demands that the programs offered by its community college relate to community problems and needs, and that the college receives at least its fair share of state funds. The public, through the executive and legislative branches of government, demands that better programs be mounted for more students at lower costs and with a minimum of new facilities. An additional reason for the growing emphasis on accountability is the determination of college administrators themselves, as professional managers, to improve the efficiency and effectiveness of the operation of the system.

All is not smooth sailing for the "managerial revolution" on campus, and voices can be heard combating the "efficiency cultists." There are those who have no hesitation in asking for financial support for the "partially unquantifiable and inherently untidy system of higher education," and imply the situation will ever be thus. ("Viewpoint," Stephen K. Bailey, Vice-President of the American Council on Education, Change, June, 1973, p. 9.) Others point to the fact that higher education is an "intensely human enterprise" and, as such, is "not so much managed as it is led." They claim that the "managerial revolution" has not resulted in hiring

better teachers, developed better organized curriculum, or made presidents or deans more efficient or responsible. (President Harold L. Enarson of Ohio State University in his 1973 commencement address, "University or Knowledge Factory?," at the University of New Mexico.)

Fortunately, the questions of humanism and efficiency are not either/or propositions.

> *Planning Commandment No. 3: A long range plan in higher education should attempt to provide for output-oriented accountability without doing violence to academic freedom or traditional humanism.*

B. Planning and Management Improvement Efforts

The Carnegie Commission on Higher Education study, The New Depression in Higher Education (The Cheit Report), examined the "crisis of confidence" in higher education and concluded there are three aspects to the task of restoring confidence: First, colleges and universities must have campuses that reveal themselves as being reasonably governable. Second, the colleges must demonstrate that they are reasonably efficient in their internal operations; and third, there must be "... convincing evidence that the activities of colleges and universities have a unifying set of purposes--purposes that the supporting public can understand and defer to" (page 155). Or, as Dr. George B. Weathersby of the University of California has written, "... the winds of high public costs and internal governance difficulties of post-secondary education have scattered the straws of unquestioning public trust and of unquestioning public support."

The common characteristic of the Carnegie Commission's three recommendations for restoring confidence is that they all require good

management to accomplish. The third activity--a unifying set of purposes--is an invitation to develop a thoughtful long-range plan.

There is no clear consensus among educators regarding the degree to which management principles from other sectors of society are applicable in educational settings. Some writers caution that management concepts drawn from business and public administration have only limited application in colleges and universities. On the other hand, Battelle Memorial Institute has surveyed many school districts that have started to use PPBE (Planning, Programming, Budgeting, Evaluation) and has concluded that school systems may be expected to employ PPBE increasingly in the years ahead (Battelle Research Outlook, "The Schools: Organizing for Change," Volume 2, Number 2, 1970). Statements in a recent publication of the American College Testing Program agree (Planning for State Systems of Post-secondary Education, Fred F. Harcleroad, ed., 1973).

The general conclusion of the State Board for Community College Education in Washington has been twofold. First, the Board is convinced that while it may be true that the community college system is not a profit-making enterprise and should not be managed as a private business, it can nevertheless be managed in a business-like way.

Second, the Board realizes that long-range planning is but one element in a series of necessary management improvement procedures recently introduced into the Washington community college system, as follows:

1. Employment of a competent state office budget, accounting and data processing staff (with heavy reliance on recruiting from the private sector). There really is no substitute for quality of staff.

2. Preparation of a comprehensive computer development plan.

3. A much-improved management information system providing data that is comprehensive, timely and accurate.

4. Provision of management training workshops by outside private sector consultants in the community college districts.

5. Development of substantive programs of activities for the various state-wide advisory groups--trustees (TACC), presidents (WACC), faculty (FACC), and students (CORP).

6. Initiation of several regional programs in the Puget Sound colleges which are reasonably proximate to one another, to avoid duplication and to enhance coordination of effort (as in pooling of learning resource center materials and establishment of a regional placement office).

7. A comprehensive effort to improve forecasting, particularly in the area of vocational program need.

8. Completion of a cost study that identified program costs and made it possible to use 15 instructional cost groups rather than the two--academic and vocational--that were used for many years. This was an important step towards program budgeting.

9. Improvement of the capital budgeting process through the introduction of a Capital Analysis Model (CAM)--a rational method for determining future space needs.

10. Establishment of a uniform chart of accounts for the system.

However, the most significant management improvement effort has been the organization of a sophisticated long-range planning process that will produce a comprehensive Six-Year Plan.

Planning Commandment No. 4: Long range planning is merely one of a number of strategies in the arsenal of modern management practices; to be effective, long range planning should be accompanied by other necessary ancillary activities, such as proper operating and capital budgeting procedures, an efficient MIS system, effective computer utilization, and the development of competent staff resources.

The Six-Year Plan provides a clear statement of community college intent for the future. A clear statement of intent (1) permits program planning and decision-making to occur at all levels of the sytem; (2) provides a foundation of knowledge on which the Governor and the Legislature can base sound decisions regarding resource allocations; and, (3) offers a standard against which the state's citizens can measure and support our activities. The Six-Year Plan is therefore a significant step forward in the use of sound management practices in the community college system.

The six-year planning process in effect constitutes adoption of many Management by Objectives (MBO) or PPBE concepts as the system's management mode. First, the planning process enabled the system to assess to what extent we have or have not achieved the original 1967 goals of the system. It also served to a considerable extent to document the need for changes. Second, it restated and updated our basic goals for the years ahead. Third, it provided comprehensive measurable objectives for the first time. These are in the form of specific statements that relate to short-term, attainable ends, planned steps to achieve the overall goals.

Fourth, it developed a program structure of activities and resources that contributed to the clarification and refinement of the goals and

objectives. Fifth, the Six-Year Plan propelled the system rapidly toward a program budget; that is, a budget stated in terms of outputs.

In accomplishing the foregoing, the system goes far in fulfilling the Carnegie Commission admonition to provide for internal efficiency and a unifying set of purposes. This also contributes to greater system effectiveness, increases confidence among our personnel in what they are doing, and permits us to rely on the accuracy and timeliness of system information and data. The latter points involve institutional morale and are therefore important in assuring the successful execution of any plan that is adopted. The unifying set of purposes in turn help demonstrate to the system personnel that Management by Objectives (MBO) is sufficiently noble to justify the time required.

C. Similarities and Differences in Management Problems in the Public and Private Sectors

It is not easy to introduce either MBO or PPBE into higher education today. This is because both MBO and PPBE, or any variation thereof, are output-oriented rather than input-oriented. Instead of the usual line items for teachers' salaries, supplies, building maintenance, and other goods and services, spending is planned on the basis of the results it will buy. This approach, used by the Department of Defense and most sizable corporations to optimize the utilization of resources, immediately plunges a college system into an analysis of its goals, objectives, programs, program budgets, alternative approaches, cost effectiveness analyses, and evaluation of results. To stick to the organization's ribs,

it also requires participation, for as the philosopher Hegel said years ago: "If I am to exert myself for any object, it must, in some way, be my object." Involvement by the diverse elements of the system, in turn, permits organizational development.

Both business and education are charged with producing a product of value (in our case, a meaningful learning experience) that is marketable and at the lowest possible cost. To accomplish this requires the application of sound management principles to the many variables that affect output. A good number of the principles and procedures found useful in business therefore have application in education. In education, however, additional factors must be taken into account--complex factors that apply to the formation of human beings and that do not necessarily apply to the formation of material manufactured products.

The challenge is to introduce the right amount of management and business principles into education, yet preserve the sensitivity of a long and honorable educational tradition. One way to achieve this is to proceed as democratically as possible, assuring system-wide involvement so that those most concerned with the humanistic side of the equation have every opportunity to influence whatever plans are finalized.

In the State of Washington, in the development of a Six-Year Plan for the community college system, every effort has been made to accomplish system-wide participation. This is particularly necessary in an educational institution, as distinguished from a corporation, in view of the centuries-old collegial tradition, the institution of tenure, the growth of collective bargaining, and the tradition of participation of faculty in

the governance of the institution. Another reason can be found in the fact that the State Board and its State Director, unlike the chief executive officer of a corporation, have no power to hire or fire those involved in the planning process. Moreover, they have little leverage in the way of personnel incentives. Moral suasion, the intrinsic worth of planning, and the possibility of meriting larger legislative appropriations are the substitutes for the rewards and punishment characteristics of a private corporation in accomplishing the planning task.

> *Planning Commandment No. 5: Review the private sector application of MBO (Management by Objectives) and PPBE (Planning, Programming, Budgeting, Evaluation), as many of the same principles and techniques--though not all--are applicable in an educational setting, particularly a heavy introduction of an output-oriented emphasis.*

D. Five Basic Conditions of Planning

1. The Establishment of a Systematic Planning Process

The first basic condition of planning is the establishment of a systematic decision process that provides for the flow of assumptions and responses from the highest point of accountability in the organization down to the deepest part of the organization that is involved in carrying out the plans, with communication and dialogue back up the ladder as well. Once we recognize that planning is a decision-making process, then we want each decision-maker to be armed with the best information available before he makes the decision expected of him. This means that those people in the organization with the broadest responsibility must state their assumptions (decisions) first so that they can condition every other activity in the process.

Much educational planning is done without enough awareness of the consequences. Many budget and program decisions are made by state-level agencies at a point in the biennial budget sequence after local decisions or budgets have already been made. Also, there is much confusion about just how far a state-level agency should go in approving or disapproving the activities of a local jurisdiction.

Once all planning activities are coordinated within the same schedule, once that schedule is described as a systematic process which is visible and predictable to all who participate in the planning activity, and once participation is effective, then badly-timed decisions and confusion about "second guessing" from the state level diminish.

> *Planning Commandment No. 6: The first basic condition of planning is structural in nature: the adoption of known, written systems and procedures providing for the flow of assumptions, responses and decisions throughout the organization during the planning process.*

2. Correct Assumptions About the Future

Although other institutions use longer periods, a six-year time-frame was logical for planning purposes in the Washington community college system. Six years embrace three biennial budgets to be considered by the legislature (the Washington community college system is over 80-percent state funded). Three two-year periods provide sufficient time to ascertain progress and to determine new objectives for the next cycle of effort. We are concerned here with the operating budget. Capital budgets contemplate needs for a longer period.

Any long-range plan, of course, must take into account the events and circumstances expected to occur during the life of the plan. Needless to

say, in many cases the appropriateness of the plan depends to a substantial extent upon the validity of the assumptions about the future.

Some of the assumptions underlying the Six-Year Plan for the community college system were as follows:

1. That the system will continue to receive at least 80-percent of its operating funding from the state Legislature.

2. That the vocational-academic "mix" will reach 50-percent by 1976-77.

3. That the major growth in enrollments in higher education in the state will continue to occur in the community college system rather than in the four-year institutions, though the growth may be at a slower rate than in the past.

4. That the public will continue to support adequate operating and capital budgets for the system, provided there is ample evidence that resources are efficiently managed and that the system is "accountable."

5. That there will be continuing emphasis on the importance of education in the State of Washington (Washington is among five other states ranking second in the median number of years of schooling completed by persons 25 years old and older, with 12.1 years. The state, along with four others, is fourth lowest in illiteracy, with only .9 percent of the population 14 years old and older unable to read and write.)

6. That there will be a steady though slow trend toward program budgeting in all public agencies of state government.

7. That the Council on Higher Education will increase its overall planning responsibility in the state (though lack of federal funding has deferred implementation of its 1202 Commission responsibilities).

8. That the growth of professional negotiations will continue to complicate the development of a proper governance environment between administrators and faculty.

> *Planning Commandment No. 7: As the validity of assumptions about the future affects the plan, early in the process the planning organization should commit to writing and take into account the events and circumstances expected to occur during the life of the plan.*

3. Accurate Data and Information

One of the first problems in developing the Six-Year Plan was a lack of data that was sufficiently comprehensive, timely and accurate. This deficiency in the system's MIS program was identified in a special survey of legislators and leading opinion formers in the state. A major system effort thereafter was launched to improve the capacity of the system to develop, store and retrieve data.

The community college system has made strenuous efforts during the past two years to improve its data collection and retrieval system. Without accurate, comprehensive and timely data, it is hardly possible to reach correct decisions or establish responsibile goals, objectives, programs, budgets or methods of evaluation.

> *Planning Commandment No. 8: Take steps immediately to assure the development of relevant data that are timely, comprehensive and accurate.*

4. Necessity of Broad Participation in an Organizational Sense

Broad participation established the legitimacy of the goals and objectives as the system targets in both Phase I and II of the Six-Year Plan. The theory of such a process is that doers will be willing to do

provided their doing is based on their own volition rather than on the basis of orders from higher up.

With tensions between faculty and administration often present (a nation-wide phenomenon) the Six-Year Plan process provided an opportunity for involvement by all elements of the system--faculty, students, administrators and trustees--in an area of common rather than adversary concerns.

The theory the system sought to apply was that policy formation, to be successful, must involve those on whom policy will impinge.

Thus, it was that among Phase II directions in connection with development of the 22 district plans, the following instruction appeared: "Initiate a participative process for developing your own district and campus objectives so each of them can also be assigned to one of your organization units for workup. Participation is a most important element in the development of institutional objectives. The exact form it should take is best determined on your campus."

In this instruction, the community college system took Douglas McGregor's writings to heart, for here was a frank recognition of the value of McGregor's Theory Y and X matrix in an academic situation. It is sometimes said in the real estate business that, in buying a house there are just three things to look for: location, location and location. In planning, the three things to look for are involvement, involvement and involvement.

Effective involvement also carried out one of the basic rules of management, i.e., that authority should be lodged at the lowest possible

level in the organization. It is unwise to concentrate all authority and responsibility at the top.

Finally, the exercise was an effort at team building, an effort to harness specialists across their disciplines. As Sheldon A. Davis in Building More Effective Teams has stated: "This is what team building is all about. It is a mechanism for getting effective behavioral coupling between technical specialists..." A technical specialist on a faculty is often so busy learning how to be a technical specialist that he does not have a lot of time to learn about collaborating with others or erecting interdisciplinary systems and procedures. Team-building was one of the fallouts in the planning process.

Participation it was discovered, though self-evidently valid as a concept, did not come about automatically or smoothly. It took time to accomplish properly. Yet participation by all elements in the system was essential to acceptance and support.

We also discovered in seeking participation in the planning process that we could not count on adequate communication down the chain of command. It was important to devise careful techniques to see that everybody was informed.

Another not unexpected result was that there were differing levels of support, understanding and commitment.

Nor, of course, is participation without its hazards. The planning process opens up all aspects of the district and system operation to the critical scrutiny of faculty, students and trustees so that they too begin to hold the system accountable for its goals and its performance.

Such changes should not strike terror into the hearts of administrators of public agencies. On the contrary, they open up rather exciting as well as constructive opportunities for change in the conduct of agencies of government. The Six-Year Plan was a goal-setting system specifically designed to produce involvement. A particularly good statement of the value of such a procedure is to be found in the American Management Publication, Goal Setting, by Charles L. Hughes, 1965, pp. 110-111. Though concerned with the private sector, the statement had application in our case:

"Interaction of organizational and individual goals. Employees at all levels must be fairly familiar with the corporate planning system if they are to be successful in achieving their personal goals through the achievement of company goals. Simple participation...is not the answer; rather, it is meaningful involvement in the organizational goal setting system itself that creates the motivation to achieve.

...In some corporations this is done in long range planning and annual planning conferences in which key people who are responsible for strategies have their goals and plans reviewed by top management. However, this sort of review cannot in fact be left to a large conference of top-level managers; instead. meetings must be held regularly to involve smaller groups of individuals in the whole process of developing strategies at all levels."

> *Planning Commandment No. 9: Meaningful involvement by faculty, trustees, administrators and students is the principal sine qua non of successful planning; go to great pains to make certain this occurs.*

5. Necessity of Fulfilling Individual Goals as Well as Institutional Goals

The last reference leads to the fifth basic condition of planning: that individual as well as organizational goals must be taken into account in successful planning. One of the most significant results of our long-range planning process was the addition of an eighth goal to the seven that appear in the legislation establishing the system in 1967. The eighth goal reads as follows: "Provide an environment and develop procedures through which employees committed to the community college system can achieve their professional goals."

The new goal was intended to emphasize activities that contribute to a high degree of staff morale and commitment to local campuses and the system. Participation and involvement gave rise to this additional goal in the first instance.

It has long been recognized in corporate life that the personal goals of the president and of the officers should be encompassed within the organization's goals as broadly conceived, and that for individuals at successively lower levels in the organization, the danger is always present that their "piece of the action" will become too specialized. Usually, though not necessarily, their personal goals become more difficult to achieve. It is therefore very important to establish a set of planning goals whereby personal goals need not be thwarted but, on the contrary, can be encouraged.

The addition of Goal No. eight was also designed to encourage the values of achievement, growth, responsibility and recognition, strong motivational needs inherent in the essential character of every human being.

It will, of course, remain to be seen how successful the system is in producing an interaction of system and individual goals so that the probability of achieving both is significantly increased. There is a good possibility that this will be achieved, inasmuch as there was prior knowledge of and involvement in the establishment of objectives and strategies planned in support of all of the goals, including the individual goal-setting envisioned in Goal No. eight.

> *Planning Commandment No. 10: Make certain that in developing system or institutional goals, an environment is created and procedures are adopted that permit individuals to also achieve their personal professional goals.*

E. Long-Range Planning in the Private Sector

The National Planning Association as long ago as 1959 issued a statement signed by many business and civic leaders:

"It would be one of the great tragedies of civilization if this country failed to realize the potentialities of long-range planning because it failed to distinguish between planning that is 'made in USA' and planning that is 'made in USSR'." (1)

Today, fortunately, planning as a corporate activity is generally accepted as desirable, and it is probably equated with the greatly appreciated quality of "farsightedness."

Planning received great emphasis during World War II with the need to build up armament munufacture rapidly. Thereafter, the growth of planning

(1) National Planning Association Special Report No. 56, More Long-Range Planning.

in corporations was further encouraged by a number of factors: greater economic stability, need to cope with increased government control of business, greater availability of statistics, the rapidity of technological change, large incremental changes in the economy, the growth of international trade, inter-industry competition, and the increasing size and complexity of firms. Thus, long-range planning has become an important management tool, and it would appear that the external environment for business will demand more, not less, long-range planning activity.

Applying private sector experience to education, therefore, we might conclude that sound long-range planning and effective budgeting are really a reflection of (1) the need to perfect an educational system's internal systems and procedures in order to be more efficient and effective in the utilization of resources and in the delivery of community college services to the citizens of the state, and (2) the need to be responsive to current legislative and public demands for greater accountability.

With respect to the community college system in Washington, the Community College Act of 1967 requires the State Board to "prepare a comprehensive Master Plan for the development of community college education and training in the state." In carrying out this mandate, the question, of course, is "What kind of a plan will we have?" Will it be a lofty, philosophical treatise, full of glossy generalizations? Or will it be a clear statement of direction that can be evaluated by non-educators, while being acceptable to the Governor, the legislature, and the public?

As we approached the Six-Year Plan task in Washington, we had Sir Winston S. Churchill's statement to the House of Commons on July 23, 1945, very much in mind: "It is always wise to look ahead, but difficult to look further than you can see."

II. THE SIX-YEAR PLAN ITSELF

A. Phase I: Initial System-wide Statement (1973-75)

As noted in the Synopsis, Phase I of the Six-Year Plan process has been completed. The purpose of Phase I was to prepare an initial statewide statement of goals, objectives and programs, and to establish the planning structure and preliminary statements of output requirements for the next biennium (1973-75), so that the programs could be expressed in budgetary language.

It is important for the success of long-range planning in any large organization that top management support the effort fully. It was therefore very important that an influential central State Steering Committee for the Six-Year Plan be selected.

Two characteristics typified the State Steering Committee. First, the chairman of the committee was a highly-respected former president of the Washington Association of Community Colleges, the presidents' association--Dr. Melvin Lindbloom, President of Green River Community College. In retrospect, the willingness of this fine president to accept the assignment from a new State Director, was necessary to assure the success of the venture. Second, the membership on the State Steering Committee was representative of all system elements. There were two

representatives each from the trustees, students, faculty, administration and State Board, each selected by his own constituency.

The presidents of the individual districts were integrated into the planning process and later appointed planning officers in their districts. The planning officers were in turn encouraged to develop Six-Year Plan project teams. Altogether, some 400 people participated in the initial statement of goals and objectives for the system, including many of those who must do the work if the objectives are to be reached.

> *Planning Commandment No. 11: It is essential to secure absolute top-level support for planning from leaders of system constituencies--administrators, trustees and faculty in particular; this should be accomplished at the outset and then maintained throughout the planning process.*

The first task was an evaluation of the seven existing goals of the system (an additional eighth goal was added in the planning process, as noted earlier). The State Steering Committee assigned a separate task force to each goal. Each task force then developed indicators of performance for the several objectives under the goal for which it was responsible, then devised a questionnaire with which to gather data from the community college districts on the extent to which the objectives were being met. The task forces consolidated the responses to these questionnaires. Their reports, plus data supplied by the State Board MIS system, constituted the means for considering the original goals.

A new task force was then convened and armed with the results of the evaluation. Chaired by the president of a district from one of the three metropolitan areas of the state, its job was to revise the goal structure, as necessary, and to establish the measurable and general objectives to

accompany each goal. An initial draft, "Interim Report," was submitted for review to the State Steering Committee, which in turn distributed it for general system review. In this document, dated November 4, 1971, the original task force working of proposed objectives was set forth, together with the changes recommended. A sample page appears as Exhibit A. This is merely one of 108 similar pages, and I invite the reader's particular attention to it. The Interim Report is in many aspects one of the most interesting documents produced in the Six-Year Plan effort, as it correctly reflects the internal thought process of the system itself.

It will be noted in Exhibit A that a section marked with an italicized "Rationale" follows each of the eight goal statements. In addition to providing clarification of the intent of the goal, the rationale statement also provided a statement against which the objectives could be tested.

Also, under most objectives, an italicized comment headed "Data Implication" provided a brief summary of the data availability and reporting implications of the objective. We simply eliminated those measurable objectives for which data development would have been too onerous or expensive.

Similarly, under most objectives, a paragraph headed "System Comment" summarized the comments received by the State Steering Committee and briefly stated the rationale for the action in the re-draft.

The objectives were worded in a manner which provided an indicator of system performance. They were not all expressed in terms of numbers, but each included a sense of the expected end results and when it could be accomplished.

Some concern was originally voiced in the process that the objectives, though numerous, were not all key indicators of system activity and direction. It was also suggested that there may have been some gaps not covered by any objective. To preclude this happening in the final set of objectives, five graduate students at the University of Washington reviewed the goals and objectives in light of (1) similar documents in other states, and (2) books and other published materials on the general subject of community college planning, such as the special reports of the Carnegie Commission on Higher Education. Until the Phase I statement was actually completed, this review by the University of Washington graduate students was the only outside comment the State Steering Committee had time to organize. Thereafter extensive further outside comment was solicited in Phase II of the project--though not very much was received.

Mention has also been made of three different budget levels provided to the districts as they developed work objectives and programs. The districts were expected to develop three forecasts of performance for the particular objective, given three hypothetical budget support levels. This was for the purpose of portraying the impact of various budget levels on system performance. It was designed to demonstrate to each legislator exactly what could be expected in terms of measurable output depending on the level of operating budgets approved. A legislature cannot expect to receive more than it pays for.

Through the work of the State Steering Committee, the Six-Year Plan officers in each district and their planning teams, the community college

system can at this point claim that it has taken planning off the bookshelf, implemented it through a single, integrated process relating the eight goals, the 88 objectives, and supporting programs to the 1973-75 operating and capital budgets, and is well on its way to a sophisticated, system-wide Six-Year Plan.

It can also be said that the Washington community college system has committed itself to be output rather than input-oriented. The initial statement of goals and measurable and general objectives for 1973-75 represents the system's first statement of its output expectations. The programs now underway or under development in the community college districts will establish how these output expectations will be achieved.

Any meaningful plan must result in a capital and/or operating budget--otherwise, it is mere theory. The 1973-75 community college operating budget request turned theory into practice as we incorporated into it twelve "thrust" areas identified in the planning process, and attached price tags to them.

B. Phase II: Twenty-two District Plans

The primary objectives of Phase II, completed March, 1973, were two-fold. First, it was intended to develop operational plans in all districts for the 1973-75 biennium. Second, it was designed to establish a solid planning process through which the district could most effectively plan for the future, determining what degree of participation was appropriate and what methods should be used to relate planning to budget decisions for the next biennium.

Concerns had been expressed that Phase I was not sufficiently relevant to district planning processes, and it was our intention through Phase II to accommodate these concerns.

In the development of the district plans, several state policies that impacted on the operations of the districts had to be taken into account. The State Steering Committee felt that it was a state office responsibility to make these known to the districts in sufficient time so that they could be considered in district planning.

These state-level policies included:

1. The impact upon the individual districts of the state data processing plan.

2. System enrollment projections.

3. Other state-wide program priorities, for example the twelve 1973-75 budget thrusts mentioned above and described in greater detail below.

Phase II resulted in the development of district/campus work plans that contributed to achievement of system-wide objectives as well as those unique to the district. A two-way communication resulted, with state-level objectives passed downward and district-level objectives upward, the two sets of objectives to be amalgamated into the Phase III summary scheduled for September, 1973. Responsibility for achieving a state objective in effect was passed downward from the State Board to the district board and president and on to the appropriate staff member at the institution, divisional, or departmental level. The staff member then developed a work plan that consolidated system and district-level objectives

and programs and set the quantity and quality of change. Each level of organization is interested in a summary of the work plans of the level just below it. It is expected that a good many individual staff member work plans will be the final result of this delegation of responsibility for achieving a target.

As each district developed its own unique plan, we found that for the most part the district plan and objectives articulated well with the Phase I system statement. Thus, the two-way communication did not result in insufferable problems.

The district Phase II plans included the following:

1. Additional objectives unique to the district. These objectives were designed to fill gaps that were left by the state-wide objectives. They described institutional outputs, services, and target student groups (i.e., senior citizens, minorities, etc.), as well as significant operating procedures. Standard forms developed by Bellevue Community College, set forth in Exhibits B and C, were typically designed to achieve this. Exhibits B and C were forms actually used at Bellevue.

2. Plans for the basic educational programs in the district--in terms of the 15 course groups currently used in the budget and accounting structure. Whereas objectives cited under number one above related to characteristics or features of district operations and services, the plans for the course groups related more directly to the current division-department structure. Planning for these groups included forecasts of enrollment changes, anticipated revisions of the spread of enrollments between the departments on a program basis, projected program and course additions and deletions.

3. A revision of the targets submitted by the districts in Phase I for the system-wide measurable objectives. In some cases this was required in light of the more thorough review and analysis of the district programs and priorities which occurred during Phase II.

4. Plans for facilities, equipment and staff development needed to support the effort identified in (1), (2), and (3) above. To assist the districts in carrying forward the district plans, a number of workshops were arranged in which any questions that had arisen were discussed and tied down. These workshops generally included a review of current objectives and the integration of planning and budgeting (members of the budget section of the state staff attended the workshops). Similarly, it was suggested that districts might hold campus hearings to obtain input from all elements of the college concerning the direction in which the college should be heading in the future. Such hearings did prove useful on a number of campuses.

It should be noted from the foregoing that we were able to avoid centralization and stop far short of dictating divisional objectives and strategies. Rather, we felt that district objectives and strategies necessarily depend upon a knowledge of local conditions. If all goals and objectives were established at the state level, it would destroy the incentive for their achievement.

In a communication to the districts on the importance of Phase II of the Six-Year Plan process, dated August 23, 1972, the following appeared:

"As you can see, we are attempting not to prescribe the process to follow, but what we expect to come of it. We will spend the time

necessary to help interpret our expectations so that they will not become restrictive."

The State Steering Committee expected each of the districts to follow its own decision-making process in identifying and assigning those general and measurable objectives that were not already included in the state-level set of objectives. Many of these objectives had already been stated in such documents as the accreditation self-study, the college catalog, the district's own internal planning processes, or in work that had been done through one of the organizational team development contracts. Four outside contractors were used by the system during the years 1971-73 to develop at the state staff and district level familiarity with modern management practices. The management workshops were financed by a grant from the Coordinating Council for Occupational Education, the state's vocational coordinating body.

Each district developed its own procedures. At Wenatchee Valley College as many as 75 faculty, students and administrators spent Saturdays developing the Wenatchee plan. At Bellevue Community College, each person with budget planning responsibilities in the district received Exhibits B and C. The purpose of the forms was to transmit all of the state-level objectives that had been assigned to each person and also served to invite him to establish his own set of general and measurable objectives, since he might well have some that were not included in either the state or district-level objectives.

The intent of this procedure was to assure that the responsible person at each level received no more reporting detail than necessary

to show that the general and measurable objectives (without work steps) he had assigned to the level below were completed and ready for implementation. For example, in the state office, the staff need only know (a) that the state-level objectives have been assigned to a person who has in turn developed a work plan for accomplishing them, and (b) that the districts have completed their task of establishing district-level objectives.

> *Planning Commandment No. 12: A state-wide plan for a system of community colleges should make adequate provision for local variations on an institutional basis.*

C. Phase III: Restatement of the System-wide Plan

Phase III will consist of the adjustment of the various district or institutional work plans with the Phase I statement, to account for the differences of expectation that are bound to arise between state and local planners. Following Phase III, we plan an evaluation of the results of the efforts generated in response to the work plans, an accounting of progress made, and the setting of new bases for the next improvement efforts.

The complete Phase III plan will provide a system-wide overview of 22 district responses. The overview will consist of a statement of the scope of service offered by the community college system and will take into account the assumptions upon which the district plans were developed.

We are far enough along to have confidence that the match between district plans and the system-wide overview will provide a logical sequence of goals and objectives to programs and budgets; a clearly understood, defensible set of program priorities; and program cost factors that reflect both historical costs and assumptions about the need for

increased efficiency of operations. If the match between district plans and the system overview is strong, then the opportunity for district accountability for common system goals will be strong, and the plan will become the single voice of the community college system.

The community college system can, in addition, look upon the Phase III plan for 1973-75 as a contract with the legislature for the combination of community college services and legislative appropriation support that best serves the citizens of the State of Washington. An appropriation that directly relates dollars to expected program results represents an unparalleled opportunity for system accountability to the public.

D. Phase IV: Extension to 1975-81

Once the first three phases are complete and a restatement of the system plan for 1973-75 is finished--taking into account the planning experience of Phases I and II--the system will be ready to apply the systems and procedures that have been developed to the structuring of the Six-Year Plan for the period 1975-81.

Two other factors will assist the Phase IV effort: (a) full implementation of program budgeting down to the instructional program level, and (b) evaluation of the results of the first three phases.

We anticipate that a new State Steering Committee will be organized in the fall of 1973 to manage Phase IV. Phases I through III are largely internal in nature, though we solicited outside comment during Phase III. The outgoing State Steering Committee recommended that outside public members, including representatives from user groups, have membership on

the new Steering Committee. This accords with similar suggestions from organized labor. It has also been recommended that the State Director chair the new Steering Committee to emphasize the importance of the activity. Finally, membership on the new State Steering Committee will no doubt be structured also to comply with the Education Amendments of 1972--with the provisions concerning the Advisory Council on Community Colleges. It is our belief that long-range planning is sufficiently accepted throughout the community college system that outside representation and participation can now be effectively integrated into the Phase IV effort.

III. THE BASIC ELEMENTS OF A LONG-RANGE PLAN: GOALS, OBJECTIVES, PROGRAMS, BUDGETS, EVALUATION

A. Goals

By "goals" we mean broad categories of effort describing the ends that the community college system is striving to attain.

In many organizations goals must be identified de novo at the beginning of a planning process. In our case, many of the goals were contained in mandates of the Community College Act of 1967, which established the system in the first instance. Fortunately, as analysis in the Six-Year Plan process demonstrated, these goals were neither so idealistic that they were unrealistic, nor were they so pedestrian as to require little or no effort to attain them.

The goals challenge goal-oriented rather than task-oriented persons in the system and make it possible to shift from an input to an output

emphasis. Goal-oriented individuals are, by and large, confident and action-minded. They have a tendency to make prompt decisions. Self-starters set long and short-range goals for themselves and welcome feedback and knowledge of results. This is in contrast to the task-oriented person who is generally concerned with just doing his job rather than with the end results. Such a person is also less interested in feedback and evaluation. We were attempting to encourage goal-oriented personnel.

> *Planning Commandment No. 13: The goals of the system and the institution should be idealistic but reachable; they should not be so pedestrian as to require little or no effort to attain them.*

Taken together, the original seven goal statements clarified the major directions of the system's efforts in order to fulfill its mission. As noted above, an eighth goal was developed during the course of the planning process. The eight goals, identified in Phase I are as follows:

I. Satisfy the educational goals of students.

Operational definition: Quality--This area is intended to keep emphasis on the quality of each learning experience.

II. Maintain an open door by admitting all applicants within the limits of the law and the resources available to the system in locations reasonably convenient to all Washington residents.

Operational definition: Open Door--This area is intended to reduce or eliminate the geographic, social, financial, academic, and other barriers to access to community colleges.

III. Offer the citizens of each district a comprehensive array of occupational, cultural, recreational and academic programs.

Operational definition: Comprehensiveness--This area is intended to achieve a range of programs and services that is both broad and relevant.

IV. Develop and employ approaches to instruction which will result in efficient and effective learning.

Operational definition: Innovation--This area is intended to identify and implement techniques and activities that improve the effectiveness of both instructional and support activities.

V. Insure that each district functions as an integral part of the community it serves.

Operational definition: Community Services--This area is intended to keep community college resources at work in community activities and community resources at work in college activities.

VI. Obtain and make efficient use of human and capital resources.

Operational definition: Management--This area is intended to emphasize the techniques and activities that together provide the capability for management of the resources and activities of the system.

VII. Develop procedures which will involve students, faculty, administrators, staff and community representatives in the formation of policies and operating decisions that affect them.

Operational definition: Involvement--This area is intended to emphasize the continued involvement of all system elements in the establishment of system directions.

VIII. Provide an environment and develop procedures through which employees committed to the community college system can achieve their professional goals.

Operational definition: Staff Commitment--This new goal is intended to emphasize those activities that maintain a high degree of staff morale and commitment to local campuses and the system.

A chief characteristic of the foregoing goals is their responsiveness to the changing goals of society--including the emphasis on broader access to education as an avenue to social and financial advancement. As Dr. Ben Lawrence has said: "Post-secondary education is changing, just as the goals of society are changing; and the purposes of post-secondary education must reflect these changing goals."(1) With the foregoing eight goals, the community college system not only begins to adopt better management techniques, but also turns its back once and for all on education for the elitest minority and dedicates its services to the massive clientele that is the entire post-eighteen population of the State of Washington.

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(1) "Issues Related to the Purpose of Post-secondary Education," State-wide Planning for Post-secondary Education: Issues and Design, National Center for Higher Education Management Systems at WICHE, Boulder, Colorado, 1971, p. 2.

B. Objectives

The means of achieving the foregoing goals are to be found in the objectives. Objectives are specifications in measurable or general terms of system performance.

Phase I guidelines defined an objective as follows:

"An objective should focus attention on an output, service or targeted student group or operating procedure, which is of particular significance to your district--either because of the underlying philosophy of your district or because of its importance to all elements of the college community. An objective should focus on just those areas where an institution wants to make a difference, not on everything an institution does."

Districts were advised that planning should relate to the vital few existing or planned activities of the district, rather than the trivial many. This did not mean that other objectives less important to the entire district should be dropped altogether--rather, it meant they would become objectives of the individuals or sub-units that had an immediate interest in them. Thus, individuals and sub-units would have objectives in their plans which would not be reported as part of either the district-level or state-level plan. Through this approach, nearly a hundred possible goals and objectives were eliminated, and we were able to reduce their number to the "vital few."

The following criteria were suggested by the State Steering Committee for use in selecting district objectives:

1. Is it a candidate for inclusion as a performance indicator in the budget process? (For example, FTE enrollment was a performance indicator of the then current budget allocation process.)

2. Is it stated in measurable terms, or terms which provide for accountability?

3. Does it reflect the feeling of the staff or outside groups concerning what is important?"

4. Does it create a major additional data-gathering burden?

5. Is the total number of district objectives small enough to be managed by the campus administration and/or planning structure?

In analyzing objectives, we recognized that both general and measurable objectives would be required: general objectives because many of the outcomes expected from an educational system do not lend themselves to measurement, and measurable objectives because such objectives permit us to evaluate our performance and assist us to respond to demands for accountability. In describing a measurable objective we made certain that we included the current level of performance, the level expected, the time within which the expected level would be achieved, and the budget needed for its achievement.

It is sometimes annoying to the layman to hear educators assert that certain objectives of a community college system do not lend themselves to measurement. Yet...How can one measure the development of judgment in a student? How can one measure growth in appreciation for other cultures and people? How can one measure the development of tolerance? Still, are not these and similar values desirable general objectives of an educational system?

Dr. David G. Brown, Executive Vice-President for Academic Affairs and Provost, Miami University, in an article, "A Scheme for Measuring the Output of Higher Education," provides a pungent description of measuring objectives and outputs: "Output choice and measurement choice relate closely. Unfortunately, broad consensus goals are immeasurable, and measurable goals lack general endorsement... The dilemma is arrogance vs. imprecision. Avoiding catalog rhetoric and the lofty phraseology of committee reports, this quest is for an operational measure even more than a consensus goal. The technique will be to provide alternative measures for each consensus goal, thereby allowing the model user to employ those measures that are 'operational for him' (i.e., he has the data) and 'agreeable to him'." Dr. Brown went on to state that objectives should have the characteristics of quantifiability, additivity, divisibility, transferability, consensus acceptability, and flexibility.(1)

It was the feeling of the State Steering Committee that we successfully avoided the twin pitfalls described by Dr. Brown and that the goals established for the system were both challenging and pragmatic.

Forty-four general objectives appear in the Phase I statement, though even here we attempted as clearly as possible to indicate how they were to be achieved.

A major breakthrough in the Six-Year Plan was the adoption of the 44 measurable objectives. We felt the combination of the general and

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(1) The Outputs of Higher Education: Their Identification, Measurement and Evaluation, WICHE, Boulder, Colorado, July, 1970, pp. 28-29.

measurable objectives provided clear guidance as to how the eight goals could be reached and converted them from idealistic platitudes to practical statements of meaningful purpose.

The districts were first expected to complete objectives for the campus and for each major activity within the campus. The State Steering Committee requested that each objective include (1) baseline and target numbers for measurable objectives, (2) program steps and the name of the unit or person responsible for achieving them, and (3) a budget for the objectives, or at least an estimate of the budget impact the objective would generate.

Each person assigned a measurable objective was expected to confirm the accuracy of the base number. He was also expected to either adopt suggested program steps accompanying the objective or propose an alternative work plan in writing. Finally, he was expected to generate three targets for each measurable objective, assuming the three budget levels described earlier. Once each person assigned a measurable objective completed these three steps, he reported back, and the answers were collated on a system-wide basis.

Persons assigned general objectives were expected to draft the steps to be followed to accomplish as much of each general objective as could be accomplished.

While the principal motivation for developing the Six-Year Plan was to improve the system, another, of course, was to convince the legislature that it should properly fund the system. Throughout the planning process, we encouraged the districts to identify examples of inadequate funding.

These were used in early 1973 before legislative committees in defending our operating budget and capital budget requests.

When the measurable objectives were set, resources available were taken into account. The three levels of operating budgets postulated were the current level, the requested level, and 100-percent of the formula utilized by the Governor's budget office (Exhibit D). As things turned out in the 1973 Legislature, we received an increased appropriation per FTE, though less than our requested 1973-74 operating budget.

In determining which goals and objectives to adopt, the question of priorities inevitably arose. We did not concern outselves with overall state priorities faced by the legislature, i.e., mental health vs. education, education vs. welfare, ecology vs. education. We were concerned rather with how to select from among the many community college objectives originally suggested. Various sophisticated techniques were considered by task force members, including utilization of a technique adopted from a "Relevance Matrix" analysis. In a "Relevance Matrix" analysis, all of the possible goals, objectives, sub-objectives, tasks and sub-tasks are identified. It is essential in such a procedure that the list be as comprehensive as possible. It is far better to have goals, objectives or tasks listed that are later considered superfluous than to be faced later with items that should not have been overlooked. Values are then assigned to each of the items, and the participants are asked to rate them. If the technical format is carefully followed, it can be used later in conjunction with cost tables, PPBE-type budget formats and contingency matrices. Where major disagreements exist, Delphi can be

utilized to narrow differences of opinion or evaluation. However, we considered the Delphi technique to be too time-consuming, and that the system could not implement it on a practical basis in its first planning effort.

> *Planning Commandment No. 14: Both general and measurable objectives have a place in the plan; measurable objectives should have the characteristics of qualtifiability, additivity, divisibility, transferability, consensus acceptability, and flexibility.*

C. Programs

The Six-Year Plan process does not stop with goals and objectives but extends into decisions about programs (including enrollments) and ultimately, budgets.

A program accounting system is required in order to relate planning to budget performance.

This point was made by Robert Antony of the Harvard Business School in Public Administration Review, May/June, 1971, p. 388.

"Planning is not an end of itself; it is a means to an end, the end being action. A plan, however carefully prepared, is of no consequence unless something happens in the real world because of the plan. Thus, planning needs to be linked with performance. An accounting sub-system provides such a link, for accounting shows what, if anything, happened as a consequence of the planning decision.

When accounting is added, the process becomes an integrated whole. This whole consists of three interrelated parts--(1) deciding on plans and programs, (2) deciding on budgets that are consistent with these

programs, and communicating these decisions to those responsible for implementing them, and (3) accounting for and reporting the resources that were actually used."

To achieve this recommendation, the State Steering Committee suggested a new objective under Goal No. VI (management) which read: "To implement an accounting system based on the program structure so as to ascertain expenditures by program categories."

The Phase II report format concentrated on the broad instructional groupings of academic/vocational/and community service and on the broad support programs such as student services and learning resources. Realistically, most instructional program planning will continue to be done on a traditional course or departmental basis for some time to come. We did, however, follow the 15 cost cluster breakdown used in the formulas which will be discussed in a later section.

D. Budgets

Budgets may be defined as planned expenditures required to achieve or exceed objectives set forth in program elements.

Budget officials of the State of Washington are seriously working toward the time in state government when they will be able to make, display and review planning and budgetary decisions in broad program areas, such as higher education rather than for single agencies alone. Budget officials at OPPFM have told us the Six-Year Plan would contribute significantly toward reaching this type of objective. At the same time, OPPFM recognizes that the community college planning project is a

pioneering effort and will therefore be a difficult and controversial task. However, we are confident that if we continue the process, program budgeting will sooner or later be required of all public agencies, including all branches of education.

We are, therefore, determined to proceed in our efforts to convert programs into dollars on a program budget basis.

One of the factors making the efforts in the community college system toward program budgeting possible was the introduction of a number of new forward looking personnel into the budget and accounting office of the State Board staff. Hired from industry, these new budget and accounting specialists were personally dedicated to the concept of program budget management and fully realized that expenditures in and of themselves have little meaning unless the objectives of the expenditures are a means to an end, i.e., the relating of budget resources to output objectives. It was the expectation of the budget and accounting staff that through the new methodology, more precise program structures could result.

The process is described in Planning, Programming and Budgeting for Ohio's Public Institutions of Higher Education, May, 1970, p. 134.

"... a program budget effort by a higher education enterprise requires an academic department to think in program terms, and to budget in program terms. This kind of thinking should encourage a greater effort at precision in formulating program objectives and course objectives. This kind of thinking should also encourage greater care in determining the instructional procedure or technology to be employed in achieving course and program goals. And this kind of thinking should introduce greater care in determining the staffing requirements of a department."

Application of program budgeting need not upset completely the traditional yardsticks of measurement in terms of full-time equivalent students (FTE's). The same Ohio publication goes on to state:

"The instructional and general budget of a higher education enterprise set up on a program basis should provide a statement of proposed expenditures for the needed output of student credit hours. In turn, these total student credit hours would be reduced to a full-time equivalent student output by dividing the credit hours by 15. When the expenditures are divided in turn by the total number of students, the budget program can be expressed in terms of expenditure per full-time equivalent."

One of the more interesting aspects of our planning process was the relationship of the goals and objectives as well as the programs to the budget formulas used in the State of Washington for the four-year educational institutions and the system of community colleges. Higher education budget models in OPPFM have been used to provide (1) a convenient device for budget building and (2) an equitable methodology to allocate state funds among public colleges and universities. No doubt, the effort to achieve equity is the principal reason for utilizing models. Models, of course, have certain deficiencies. Among other things, they usually rely on historical trends carried forward. The problem which arises from utilizing this methodology is that it prevents the development of standards peculiar to a particular institution such as the community college system (in many ways not comparable to the senior institutions).

Recent legislatures in Washington have allocated funds at less than 100-percent of formula, although they have increasingly provided equity

in the sense of total dollar support under the higher education model for each institution.

The future value of models in community college budgeting depends upon how well they can describe programs for which resources are required to carry out institutional objectives. For reasons of equity--and inertia--there will undoubtedly continue to be a strong temptation in the state to use the traditional models rather than converting to a program budgeting approach, despite theoretical support for such concepts on a logical basis.

To convert formulas into meaningful use in the program budget process or the allocation process within the system, we will have to move from the present formula concept per se to a program budget/allocation system that has within it standards adequate to reflect measurable objectives of the system. This is necessary if the system is to have a budgeting process that is tied to a plan, i.e., program budgeting. It is a long step and one that likely will take considerable effort for the next few years.

That a good deal of work lies ahead is also clear from the fact that present state and system allocation formulas, in themselves, do not directly relate to the system goals of quality and availability, open-door, comprehensiveness, innovative and imaginative approaches to instruction, service to the community, efficient and effective management and organization forms and operating procedures. Of course, the level of resources obtained through the present formulas and available to the system does affect the achievement of these goals.

Internal system allocation formulas can only allocate funds that have been appropriated. If general operating funds decline, refinement of the system's allocation process can only result in a more equitable distribution of scarcity. Sustained scarcity would require a reassessment of objectives so that the system could move in an environment of success rather than failure. Failure to achieve objectives over a long period of time would undercut the morale of the system. Goals and objectives in any long-range plan must be obtainable.

The current plans of the budget and accounting department of the state staff call for the development of a program budgeting system (scheduled for implementation in the 1975-77 biennium) which will be based on 15 course groupings and many additional sub-groupings. Planning in terms of these course groups will provide the structure to identify program additions and deletions, total enrollment and the distribution of enrollment among the various departments, and the resulting impact on facility, equipment and staff development.

In order to establish a link between program planning and the cycle of necessary budgetary decisions, a rigid timetable and calendar of events are necessary. At the same time, a cross-reference in budget instructional groupings for the 1972-73 budget had to be made in the 1970 HEGIS Ta .omy and the community college chart of accounts (Exhibit E).

> *Planning Commandment No. 15: Program budgeting is, by definition, an inevitable necessity for meaningful long range planning; hence, steps to develop such a budgeting system should be taken as rapidly as possible.*

E. Evaluation

A worthwhile plan must provide for evaluation of (a) content and procedures, and (b) the degree of realization of expected outcomes, if it is to be effective and if it is to stay up-to-date.

While evaluation of expected outcomes will first be made at the end of the next biennial budget period (1973-75), evaluation of the content and procedures was implicit throughout the Phase I through Phase III sequence. This was first demonstrated by the modifications engendered in the Interim Report which found their way into the Phase I statement. Then, in the Phase II district planning process, because of more detailed evaluation of Phase I work, further changes were identified for the Phase III summary scheduled for September, 1973. From these changes and from improvements in the systems and procedures developed by the planning officers in the districts working with the State Board planning staff, the final guidelines and procedures will be issued for the 1975-81 period. Continuing evaluation is the element in planning that makes this possible, and indeed, that guarantees the vibrancy of the whole activity.

Educators would do well to recall how the evaluation review function operates in the private sector. One of the characteristics of a management system is to provide for approval of a plan for the organization and review performance under the plan. Managers who restrict themselves to the review function rather than attempting to make every decision themselves will find that morale is higher and performance is constantly improving.

An effective evaluation system in planning should also permit a community college system to systematically re-allocate resources to reflect

changes in priorities. Any plan is practically out-of-date the day it is issued. Despite this fact, the State Steering Committee and the State Board are not completely satisfied with the ability of the Six-Year Plan to change allocations of resources. At this point, the planning process contains no systems and procedures for important changes of priorities other than the biennial review of the plan itself in preparation for each operating budget cycle. Obviously, there is in play a constant tension between the need for stability in budgeting and the need for flexibility to meet changing needs. One approach might involve the creation of reserves to permit financing of responses to unanticipated demands on the system. During the last biennium Boeing, for example, requested the system to initiate an extensive training program, and we fortunately had a sufficient vocational education reserve fund to meet the demand.

The element of evaluation is recognized by the system as an important segment in the planning sequence. It will no doubt receive increasing attention as we more fully complete our work in the goals-objectives-programs-budgets activities that precede it. In this way, the PPBE sequence will be carried out.

IV. ADDITIONAL CONSIDERATIONS IN PLANNING

A. Participation of the Faculty

Some faculty suspicion was evident in the initial phase of the six-year planning effort.

First, the faculty was discouraged by the reduction in operating budget support which occurred during the biennium in which the planning

effort commenced. Second, they felt that the public and the legislature did not understand the services that were being rendered. Third, measurable objectives were a relatively new concept and change always meets resistance. Fourth, some faculty members argued for a "bottom up" rather than a "top down" sequence in planning in which the 22 districts would first develop their own plans before a system-wide plan could be developed. While this argument had a certain logical attraction, we were able to convince the faculty that planning could not occur without some leadership and that the planning procedures constituted no threat to the faculty. Finally, the first timetable for the plan was ambitious, and it appeared to the faculty that the State Steering Committee was trying to hurry them toward conclusions for which more deliberation was necessary in an academic environment.

The question of how to enlist faculty support in the planning effort also involved the relationship between the two professional faculty associations--AHE (Association of Higher Education, affiliated with the Washington Education Association), the AFT (American Federation of Teachers, affiliated with the AFL/CIO), and the internal system faculty advisory body, FACC (Faculty Association of Community Colleges). We sought to obtain faculty involvement primarily through the non-political FACC organization, which is made up of one faculty representative from each campus, elected by one's peers. Unlike the AHE and AFT, FACC has no lobbying organization or budget. It provides the system with a means for obtaining faculty opinion relatively untempered by political and jurisdictional considerations.

After the first six months of the effort, a crisis was reached with FACC regarding the planning timetable. FACC concerns were delivered to the State Steering Committee in writing, and the State Steering Committee answered (Exhibit F). An extension of the timetables was negotiated. After the extension had been agreed to, FACC officers made considerable efforts to involve the faculty and planning proceeded normally (Exhibit G).

It will be noted from the foregoing that a great deal of time and attention was given to the concerns of the faculty, probably more than would have been given by the chief executive officer and his planning staff to the employees of a corporation. It took us 18 months to complete Phase I. My rough estimate was that the chief executive officer of a corporation would not have permitted more than six months to do the same thing. I do not say this critically. A very different relationship exists between the faculty and the administration in academia, with a great deal more involvement in decision-making enjoyed by the faculty. Faculty have traditionally had much to say about degree requirements, course offerings, student performance standards, student evaluation, instructional procedures, and the selection and advancement of academic personnel.

By the end of Phase I of the six-year planning process, I am happy to say, many faculty spokesmen--including leaders of AHE and AFT--were quietly, and sometimes publicly, letting it be known that they had come to feel it was a worthwhile and constructive development. The level of participation and degree of success in district planning varied, of course, from campus to campus, mainly depending on the management structure in use at each particular institution and the vigor of the faculty leadership.

B. Fall-out Benefits Before the Plan is Complete

Because of the stretch-out in completing Phase I of the planning process, we were not able to have the initial state-wide statement ready in time to present to the Governor's fiscal office as it developed budget requests for the 1973-75 biennium. We were far enough along in the planning process, however, to identify twelve major thrusts, i.e., major activities found to be necessary during 1973-75. Thus, one of the ancillary benefits before the finalization of the plan was the identification of needed services that could be emphasized as necessary to the Governor's budget office and to the legislature. We interrupted the planning process long enough to request the districts to confirm the twelve thrust areas, make suggestions or additions or deletions, and estimate the cost impact for 1973-75 if all of the major thrusts were adequately financed. We were thus able (a) to commence a budgeting process related to program outputs, and (b) to give a program focus to the biennial budget request that it had not had before.

The twelve major thrust activities recommended were:

1. Adequate funding. To obtain adequate sources of funds for community college operations.

2. New programs. To review program offerings required to serve the 4,000 FTE per year increase projected for the two years of the new biennium.

3. Increase staff salaries. Provide funds to increase staff salaries and benefits, to restore and maintain the purchasing power of the 1970-71 college year, and to further provide for normal incremental increases.

4. Community college services to the disadvantaged. To maintain a continuing emphasis on services to disadvantaged people.

5. To further implement modern management systems and procedures, as follows:

a. Six-Year Plan. To place the community college system on a Six-Year Plan basis, and to present the 1975-77 budget request in terms of a Six-Year Plan for the years 1975-81.

b. Program budgeting. To develop a fully operational program planning and budgeting system by June, 1974.

c. Management information system. To implement a comprehensive state management information system during 1973-75.

6. Data processing. To implement the state data processing plan activities for 1973-75 described in the state plan.

7. Innovation. To continue state-level support for special efforts to improve instructional effectiveness and efficiency.

8. Regional efforts. To implement five to seven multi-district projects a year.

9. Federal and foundation funding. To substantially increase federal and foundation funds.

10. Learning resources. To accelerate the development of a comprehensive learning resources program on every campus.

11. Student services. To expand our ability to offer comprehensive student development programs on each campus.

12. Services to the community. To increase the staff and student time devoted to community projects.

In retrospect, it is clear that because we developed the twelve thrusts through combinations of Six-Year Plan objectives, the executive branch decided to recommend a substantial budget improvement. The twelve thrusts, while not covering all of our goals and objectives, did tie our planning and budget request together in a way that provided the Governor's budget office with a good, early review of our system's direction for 1973-75. We felt also that we had a good system-wide support for the thrust areas and that they did reflect system priorities.

Had we not identified thrust areas, the impact of the planning process would have been delayed for a full biennium. The point is that planners should be attentive to possibilities of interim benefits prior to completion of the long-range plan.

> *Planning Commandment No. 16: As the planning process is lengthy, be attentive to the identification and application of useful interim benefits and conclusions that develop.*

C. Relationship of the Six-Year Plan to Capital Budgets

Most of the emphasis thus far in the six-year planning process has been concerned with the operating budget requirements of the system. Obviously, there are also capital budget implications for a system which is expected to grow at the rate of some 4,000 FTE's per year between now and 1980.

The community college system has developed a sophisticated Capital Analysis Model (CAM) to determine future space needs, based on quantitative and qualitative standards.

This particular monograph will not go into great detail regarding the capital analysis model of the community college system. Exhibit H outlines the CAM process. We feel that CAM is one of the better systems available in the country for evaluating community college space needs.

D. Relationships with Other Planning Agencies

The Education Amendments of 1972, and the establishment of the 1202 Commission and the Advisory Council on Community Colleges, while temporarily side-tracked, may well have a long-range impact on the planning procedures of the Washington State community college system, as they will on other institutions of higher education in the state.

At the time this monograph was written, this matter was under discussion between the community college system and the Council on Higher Education; and the proposed division of planning responsibilities between the CHE and the State Board for Community College Education had not been finally determined.

E. Forecasting Enrollments

The community college system has engaged two outside consultants to assist in developing more effective models for determining enrollment projections, particularly for vocational courses.

Under the laws of the State of Washington, OPPFM has the legal responsibility for determining total community college enrollments and the enrollments of other public institutions of higher education. In developing their enrollment projections, OPPFM consults with the staff of the State Board, representatives of four-year colleges and universities and the Council on Higher Education.

At the present time, the enrollment procedures used by the community college system are summarized in Exhibit I.

Enrollment growth is an important determinant of the level of resources required to provide educational services in the community college system. It is important, therefore, that the system develop an enrollment projection methodology that is both realistic and sensitive to potential educational services as planned by the State Board in concert with each individual community college district. Because of the growing vocational enrollments, effective joint evaluation of job markets must also be made with the state vocational office--in our case, the Coordinating Council for Occupational Education.

While enrollment projections are certainly a major consideration, one must, nevertheless, avoid the pitfall of placing too much reliance on statistical conclusions. R.H. Roy has referred to this danger as "the deification of numbers."(1)

When enrollment numbers are over-emphasized, legislators often depreciate the importance of program quality and other intangible needs. Fortunately, there is a tradition of sensitivity in the State of Washington to the importance of education and, as a consequence, the legislative and executive branches have devoted substantial resources to the development of the state's educational institutions.

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(1)"Numbers tend inordinately to dominate decision-making. They do this in two ways: first, by crowding out or pushing aside those intangibles which cannot be quantified but which may exceed in importance that which is measurable; and second, by acquiring an aura of accuracy which leads the decision-maker to forget the numbers sometimes have dubious validity." R.H. Roy, The Administrative Process, The John Hopkins Press, Baltimore, Maryland, 1958, p. 85.

F. Incentives in Public and Private Agencies

Those engaged in the long-range planning process in the State of Washington have been intrigued with the possibility of introducing appropriate incentives. It would seem to be elemental equity that when a department or a faculty produces cost-reducing innovations, they should, within limits, be allowed to benefit from the savings. It is also evident that budgetary procedures should not reward the most inefficient with larger budgets. It is actually possible under some allocation formuli to obtain larger budgets by performing less efficiently.

We have tried in our planning process to take a few tentative, initial steps toward incentives, strengthened by the OPPFM mandate that each public agency achieve a productivity increase of at least 2 1/2 percent annually. In this connection, we engaged a firm of experts in capital construction cost control and contracted with them to propose an incentive system whereby colleges that exceed cost control norms would benefit from the savings. An initial report from the consultants recommends against incentives in capital budgeting.

Incentives are, of course, common-place in industry, though generally in connection with the operating budget rather than the capital budget. Incentives for achieving corporate goals in the form of stock plans, bonuses, and incentive compensation are common. It should be noted that in a corporate incentive system, both the stockholders and the employees benefit co-relatively. It might be argued that in a public educational structure, both the taxpayers and the employees should also benefit. It may be that community colleges could utilize different kinds of incentive

awards, such as released time for attendance at national and international meetings, travel opportunities for research, additional capital assets, or additional developmental operating funds. In industry, the goal-seeker is often better-satisfied by individual recognition for achievement than by awards for group accomplishment. Money is a common standard of measurement for achievement. Proper financial incentives should not be ruled out for public agencies, though one can forsee obvious difficulties in winning legislative approval of programs comparable to those of the private sector.

Cost effectiveness, no doubt the ultimate basis for incentives, can be introduced into higher education, but not easily. Current literature points to probable wide-spread resistance to cost-effectiveness in higher education "because it is so profoundly anti-intellectual. It rejects reason and it puts a low value on the time of the faculty trained to reason well... we must guard against a wide-spread tendency to trivialize the problem of efficiency in higher education. It is not only a financial problem but an intellectual one. Questions about efficiency lead to a host of questions about teaching and learning and to the ultimate questions about the nature and purpose of higher education..."(1)

Nevertheless, the Carnegie Commission, in The More Effective Use of Resources, spent 150 pages reviewing possible efficiencies, with only a few paragraphs dedicated to pupil/teacher ratios. Presumably, some premium would be proper in a public agency whereby the taxpayer's interest in obtaining economies and efficiencies could be served.

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(1) Report on Higher Education, HEW-Office of Education, Frank Newman, March, 1971, p. 32.

Planning Commandment No. 17: Incentives in the private sector are standard techniques for implementing long-range corporate plans; the executive and legislative branches of government should explore the introduction of incentive systems in higher education.

V. CONCLUSION

The objectives of a private company plan are simpler and more finite than those of a college--usually they can be identified as the "bottom line," the after-tax return on assets or net worth. Management by Objectives is a technique congenial to an industry environment where objectives are usually stated in terms of dollars and cents. But when one begins to introduce MBO and PPBE into a community college system, one is apt to find life complicated by legitimate intangibles--questions on the relationship between system objectives and behavioral objectives, questions about alternative teaching technologies and alternative methods of awarding credit for performance-based objectives. Contentions will be advanced that Management by Objectives of the institution cannot be separated from performance objectives of the individual in the classroom. The planning group faces questions of very complicated intellectual import:

1. How will anyone know whether an alternative instructional technology would not achieve better results?

2. What is the relationship between those results for the individual student and the institutional goals?

3. Even assuming that specific and measurable objectives might be desirable (if feasible), what tests of "effectiveness and efficiency" will be applied?

It will always be difficult to apply MBO principles to education completely since it is most difficult to develop unanimity on the nature of the educational product. Unless, of course, flexibility in such a definition is itself one of the planning objectives. And unless, of course, it is also agreed that included among the outputs are desirable social, economic and educational values.

It is to be hoped that the eight goals of the community college system, the 44 general objectives, and the 44 measurable objectives, while comprising a sufficient notion of an institutional purpose, can also be reconciled with intellectual reservations for now. After all the planning is said and done, we can agree that educated individuals are still the principal output of our colleges.

The Washington State community college planning experience has really been an effort to accomplish coordinated program planning: coordinated because there are too many institutions and demands to let each do its own thing with complete independence; planning because needs cannot be met effectively or efficiently without an overall plan; and program because we are concerned with the means by which our colleges accomplish their respective missions.

One of the problems for the State Steering Committee was to inform and educate the different elements in the system regarding the planning process itself. Various explanations went forth to the administration, the faculty, the students and the trustees. The summary of May 3, 1972, was typical:

"In our efforts to implement modern management systems and procedures, we should all attempt to bring about an increasingly close coordination

between the development of goals, objectives, and programs on one hand, and our operating and capital budgets on the other. Program development should provide the principal support for budget development. Program development should also reflect the output requirements identified in the goals and objectives of the system."

In one paragraph, this was about as succinct a summary of what we were attempting to accomplish as appears anywhere in the literature of the six-year planning process.

EXHIBITS

A - I

GOAL I: To ~~provide opportunities that~~ satisfy the educational goals of students.

RATIONALE: Goal I is an expression of system intent regarding the value or quality of our educational services to the person who uses them--the student. Mindful of the caution about trying to measure quality, the selected indicator of quality is the student's satisfaction with his achievement of his educational goal.

Satisfaction of college transfer as a goal will be assumed to exist if the student enrolls in a four-year program. Satisfaction with occupational training as a goal will be assumed to exist if the student is employed in a job related to that for which trained or if the student continues his education in a related field. Satisfaction with high school completion as a goal will be assumed to exist when adult, non-high school graduates complete high school in the community college. Satisfaction with other student goals will be assumed to exist if all districts have a general enrollment option, leading to an associate of arts degree, that does not require the student to choose either college transfer, vocational, or high school completion as a specific program.

System comment: The objectives all speak to the satisfaction of the student's educational goal--or his satisfaction with the education he receives. They speak only indirectly to the idea of providing opportunities--something that is better handled by Goal II. Therefore, the wording on providing opportunities has been dropped.

Objectives:

1. To increase the number of students ~~still~~ who enrolled in a four-year college or university ~~one year after exit from college transfer program~~ graduation or completion of at least one year at a community college 1974 from _____ on October 1, 1971, to _____ on October 1, ~~1972~~.

Data implication: While it will be possible to monitor increases in the numbers of students who enroll in four-year colleges, it will be difficult to attribute such increases directly to any specific action or program.

System comment: Exit from college transfer program is not the only legitimate way to prepare for transfer to a four-year institution. Further, to include one year of work at the four-year institution in the measurement introduces many factors beyond the control of the community college.

Several reviewers expressed concern about how little we know about how much of a student's success is controllable by the community college. This argues for a modest target for the amount of increase we expect of this objective, tied to a specific research project to establish what the target should be. In view of that alternative, the objective has not been deleted.

Several reviewers asked that the unit of measure be changed from "number" to "percentage". A percentage can only be expressed in terms of those who actually transfer compared to those with transfer as an intent. Such an objective is included among the proposed additional objectives. In the meantime, "number" will be retained as an easier, available measure.

EXHIBIT B

Community College District 8
Bellevue Community College
Bellevue, Washington 98007

For Office Use

Objective Approved:
By:
Date:
Assigned to:

Date:
By:

Form I

Six-Year Plan Worksheet for General (Non-measurable) Objective and Program Elements

A. Identification

1. Submitted by: Postlewaite Date: 12/15/72
2. To Implement State Goal No. V /State Objective No.
   State Program Element No. /New Objective: X
3. This is a BCC Objective /College Dist. 8 Objective Both X
4. To Which Administrator (Department or Program) Should this Objective be Assigned? Landerholm
   Why? major agent of change for Dist. 8
5. Objective Relates to Task Force One X Two Three Four (Check one)

B. The Objective:

To increase/ decrease/ set/ coordinate/ develop/ encourage/ improve/ attract/ accommodate/ offer/ support/ facilitate/ assist/ extend/ employ/ use/ provide/ insure/ other:

(Circle one of the above or supply your own)

a survey of community educational and cultural needs related to the existing services of the community college.

(Supply in the space above the remainder of the statement of the objective in concise terms.)

C. Design: (Give a brief paragraph description of the purpose of the general objective stated above.)

A systematic program of finding community educational needs, prioritizing them, implementing them, and assessing validity is necessary. This can be done without duplicating existing services in the community.

D. Program Elements: (Begin each program element with a transitive verb.)

Postlewaite a. To develop survey questionnaire.

Staff support b. To address, stuff and mail questionnaires.

Postlewaite c. To evaluate returned questionnaires by the use of charts, tables, etc.

All college d. To use information from questionnaires in program planning.

(Add properly identified pages as needed to include all pertinent program elements.)

E. Performance Evaluation: (Follow-up)

This will be accomplished later with the use of the official BCC MBO Form.

EXHIBIT C

Community College District 8
Bellevue Community College
Bellevue, Washington 98007

Form II

Six-Year Plan Worksheet for
Measurable Objective and
Program Element

For Office Use

Objective Approved:
By:
Date:
Assigned to:

Date:
By:
030.3231

A. Identification

1. Submitted by: Robert K. Hamilton Date: 14 December 1972
2. To Implement State Goal No. I-IV /State Objective No.
State Program Element No. X /New Objective
3. This is a BCC Objective /College Dist. 8 Objective /Both
4. To Which Administrator (Department or Program) Should this Objective be Assigned? Robert K. Hamilton
Why? Current Administrative Assignment
5. Objective Relates to Task Force One Two X Three Four X (Check one)

B. The Objective:

1. To increase/ decrease/ (maintain)/ establish/ eliminate
(Circle one of the above)

2. the provision for administrative services for the Student Information, Services and Systems program, "Enrollment Services and College Relations", which includes the administration of the following discrete functions: admissions, registration, records maintenance, records evaluation, college relations, adult high school completion and the non-traditional credit program.
(Give official name or identification of the project or program)

3. by means of State General Fund
(Funding source)

4. at Bellevue Community College
(BCC or other locations in the district or area)

5. from the current one administrator (Give base line data)*

6. to (100%)** 1 ; (120%) 1 ; (150%) 1

7. by end of fiscal year, 1974
(Date of completion of the project or program)

8. at a total cost of $28,579 (at 100%); $34,294.80 (at 120%);
$42,868.50 (at 150%).
(State costs in dollars and/or man-hours)***

C. Design: (Give a brief paragraph description of the proposed project or program addressed by the objective stated above.)

The preceeding objective provides for the continuation of administrative leadership for the Enrollment Services and College Relations program functions.

D. Program Elements: (Begin each program element with a transitive verb.)

Hamilton	a. Organize, develop and articulate maintenance-operating and capital budget needs for all functional areas.
Hamilton	b. Provide administrative leadership and management services to all functional areas.
Hamilton	c. Identify and provide for staff orientation and in-service training needs.
Hamilton	d. Initiate and conduct continuous evaluation of program effectiveness in all functional areas, from the point of view of those being served.

(Add properly identified pages as needed to include all pertinent program elements.)

E. Performance Evaluation: (Follow-up)

This will be accomplished later with the use of the official BCC MBO Form as a data base document.

---

* Data must be approved by the Basic Data Committee.

** See Assumption 2, Memorandum No. 10-72 (November 7, 1972) for an explanation.

*** Estimates should be related to relative cost data and articulated with B,6.

ATTACHMENT B

	Budget Level No. I Current level: That level of state funding in proportion to enrollment and programs that exists in your district in 72-73	*Budget Level No. 2* Intermediate support level.	*Budget Level No. 3* Needed level: level of state funding equal to 100% of the five program community college budget formula for your district.
DISTRICT	100%	120%	150%

These figures were developed by the State Office and represent three alternative funding levels ranging from the current level to the level equal to 100% of the operating budget formula. The current district support level is the base line figure of 100%. Level No. 2 represents a 20% increase in funding, i.e., for every dollar your district has in 1972-73, it would have $1.20 under Level No. 2. Level No. 3 represents a 50% increase over Level No. 1. These calculations are based upon a composite of state fund support, federal and foundation support, and local district funds - that is, they represent the total dollars that would be available to your district for operating expenditures. These support levels are based on constant dollars - do not make additional allowance for inflation when making your three target projections.

Each objective will have three targets to correspond to these budget levels. For example, Goal No. 2, Measurable Objective No. 4, will read:

To increase the number of minority students enrolled in all programs from 6612

B.L. No. 1 7293,
in Fall, 1970 to B.L. No. 2 8401, in Fall, 1974.
B.L. No. 3 9817,

EXHIBIT D

EXHIBIT E

CROSS REFERENCE

1972-73 BUDGET INSTRUCTIONAL
GROUPINGS TO 1970 HEGIS TAXONOMY
AND COMMUNITY COLLEGE CHART OF ACCOUNTS

Budget Instructional Groupings	Chart of Accounts	1970 HEGIS Taxonomy Instructional Effort Categories	
Bus. Admin.	Bus. Admin.	0500	Business Management
		1400	Law
Science	Science	0100	Agriculture-Nat. Res.
		0200	Arch.-Environ. Design
		0400	Biological Science
		0700	Computer-Info. Science
		0900	Engineering
		1200	Health Professions
		1800	Military Science
		1900	Physical Science
	Mathematics	1700	Mathematics
Social Science	Social Science	0300	Area Studies
		1300	Home Economics
		2000	Psychology
		2100	Public Affairs Service
		2200	Social Sciences
Humanities	Humanities	0600	Communications
		1000	Fine Applied Arts
		1100	Foreign Language
		1500	Letters
		1600	Library Science
		2300	Theology
		4900	Interdis. Studies
Health & Phys. Ed.	Health & Phys. Ed	2400	Health & Physical Ed.
Education	Education	0800	Education
Community Service-Other	Comm. Serv.-Other	2500	Comm. Serv.-Other
Business & Commerce	Bus. & Comm.	5000	Bus. & Comm. Tech.
Data Processing	Data Processing	5100	Data Processing Tech.
Health Serv. & Paramed	Health Ser. & Para.	5200	Health Ser. & Para. Tech.
Mech. & Eng. Tech.	Mech. & Eng.	5300	Mech. & Eng. Tech.
Natural Science Tech.	Natural Science Tech.	5400	Natural Science Tech.
Public Services Tech.	Public Serv. Tech.	5500	Public Serv. Rel Tech.
None	Suspended Course Nos.-Tech. & Occup.	5999	Suspended Course Nos.-Tech. & Occupational

EXHIBIT E

State of Washington

STATE BOARD FOR COMMUNITY COLLEGE EDUCATION
Olympia

MEMORANDUM

December 10, 1971

TO: Community College Faculty

FROM: Steering Committee, Six-Year Plan Project
Dr. Melvin Lindbloom, President, Green River Community College, chairman
Mr. L. Evert Landon (Mrs. Ruth Shepherd-alternate), Member, SBCCE
Mrs. Betty Mage, Chairman, TACC, trustee, Clark College
Mr. Mike Morrison, Chairman, WACCSG, student, Skagit Valley College
Miss Sandra Gallaher, faculty, Green River Community College
Mr. Lyle Perrigo, trustee, Columbia Basin College
Dr. John Terrey, Deputy Director, SBCCE
Dr. Richard White, President, Shoreline Community College

SUBJECT: Response to FAC Resolution on the Six-Year Plan

At the hearing on the Six-Year Plan held in Seattle on November 22, the Faculty Advisory Council submitted a thoughtful statement of concerns about the Six-Year Plan.

As a result of the FAC statement, two things have happened: (1) the Steering Committee reviewed the statement and prepared a response which appears below; and (2) Mr. John Mundt will appear before the Faculty Advisory Council on December 20 to listen and discuss the plan with members of FAC.

The response of the Steering Committee to the FAC statement appears below:

I. FAC Statement on the Six-Year Plan

a. FAC supports long range planning; FAC does not support the present form of the Six-Year Plan.

The present form of the Six-Year Plan structures the probable minimum information necessary in a long range plan. Since the final form of the plan has not been developed, specific recommendations on format or additions should be made to the Steering Committee.

b. FAC supports a delay in the timetable beyond the special session of the legislature for completing the document.

Since its inception, the deadline for the Six-Year Plan has been changed three times so as to provide time for greater involvement. There is no intent to use the document for the special 1972 Legislative Session. The intent of the Steering Committee since the beginning of the project has been to make each planning report, including the Six-Year Plan, a working document. It is for this reason that the report given to the State Board in November was entitled an interim report. While there will be other reports made to the State Board, we have set a final completion date of April for those objectives and plans that will be in the district planning guidelines for 1973-75 and 1975-79 and a deadline of August or September for the next Six-Year Plan report.

c. FAC wants a process of involvement in the long range planning that will guarantee all components of the system adequate input and flexibility in the types of goals and objectives that are developed.

The Steering Committee is concerned that while the Faculty Advisory Council requests involvement in the long range planning, in fact, they have not performed consistent with that request. At its October meeting, FAC was asked what involvement meant to them and the members of that body indicated that they would be the clearing-house for faculty input and that would serve as adequate involvement. However, at its November meeting, the FAC gave neither input to the content of the plan nor suggested alternatives for providing flexibility in goals and objectives. Rather, the FAC statement was a denouncement of the interim report. The Steering Committee looks forward to faculty input of a constructive nature, and along with FAC, will continue to request that faculty be involved in the long range planning process.

d. FAC wants a document that is constructed from the individual campuses up to the State Board.

The Steering Committee anticipates that from 80 to 90% of the final document will come from district goals and objectives. The remaining 10 to 20% will originate at the system level but will be broadly enough conceived to allow individual districts to respond according to the needs of the community. There is no intention on the part of the Steering Committee to lock a local campus into a state devised "super plan". An effort

has been made from the beginning to make the state goals and objectives broad enough so that the individual districts can respond to those objectives and add district goals and objectives that reflect their own needs. Further, it is anticipated that not all districts will want to participate in statewide objectives, just as some instructional and student services divisions will not want to participate in some district-wide objectives. Our hope is that the wisdom of local personnel will assist in the development of appropriate goals and objectives and that the system planning process will be executed at the district level.

e. FAC supports the intent of the four statements submitted by the community college faculties.

The Steering Committee has no specific comment here. We assume that the other points of this resolution cover the main points of the four statements.

f. FAC objects to the following principals contained in the present Six-Year Plan.

1. The idea that growth is good in itself as is suggested by measurable objectives.

Measurable objectives do not necessarily imply growth. The Steering Committee is, however, sensitive to the frequent use of the word "increase" in the objectives. The word "increase" is not necessarily going to remain once the target or the "to" blanks are filled in. The word "increase" was used primarily to indicate action and in many cases will be changed to "maintain", "decrease", or "establish", all of which indicate different directions that measurable objectives can take.

2. The idea of forcing districts to develop or expand programs in certain areas by budget allocations.

The intention of program budgeting is not to force an individual district to develop or expand programs in certain areas. "Force" is inconsistent with the concept of management through the implementation of shared objectives. However, development or expansion of the highest priority programs and activities in a given period will certainly be supported by allocations even at the expense of on-going, but lower priority activities. The important thing is that our priorities be developed well and understood before we face the kind of budget crunch that forces us to consider giving up something.

3. The idea of decision-making by the central office planners.

The Steering Committee, by design, has attempted at every stage of development of the Six-Year Plan to involve the system. As a group, we are not clear on who the central office planners are in this objection. The implication is that all decision-making in the state system would occur in Olympia. This is not consistent with historical fact, nor is it consistent with the Six-Year Plan as it has been developed during the last five months.

If FAC believes that certain areas or subjects should be kept from the state office, a specific FAC recommendation on that matter would be the best way to make the point.

4. The idea that the system can expand or realign programs in the face of budget reductions.

Historically, when budget reductions were made by the Governor or the legislature, the community college system had no recourse except to indicate that we were unhappy with the situation. Generalized discontent which has been the mode of operation in higher education, and specifically in the community colleges, is not effective in impressing legislators with the needs for certain programs and requirements for services.

The planning process we are now working on will enable a community college representative to discuss with legislators the impact of budget reductions in terms of specific services and programs that cannot be offered to the communities as a result of the reductions. The Six-Year Plan document and other planning documents that will follow are intended to present our specific programs and services in a way that makes each member of our system an effective negotiator with legislators and the legislature.

df

EXHIBIT G

WASHINGTON COMMUNITY COLLEGE
FACULTY ADVISORY COUNCIL

December 27, 1971

Dear Faculty Member:

You are probably aware that vigorous action on various campuses and the unanimous vote of the Faculty Advisory Council (one elected representative from each campus) has gained additional time for faculty to give its views on long-range planning to the State Board. Your FAC representative will distribute this letter to you so that the means of communicating your views will be made clear.

The time for you to express your individual point of view as to where we are going and what we should do to get there is now. Your thoughts now--today, this minute--are needed to show the citizens of Washington what you and your college and the college system can do for the people of the state.

Each of us has a different field of expertise and each of us can make a unique contribution to the success of our classrooms, our colleges, and the system. A trade-vocational instructor might recommend a new piece of equipment to make his program more meaningful to the student. A science instructor, likewise, might profit greatly from a teaching aid which would help a student learn a concept or skill more quickly. A social science or humanities instructor might help students with other types of aid: library books, other media supplements, seminar space. It may be that lack of such facilities already affects quality of instruction.

In addition to our classroom expertise, each of us has general expertise in the operation of our colleges. Therefore, in this period of restricted budgets, each of us is painfully aware of the inability of the college to service the community as well as it might: for example, we all are aware to some degree of the gradual closure of the open door as community service courses are required to be wholly self-sustaining. We are also aware of all-college restrictions on travel, on sabbatical leave, for innovation, and funds to properly pay part-time faculty. Indeed, budget restrictions not only overload us individually, but make each college an isolated unit.

The State Board has committed itself to an attempt to solve these funding problems by the creation of a carefully documented plan by which our needs in the classroom and the college are to be vigorously presented to the legislature. Although the 1972 session will probably not devote itself to many financial matters in higher education, the 1973 session will. We as faculty have through FAC an opportunity to influence the State Board plan: in fact, by a resolution of December 15, the State Board has committed itself to assessing the needs of every segment of the system and translating these needs into measurable and unmeasurable goals and objectives for presentation to the 1973 Legislature. In order that we of the faculty get our requirements defined by the Board, FAC asks that you answer the questions below:

1. As an instructor, what is your most immediate pressing classroom need? How do students suffer as this need remains unmet? What do you foresee as your most pressing instructional-related need for 1973-75?

2. As a member of your college and of the community college system, what do you see as the major measurable and unmeasurable goals and objectives for community colleges in 1973-79 in each of the following or additional unspecified areas:

Open Door

This area is intended to reduce or eliminate the geographic, social, financial, adademic, and other barriers of access to community colleges.

Comprehensiveness

This area is intended to achieve a range of programs and services that is both broad and relevant.

Quality

This area is intended to keep emphasis on the quality of each learning experience.

Innovation

This area is intended to identify and implement techniques and activities that improve the effectiveness of both instructional and support activities.

Community Services

This area is intended to keep community college resources at work in community activities and community resources at work in college activities.

Involvement

This area is intended to emphasize the continued involvement of all system elements in the establishment of system directions.

Management

This area is intended to emphasize the techniques and activities that together provide the capability for management of the resources and activities of the system.

Staff Commitment

This new goal is intended to emphasize those activities that maintain a high degree of staff morale and commitment to local campuses and the system.

FAC and the individual campuses have gained us time to express our immediate and future needs to the State Board. We know our needs and Olympia is seeking our advice--see the attached letter from the State Director. We must make our case and be sure it is documented--now. Please take ten minutes to help the State Board reflect our requirements accurately to the Legislature. Be as factual as possible.

To be used effectively, your reply should arrive in Olympia by January 20; consequently, your response must go to your campus FAC representative by January 18.

Thank you for your help.

Lloyd A Frisell

FAC President Campus FAC Representative

Send replies to:

your campus FAC representative

LF:df

attachment

CAPITAL ANALYSIS MODEL

A System for Evaluating Community College Space Needs

Introduction

The Capital Analysis Model in use by the Washington State system of community colleges uses enrollment projections, an inventory of existing and funded space, and a set of facility needs guidelines to establish quantitative space needs. In the most summary fashion, its operation may be described as enrollment times space-per-student guidelines equals total space need, minus existing and funded space, equals net space need. We describe the net space need as the space "gap."

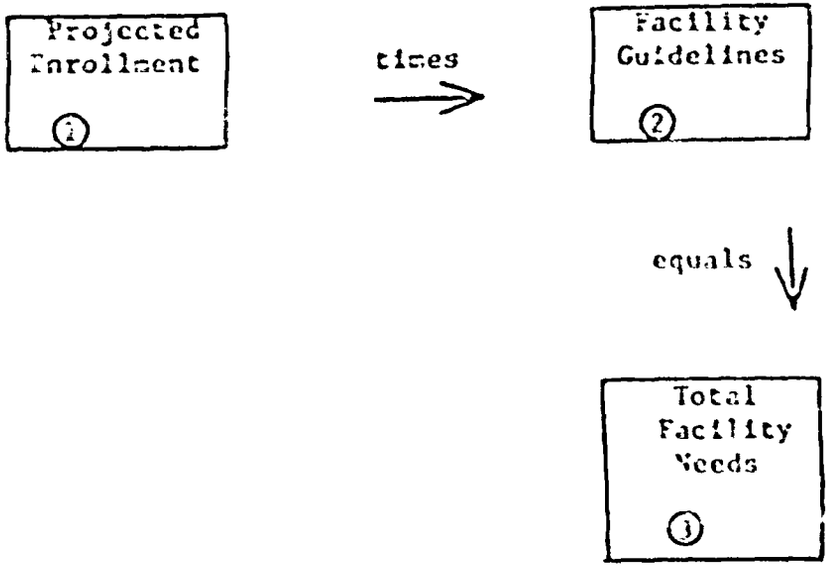
Enrollment Projections

The enrollment projections on which facility needs are based are developed by OPPFM and the community college system. The enrollment projection method now in use is described in Exhibit G.

Enrollment projections must take into account two factors: the demand for educational services and the probability of resources being available to accommodate demand. In the history of the community college system, demand has consistently exceeded resources, so the colleges have been under public pressure to serve more students than the number for which they were funded. For the future, it is less clear as to the degree to which effective demand will exceed our program capacity.

The basic projections of community college enrollment are developed in terms of fall quarter FTE students. We use FTE's because the amount of services provided to students is more closely related to the credit hours generated than to the number of individuals involved. We use fall quarter because the peak load on community college facilities is typically generated during fall quarter. This fall peak is not conducive to highest utilization of all college resources, but it is, to a large extent, beyond the control of the individual college, especially in the agricultural areas of the state.

CAPITAL ANALYSIS MODEL



1. Daytime on-campus FTE enrollment for Fall Quarter 1976, by academic/vocational

2. Floor area (or stations) per daytime, on-campus FTE

3. Floor area (or station) needed for Fall 1976

4. Floor area (or stations) that will be available for Fall 1976

5. Floor area (or stations) that must be added to the available inventory by Fall 1976

To establish the actual demand level for campus facilities, our total college projections are reduced to that portion of the enrollment that is to be served during the regular nine-hour day on campus. We make the basic assumptions that evening and weekend classes can be accommodated in the same amount of facilities that are required by day students, and that off-campus activities can be administered and supported from the campus facilities warranted by day-time loads. Our continued efforts to take programs off-campus, wherever appropriate, are accounted for in the reduced estimates of day, on-campus enrollment.

The day, on-campus enrollment projectionfor each district has been further analyzed to separate the academic and occupational efforts for facility guideline purposes.[1] We use 1976 enrollment as the basis for facility needs because space needed in 1976 cannot be funded later than 1973-74 and still be on-line in fall, 1976.

Facility Guidelines

The second element of the Capital Analysis Model is the facility guidelines developed within the community college system and adopted as policy by the State Board. The facility guidelines are a system of norms for the amount of space needed to house a typical college program. There is a guideline for each type of space, expressed in terms of square feet of assignable space per FTE student, except the vocational guideline, which is in terms of student stations, not square feet. The reason for this is the wide range of space-per-station requirements for vocational training stations.

The guidelines are not considered to be sufficient rationale, in and of themselves, to substantiate a space need for a budget request. All 1976 project requests also reflect a program requirement for additional space. The programs result from the initial determination of goals and objectives in the Six-Year Plan. The guidelines merely establish a parity in amounts of space that can be requested to meet similar program needs on different campuses.

VOCATIONAL LABS/SHOPS

Vocational training facilities grouped according to their space consumptions, i.e., square feet required per student station.

	SPACE GROUPS			
	I	II	III	IV
Range of sq.ft. per student station	25-45	50-80	85-130	135-400
Average area per station	35	65	100	200
Typical programs in the group	Accounting Bookkeeping Business Data Processing Midmanagement Office Machines Secretarial	Art Drafting Electronics Home Economics Industrial Mech. Instrumentation Nursing Photography Technologies: Agric. Chem. Engineer Fisheries Forestry Mech. Medical	Carpentry Civil Engr.Tech. Dental Tech. Machine Shop Printing Sheet Metal Welding	Air Frame & p.m Auto Body Auto Mech. Heavy Equip.

To determine the square feet per FTE projected:

Depending on the detail available for projected enrollments, the application of 14 contact hours per FTE and optimum utilization can derive required square feet per vocational FTE. If programs are not specified, the 1970 program mix within vocational will be assumed (I = 42.9% of all students, II = 37.6%, III = 9.9%, and IV = 9.6%).

This system-average mix generates space usage of 45.7 square feet per vocational FTE.

TYPE OF SPACE		ASSIGNABLE SQUARE FEET PER DAYTIME ON-CAMPUS FTE					
		INITIAL 1000 FTEs			ADDITIONAL FTEs		
Room type code**	Name	All	Non-occup.	Occup.	All	Non-occup.	Occup.
110,115	General Classroom		11.0	7.0		10.2	6.3
210,215	labs, shops, studios						
220,225	Science	5.7			4.3		
230,235	Vocational			45.7			45.7
	Music	2.0			.75		
	Art	2.5			1.0		
	Language and basic skills	2.0			.5		
310,315	Office						
350,355	Faculty		5.0	6.7		5.0	6.7
	Administration and student personnel services	6.0			4.0		
410,420	Learning resource center	11.0			6.0		
430,440	including staff						
445,530	offices						
535							
520,523	Physical Education,	14.0			7.0		
525	including Pool						
610,615	Assembly (theatre)	10.0			2.5		
630,635	Student Center,	10.0			4.5		
640,645	including student						
650,655	activity offices,						
660,665	merchandizing, lounge						
670,675	and recreation, food service						
720,725	Maintenance, including						
730,735	staff offices	5.0			2.0		
740,745							
	Total assignable space	X	84.2	127.6	X	47.75	91.25

* Includes assignable service and support spaces
From Higher Education Facilities Commission Space Inventory Manual

Facility Inventory

The third element of the CAM is the inventory of community college facilities that is conducted annually and analyzes existing space in the same categories as those used in the facility guidelines. The facility inventory has been computerized at the state level to meet the needs of federal data reporting as well as campus and system management requirements. The inventory must be modified for use in the CAM by removing from it all temporary space and adding to it facilities that are now funded but not yet occupied. The resulting compilation of facilities reflects the space that will be available on each campus in fall, 1976.

With the three CAM elements described--the guidelines, the enrollment projections, and the facility inventory--each college was able to determine the types and amounts of space in which there would appear to be shortages on a given campus in 1976. Local program needs were reviewed to determine whether such shortages could actually be expected and whether they would be detrimental to college program operations.

Evaluation

The CAM is effective in establisning a basis for comparison of square foot needs on all Washington community college campuses, since it treats each need on the same basis. The CAM allows for the anticipation of change in use or the removal of space from the inventory. All our colleges have gone through the process of reviewing their campus inventories and projecting, within state-level parameters, their enrollments and program mixes. Thus, there is a very great measure of comparability to the "gap" or needs statements developed for each campus. This comparability allows for meaningful comparison of the needs, and sets the stage for informed system judgments about priorities.

In the second instance, the use of the CAM in determining the amount of space to be requested to meet 1976 needs provides a systematic and understandable basis for judgment on the magnitude of need for all types of space, to augment the program-related judgments used previously and still used as the primary rationale

for a project request. In the past, needs for classrooms and science labs could be quantified to some extent through utilization data. The CAM, however, makes possible a systematic quantification of need for all space, unscheduled as well as scheduled. A final improvement in the CAM involves the establishment of cost ranges per assignable square feet for different types of space.

Cost Control

The June, 1973, State Board meeting approved a major improvement in the CAM process--a system for determining the lowest possible cost of construction consistent with building purpose. Project Evaluation Guides (PEG) for each type construction determined the average cost of Washington community college projects built since 1967, adjusted for inflation. Efficiency ratios were applied (the ratio of assignable square feet to gross square feet), so that all 1973 projects would be at least .75 assignable. To determine the approved cost of construction for any campus project, project conferences were scheduled with the district's architect, the State Board staff, the State Division of Engineering and Architecture, and the consultant to the State Board present. The project conference determined assignable square feet and cost per square foot.

ENROLLMENT PROCEDURES USED BY THE COMMUNITY COLLEGE SYSTEM

Responsibility for official enrollment forecasts for public higher education in the State of Washington rests with the Office of Program Planning and Fiscal Management (OPPFM), the Governor's budget office. The State Board for Community College Education is responsible for breaking down (allocating) total estimates for the community college system to the district and program level. The two agencies work closely together, though the enrollment projections of the Governor and the community college system frequently differ--the community college system being more bullish about future enrollment levels.

The main enrollment unit in community college planning is the FTE (full-time equivalent) student. The full-time equivalent of the credit hour enrollment is determined by dividing total credit hours by 15--a normal credit hour load. Over the last several years, the purpose of that enrollment unit has changed. Originally, it was the budget negotiation unit. This was true during the time that appropriations and the allocation of appropriations among the districts were based on a simple dollar/FTE formula. Though the planning/budgeting process has been significantly improved since then, the FTE student is still the basic decision unit. Our more sophisticated budget formulas recognize many other factors than the number of students enrolled, but the FTE enrollment of the districts still plays the major role.

Previously we have used a "service level" method of forecasting which assumed a selected total enrollment target as a matter of policy and then programmed the growth of the system and the districts between the current year and the year of the policy-determined target enrollment.

A change occurred during the process of distributing total budgeted enrollments among the community college districts for the 1973-74 college year. For the first time, our enrollment decisions reflect what we call a demand-based projection. The main difference between this and the service level method is the

use of real demand at the state-wide and district-by-district level to determine total estimated system enrollments and for distributing appropriated enrollments, including adjustments to reflect limited growth such as that allowed by our 1973-75 appropriation.

It is easier to make a case for real demand as a basis for enrollment projections than it is to implement the same notion. We intend to base our entire 1975-77 planning on such a basis, and as we do so our planning decisions will be borne out by our actual experience much more regularly than they have been, resulting in increased credibility in the system's knowledge of its own business, and particularly our ability as enrollment managers. Armed with what we know to be a more accurate picture of our enrollment demand, we can more confidently make the enrollment decisions necessary to make sure that the system performs in a predictable fashion in the eyes of the other agencies and people who influence our affairs.

In preparing for 1973-74, we attempted to recognize and more fully understand the many state-level and district factors which determine real enrollment demand among the community colleges. By July, 1973, it was already apparent, however, that methods need further improvement, for neither OPPFM nor the State Board staff adequately recognized the demand potential for community college services for fall, 1973; advance enrollments had demonstrated that we had built in too little growth to support increased demand as it had developed over the last six months.