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ABSTRACT

This second of two monographs dealing with comprehensive institutional planning is directed at institutional representatives involved in the planning process at two-year colleges. It contains (1) information on a step-by-step approach to developing and implementing a comprehensive planning process (chapters 1-3) and (2) a case study of planning activity at Walla Walla Community College (chapter 4). Chapter 1 identifies and explains requirements of an effective planning process, including a planning model and prerequisites to effective planning. Implementation of the planning process is discussed in chapter 2. A conceptual model developed within the framework of the Planning, Management, and Evaluation System is presented, and these three phases of the process explained in detail: planning (preplanning, strategic planning, operational planning), management (plan utilization), and evaluation (including monitoring). Chapter 3 focuses on vocational education planning and explains suggested steps in a program planning model. The purpose of chapter 4 is to delineate and describe planning and budgeting processes used by Walla Walla Community College. A preliminary evaluation is attempted. Among exhibits illustrating how other institutions approach various aspects of the planning is a description of Valencia Community College's needs assessment approach. (A second mohograph in the series, available as CE 025 231, provides essential information for "planning to plan.") (YLB)

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COMPREHENSIVE INSTITUTIONAL PLANNING IN TWO-YEAR COLLEGES

A Planning Process and Case Study

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Steven L. VanAusdle

PREFACE

Challenges facing two-year colleges have never been greater. Unprecedented changes in societal trends and values have created both opportunities and problems. Demographic, social, and economic changes are altering the student population. Many colleges are confronted with shifting and in some cases declining enrollments, inflation, and a taxpayers' revolt.

There is a need for two-year colleges to continuously assess their managerial strategies and capabilities. The future of many colleges lies primarily in their ability to exercise self-control and to adapt to present and future conditions. Many colleges are developing and implementing comprehensive yet flexible planning processes designed to serve as a vehicle for their continuous development and renewal. Comprehensive planning is emerging as an essential administrative process for increasing or maintaining institutional vitality in the 1980s.

This monograph, the second of two dealing with comprehensive institutional planning, is directed at institutional representatives involved in the planning process. It provides essential information on a step-by-step approach to developing and implementing a comprehensive planning process. This monograph also includes a case study of planning activity at Walla Walla Community College. The case study offers insights

to and an understanding of various components of the planning process. Exhibits illustrating how other institutions approach various aspects of the planning are included in the appendix. The primary aims of this monograph are to assist institutions in preparing, implementing, and evaluating a comprehensive institutional planning process.

Executive officers and institutional planners interested in initiating or improving their approach to planning are also referred to the first monograph in this series titled Comprehensive Institutional Planning in Two-Year Colleges: An Overview and Conceptual Framework which provides essential information for "planning to plan." Institutions interested in initiating or improving their approach to planning should find the planning precepts and conceptual framework especially useful. Recent planning literature is synthesized and guiding principles are delineated.

If your goal is to maintain or improve your college's reputation as being a responsive community-based and performance-oriented institution prepared to meet the challenges of the 1980s, now is the time to act. Comprehensive institutional planning is the way.

Steven L. Van Ausdle

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CHAPTER I

AN INTRODUCTION TO PLANNING

Planning in the Educational Environment

Challenges facing college leaders have never been greater. Unprecedented changes in societal trends and values have created both threats and opportunities for the two-year college. Demographic, social, and economic changes are altering the student population. The most striking changes are the relative increases in the number of older students and female students attending college. A few of the factors which have contributed to increasing the heterogeneity and complexity of the educational environment are an awareness of the economic benefits related to vocational education, retraining related to mid-career shifts, an increasing preoccupation with adult education and lifelong learning, and growing interest in avocational offerings for leisure time use.

Paralleling these changes is a pattern of students delaying entry into college after completing high school. Disenchantment with formal education, elimination of the draft, the questionable economic value of many college degrees, and soaring costs are suggested reasons.

In addition to changes in student interests, many educational leaders are confronted with declining enrollment patterns, inflation, and a taxpayers' revolt.

The public's demand for more efficiency and accountability is being felt through the fiscal actions of elected officials. As a result, there is a crucial need for two-year colleges to strengthen their managerial capabilities. The future of many colleges depends primarily upon their ability to exercise self-control and improve their capacity to adapt to present and future conditions. This is a responsibility of management.

Institutional management in the global sense refers to five primary functions: planning, organizing, staffing, directing, and controlling. In this paper, the functions of staffing, directing, and controlling will be referred to as management and the controlling function as evaluation. Planning is viewed as a means of increasing or maintaining vitality in the 1980s. Planning is the one function that is most closely associated with the executive level and requires the greatest amount of attention and time. Planning is also the antecedent function to the other administrative functions.

Henderson states the case for planning.

> Planning is here to stay. We can use it to our advantage, or we can let others use or misuse it to our disadvantage. As the public becomes increasingly concerned about the educational enterprise, we have an opportunity now, through effective, clearly defined planning, to help restore confidence in education -- in what we are doing. As we continue to increase in size and complexity, we have an opportunity now, through effective planning, to increase our capacity to make intelligent decisions. Through effective planning we can untie our hands from administrative

minutiae and concentrate our efforts on the educational process. The choice is ours.[1]

Comprehensive Planning

Planning has been identified as one of the most important administrative functions. Although planning has long been an everyday activity, until recently, little attention has been given to the comprehensive planning process. In the past, many college administrators have viewed planning as something imposed upon them from a parent organization, usually for the wrong reasons. Now these same administrators have come to realize that planning actually works to their benefit.

Planning is a process which attempts to predetermine a desired course of action. Planning is deciding where we are going and how we plan to get there. Planning can help an institution shift from a posture of reaction to proaction. Planning can help the college shape the environment rather than constantly react to the environment as it changes.

Planning helps establish sound guidelines for the efficient and effective operation of an institution by providing an intelligible rationale for decision making. Effective planning can also help persuade others that the college is deliberate in its actions and that the actions are meeting the needs for which it is responsible. Finally,

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1. L. G. Henderson, A Plan for Planning for a Community College System (Tallahassee, Florida: Department of Higher Education, Florida State University, June 1973), p. 9.

planning helps ensure that administrative and legislative mandates imposed by law, rule, and regulation will be met.

The planning process must be comprehensive. Comprehensive planning is defined as a formal system for integrating both short and long-range academic, administrative, financial, and facilities planning for the total college and its principal components. The planning process must comprehend all elements of the college and its relevant environment and must reflect a multi-dimensional view with respect to both time and level. It must present both a long and short-range perspective. It must be an integral part of the college operation at all levels, especially at the top. It is particularly important that there be a conscious, purposeful commitment to planning. Finally, planning must reflect both qualitative and quantitative concerns.

Comprehensive planning may result in a comprehensive plan. A plan is a written document or documents which sets forth the goals and objectives of the college and specifies programs and courses of action designed to achieve them. Planning is a process; the plan is a product of the process.

The Process of Comprehensive Planning

Comprehensive planning is an administrative function best implemented by developing a formal step-by-step process. It requires every organizational level in the college to:

1. assess current and past conditions and the environment in which the college operates.
2. assess the needs of present and future clientele and the societal needs for which the college is responsible.
3. define goals and set objectives based on the needs assessment.
4. determine and implement programs to achieve the objectives.
5. assess the progress toward achievement of objectives. [2]

The fundamental purpose of the plan is to communicate as clearly as possible (1) the direction in which the college is going and why, (2) how it intends to get there, and (3) the resources that will be required for it to reach its destination. This mission is best accomplished via a comprehensive and systematic planning process. A logical sequence of activities for developing, implementing, and evaluating a program plan is shown in Figure 1. This model is applicable to any level in the college (e.g., district, campus, academic department, or program). The model indicates that comprehensive planning is not a linear, one-way process. The cyclical nature and major components of the planning process are shown in Figure 2. It is important to note that any model presented is likely to appear as an oversimplification of the actual dynamics of the

2. Ibid., p. 12.

ADMINISTRATIVE PROCESS MODEL

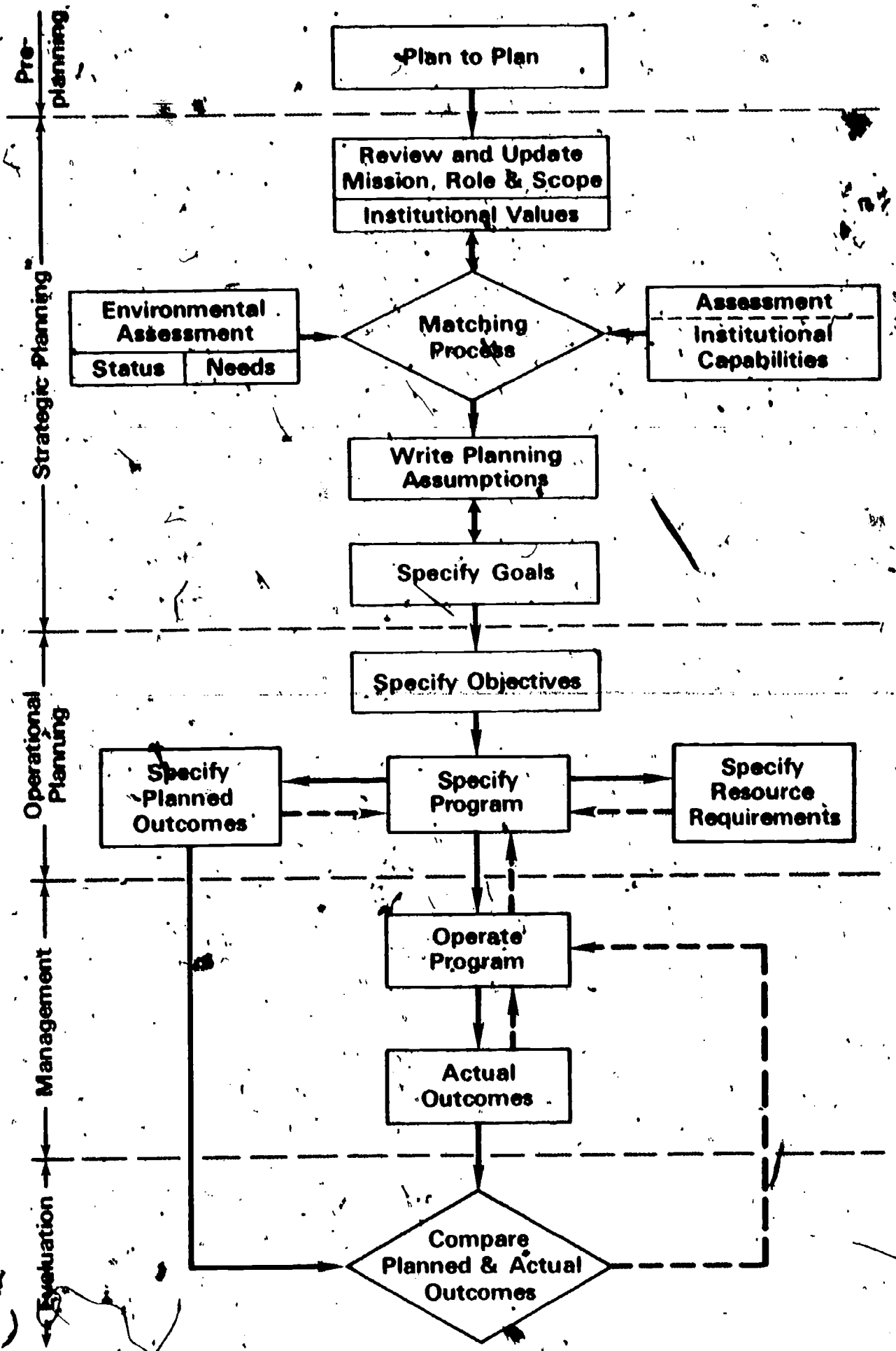
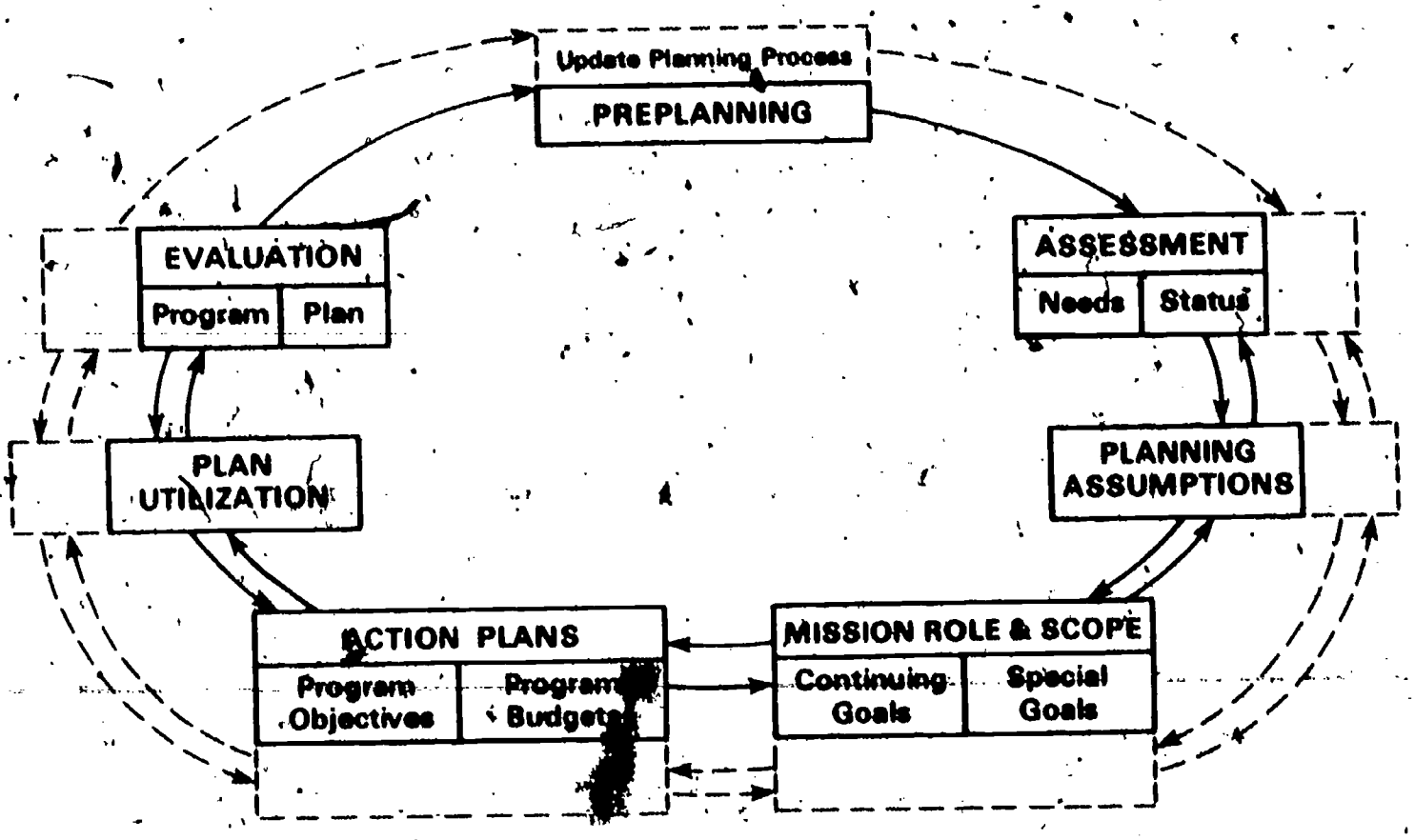


Figure 1. Administrative Process Model.

THE PLANNING CYCLE



——— year 1

– – – – year 2

Figure 2. The Planning Cycle.

process. In practice, steps in the process are highly interactive and increase in complexity as the process evolves.

Prerequisites to Effective Planning

Effective planning does not just happen -- it must be planned. The success of planning is dependent upon certain prerequisite conditions. Those conditions are as follows:

1. Top-Level Leadership Commitment

If the president and/or the board of trustees are indifferent toward planning, the attitude will be communicated to the rest of the institution. This is almost a guarantee of failure.

2. Staff Time and Expertise

Time should be allotted for designing, explaining and pilot testing the planning process prior to implementation. Learning how to plan more effectively should be a priority consideration at the outset. An outside consultant can be utilized to help initiate the process and assist with the learning experience.

3. Planning Procedure and Schedule

It helps to identify specific steps to be followed in initiating plans and getting them reviewed by central administration. Procedures for regular review, revision, and updating of plans should also be developed. A calendar or time schedule must be related to planning activities so everyone knows completion dates for various stages.

4. Broad Participation

Meaningful involvement by faculty, students, administrators, and trustees is the principal sine qua non of successful planning. Planners should make extra efforts to see that this occurs. Shoemaker indicated that "one of the foundational and most valuable resources of a college is the intelligence and creative ability of its personnel," and he suggested that a "planning process be designed to make the best use of this resource and not suppress it."[3] He believes that people need to feel that they are participating in the maturational development of their institution and that they have a say in their individual and corporate destiny. It is important in the design of the planning process to provide opportunities for input at appropriate times, places, and levels for everyone either directly or through representatives.

5. Integration with State Level Planning

The institutional planning process should be integrated with planning that occurs at the state system level. For colleges that receive a majority of their operating revenues from the state, planning must flow from and feed to the decision process at the state level. Planning should recognize the realities of the state decision making process and be integrally related to political strategies affecting the system's efforts to influence state government.

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3. William A. Shoemaker, Vice-President for Research, National Council for the Advancement of Small Colleges, "Planning in Two-Year Colleges" (Comments presented at a meeting convened by the writer at the National Center for Research in Vocational Education, Columbus, Ohio, December, 1978).

6. Pre-planning

Pre-planning activity can be viewed as "planning to plan." When developing a planning process, it is important to consider the history, structure, and personality of the institution and design accordingly. Before planning, an institution should determine its planning requirements, study existing process and capability, develop planning policy, assign responsibility, develop a planning structure, develop a planning process, and initiate staff training on institutional planning. Design of the process should reflect a precisely designed series of activities with a related time schedule so everyone knows expected completion dates of various steps. This should be viewed as essential pre-planning activity.

Essential Requirements of an Effective Planning Process

Past experiences of planners have suggested fundamental requirements for an effective planning process. Important requirements are:

1. Planning Should not be Separated from Decision Making

Kieft emphasized that planning and resource allocation/reallocation must be linked in a decision process that identifies objectives, then selects and develops programs to accomplish them. He indicates that planning can "rationalize decision making by minimizing its ad hoc character."[4]

4. R. N. Kieft, Academic Planning: Four Institutional Case Studies (Boulder, Colorado: National Center for Higher Education Management Systems, 1978), p. 5.

2. Planning Should be Short- and Long-range

Planning is short-range in that it develops the budget for the next fiscal year and continues program commitments. Short-range planning usually results in an annual plan. The long-range plan seeks to establish the goals and direction for the foreseeable future. Halstead indicated that the planning period cannot be so long as to preclude reasonable accuracy in projecting statistics and trends, nor can it be so short as to make planning meaningless.[5] Without the long-range dimension, planning is likely to be focused on how to plan the college's way out of a crisis.

3. Planning Must Result in a Budget

The budget should be viewed as a fiscal statement of the plan. If the budget is not directly tied to planning, planning may be appropriately viewed as a meaningless exercise since its payoff for the college and for the individuals involved will be minimal.

4. Planning Requires a Definition and Understanding of Institutional Mission, Aims, and Goals

The planner must first determine where the college is going before deciding how to get there. Freeman stated it well: "One cannot draw a road-map without knowing in advance where one is going."[6]

5. Planning Must be Information-based

Planning requires information about both the internal

5. K. D. Halstead, Statewide Planning in Higher Education (Washington, D.C.: U. S. Government Printing Office, 1974), p. 29.

6. J. E. Freeman, "Comprehensive Planning in Higher Education," New Directions for Higher Education, Autumn 1977, p. 47.

aspects of the institution and its external environment. Freeman found that many planning systems in higher education failed because of inadequate information about the institution, its programs, its finances, and its staff.[7] He suggests the need for comprehensive management information systems (MIS) and appropriate analytical models to generate information required to support planning.

6. Planning Should Emphasize the Development of Working Papers -- Not a Final Printed Document

Planning should focus on providing information to support decisions. The objective should not be to publish a plan that may or may not have any direct bearing on the process of making decisions. The primary value in preparing a written plan is the disciplined process required to develop, analyze, review, and approve the document. The dynamic nature of the process renders a final document obsolete shortly after it is printed. Therefore, planners should emphasize the development of working papers that support decisions and inform the college community and the public of institutional progress.

7. Planning Requires a Means of Evaluating Institutional Performance

Evaluation can be viewed as the process of obtaining necessary information for planning. Many institutions begin the planning cycle by evaluating existing programs to acquire necessary information for planning decisions.

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7. Ibid., p. 50.

8. Planning Requires Consideration of All Possible Consequences for Existing Programs

Changing needs and scarce resources require that some programs be reduced or eliminated while others may be maintained or increased. According to Shoemaker, the unpopular and distasteful thought of reducing staff is frequently considered only "when an institution is on its last legs -- and achieves too little too late. Such an approach does not represent good management, let alone realistic financial planning for a developing institution." He believes it reflects a greater concern for human dignity to help people find positions where they derive satisfaction from being productive instead of allowing them to fulfill traditional roles in "over-stuffed, outdated, and parasitic programs."[8] It only takes a few such programs to drain the resources of an institution enough to prevent it from developing new programs and services that may be vital to survival.

9. Planning Requires the Development of Institutional Priorities

When resources are limited, priorities are necessary. In the past, incremental growth was viewed as the norm. Planning reflected the expectation that changes could be covered by an increased number of students, an increase in the fee paid by the student, and increases in state and federal appropriations.

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8. W. A. Shoemaker, "Data and Its Use: A Process System for Planning" (A paper presented at the National Consulting Panel Meeting on Planning Two-Year Colleges held at the National Center for Research in Vocational Education, Columbus, Ohio, The Ohio State University, December 1978), p. 29.

Colleges are now finding that they can no longer expect to receive increases. In most cases they must make do with existing levels of funding or with even less. Therefore, in order to make changes; it is necessary to change priorities and reallocate funds. Traditional allocation patterns will have to be altered as trade-offs are considered to get maximum benefit from the education dollars available.

In this section the essential requirements of an effective planning process were identified and explained. An effective process meets these requirements and is characterized as a comprehensive, continuous, and flexible process that evolves with the development of the college. To view the process otherwise is to subscribe to the Christopher Columbus theory of planning: When he left he didn't know where he was going; when he got there he didn't know where he was; when he returned he didn't know where he had been; and he did it all on a federal grant!

CHAPTER II

IMPLEMENTING THE PLANNING PROCESS

Planning Model

A conceptual model of a comprehensive planning process is presented in this section. This model was developed within the framework of the Planning, Management and Evaluation (PME) System. This model is presented in detail in S.L. Van Ausdle, Comprehensive Planning in Two-Year Colleges: An Overview and Conceptual Framework.[1] The model shows the relationships among the components of the system. (See Figure 3.)

Through the planning component, the college establishes or reaffirms its mission and determines its goals and objectives. The three phases of this ongoing process are: (1) pre-planning, (2) strategic planning, and (3) operational planning. Pre-planning is a vital step, especially for those colleges who do not have a comprehensive planning process in place. Necessary steps to include in each phase of the process are explained in detail in the following sections.

The management component can be viewed as the administrative process and techniques used to achieve goals and objectives derived from the planning component. This component makes use of the plan as a basis for decisions and actions; thus the term "plan utilization."

1. S. L. Van Ausdle, Comprehensive Planning in Two-Year Colleges: An Overview and Conceptual Framework (Columbus, Ohio: National Center for Research in Vocational Education, 1979), p. 57.

COMPREHENSIVE PLANNING PROCESS FOR TWO-YEAR COLLEGES

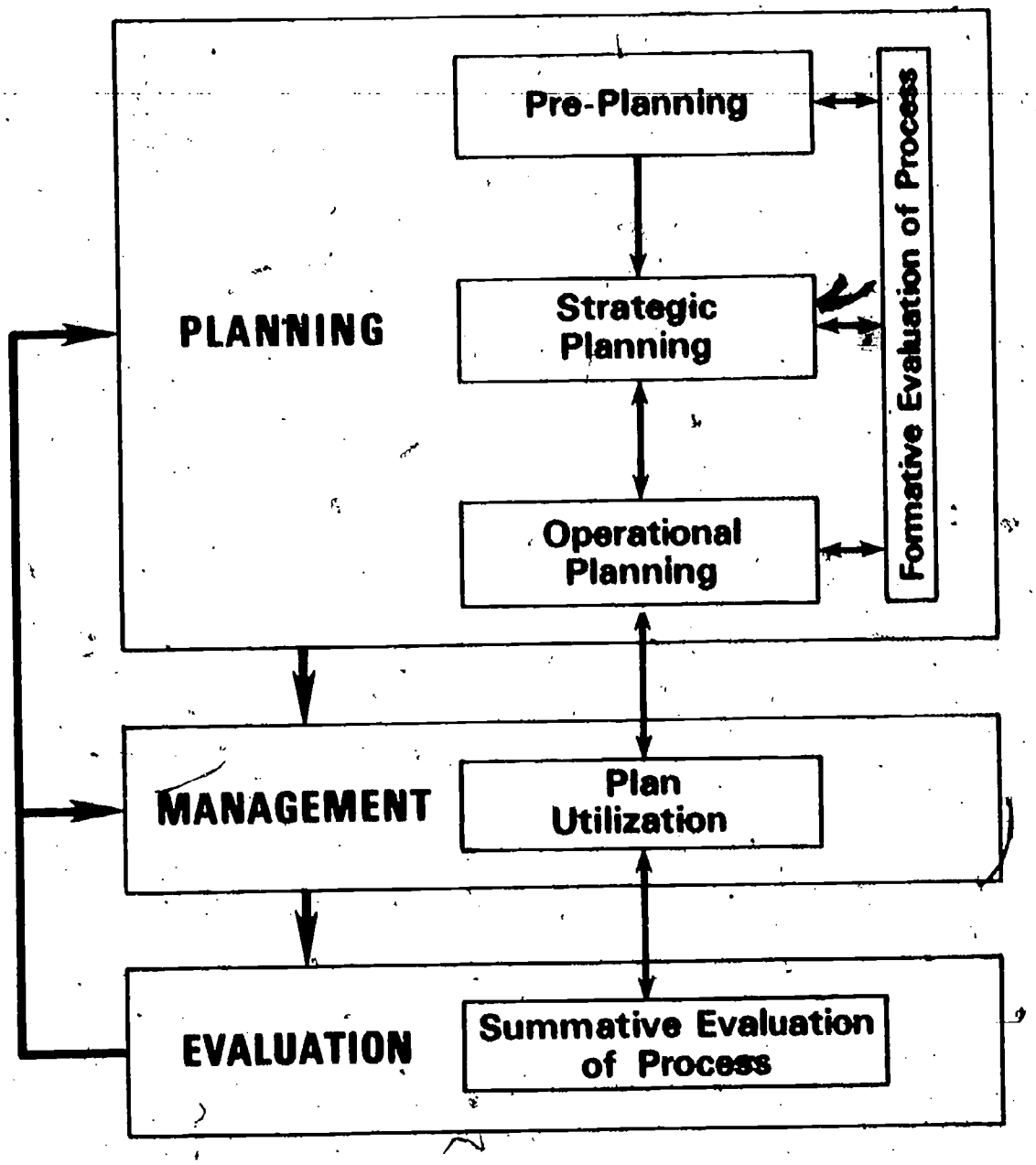

Figure 3 Comprehensive Institutional Planning System for Two-year Colleges.

The evaluation component focuses on assessing the actual performance of the college in terms of the goals and objectives derived from the planning component. Evaluation is an ongoing activity. Both program operations and the planning process should be monitored and a summative evaluation conducted according to a predetermined schedule. Evaluation provides information that can be used in the management of current operations and planning of future activities. Each phase of the planning process will be explained in detail in this chapter.

Pre-Planning Activities

Where do we start? How do we proceed? These are two perplexing questions faced by institutions which have discovered the need for improved planning. Should a consultant be hired? How about adopting another institution's process? Would it be more expedient to get on with the task of writing goals and objectives? These questions all illustrate the need for the college to develop a "plan for planning."

Initial efforts should focus on answering these questions: Why plan? Who will assume responsibility? Is there a predetermined time frame and basic format imposed by the state board? What will be the nature of the planning process?

The first step in assessing the need for planning is to evaluate existing planning efforts. Kieft, Armijo, and

Bucklew advise that an ad hoc task force comprised of college leaders and the leaders of major constituents and faculty start by assessing institutional opinion on the following eight questions:

1. Is decision making coordinated?
2. Is there a shared sense of purpose and direction?
3. Is the planning process effective as well as efficient?
4. Is there extensive participation in the process?
5. Is there consensus about the mission, role and scope of the institution?
6. To what extent does the academic program reflect the mission, role and scope?
7. How well understood are the educational trends affecting the institution?
8. How well do programs respond to the needs of students?[2]

They suggest that the task force conclude with a specific recommendation on the order of one of the following:

1. Current planning is effective. Desired results are being achieved, and no changes are necessary.
2. Current planning is basically adequate, and only limited revision and coordination are needed. Existing systems and institutional offices can

2. R. N. Kieft, F. Armijo, and N. S. Bucklew, A Handbook for Institutional, Academic and Program Planning: From Idea to Implementation (Boulder, Colorado: National Center for Higher Education Management Systems, 1978), p. 11.

undertake such changes.

3. Current planning is inadequate. The institution should implement a different planning process that will involve major institutional commitment.[3]

Kieft stated that many institutions will conclude that the third option best describes their situation.

The pre-planning phase suggested here involves a fourteen-step process as shown in Table 1. The first two steps are: determining planning requirements (Step 1.1) and evaluating existing capabilities (Step 1.2). These steps reflect Kieft's recommendations.

After the chief executive reviews the findings of the initial assessment, planning policy should be developed (Step 1.3). This policy will help communicate to the college community the commitment to planning and the proposed course of action.

Next, the chief executive should formally assign the responsibility for planning (Step 1.4). It was noted in Chapter 1 that planning requires staff time and expertise. It is important that planning be perceived as an important activity that directly influences major policy decisions. This is necessary if people are to give planning the required attention that will be necessary to make it effective. For this reason, the planning officer should report directly to the chief executive.

3. Ibid.

STEPS IN COMPREHENSIVE PLANNING PROCESS FOR TWO-YEAR COLLEGES

PLANNING			MANAGEMENT	EVALUATION
Phase 1.0 PREPLANNING	**Phase 2.0 STRATEGIC PLANNING**	**Phase 3.0 OPERATIONAL PLANNING**	**Phase 4.0 PLAN UTILIZATION**	**Phase 5.0 MONITORING & EVALUATION**
1.1 Determine planning requirements	2.1 Conduct environmental needs assessment	3.1 Establish planning units	● Modify ongoing activity	5.1 Identify information requirements
1.2 Evaluate existing capabilities	2.2 Assess institutional capabilities	3.2 Strategic plan studied by units	● Prepare annual operating budget	5.2 Update information system
1.3 Develop planning policy	2.3 Write planning assumptions	3.3 Units update plans and budgets	● Prepare biennial operating budget	5.3 Obtain and monitor feedback
1.4 Assign responsibility	2.4 Review and update mission scope, role, and statement	3.4 Staff update professional development plan	● Prepare capital budget	5.4 Provide for contingency planning
1.5 Appoint planning council	2.5 State continuing goals		● Identify staff development needs	5.5 Evaluation of programs
1.6 Determine resource requirements	2.6 State special goals		● Identify evaluation criteria	5.6 Evaluation of planning process
1.7 Learn about planning			● College Promotion	5.7 Revise planning process
1.8 Develop planning structure				
1.9 Determine planning cycle				
1.10 Develop planning calendar				
1.11 Develop a planning process				
1.12 Train staff				
1.13 Evaluate preplanning efforts				
1.14 Report progress				

Table 1

Steps in Comprehensive Planning Process for Two-year Colleges

The fifth step suggested is to appoint a planning council (Step 1.5). This council should include broad representation from throughout the institution, including the leaders of administration, faculty, students, and staff.

The planning executive, in cooperation with the council, should then determine resource requirements (Step 1.6), review current literature, and call in consultants, etc. as a means of becoming familiar with the "state of the art" (Step 1.7). It may be helpful to review the planning processes of institutions that are at a more advanced planning stage. Their approaches should be discussed with the president, planning officer, and other representatives. It is important to note that a planning process evolves over time from within the institution and reflects the character of the particular institution. While learning can occur from others' successes and mistakes, be cautious about attempting to transplant another's planning style and approach to your institution. It may be rejected because its design does not meet the needs of your institution, or it may be at a more advanced stage and prove too complex for your purposes. Learning to plan is a necessary prerequisite and an essential step in the evolutionary development of a planning process. The planning staff and council must open themselves to the "learning to plan" experience.

The next four steps in the process comprise a design

phase. The planning structure is defined (Step 1.8), a planning cycle is determined (Step 1.9), an annual calendar is developed (Step 1.10), and a planning process is created (Step 1.11). These steps should be considered collectively, because they are highly interrelated.

A planning structure should reflect the hierarchical structure of the organization. It is highly recommended that the planning and budgeting structure be identical. This will help tie the planning and budgeting processes together. Each organizational unit should develop a plan and budget within the context of the next higher unit. The higher units then review and critique the plans and budgets of the lower units and aggregate plans and budgets of the lower units into an organizational plan and budget. This structural approach also works for evaluation. Planning and budgeting can start at the lowest possible level and occur within the context of guidelines provided by top-level administration. This structure and approach also tends to maximize involvement.

Developing the planning cycle (Step 1.9) involves determining the length of the planning horizon and the amount of detail desired for each year. Usually the planning cycle comprises three to five years. Information demands for initiating capital budget requests is a likely determinant of the maximum length of the planning horizon.

Each year, detailed plans are formulated for the year

immediately ahead. Less detailed yet substantive plans are prepared for subsequent years. An illustration of a planning cycle is included in the Appendix as Exhibit A. As the cycle advances, the second year will become the year immediately ahead and will be planned in more detail. Subsequent years may require revision as each new year is added.

Development of the annual planning calendar (Step 1.10) involves determining the time line for completion of activities for the annual planning cycle. Due dates for planning information or budget requests shape the planning calendar. One approach is to specify predetermined deadlines and then plan backwards. An annual planning calendar is included in the Appendix as Exhibit B.

The next important step is the development of the planning process (Step 1.11). Specific activities of a proposed process will be explained in detail in subsequent sections of this chapter. The two major components of the planning process are: strategic planning and operational planning. There is no standard approach to planning nor is specific terminology utilized to describe the planning process. Each institution should adapt a process and utilize terminology that promotes understanding within the institution.

It is important that the "plan for planning" be understood by everyone involved. Formal staff training (Step 1.12) is a recommended way of proceeding. Chief executives should demonstrate their understanding and commitment. Staff involvement will also provide an opportunity to assess attitudes and receive feedback on ways of improving the process.

The final steps in pre-planning are to evaluate the process and results of the pre-planning phase (Step 1.13) and report progress to the board (Step 1.14). After necessary adjustments are made based on feedback from staff training and evaluation, the board should be asked to express its commitment to planning by approving the process.

Strategic Planning

Strategic planning is the process of determining what direction the institution will take. The first step in the strategic planning process should focus on assessment of present and past conditions of the college and the environment within which it operates.

Conduct Environmental Assessment

Environmental needs assessment (Step 2.1) is concerned with obtaining, analyzing, and reporting information reflecting current and future needs of the college. Education and training needs and interests of present and prospective students should be assessed. This includes the needs and interests of adults in the service area. Another major area to study is the present and future employment and career opportunities. In addition, Kieft recommends consideration

of local, state, and national trends in financing post-secondary education, projected student characteristics for the next five to ten years, enrollment trends, major educational patterns, labor trends, and social priorities.[4] Valencia Community College's approach to needs assessment is included as Exhibit C in the Appendix. Valencia's approach is comprehensive and an integral part of their planning process. It is included as a practical and sound example of needs assessment.

Assessment Institutional Capabilities

Such assessment (Step 2.2) is concerned with the current and potential state of affairs of the institution to provide educational services. It involves the process of obtaining, analyzing, and documenting information which reflects the present status and potential capacity of the college. Initial efforts should focus on obtaining and analyzing information that will support planning decisions. This information might be summarized and published as an annual profile report of the college and its service area.

Write Planning Assumptions

Statements of assumptions are derived from the assessments of the environment and institutional capabilities (Step 2.3). These statements can be organized into three categories: (1) societal assumptions, (2) state system assumptions, and (3) institutional assumptions. These statements serve as a context for the subsequent review of the mission statement and development of college goals. Planning assumptions are statements of future plausible conditions. They form a basis for planning and serve

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4. Ibid., p. 38.

as a framework for evaluating alternative ideas. Planning assumptions should be reviewed and revised on a scheduled basis.

Societal assumptions consist of statements which characterize society today and project plausible futures. The college should appoint a committee to prepare these statements. A basic revision should be completed every two years.

State system boards usually take positions and provide information regarding the interpretation of the present and future state of affairs. State system assumptions consist of statements which identify the position the state board has taken on critical issues that will influence the college. State system assumptions should be modified or updated as major changes or announcements occur at the state level.

Institutional assumptions include statements of future conditions that are directly related to the college and its service area. These statements should address such factors as enrollment, staffing, programs, resources, and the physical plant. These assumptions should be revised annually based on new information and experience. An example of a format for planning assumptions as prepared by one college is included in the Appendix as Exhibit D.

Review and Update Mission Statement

This phase of strategic planning consists of a matching process among institutional and environmental needs,

institutional purposes, and institutional capabilities (Step 2.4). Caruthers and Lott note that an organization develops its strategies for dealing with the future through the concurrent assessment of three potentially conflicting forces: its traditional purposes, its current capacity, and its future environment. They state:

> When a strategy cannot be formulated that satisfies the currently perceived state in each of these three areas (purposes, capacity, future environment), the state of at least one must be changed. For instance, some aspect of the organization's capacity such as its facilities might be altered. Or, some action might be taken to change the institution's external environment, such as influencing political decisions or expanding the marketplace. Not infrequently, an organization may determine that it will amend its basic purposes (mission statement) if it is to enjoy survival.[5]

Review and update of the institutions mission statement via such a matching process (Step 2.4) is an extremely important step in the strategic planning process.

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5. J. K. Caruthers and G. B. Lott, A Guide for Mission, Role, and Scope Planning (Boulder, Colorado: National Center for Higher Education Management Systems. In Print), p. 14.

Specify Goals

The next step in the strategic planning process is to specify college-wide goals (Step 2.5).* A goal is defined as a desired future state or condition, which, if attained, will contribute to the achievement of the institutional mission. Goals are broadly defined and reflect the central aims of the institution. It is recommended that goals be divided into two categories: continuing goals and special goals. Continuing goals are derived with the context of the mission statement and, as the name implies, will not change significantly from year to year. Special goals are "special" for a stated period of time and tend to be specific and timely aspects of continuing goals. Special goals represent the most specific statements of direction at the institutional level. Like continuing goals the special goals provide direction to both new and ongoing activities and programs, although they seek primarily to intensify efforts on certain ongoing activities and to bring about change.

Strategic planning results in both long-range and annual plans. The long-range plan, usually covering a period of five to six years, provides a context for the subsequent development

* Organizational theorists have recently debated the advisability of institutions specifying goals as a part of the planning process in higher education. However, preliminary findings of a study of the institutional planning processes of a select group of two-year colleges by this writer indicate that goal statements are an important component of plans at these institutions. Goal free planning may be more appropriately applied within four-year colleges and universities.

of an annual operating plan. Strategic long-range and annual plans reflect planning decisions made by the board of trustees. These planning decisions can be reported as continuing and special goals.

The executive officer, in consultation with the planning council, should assume responsibility for the continuing goals. The goals are derived from planning assumptions, the mission statement, and recommendations of the college community. This should occur at least on a biennial basis. Special goals should be formally stated by the executive officer on an annual basis (Step 2.6). The planning council, with assistance from the college community, should recommend these goals to the executive officer.

At this stage, the contents of the strategic long-range and annual plan consist of --

- status assessment information;
- needs assessment information;
- statements of planning assumptions;
- a mission statement; and
- college-wide goals of a continuing and special nature.

College-wide objectives may also be included if the plan needs to be more specific. An objective is defined as a future state or condition which, if attained, will contribute to the achievement of one or more goals. Objectives are more narrow, concrete, specific, and subject to measurement.

The achievement of a goal will normally require the attainment of several specific objectives.

By this stage, it is assumed that the people involved in the process are more knowledgeable about the college and its environment and that better information is available for making planning decisions. A written planning report should be prepared. However, the benefits of having the written document will be secondary to the learning experience provided by involvement in the planning process. Remember, the planning process is considered as important to the college as the product produced -- the plan.

Examples of mission statements (Exhibit E) and college goals (Exhibit F) are included in the Appendix.

Operational Planning

Operational planning is the process of developing long-range and annual plans at each administrative level within the college. These plans are derived from and developed within the context of the college mission and goals specified in the strategic planning phase of the process. (See Figure 4.) Measurable objectives are developed for each administrative unit along with procedures or action plans for implementing these objectives. Figure [illegible] shows the iterative and dynamic nature of strategic and operational planning. They should not be perceived as mutually exclusive activities.

RELATIONSHIP BETWEEN STRATEGIC AND OPERATIONAL PLANNING

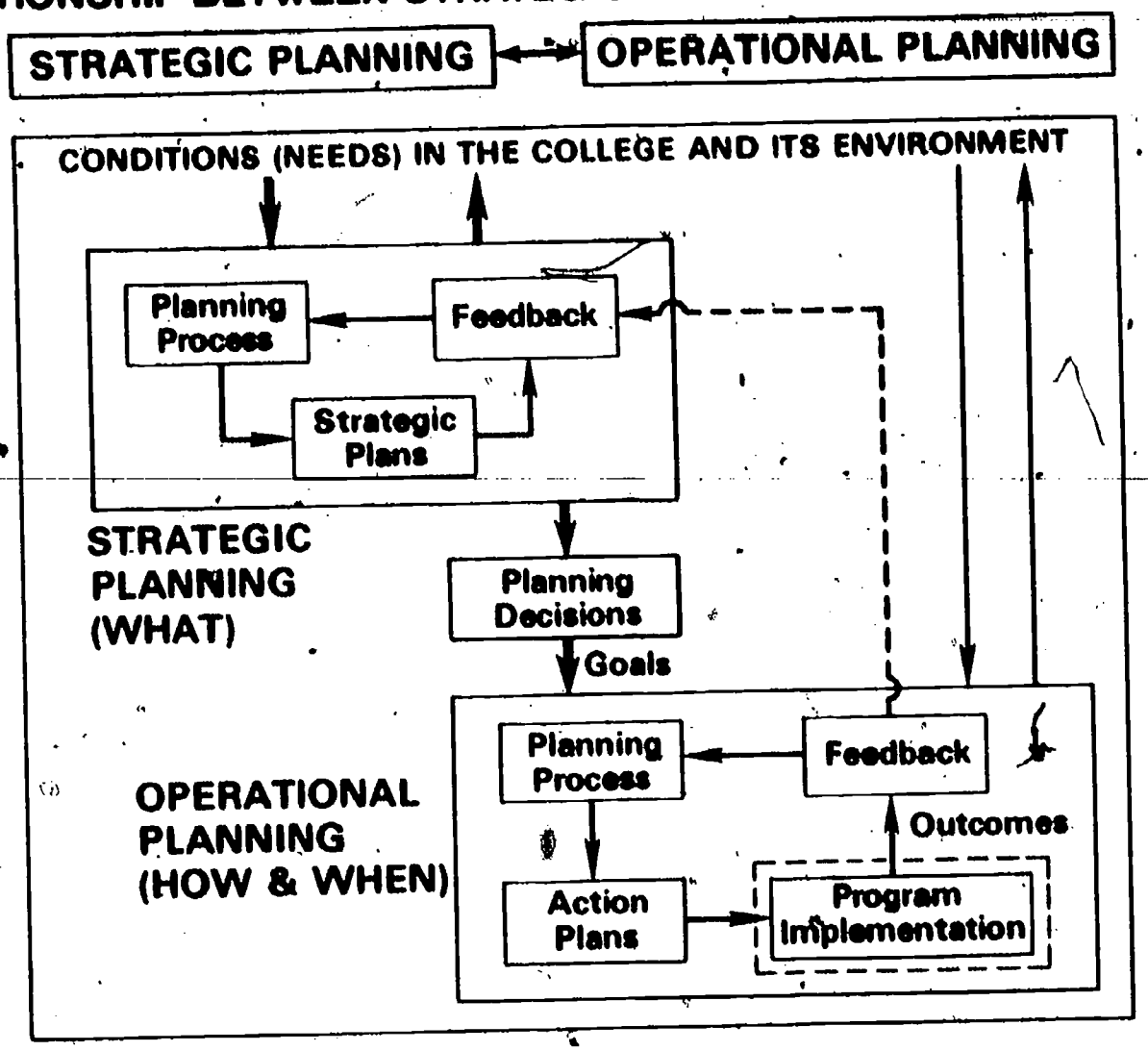

Figure 4. Relationships between Strategic and Operational Phases of Comprehensive Institutional Planning System.

Establish Planning Unit

The first step in the operational planning process is to establish the planning units (Step 3.1). It has already been recommended that administrative units within the institution be utilized as planning and budgeting units. Planning units at lower levels are subsets of units at higher levels. The following example might help illustrate this point.* At Walla Walla Community College (WWCC), the instructional area is subdivided into three divisions: vocational education, academic education, and adult/continuing education. Each of these divisions is composed of administrative units. The vocational division is composed of eight administrative units, e.g., mechanical and engineering technologies, health sciences, agriculture, business and commerce technologies, etc. Each administrative unit is composed of programs. The mechanical and engineering technology area consists of seven programs, taught by eighteen instructors. Each of these levels (i.e., instruction, vocational education, mechanical and engineering, and welding) are planning units.

Instructors in the mechanical engineering department at WWCC develop the annual and long-range objectives and budgets for that unit. The department's plan and budget will reflect the outcomes of similar processes that occurred earlier at the program level. The process occurs in similar fashion at each higher level until a plan and budget are developed for

* Strategies utilized at Walla Walla Community College will be cited to illustrate the operational planning process.

the entire instructional division. The supervisor responsible for the division or department, his/her supervisor, and all instructors involved in the unit participate in the planning and budgeting process. A schematic showing the relationship of all planning units should be developed at the outset.

Planning Units Study Strategic Plan

Each planning unit should analyze the strategic plan developed in phase three of the planning process (Step 3.2). The strategic plan will serve as a context for development of plans and budgets for the units. The important question is, How can the unit facilitate the accomplishment of the mission and goals of the institution? Any recommendations for change of the strategic plan should be referred to the planning officer for further consideration by the planning council.

Planning Units Update Plans and Budgets

Plans and budgets should be prepared for each administrative unit (Step 3.3). This process starts at the program level and proceeds to higher levels on a sequential basis within the context of the strategic plan and guidelines by the planning office.

An annual plan and budget are developed in detail. Projections are made for up to five or six years. These projections will be updated, with more detail provided in subsequent years. The plan prepared by each unit will include

unit goals, objectives, implementation plans, and a budget for the year ahead plus estimates for future years. For an example of a planning work sheet used to facilitate this step at Walla Walla Community College, see Exhibit G in the Appendix.

Staff Update Professional Development Plan

At this stage the college has reviewed its direction, reaffirmed or changed its mission and goals, and established or updated objectives and implementation strategies. A final step (Step 3.4) is to update the professional development plans of the administration and faculty. Kinnison explained how college plans could serve as a context for each individual within the institution to establish professional objectives for the ensuing year.[6] Figure 5 illustrates how planning can serve as a framework for the development of individual objectives.

Each individual should be encouraged to develop an annual and long-range professional development plan in consultation with his or her supervisor. These plans can serve as a basis for formulation of a staff development program by the college. Proposed activities should be evaluated in view of the college plan.

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6. C. Kinneson, Senior Associate with McManis Associates, Inc., "Planning in Two-Year Colleges" (Comments presented at a meeting convened by the writer at the National Center for Research in Vocational Education, Columbus, Ohio, December, 1978). The purpose of the meeting was to assist the writer with his research.

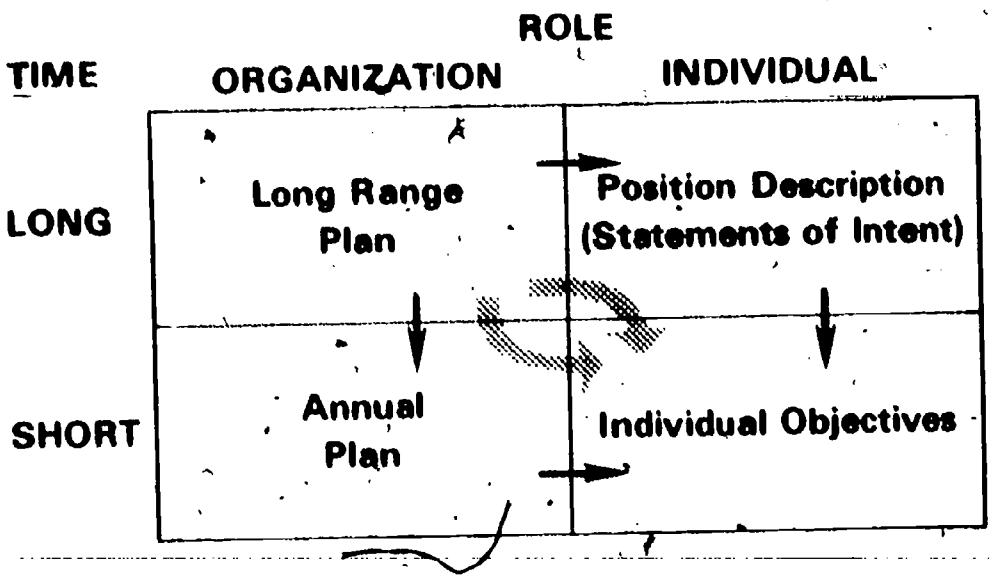

Figure 5.Framework showing how Long Range Planning serves as a Basis for Developing Individual Objectives.

Plan Utilization

Plans are implemented to accomplish the goals and objectives derived from the planning process. This implementation stage is what McManis and Harvey refer to as management. They define management as the administrative processes and techniques which are used to achieve the college goals and objectives.[7] Organizing, allocating resources, delegating responsibility, and controlling are activities associated with the process of directing the accomplishment of goals and objectives. This section focuses on specific uses of the plan in the management phase.

Modification of Ongoing Activity

Unplanned events should be anticipated. It is not uncommon for planning assumptions to be rendered obsolete before the ink is dry on the plan: students behave differently than anticipated, a major policy is changed at the state level, an unforeseen expenditure is encumbered. These and a multitude of other occurrences can create a discrepancy between planned and actual outcomes at all administrative levels. Such discrepancies should not be viewed as a basis for discrediting planning. Planning can serve as a vehicle for responding to unforeseen events. The plan can serve as a

7. G. L. McManis and L. J. Harvey, Planning, Management, and Evaluation Systems in Higher Education (Littleton, Colorado: Ireland Educational Corporation, 1978), p. 6.

basis for making short-term planning decisions that are unexpectedly required. This short-term planning is often referred to as contingency planning. Contingency planning can help ensure that the college remains flexible and adaptable to changing needs. Planning can thus be described as an ongoing and continuous process. The capability to respond to a changed condition that was not anticipated is a requirement of an effective planning process. For example, if students request a class that is not currently planned, the college should have the capability of considering this request in the current planning cycle. If resources are available or can be "appropriated" via reallocation from a program that is less important to the accomplishment of institutional goals, the capability should exist to reconsider initial plans.

Preparation of Annual Operating Budget

One of the requirements of an effective planning process is that it shape budget decisions. The budget should be considered the financial version of the plan. The financial version of the annual plan would thus be the annual operating budget. It has been advocated that the development of the annual plan and operating budget be coordinated.

In practice, the annual program or unit objectives are stated first as enrollment projections, e.g., the welding program plans to increase enrollment from twenty full-time equivalent (FTE) students (1978-79) to twenty-five

FTE students (1979-80). The objectives are evaluated partially on the basis of budget implications as well as their contribution to achievement of institutional goals. At Walla Walla Community College, enrollment projections are computed for each program and administrative unit level. These enrollment programs are compared to current enrollment levels and are analyzed in terms of budget implications. A budget Hearing is then held for each administrative unit. At that time, supervisors and faculty explain and justify their plans and budget requests in detail. An example of a planning form utilized to determine the relationship between revenues generated by the program (Exhibit G) and the projected program cost (Exhibit H) is included in the Appendix.

Preparation of Biennial Operating and Capital Budget Requests

Plans are usually projected for up to six years. The exact length of the planning horizon most likely will be dependent upon state level requests for information tied to the capital budget request. In the state of Washington, enrollment projections are required for six years into the future. Biennial operating and capital budget requests are determined primarily by the projected enrollment figures derived from the planning process. An enrollment control total is negotiated between the Washington State Board for Community College Education and each college. The state board utilizes district plans as a basis for determining and negotiating an

enrollment control total with the Office of Fiscal Management, which develops the governor's request for the community college system. Thus, the foundation of the biennial budget requests is the college plans. If the plans are not defensible, the college will not be in a position to argue for the enrollment allocation required to accomplish the goals of the institution.

Planning is especially critical in this period of fiscal constraint as state officials are being required to reduce expenditure levels wherever possible. A detailed explanation of the operating and capital budgeting processes in Washington State is provided in Chapter IV.

Staff Development Program

The final step (Step 3.4) in the development of the operational plan involves formulation or update of professional development plans for each administrator and faculty member. The college plan serves as a framework for development of these individual plans. A study of these plans can serve as a basis for determination of the staff development program.

Establishment of Criteria for Evaluation

Evaluation is the process of assessing the actual performance of the college in terms of the goals and objectives derived from the planning process. In this sense, planning also serves to establish criteria (measurable objectives) that

can be used in the evaluation process.

College Promotion

Planning documents contain substantive information that can serve as a basis for informing the public. With the public questioning as never before the expenditure of its tax dollar, it is important for representatives of the public (trustees, legislators) to know that the college is involved in assessing the needs of its constituency and developing programs responsive to these needs within the context of institutional mission and available dollars. Although the college is not operating strictly in a business sense, responsible planning demonstrates that the college is operated in a responsible, business-like way.

Evaluation

Evaluation is the process of measuring attainment of objectives. Evaluation is both formative and summative in nature. It involves both the review of progress and measurement and comparison of final outcomes against stated objectives.

Evaluation should be concerned with efficiency and effectiveness. Efficiency measures the relationship between inputs and outputs such as cost per student and faculty-student ratios. Evaluation for effectiveness is concerned with the relationship of stated objectives to actual outcomes.

From an operational standpoint, evaluation is defined as the process of delineating, obtaining, and providing information to serve as support for both planning and operating decisions. Ongoing operations should be monitored, and when a significant discrepancy occurs between planned and actual results, contingency planning and decision-making should be triggered. Feedback from the summative evaluation process cycles into the planning and management components of the PME model as shown in Figure 3, page 16.

Most two-year colleges have either a data or management information system. The distinction between a data system and a management information system (MIS) is that the MIS requires that data be in a usable format (information) and tied to the decision-making process of the college. As the planning process evolves, the MIS will require updating. Information will guide the refinement of the MIS. Ideally, status assessment reports should be generated from the management information system.

Evaluation of the Planning Process

The planning process should be viewed as an evolutionary process. As planning staff learn from their experiences and the experiences of others, they can improve planning. The planning process needs to be studied with the finds utilized to make improvements in the process. Outside consultants with planning experience can assist by contributing

different perspectives and objectivity. The bottom line against which the planning process should be evaluated is whether or not it facilitates the college's ability to remain responsive to the student clientele.

CHAPTER III

VOCATIONAL EDUCATION PLANNING REQUIREMENTS

Vocational education has become the central task of two-year colleges. According to Robert E. Taylor, vocational enrollments in two-year colleges have increased from 1.1 million students in 1971 to nearly 2.4 million in 1977. This represents an increase of nearly 20 percent per year for vocational education and exceeds the 12 percent yearly increase for general post-secondary enrollments. In 1977 vocational enrollments of two-year colleges compared to 45 percent in 1971.[1]

Vocational education is being called upon to assume more responsibility for improving our socioeconomic environment. This challenge occurs at a time of unprecedented change in the trends and values of society and in a period of fiscal constraint. An urgent need exists for strong vocational leadership and management at the national, state, and local levels. More effective planning is needed to meet increasing demands for expansion and improvement of vocational programs.

Lamar, Gyuro, Burkett, and Gray call for comprehensive planning at all levels. They indicate that the need for planning vocational education has been persistent and is

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1. Robert E. Taylor, Statement to Subcommittee on Elementary, Secondary, and Vocational Education, Committee on Education and Labor, U.S. House of Representatives, March 1, 1979, p. 10.

evidenced by the following:

1. Legal requirements and restrictions (federal, state, regional and local)
2. Scope and complexity of present vocational education program offerings and needs
3. Demand for public justification of resource allocation to vocational education
4. Necessity for unified programs to solve problems facing vocational education
5. Realization of active competition of vocational education with other sectors of the economy as well as within the field of education for limited resources
6. Urgency for public accountability of vocational programs, services and activities
7. Requirement for valid and timely information for decision-making
8. Requirement for priorities among multiple objectives in vocational education [2]

Legislative Requirements

The urgency for comprehensive planning of vocational education at the institutional level is emphasized in the Educational Amendments of 1976 (P.L. 94-482). The 1976 amendments are rather explicit with respect to planning requirements.

2. Carl S. Lamar, Comprehensive Planning for Vocational Education: A Guide for Administrators (Washington, D.C.: American Vocational Association, 1978), p. 21.

Section 196 states:

> Funds will be distributed to eligible recipients (local educational agencies) on the basis of annual applications which --
> (a) have been developed in consultation (1) with representatives of the educational and training resources available and (2) with the local advisory council required to be established by this Act to assist such recipients,
> (b) describe the vocational education needs of potential students in the area or community served by the applicants and indicate how, and to what extent, the program proposed in the application will meet such needs.

Section 197 of the act states that each state desiring to receive funds must submit a five-year state plan to the U.S. commissioner of education in 1977 and each fifth fiscal year thereafter. Section 108 of the law states that any state desiring to receive funds under this act shall submit to the commissioner an annual program plan and accountability report.[3]

Local applications (plans) for federal funds will need to satisfy at least four basic requirements as specified in the 1976 amendments:

1. Consultation with representatives from other education and training agencies in the service area
2. Consultation with a local advisory council for vocational education
3. Assessment and evaluation of student needs
4. Explanation of how the vocational program plan meets identified student needs

3. Public Law 94-482, U.S. Congress, October 12, 1976, Section 106.

Role of Vocational Administrator

Planning for vocational education is a complex task. The vocational administrator must be aware of and responsive to several, often conflicting, forces that impinge upon the decision-making process.

The primary determinant of the vocational plan should be student and area employment needs. These local considerations must fit within a framework of legal mandates superimposed by the federal and state governments. Completing the annual application for federal funds may become more of a compliance than planning process unless this task is appropriately integrated into the comprehensive planning process as presented in the second chapter of this work.

If the vocational administrator has only the time for submitting annual applications and completing required accountability reports, the program may become more reactive to federal and state mandates and less responsive to student and community needs. The only planning likely to occur under these circumstances is "planning one's way out of a crisis."

Comprehensive planning is now a central activity of the vocational administrators in leadership positions. The vocational administrators must comprehend the total nature and scope of programs and the factors influencing them. This requires coordination and cooperation with other program areas within the college, other local allied and supporting

agencies, and state boards and commissions with responsibility for administering the program at the state level. Comprehensive planning can serve as the vehicle for facilitating this required coordination and cooperation.

The vocational administrator should serve on the planning council as a way of ensuring that vocational program planning requirements are incorporated into the planning process and calendar developed by comprehensive two-year colleges. Such appointment should help ensure that the vocational program is planned as an integral part of the entire instructional program.

A Vocational Education Program Planning Model

Vocational education program planning is a very important and complex process that must be understood by the college planning officer and vocational administrator. Two competency-based vocational education administrative modules present a vocational education program planning model that will be briefly outlined below.

The vocational program planning model that is presented in the modules is shown in Figure 6. This section provides only a general explanation of the suggested steps in the planning process and their interrelationships as presented by Norton, et al.

Step 1. Analyze the General Educational Goals and Community Planning Base.

A vocational education program obviously cannot and should

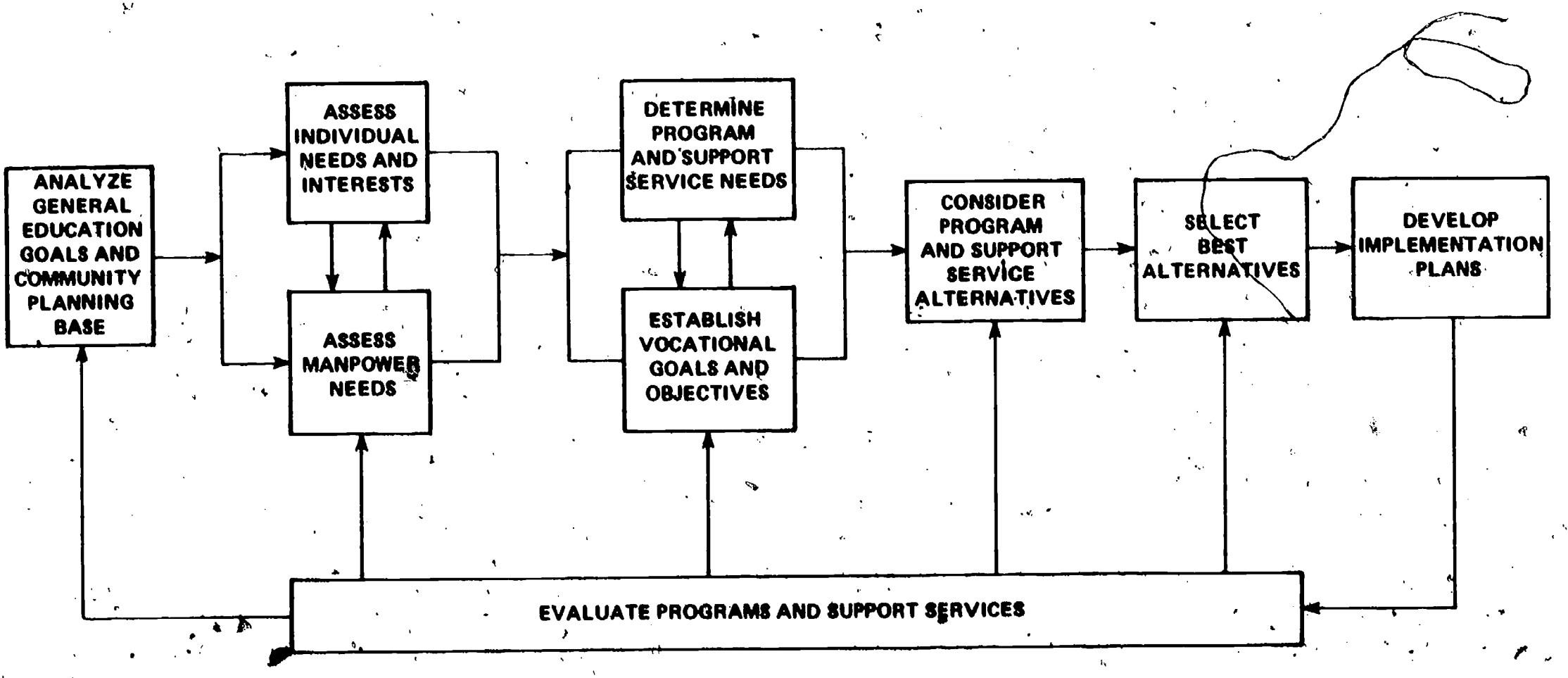


FIGURE 6. VOCATIONAL EDUCATION PROGRAM PLANNING MODEL.

R. E. Norton, K. L. Ross, G. Garcia, and B. Hobart, *Develop Local Plans for Vocational Education: Parts I and II* (Columbus, Ohio: National Center for Research in Vocational Education, the Ohio State University, September 1977).

not operate in isolation from the community or area which it is intended to serve, nor should it operate apart from the total educational system of which vocational education is generally a subsystem. This important step in the vocational planning process, therefore, involves carefully reviewing the educational philosophy and goals of the overall educational system, and analyzing the values, expectations, and resources of the community for their implications for vocational programs.

Step 2. Assess Individual Needs and Interests.

This step in the planning model is concerned primarily with determining the vocational training needs and interests of present and prospective students. In most institutions, this assessment will also include determining the training interests and needs of adults in the area served by the college or school district. At the secondary level, parental preferences are also commonly surveyed.

Step 3. Assess Manpower Needs.

This step involves making a careful determination of the present and likely future manpower supply and demand situation. A variety of techniques is commonly used at this stage of the planning cycle to assess current job openings, projected job openings, work force mobility, and the economic outlook for the area in order to determine the number and kind of employment opportunities that will be available for program graduates. The various sources of manpower supply are also studied.

Step 4. Determine Program and Support Service Needs.

This step in the planning cycle is concerned with analyzing the available data on individual and manpower needs in order to determine what changes, if any, are needed in the existing vocational programs and what new programs or support, if any, are needed.

Step 5. Establish Vocational Goals/Objectives.

Once the necessary changes or needs have been determined, appropriate goals and/or objectives should be established. These goals and objectives should help make clear the specific intent of the new or modified programs and/or support services to be provided.

Step 6. Consider Program and Support Service Alternatives.

This step involves the generation of as many alternative methods of achieving the established vocational goals as possible. These alternative methods need to be analyzed in terms of their cost, political feasibility, and likely effectiveness in meeting the identified student and manpower needs.

Step 7. Select the Best Alternatives.

This is basically a decision-making step in which the appropriate persons (advisory council members, staff planning committee, administrators) consider all of the available data regarding the alternatives proposed in the previous step, and recommend and/or select the best ones. At this

stage of the process, the resources available and other criteria that will permit the adequate justification of the decisions must be carefully weighed.

Step 8. Develop Implementation Plans.

Once the best alternatives have been selected, a plan should be developed for making the desired programs and support services operational. The plan should include such things as time schedules, staffing requirements, management procedures, program budgets, and the designation of persons who will be responsible for each activity. At this stage of the planning process, the staff planning committee and administration will normally prepare and submit the proposed plan to the board of trustees or the board of education, and upon approval, to the state department of education.

Step 9. Evaluate Programs and Services.

Another important and essential component of any comprehensive vocational planning process involves plans for conducting both formative and summative evaluation of the programs and services provided. This type of evaluation, which can take many forms, is necessary to obtain useful feedback for program improvement purposes and to collect appropriate data for local, state, and federal program accountability purposes.

Recycle

Although recycling is not specifically shown on the

diagram of the model, most local administrators will find it necessary to repeat most, if not all, of these planning steps each year. In our rapidly changing technological society, needs must frequently be reassessed and program goals and objectives redefined to reflect new conditions and new priorities.[4]

Special Considerations in Planning the Vocational Program

A comprehensive planning process can serve as a framework for considering ways of improving access and equity for special target groups. Taylor identified a number of trends that have uniquely converged at this point in our nation's history to make the job of career-oriented vocational training more difficult. These trends are --

1. the postwar baby boom with unprecedented numbers reaching unemployment age and entering the labor market;
2. large numbers of women entering and reentering the labor force and rightfully competing for jobs;
3. new laws and attitudes on retirement;
4. an oversupply of college graduates which in many instances displace graduates of vocational programs;
5. large numbers of young people involved in military roles;

4. R. E. Norton, K. L. Ross, G. Garcia, and B. Hobart, Develop Local Plans for Vocational Education: Parts I and II (Columbus, Ohio: National Center for Research in Vocational Education, The Ohio State University, September 1977).

6. large numbers of alien workers;
7. income transfer programs and the potential disincentive they provide to job seeking and retraining behavior; and
8. deficits in international balance of payments with attendant loss of domestic jobs.[5]

Severe problems of unemployment, underemployment, and inequity have resulted. Individuals attempting to enter or reenter the labor market without marketable skills have experienced the most difficulty. Vocational education is responding to the challenge by providing career training to those who need it the most -- the handicapped and disadvantaged subpopulations.

How can the planning process serve as a framework for improving access and equity? One essential activity is to create a sensitivity on the part of all involved in the planning process to the needs of these subpopulations. The chief executive officer should address this special planning focus in all statements of commitment to the planning process during the pre-planning phase. (See Chapter II.)

The needs assessment step of the strategic planning phase should specifically include an assessment of the needs of the handicapped and disadvantaged. The identified needs will then be reflected in planning assumptions which serve as a basis for reviewing mission and updating college goals.

5. R. E. Taylor, p. 8.

The strategic phase of the planning process, as explained in Chapter II, involves writing two kinds of goal statements -- continuing goals and special goals. Special goals help focus the resources and attention of the institution for the year immediately ahead. Special goals should be stated which formally express the college's commitment to providing programs and services to these targeted groups. The needs assessment and planning assumptions will help shape the number and nature of goal statements focusing on special target groups.

The special goals addressing the needs of special target groups should then be utilized as a basis for evaluating operational plans. Measurable objectives and implementation plans should spell out precisely how access and equity will be achieved. All programs should be evaluated against a criteria of responsiveness to the special goals written to ensure access and equity.

Such an approach to addressing special needs should help focus the attention of the entire college on these important priorities and result in a more comprehensive response on a systematic basis.

CHAPTER IV

AN INSTITUTIONAL CASE STUDY: WALLA WALLA COMMUNITY COLLEGE

Introduction

Two important responsibilities of the educational leader are to ensure that (1) institutional mission, goals, and objectives serve as a basis for determining the scope and nature of the program, and (2) sufficient funds are acquired and utilized in the most effective and efficient manner possible. These tasks are becoming evermore challenging as institutions are faced with unprecedented changes in societal trends and values, demands for accountability and efficiency, and an attitude of tight fiscal constraint by governing officials.

Problem Statement

Administrators must be knowledgeable about the planning and budgeting processes and be aware of major factors impinging upon the successful utilization of these processes. Moreover, these processes must be studied and improved. In the past, informal approaches "got the job done." Enrollments were expanding, and funds were available to support this expansion. In the future, the task is likely to be more complex. Kieft[1] and McManis and Harvey[2] suggest that higher education may be entering a period of retrenchment and resource reallocation which will require improved approaches to planning and budgeting.

Walla Walla Community College could be classified as a developing

1. R. W. Kieft, Academic Planning: Four Institutional Case Studies (Boulder, Colorado: National Center for Higher Education Management Systems, 1978).

2. G. L. McManis and L. J. Harvey, Planning Management, and Evaluation Systems in Higher Education (Littleton, Colorado: Ireland Educational Corporation, 1978).

institution. Since its inception in 1967, enrollments have expanded rapidly until it now has the second highest service level of the twenty-eight institutions in the state of Washington. Administrative process has evolved over this period. Planning and budgeting processes have become more formal, however these processes have not been formally studied or evaluated in the last five years. Ted Lane, of Human Resources Planning Institute, examined vocational program planning and budgeting processes in 1974.[3] Lane's recommendations were helpful in strengthening vocational planning. However, much has changed at the state level as well as at WWCC and it is believed that a comprehensive examination of all planning activity is now necessary. As an initial step, existing processes will be delineated and described.

Purpose and Objectives

The purpose of this chapter is to delineate and describe planning and budgeting processes that are currently being utilized by Walla Walla Community College. A preliminary evaluation of these processes will also be attempted. However, the reader is cautioned that an appropriate evaluation design would involve representatives at the institution which was beyond the scope of this case study. More specifically, this study was intended to provide answers to the following questions:

- What are the principal components of the enrollment planning process?
- Who is involved in the enrollment planning process and how?

3. T. Lane, Existing Planning Processes in Vocational Education at Walla Walla Community College (Seattle, Washington: Human Resources Planning Institute, May, 1975).

- What are the principal components of the operating budget planning process?
- Who is involved in the operating budget planning process and how?
- What are the principal components of the capital budget planning process?
- Who is involved in the capital budget planning process and how?
- What are the principal components of the vocational program planning process?
- Who is involved in the vocational program planning process and how?
- How do the planning and budgeting processes at WWCC relate to similar processes at the state system level?
- What is the relationship among the four processes?
- How can the existing planning and budgeting processes be improved?

Methodology

The following strategy was employed to answer the questions identified above:

- Working documents on planning and budgeting were acquired from the Washington State Board for Community College Education (SBCCE) and Walla Walla Community College.
- Documents were reviewed and summarized. An inventory of questions was retained for subsequent discussion by

phone with the business manager at WWCC, the planning officer at SBCCE, and the accounting supervisor at SBCCE.

- A flow chart was developed for each of the following processes:
  - Enrollment planning
  - Operating budget planning
  - Capital budget planning
  - Vocational program planning
- A description of the processes was written.
- A matrix showing planning functions by job title was prepared.
- An evaluation instrument was developed to facilitate analysis of the planning system.
- A recommended strategy for further analysis and improvement was identified.
- A preliminary report was prepared.

Background Information

Washington State Community College System

The Washington State Community College System was created by the Community College Act of 1967. With the passage of the 1967 act, the state assumed responsibility for the funding and operation of community colleges (formerly known as junior colleges). Prior to 1967, the junior colleges focused on transfer

education and were administered by common school districts.

Organization. Supervision of the system is provided by the seven-member State Board for Community College Education. Each district has a five-member board responsible for governing its institution(s). The governor appoints both state and district board members.

Mission. The mission and goals of the system are derived from the Community College Act of 1967. The act directs the system to --

- offer an open door to every citizen regardless of academic background
- provide comprehensive programs of academic transfer, vocational education, and community service
- avoid unnecessary duplication of programs and facilities and encourage efficiency, creativity, and imagination.
- allow for growth and flexibility to meet future needs.
- establish ffrmly that community colleges are an independent, unique, and vital section of the state's higher education system, separate from both the common school system and other institutions of higher learning.

Program. The performance of the system has been exemplary during its first decade. Enrollment has tripled from 50,000 to 150,000 individuals in response to the open door policy. More than half the state's postsecondary enrollment is in community colleges. Comprehensiveness has been enhanced as

the proportion of students enrolled in vocational education has increased from 22 percent of total enrollment in 1967 to 47 percent in 1977.

The Community College System serves a unique student clientele. The student body is older, averaging twenty-nine years of age. Students enrolling directly from high school account for less than 15 percent of the total enrollment. The student clientele includes comparatively large proportions of minority students, veterans, women, senior citizens, high school dropouts, residents of correctional institutions, and handicapped and disadvantaged students.

A wide variety of programs is required to serve such a diverse student body. One third of the students are enrolled in preparatory vocational programs aimed towards full-time employment. Nearly 20 percent are enrolled in supplemental vocational programs to improve their job skills or prepare them for a new occupation. Community colleges serve about 80 percent of the postsecondary vocational students in the state. Some 6,000 adults complete their grade and high school educations each year at a community college. The system continues to play a major role in providing freshman and sophomore-level studies to those who plan to transfer to four-year institutions and obtain a baccalaureate degree. However, this effort now accounts for only 15 percent of enrollment.

The Community College System is comprised of twenty-two

districts operating twenty-seven campuses and more than 500 off-campus learning centers. Most of the state's population is within easy commuting distance of a campus. The system anticipates a moderate level of growth, particularly in vocational and adult education.

State Level Administration

The specific responsibilities assigned to the State Board for Community College Education (SBCCE) include --

- preparing and submitting biennium operating and capital budgets for the system to the legislature;
- disbursing operating and capital funds to the districts;
- preparing the state plan;
- establishing standards; and
- coordinating community college programs with programs of secondary and higher education.

The SBCCE Planning Office has the responsibility of preparing an enrollment plan for the system. This plan serves as a basis for appropriating and subsequently allocating funds to the districts. The capital budget office coordinates facilities planning and prepares the system capital budget request. The instructional program office collaborates with the planning office in the process of determining enrollment projections for the districts. The program office has responsibility for minimizing unwarranted duplication of instructional effort.

Walla Walla Community College

Walla Walla Community College was established in 1967 to serve a four-county district in rural southeastern Washington. Although the college was founded in an area of relatively small population base, which also is served by two established private baccalaureate colleges, initial enrollment quickly outstripped projections. Enrollment quadrupled between 1967 and 1973, and has nearly doubled since. It continues to grow today.

The WWCC was originally housed in an abandoned high school. It is now housed in new buildings on an eighty-seven acre campus, but building construction has not kept pace with the rapid enrollment growth. Existing programs on the campus will be expanded as the buildings are constructed. Since agriculture accounts for about 80 percent of the district's economic base, WWCC now has a request before the legislature for a new agricultural technology building to enable expansion of agriculture programs commensurate with the growth of the agricultural industry in the district.

The WWCC operates numerous community learning centers throughout the 150-mile district. The largest of these centers is located in Clarkston, Washington, where over 700 students are served each year. Among the unique programs offered by Walla Walla Community College is a

comprehensive curriculum for inmates at the Washington State Penitentiary. The college has received national recognition for its endeavors at the penitentiary. The inmates have the opportunity to earn a high school diploma or its equivalent, an associate of arts or applied science degree, and a baccalaureate degree from Washington State University, which the community college helps operate.

Walla Walla Community College is governed by a five person board of trustees, appointed by the governor. It is the board's responsibility to establish policy, approve program plans, approve capital and operating budget requests, and hire the college staff. In the 1978-79 school year, the college will serve approximately 2,700 full-time equivalent (FTE) students. The college has a comprehensive curriculum of academic, vocational, and developmental courses aimed at both full- and part-time students. The staff report for the advisory committee on instructional roles and missions of the Council on Postsecondary Education referred to Walla Walla Community College as the "Cinderella campus" of the Community College system. During WWCC's brief history it has expanded until it now has the second highest service level (4.3 FTE students per 1,000 population) in Washington.

District administration. The day-to-day operations of WWCC are the responsibility of the college administration which primarily includes the president, vice president and dean of

instruction, dean of students, business manager, and vocational director. An administrative council, which includes these and other administrators, advises the president on actions that affect the college.

Planning responsibilities. Planning has been an evolving process at WWCC. In the college's early years, planning was ad hoc in nature and reactive to state system level requirements. Today, planning at WWCC could be characterized as being proactive, continuous, and systematic. A planning officer assigned half time has responsibility for --

- enrollment planning;
- operating budget planning;
- capital budget planning; and
- planning new programs.

A program-based, comprehensive planning process is evolving at WWCC. Components of this process as listed above will be described in detail in this report.

Existing Planning and Budgeting Systems

The purpose of this section is to delineate and describe four planning processes currently being utilized by Walla Walla Community College. Principal components of each process are identified, and the nature of involvement by institutional and state level personnel is described. The district/state relationship and interaction is presented for each planning process. The individual planning responsibilities

of Walla Walla Community College personnel are then summarized by job title for each of the planning processes.

Enrollment Planning Process

Enrollment planning is a fundamental component of planning in the Washington State Community College System. Enrollment projections are the basis for allocating state funds. The enrollment planning process, which has evolved at Walla Walla Community College, is shown in Figure 7.

The annual planning cycle begins with the Planning Office of the State Board for Community College Education (SBCCE). Guidelines and an annual planning calendar are developed and distributed to the districts. SBCCE also provides pertinent state and local planning data to the districts. Demographic projections, economic forecasts, labor market information, historical enrollment data, and a summary of major issues likely to influence enrollment levels are provided. Much of this information is based upon initial discussions between the SBCCE Planning Office and the Office of Fiscal Management (OFM). A negotiated enrollment control total for the system is the major outcome of the discussions between OFM and SBCCE.

Planning is an on-going activity at Walla Walla Community College. The major phases of the planning cycle are shown in Figure 7. The planning cycle begins with pre-planning activity. The planning officer receives and studies planning guidelines and data provided by the SBCCE Planning Office. The planning

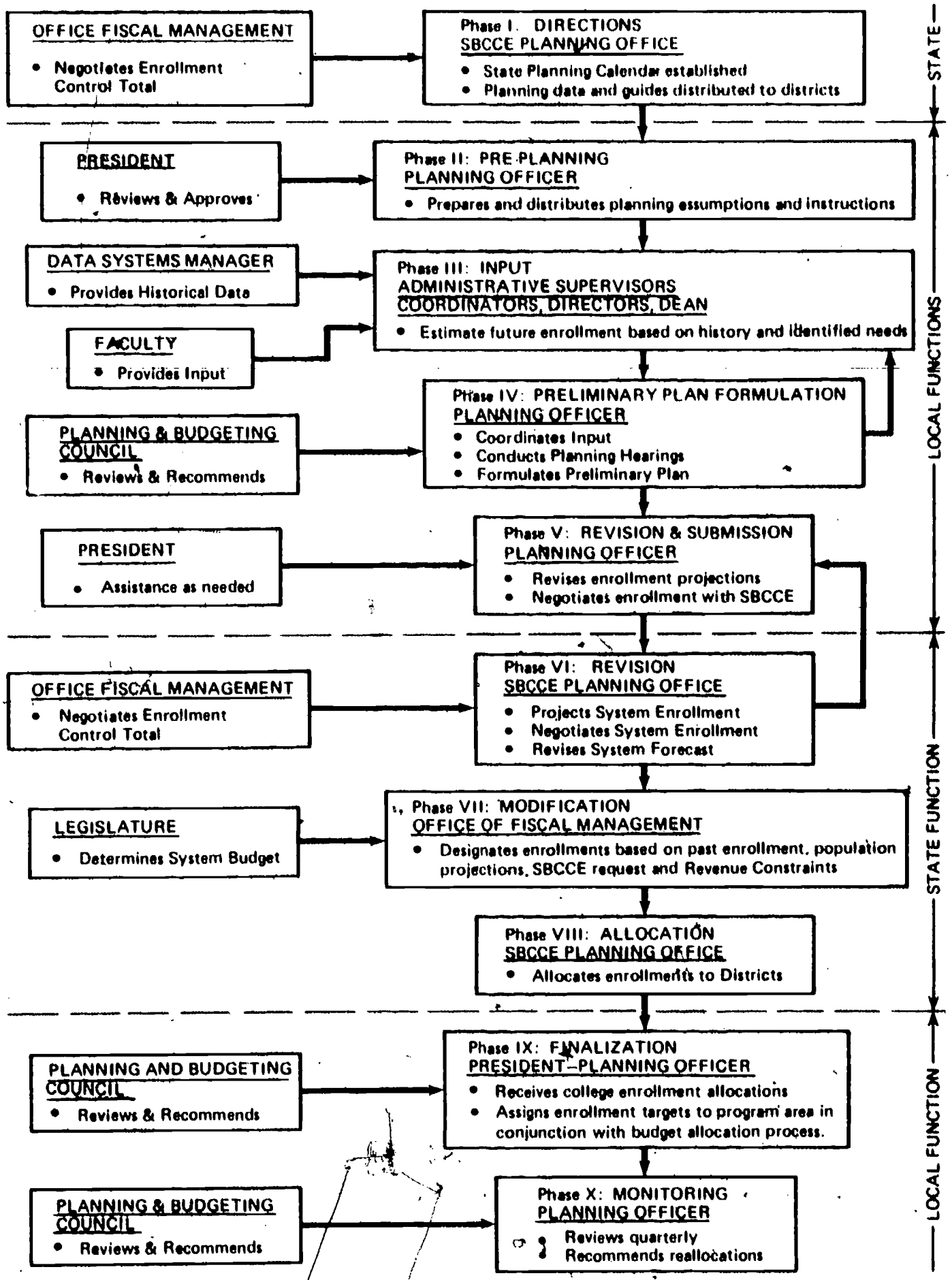


Figure 7. WALLA WALLA COMMUNITY COLLEGE ENROLLMENT PLANNING PROCESS

process utilized the previous year is reviewed and updated to reflect the current setting and requirements. The planning officer prepares planning guidelines, the planning calendar, and institutional planning assumptions for review by the president. Upon approval, these instructions and information are distributed to administrative supervisors, coordinators, directors, and deans. Administrative supervisors and coordinators work directly with the faculty in the process of developing enrollment estimates for the ensuing six-year period. Projections made the previous year serve as a baseline. Current enrollment levels and identified future needs serve as a basis for updating the enrollment plan.

Administrative supervisors have the responsibility for coordinating an enrollment plan for their administrative unit. The planning officer provides direction and assistance as needed in formulating a preliminary plan. Planning hearings are conducted for each administrative unit. Representatives from the Planning and Budget Council, the planning officer, administrative supervisor, and faculty members in the administrative unit attend the planning hearing. These hearings provide an opportunity for a thorough discussion of the plans of each administrative unit. They also provide an opportunity for the faculty within the unit to observe how the plans relate to the overall college enrollment plan.

The planning officer then finalizes the preliminary plan

based on the input from the unit hearings and submits this plan to the Planning Office of the SBCCE. If the plan submitted differs significantly from the targeted enrollment projection provided by the SBCCE, negotiations occur. If the requested enrollment allocation is less than the SBCCE estimate, the state estimate is revised downward. If the request is more than what the SBCCE estimated, it is necessary that the district have substantive information to document the need for additional enrollment allocation. Often this negotiations process will result in a compromise, with the district's enrollment allocation falling short of projected enrollment needs.

After the SBCCE Planning Office has received all of the district plans, a state system enrollment projection is computed. This state enrollment projection is reviewed with the Office of Fiscal Management. The state enrollment projection is compared to the system enrollment control total. OFM enrollment projections may be modified if a change can be substantiated. The state enrollment plan is then revised according to outcomes of negotiations with OFM. The state enrollment plan then becomes the primary determinant of the operating and capital budget requests for the system. The final enrollment plan and budget request are submitted to the OFM for subsequent incorporation into the governor's budget request to the legislature. The enrollment plan and budget are based on

revenue constraints as determined by legislative action. SBCCE eventually receives a final enrollment control total which serves as a basis for allocating enrollments to districts. These enrollment allocations are a major determinant of the operating budget of each district.

The president and planning officer of Walla Walla Community College receive a final enrollment allocation from the SBCCE Planning Office. The Planning and Budgeting Council reviews this enrollment allocation and makes recommendations regarding internal enrollment allocations to administrative units. These targeted allocations to administrative units become a primary determinant of the district budget. The district enrollment plan and budget is then presented to the Board of Trustees for its review and approval.

During the year, the planning officer monitors enrollments on a quarterly basis. Enrollment reports are reviewed with the Planning and Budget Council as discrepancies between plans and actual enrollment targets and budget may be reallocated among the administrative units as priorities shift during the year.

Generally, the division of planning responsibilities falls into these categories. Walla Walla Community College is responsible for making initial input into the planning process, for formulating the plan, for reviewing it, and submitting it to the state board. State responsibilities usually include

revising and modifying local projections and allocating these projections to the individual colleges.

Operating Budget Planning Process

The operating budget is an expenditure plan for salaries and wages, equipment, travel, and goods and services. Planning for the operating budget occurs concurrently at the state and local levels as shown in Figure 8. The process is initiated first by the SBCCE at least eight to twelve months prior to the beginning of the fiscal year. This timetable may be extended in years in which a biennial budget must be prepared.

Initial phase of development for the system budget focuses on the determination of overhead costs. The SBCCE budget office calculates projected overhead costs such as maintenance, utilities, and rental costs. Some of this information is derived by the state budget formula. Information not derived from formula is usually based on cost studies. The primary determinant of the operating budget is enrollment projections.

The State Planning and Budget Office reviews system budget information with the Office of Fiscal Management. After revisions reflecting input from the OFM and the community college districts, the SBCCE forwards the budget to the OFM. The OFM integrates the Community College System operating budget into the governor's budget request. This request is presented to the legislature, which ultimately determines the actual budget

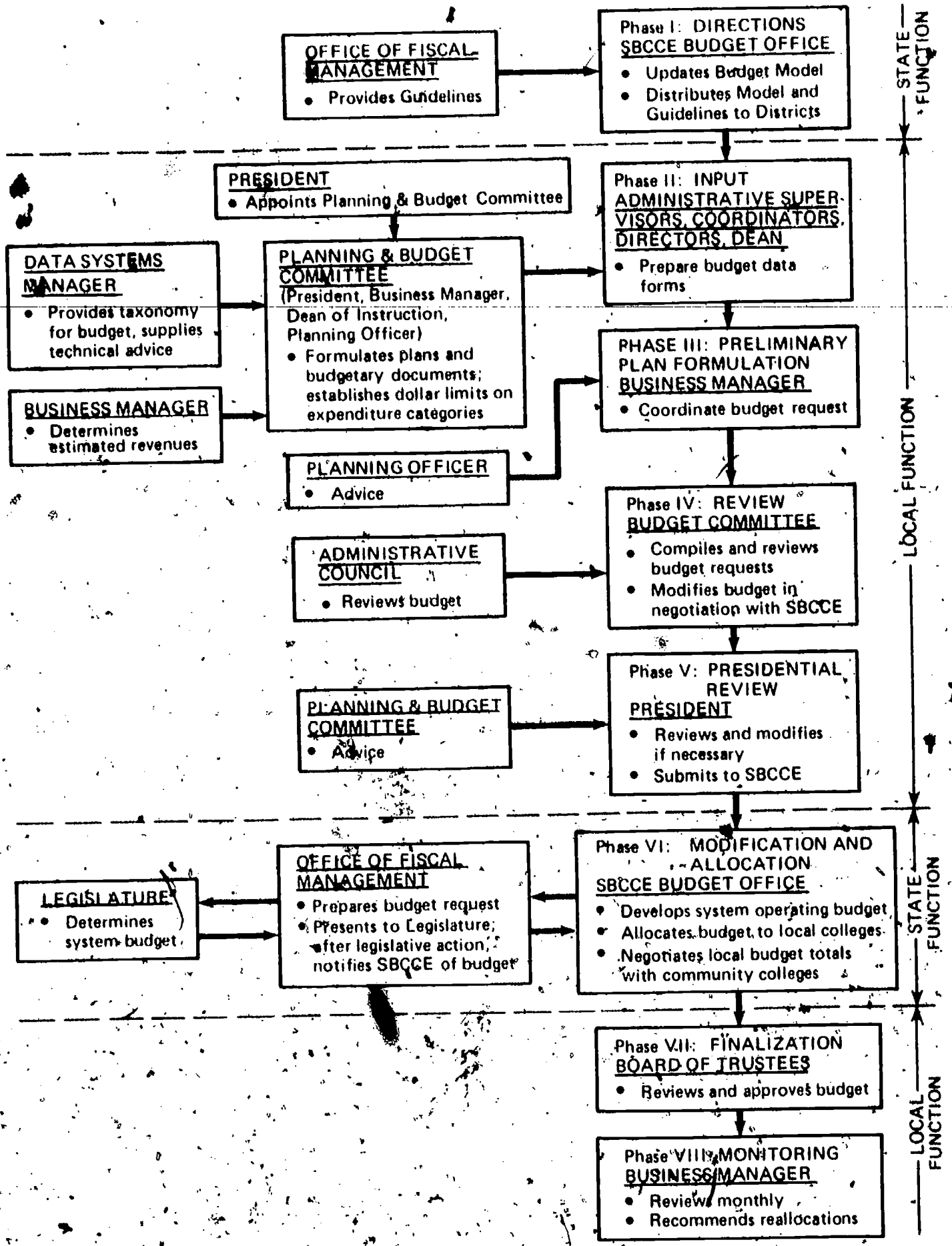


Figure 8. WALLA WALLA COMMUNITY COLLEGE OPERATING BUDGET PLANNING PROCESS.

total. The OFM notifies the SBCCE of the approved budget. The Planning and Budget Office of the SBCCE then allocates the system budget to community college districts.

An operating budget planning process is occurring at Walla Walla Community College during this same time frame. The process is initiated early in the calendar year preceding the fiscal year in which the budget will take effect. The college president initiates the local process by forming a Planning and Budget Committee. This committee is composed of the president, the planning officer, the business manager, and the dean of instruction. Utilizing experience gained from prior years of budget and enrollment planning, this committee formulates a plan for the budgeting process. The committee may place dollar constraints on certain categories of expenditures within each major program area. The data systems manager provides the committee with a budget structure and relevant information from previous years. The business manager estimates local and state revenues and suggests revisions in the operating budget planning process.

Budget request forms are distributed to administrative supervisors, coordinators, directors, and deans. Budgeting guidelines flow from the top down. Budget projections start with faculty members and are aggregated at each organizational level. Administrative supervisors have primary responsibility for working with faculty to develop administrative unit

budget requests. These budget requests must be tied directly to the enrollment plans developed by the administrative unit.

Budget requests for administrative units, along with budgets from other organizational units outside the instructional area, are submitted to the business manager for formulation of a preliminary college budget. The business manager prepares a preliminary operating budget plan with the advice and assistance of the planning officer. The preliminary plan is submitted to the Planning and Budget Committee for review. The committee asks the Administrative Council to react to proposed modifications. The preliminary budget is then forwarded to the president for his consideration and submitted from the president's office to the State Board for Community College Education. It is the president's policy to involve in his review those individuals who are affected by budget adjustments.

At the time the SBCCE allocations are made, the district budget request is compared to the state's allocation for the college. Modifications are made if the state allocation and local requests disagree. A budget study session is held with the Board of Trustees to familiarize board members with the budget plans and to incorporate their input. When the budget is in final form, it is then presented to the Board of Trustees for its approval. Once the final budget is approved, internal allocations are made to the various organizational

units of the college.

The business manager has responsibility for monitoring the budget on a monthly basis. When discrepancies between planned and actual expenditure patterns occur, the Planning and Budget Committee is alerted. This committee will recommend reallocations to the president as deemed appropriate. It is the policy of the college administration to involve those affected by a decision prior to the time action is taken.

Capital Budget Planning Process

Appropriations of funds for community college capital improvements are made by the legislature. Legislative action is based on a capital budget request submitted by the governor. The budget recommendations of the governor are developed largely by the Office of Financial Management (OFM). The OFM analyzes and works from the official capital budget request submitted by the State Board for Community College Education on behalf of the entire system.

A system budget request is developed by state board staff using the individual project requests which are prepared in each district and which are approved by district boards of trustees: College and district staff, working with consultants, prepare each project request consistent with requirements set by the state staff to assure adequacy and uniformity of project plans, descriptions, and justification.

The conceptualization and development of a capital

project is a joint effort of college staff and design consultants. Project plans start with program needs. When space shortages and program needs are consistent with each other, a justified project can be developed. On-campus space shortages are evaluated by the Capital Analysis Model (CAM). The value of the CAM is that it establishes a uniform evaluation of facility needs and validates program-justified requests. At Walla Walla Community College, the capital budget planning cycle (see Figure 9) begins with an analysis of program needs. Input is requested by the president from the Administrative Council and planning officer. The plant facilities director assists the president in formulating the initial capital project plan based on identified needs. The capital budget officer from the state board furnishes the district with an analysis of facility needs based on the CAM. The CAM shows potential deficiencies based on state-wide standards and projected enrollment levels. Both the results of the CAM analysis and input from the college staff are utilized by the president in formulating facility plans.

Once initial priorities are established and the required capital project request documents have been completed, the Board of Trustees is asked to review and approve the plan. The plan is then forwarded to the SBCCE Capital Budget Office for inclusion in the Community College System request. The system request is subsequently forwarded to the Office of Fiscal Management and then to the legislature.

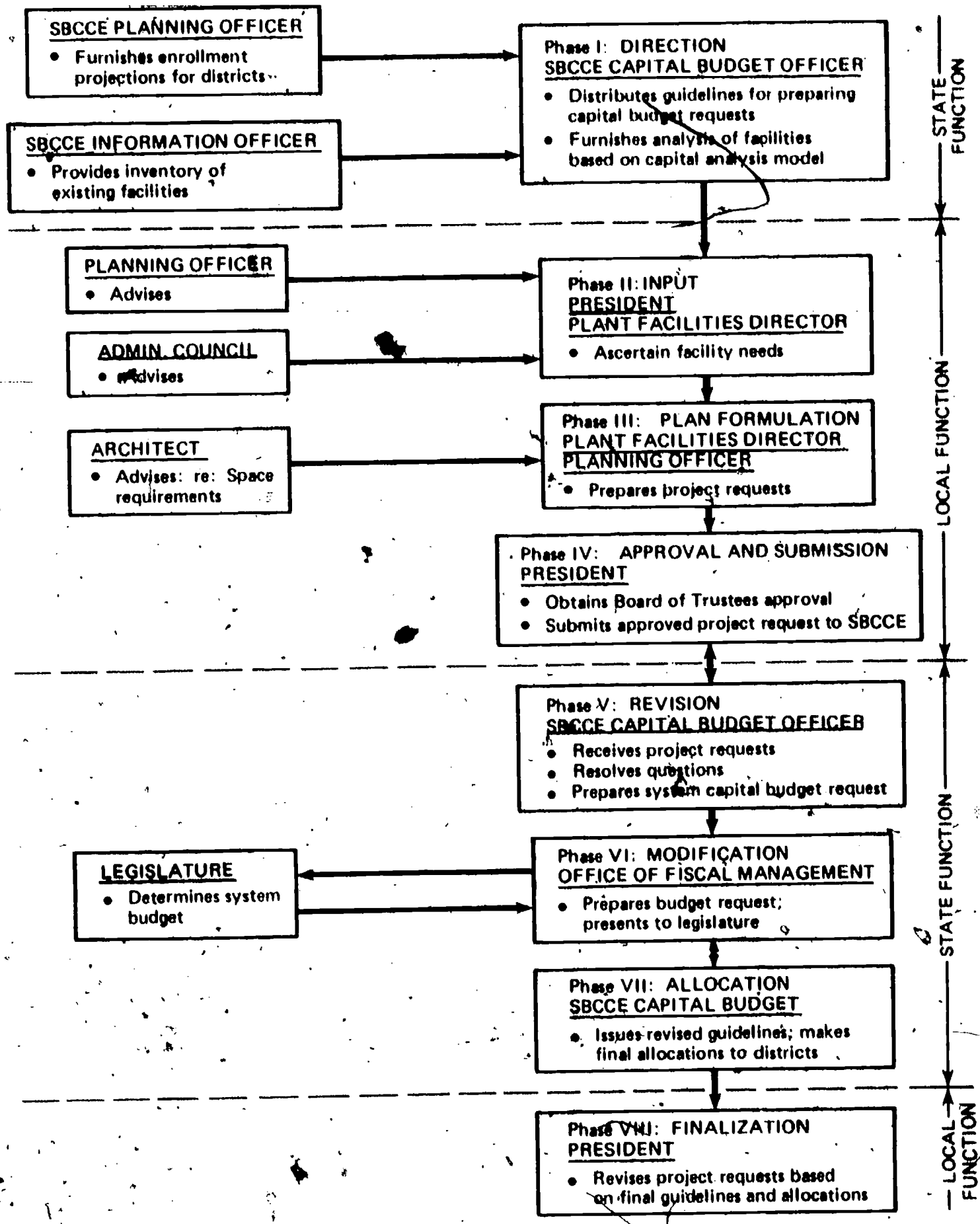


Figure 9. WALLA WALLA COMMUNITY COLLEGE CAPITAL BUDGET PLANNING PROCESS.

After the capital budget has been approved, the capital budget officer at the state board makes a final allocation to the districts. The president, with assistance of the plant facilities director and other college staff involved with the project, then revises the facility plan based on final guidelines and allocations.

Vocational Education Program Planning Process

Planning a new vocational education program is a rather formalized process. The formality is required by policies of the Washington State Commission for Vocational Education which prohibit unwarranted duplication of programs. In essence, a restriction on unwarranted duplication seeks to discourage education institutions from training more people in a specific occupation than can be employed in the state's labor market. Unwarranted duplication of programs is carefully monitored.

At Walla Walla Community College, an informal procedure usually determines the interest in a program area which is not currently provided by the college. (See Figure 10.) Members of the community may express their interest in a specific new program, or students may express such an interest. Either of these groups may convey this concern to instructors or administrative supervisors at the college. This information is communicated to the vocational director. In addition, the students may discuss their interest in a new program with the dean of students who then informs the vocational director.

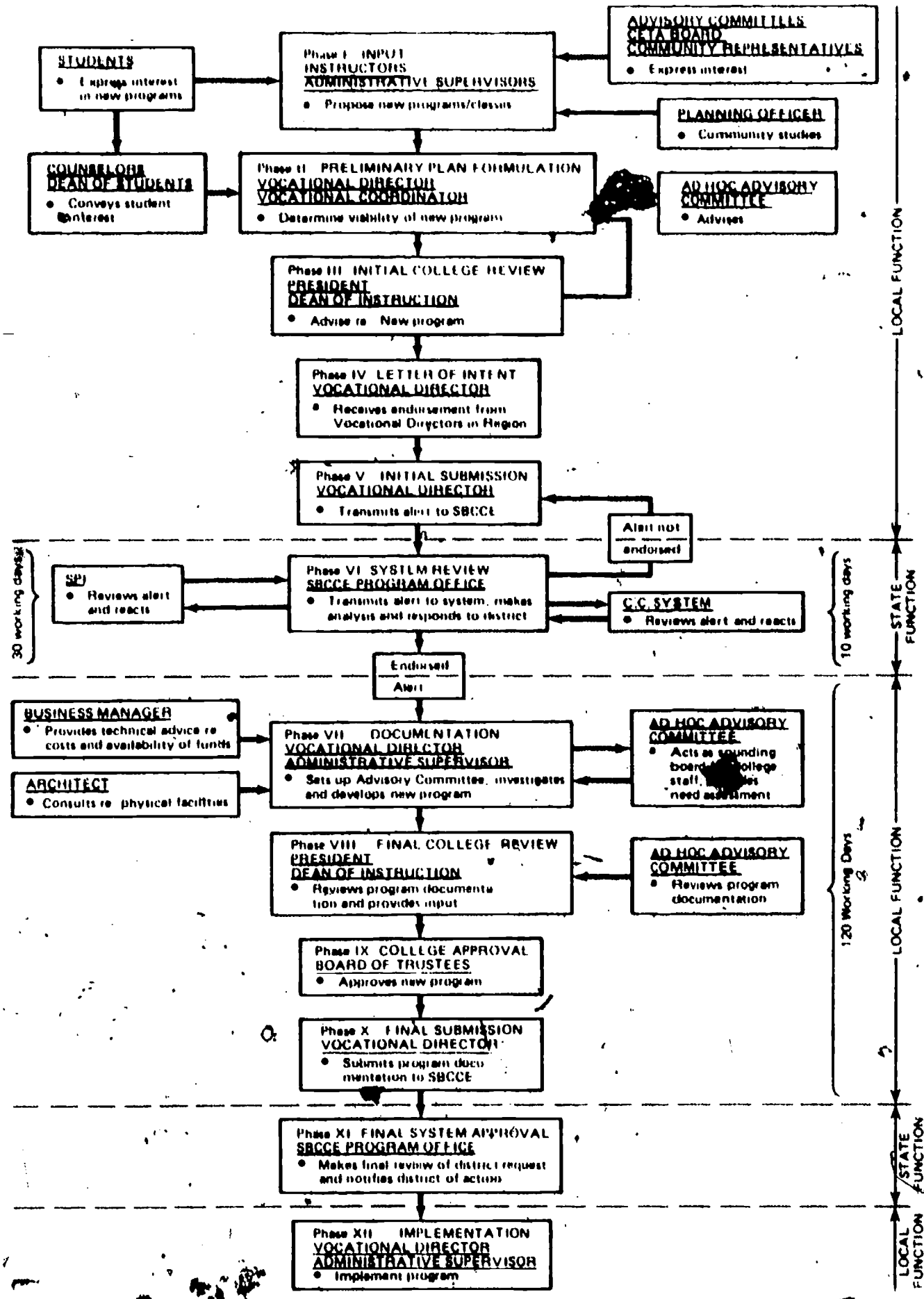


Figure 10. WALLA WALLA COMMUNITY COLLEGE VOCATIONAL EDUCATION PROGRAM PLANNING PROCESS.

Community assessments conducted by the vocational director planning officer may also discover the need for a new program. The viability of the proposed new program is determined by the vocational director with the assistance of the appropriate administrative supervisor and the vocational coordinator. An ad hoc Program Advisory Committee is appointed to assist the college with the initial review and program development efforts.

The vocational director then discusses the new program with the president and the dean of instruction. After receiving their advice, the vocational director transmits a letter of intent to vocational directors at other community colleges in southeastern Washington. WWCC's plans are reviewed by the vocational directors and other appropriate personnel to determine if the implementation of the program might have an adverse impact. If the colleges do not object, the intent is endorsed and returned to the vocational director at WWCC. If any college objects, the objecting institution is required to provide a case for the objection. If the colleges can't resolve the dispute, the state board conducts a hearing and makes a determination. Districts have fifteen days to respond to the regional alert.

Once the letter of intent has been endorsed, the vocational director at WWCC files a program alert with the Vocational Program Office of SBCCE. The program alert indicates to the

state board and the Community College System that Walla Walla Community College is considering implementation of a new vocational program. The alert indicates the name of the program, program objectives, the nature of students to be served, how many students will be served, and when the program will start. The endorsement of the regional vocational directors accompanies the alert.

The Vocational Program Office of the state board reviews the request in the context of statewide labor market data and availability of current programs. If the program could impact negatively on another program in the state outside WWCC's region, that college will be mailed a copy of the alert and asked to react. The Office of the Superintendent of Instruction (SPI) is sent a copy of the alert by SBCCE. The Vocational Office of the SPI reviews the alert and reacts within thirty working days. If the responses from the Community College system and the Vocational Office of the SPI are favorable, the program is considered to be endorsed by the state. The Vocational Program Office of the state board then advises the district to proceed with planning aimed toward approval and implementation. If the response of the state is not favorable, the district is advised whether to delay or abandon any further planning.

If the initial request is approved, personnel at Walla Walla Community College must prepare and submit a program approval request. This request contains appropriate documentation of need

for the program and a complete description of curriculum. It must be completed within 120 working days. The vocational director utilizes the ad hoc Advisory Committee which acts as a sounding board for the college staff. The staff, meanwhile, investigates and develops the new program. A study is conducted which assesses the need for the program and identifies potential employment opportunities; the Advisory Committee may be asked to participate in this needs assessment. Objectives of the program are determined, and a proposed program budget is developed. Techniques for evaluating whether or not the program has been effective are designed. The desired qualifications for instructors are indicated, and a typical student schedule and course description are developed. The vocational coordinator and the appropriate administrative supervisor assist the vocational director in preparing this documentation. The business manager provides technical advice regarding the costs and availability of funds, and the architect provides input regarding physical facilities which may be required when the new program is implemented.

After the documentation is completed, the ad hoc Advisory Committee reviews the program and provides final input. The president and the dean of instruction review the documentation. The proposed program plan is then submitted to the Board of Trustees for review and approval. After the board's approval, the vocational director submits the program documentation to

the state board Vocational Program Office which makes a final review of the approval request. If it is determined that the efforts of a district are not compatible with the needs of the Community College System, approval will be denied. It is more likely, however, that the request will be approved. The vocational director receives notification of the final approval, and the program is appropriately implemented.

Completion of this process may take from forty-five days to one year to complete. If Walla Walla Community College must make budgetary plans while the program approval process is going on, the anticipated budget for the proposed new program is written into the college budget for the year in which the program is expected to be implemented. The program is also incorporated into the enrollment plan and capital budget request if permanent facilities will be needed.

Walla Walla Community College has added fourteen new preparatory vocational programs in the last three years. A planning form was developed by the writer for the purpose of coordinating the new program development process and for reporting to the board of trustees.

Planning Functions By Job Title

Planning responsibilities are delineated by job title in Table 2. Broad participation in all aspects of the planning process is observed. Input into each planning process occurs through administrative supervisors, coordinators, and the

vocational director. This information is analyzed and plans are formulated by the planning officer. Review is accomplished by the Planning and Budget Council which is composed of the president, vice president and dean of instruction, dean of students, vocational director and planning officer, business manager, and data systems manager. Plans are approved first by the president, then the board of trustees prior to being forwarded to the state board.

TABLE 2
PLANNING FUNCTIONS BY JOB TITLE

Walla Walla Community College

JOB TITLE	PLANNING FUNCTIONS			
	Enrollment Planning Process	Operating Budget Planning Process	Capital Budget Planning Process	New Program Planning Process
Board of Trustees	Reviews and approves enrollment plan.	Reviews and approves final budget.	Reviews and approves capital project requests.	Approves new programs.
President	Reviews and approves planning process; chairs Planning and Budget Council; provides assistance with revisions and submission of plan; recommends enrollment plan to Board of Trustees.	Appoints and chairs Planning and Budget Committee; reviews and modifies budget as needed; recommends budget to board.	Primary responsibility for ascertaining facility needs; negotiates project requests with SBCCE; recommends capital projects to board; submits applications to SBCCE; modifies requests as necessary.	Advises regarding new programs; reviews program documentation and provides input; recommends approval to Board of Trustees.
Planning Officer	Develops planning process; prepares and distributes planning assumptions and instructions; coordinates input; conducts planning hearings; formulates preliminary plan; revises enrollment projections; negotiates enrollment with SBCCE; assists president in allocating enrollment to program areas; reviews quarterly.	Serves on Planning and Budget Committee; advises business manager on preliminary plan formulation and budgeting process.	Advises president on capital project needs; assists plant facilities director with preparation of capital project requests.	Provides information to supervisors on new program needs; assists with preparation of required documentation for state approval.
Vice President and Dean of Instruction	Serves on Planning and Budget Committee; reviews and modifies enrollment projections.	Serves on Planning and Budget Committee; supervises budget development for instruction; monitors instructional budget and recommends changes as deemed necessary.	Participates as member of Administrative Council; advises president of anticipated facility needs.	Advises regarding new programs; reviews program documentation.

JOB TITLE	PLANNING FUNCTIONS			
	Enrollment Planning Process	Operating Budget Planning Process	Capital Budget Planning Process	New Program Planning Process
Dean of Students	Participates as member of Administrative Council.	Participates as member of Administrative Council; supervises budget development for student services.	Participates as member of Administrative Council.	Conveys student interest to vocational director.
Vocational Director	Serves on Planning and Budget Committee; supervises development of enrollment projections for vocational and developmental education.	Serves on Planning and Budget Committee; supervises development of operating budget for vocational and developmental education.	Participates as member of Administrative Council; determines and conveys vocational and developmental facility needs to president.	Determines viability of new programs; receives endorsement from vocational directors in region; transmits afert to SBCCE; establishes advisory committee to develop new program documentation to SBCCE.
Business Manager	Serves on Planning and Budget Committee.	Serves on Planning and Budget Committee; develops budget planning process and distributes guidelines; coordinates budget development process; presents budget request to board; monitors monthly and recommends reallocations.	Participates as member of Administrative Council.	Provides technical advice re: costs and availability of funds.
Administrative Council	Reviews and recommends modifications in projections.	Reviews preliminary budget.	Offers advice on facility needs and plans.	Offers advice on new program plans.
Vocational Coordinator	Coordinates enrollment planning for vocational and developmental education; assists Planning Officer with development of planning process; participates as member of Administrative Council.	Coordinates preparation of vocational and developmental program budget requests; monitors vocational and developmental program budgets.	Assists with development of capital budget requests for vocational programs.	Conveys interest in new programs; assists with development of new programs as needed.

JOB TITLE	PLANNING FUNCTIONS			
	Enrollment Planning Process	Operating Budget Planning Process	Capital Budget Planning Process	New Program Planning Process
Administrative Supervisors	Projects enrollments for each program supervised; presents enrollment plans at hearing with Planning and Budget Committee; monitors actual enrollments compared to plan.	Projects budget requirements for each program based on enrollment plan; presents budget request to Planning and Budget Committee; monitors expenditures against budget.	Recommends facility needs to supervisor.	Proposes new programs; assists with development of new programs in area of responsibility.
Data Systems Manager	Provides historical data; participates as member of Administrative Council; serves on Planning and Budget Committee.	Serves on Planning and Budget Committee; provides taxonomy for budget; supplies technical advice.	Participates as member of Administrative Council.	Participates as member of Administrative Council.

Evaluation of Planning Systems

A comprehensive planning process is evolving at Walla Walla Community College. Comprehensive planning is defined as a formal system for integrating long-range academic, administrative, financial, and facilities planning for the college and its principal components. Four planning processes have been delineated and described. Planning activities were identified by planning function and job title to show the interrelationships of the functions and patterns of involvement.

Evaluation

The purpose of this section is to evaluate the existing planning system. A list of specific tasks often performed by a comprehensive planning system has been identified. These tasks (see Table 3) served as criteria for this evaluation. The effectiveness of the planning system in performing these tasks was assessed as (1) ineffective, (2) moderately effective, (3) effective, or (4) quite effective. An analysis of planning process presented earlier and the writer's experience as planning officer of WWCC for the past five years served as the basis for the evaluation.*

*Ideally, all involved in the planning process should have participated in the evaluation and may be requested to do so at a later date. These results should be considered preliminary.

Table 3

EFFECTIVENESS OF PLANNING SYSTEM IN PERFORMING SPECIFIC TASKS
WALLA WALLA COMMUNITY COLLEGE

	EFFECTIVE			
	Ineffective	Moderately Effective	Effective	Quite Effective
a. Defining the missions and goals of the institution.		X		
b. Assessing educational needs.			X	
c. Developing major planning assumptions, constraints, and parameters.		X		
d. Developing formal plans for organizational units or programs.			X	
e. Defining specific objectives of divisions, departments and programs.		X		
f. Defining alternative programs or courses of action to achieve goals and objectives.			X	
g. Calculating and analyzing the costs of organizational units or programs.				X
h. Evaluating the effectiveness of programs in achieving goals and objectives.		X		
i. Coordinating planning among academic and administrative support units.		X		
j. Coordinating facilities planning with academic planning.			X	
k. Coordinating budget planning with academic planning.			X	
l. Setting priorities for allocating resources among academic and support programs.			X	
m. Determining resource requirements and allocating resources among organizational units or programs.			X	
n. Evaluating the management performance of organizational units.		X		
o. Developing long-range enrollment projections.				X
p. Developing long-range staffing requirements.			X	
q. Developing long-range financial requirements.		X		
r. Developing long-range space/facility requirements.				X
s. Developing long-range revenue projections.		X		
t. Defining and evaluating program outputs (e.g. student credit hours, degrees, etc.)		X		
u. Collecting, compiling and analyzing planning data concerning programs or organizational units.		X		
v. Processing proposals for new programs or changes to plans.			X	
w. Facilitates modification of ongoing activities.			X	
x. Basis for staff Development Program			X	

It is important to determine not only the effectiveness of the system in determining specific planning tasks, but also the overall effectiveness of the planning system. Overall effectiveness was assessed on three criteria:

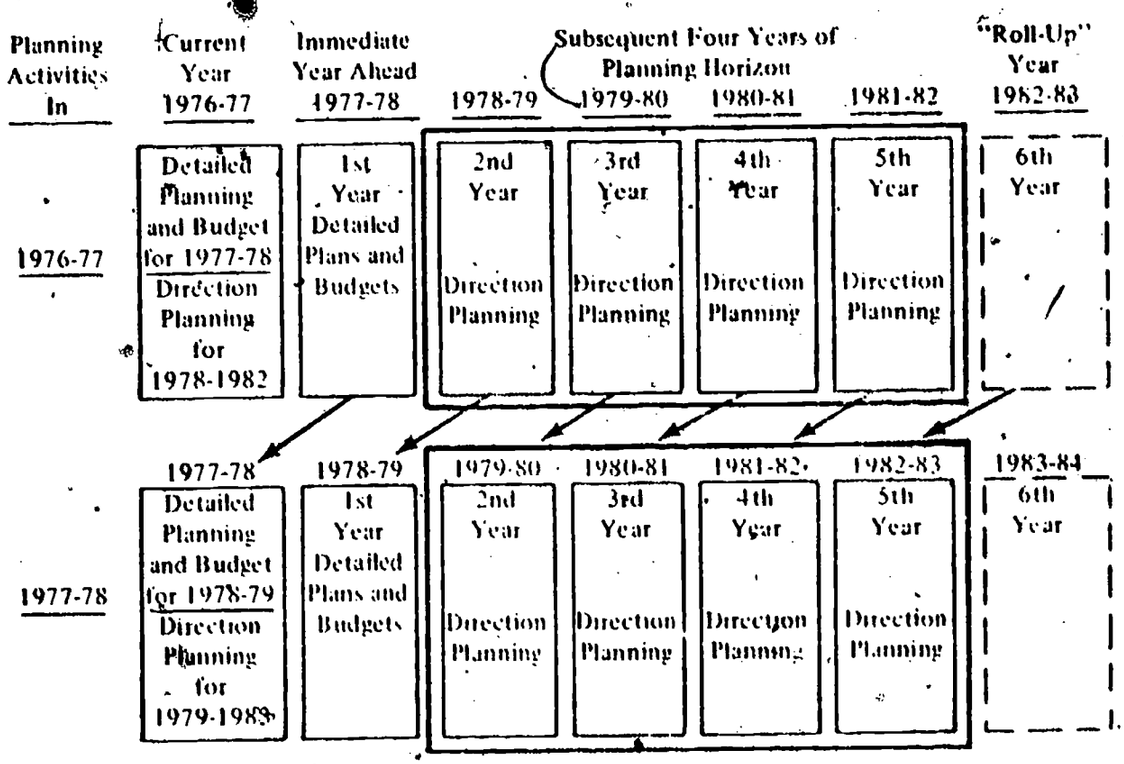
1. Contribution to improved management
2. Influence on academic decisions
3. Influence on resource allocation decisions

The planning system was considered effective based on these three criteria.

PLANNING CYCLES

1978-79	1979-80	1980-81	1981-82	1982-83
• Education Plan and supporting set of assumptions are formulated • Individual planning units prepare plans that contain: 1. Detailed proposals for 1979-80 2. Less detailed, but yet substantive, proposals for 1980-81 and 1981-82	• Individual planning units 1. Revise in more detail proposals for 1980-81, which is now the year immediately ahead 2. Revise the less detailed proposals for 1981-82 3. Add 1982-83 as the third year ahead and formulate less detailed, but yet substantive, proposals for this year	• Individual planning units 1. Revise in more detail proposals for 1981-82, which is now the year immediately ahead 2. Revise the less detailed proposals for 1982-83 3. Add 1983-84 as the third year ahead and formulate less detailed, but yet substantive, proposals for this year	• Individual planning units 1. Revise in more detail proposals for 1982-83, which is now the year immediately ahead 2. Revise the less detailed proposals for 1983-84 3. Add 1984-85 as the third year ahead and formulate less detailed, but yet substantive, proposals for this year	• Education Plan and supporting set of assumptions are revised • Individual planning units 1. Revise in more detail proposals for 1983-84, which is now the year immediately ahead 2. Revise the less detailed proposals for 1984-85 3. Add 1985-86 as the third year ahead and formulate less detailed, but yet substantive, proposals for this year

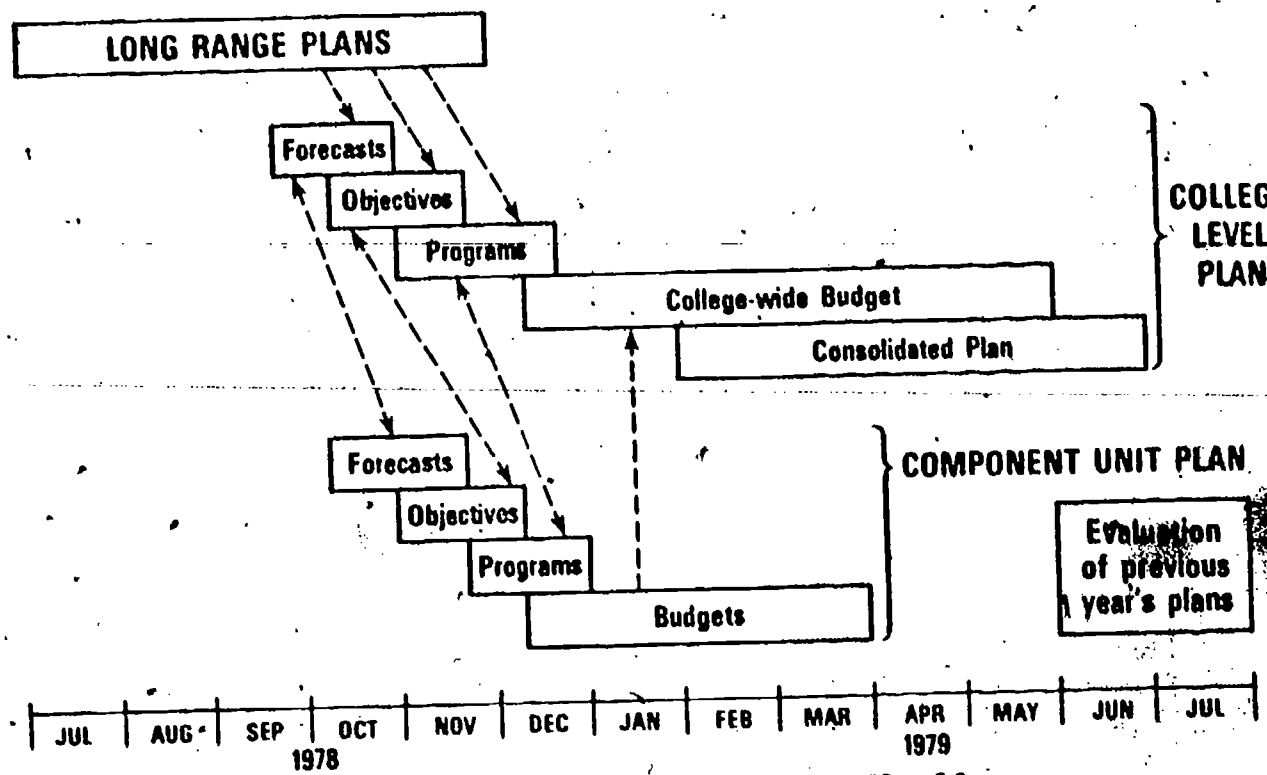
R.N. Kieft, F. Armijo, N.S. Bucklew, *A Handbook for Institutional, Academic and Program Planning: From Idea to Implementation.* Boulder, Colorado: National Center for Higher Education Management Systems, 1978. p. 10.



R.N. Kieft, *Academic Planning: Four Institutional Case Studies.* Boulder, Colorado: National Center for Higher Education Management Systems, 1978. p. 113.

PLANNING CALENDARS

PLANNING/BUDGETING/EVALUATION SCHEDULE
SHORT RANGE PLANNING



Planning and Evaluation Manual, Cuyahoga Community College, Cleveland, Ohio, 1978, p. I-6a.

MONTH 1	MONTH 2 - MONTH 4	MONTH 5 - MONTH 7	MONTH 8 - MONTH 10	MONTH 11 - MONTH 12
Information for Planning	**Preparation of Program Plans by Individual Planning Units**	**Review and Critique of Individual Program Plans and Preparation of Organizational-Unit Program Plan**	**Review and Critique of Organizational-Unit Program Plans and Preparation of Institution's Program Plan by Institution-wide Group**	**Review and Approval of Institution's Program Plan and Implementation of Planning Decisions**
1. Enrollment projections (4-10 years) 2. Faculty-FTE projections (4-10 years) 3. Staff-FTE projections (4-10 years) 4. Cost and revenue projections (1-4 years)	1. Planning unit appoints committee 2. Program plan developed: a. Program objectives b. Planned activities c. Resources required 3. Planning Form II 4. Planning Form III	1. Organizational unit appoints committee 2. Review and critique of planning units' program plans 3. Planning Form IV 4. Program plan developed 5. Planning Form V 6. Planning Form VI 7. Report of planning decisions sent to individual planning units	1. Institution-wide group formed 2. Review and critique of organizational units' program plans 3. Institution's program plan developed 4. Report of planning decisions sent to organizational units and to senate, president, and board of control	1. Review of institution's program plan by senate, president, and board of control 2. Approval and adoption of institution's program plan 3. Implementation of planning decisions: • Curricular review • Faculty recruitment • Staff recruitment • Personnel action • Policy action • Budget description • Equipment orders • Renovation orders • Supplies orders

R.N. Kieft, F. Armijo, N.S. Bucklew, *A Handbook for Institutional, Academic and Program Planning: From Idea to Implementation*. Boulder, Colorado: National Center for Higher Education Management Systems, 1978, p. 10.

VALENCIA COMMUNITY COLLEGE'S APPROACH TO NEEDS ASSESSMENT*

Assessing Needs

Our needs assessment reads as follows:

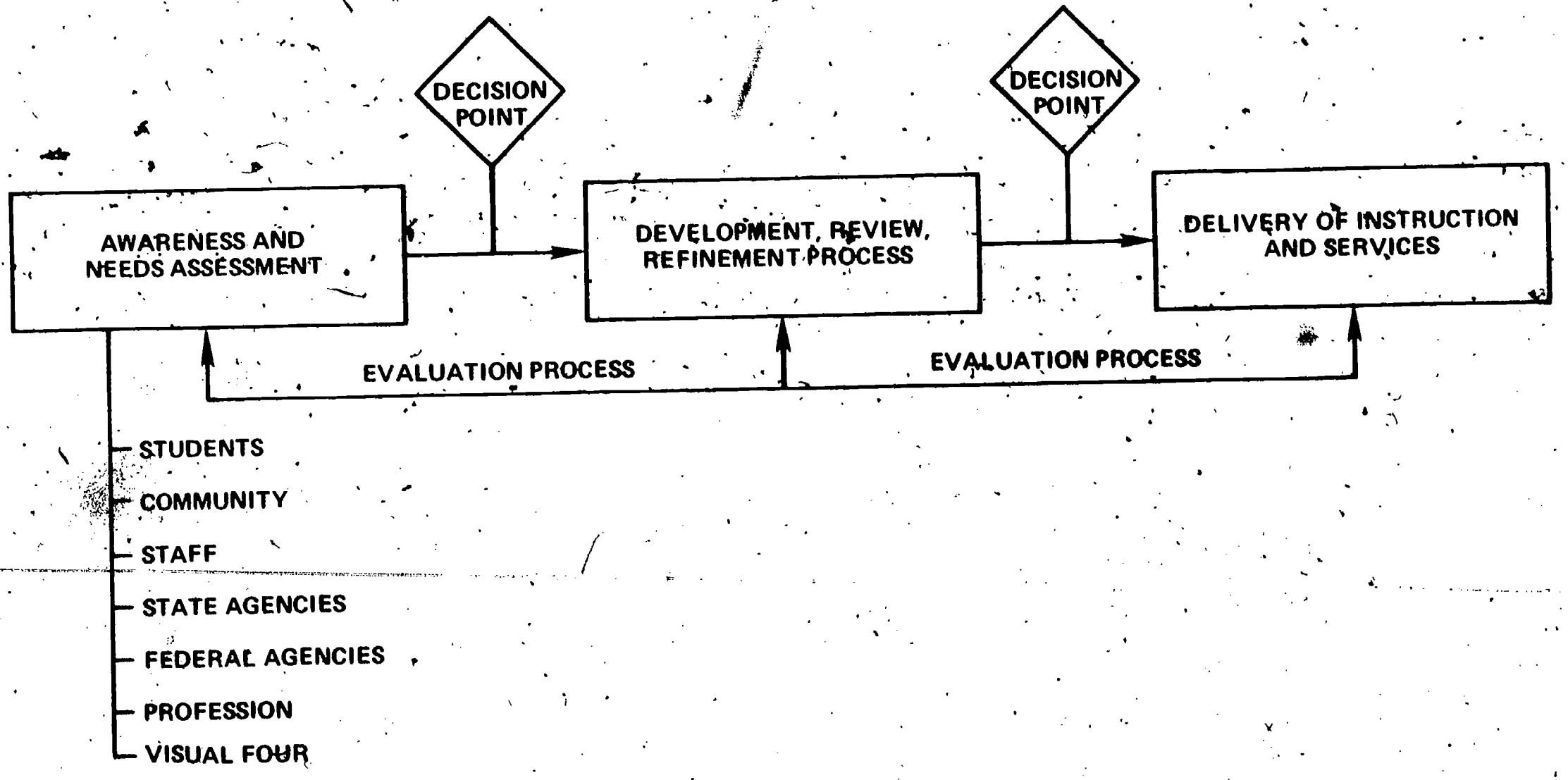
> Valencia Community College shall review periodically the district needs which call for educational services. When possible, this review shall be in cooperation with other institutions serving postsecondary educational needs in the district.

Needs assessment at Valencia Community College is best understood as part of an overall process which can be called the College Planning, Development, and Delivery Model, illustrated by Visual Four. The College Planning, Development, and Delivery Model consists of three major components: (1) Awareness and Needs Assessment; (2) Development, Review, and Refinement; and (3) Delivery of Instruction and Services.

Each component is a complex set of activities. For example, delivery of instruction and services may range from classroom instruction such as teaching liberal arts courses to continuing education courses for occupations to special training programs for displaced homemakers. The Development, Review, and Refinement component also contains complex activities ranging from an individual

*J. F. Gollettscheck, "Valencia Community College's Approach to Needs Assessment" (Presentation at a conference entitled Community Colleges at the Crossroads, University of Michigan, Ann Arbor, Michigan, March 8, 1979).

COLLEGE PLANNING, DEVELOPMENT, AND DELIVERY MODEL



VISUAL FOUR

instructor's development of a new course to a task force's work on developing a massive proposal for college development such as the Advanced Institutional Development Project.

The Awareness and Needs Assessment component serves, in a theoretical sense, as the beginning portion for the model. It is in this component that the college staff becomes aware of needs in either its existing programs or in community needs that begin the process of development which will lead to instruction or service to the community. Awareness of needs may come from students, citizens, college staff, state agencies, federal agencies, or the broader "profession of education."

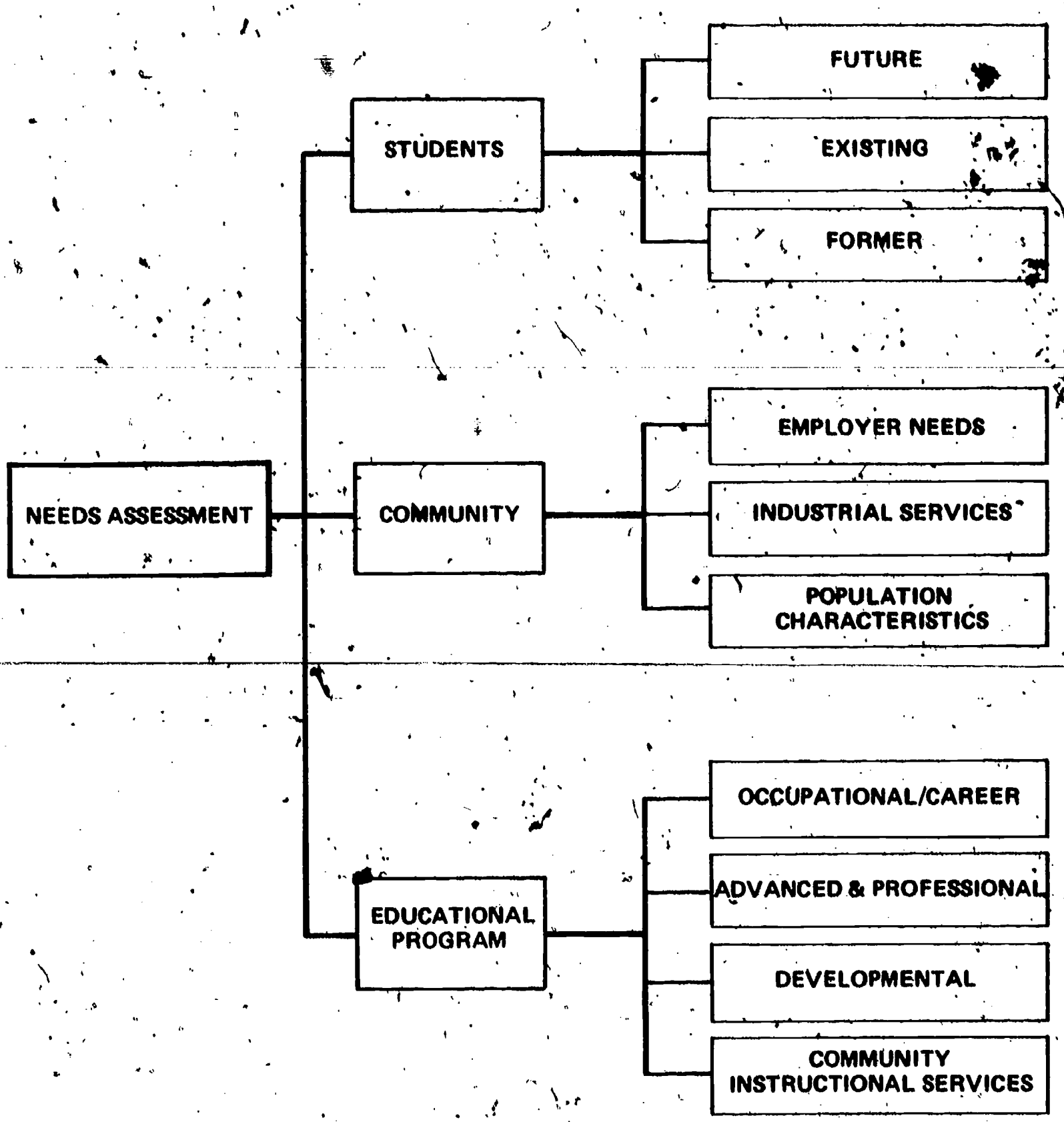
The three components are linked together by evaluation and decision points. For example, evaluation of the instructional programs of the college may lead to the component of Development, Review, and Refinement. Decisions are made at the college as to whether or not to implement new programs after each component. For example, a needs assessment activity may show the need for a dental hygiene program. A decision is then made as to whether or not to expand resources to develop such a program. Given an affirmative decision, development occurs. Then a decision is made as to whether or not to implement the program.

Needs Assessment at Valencia Community College

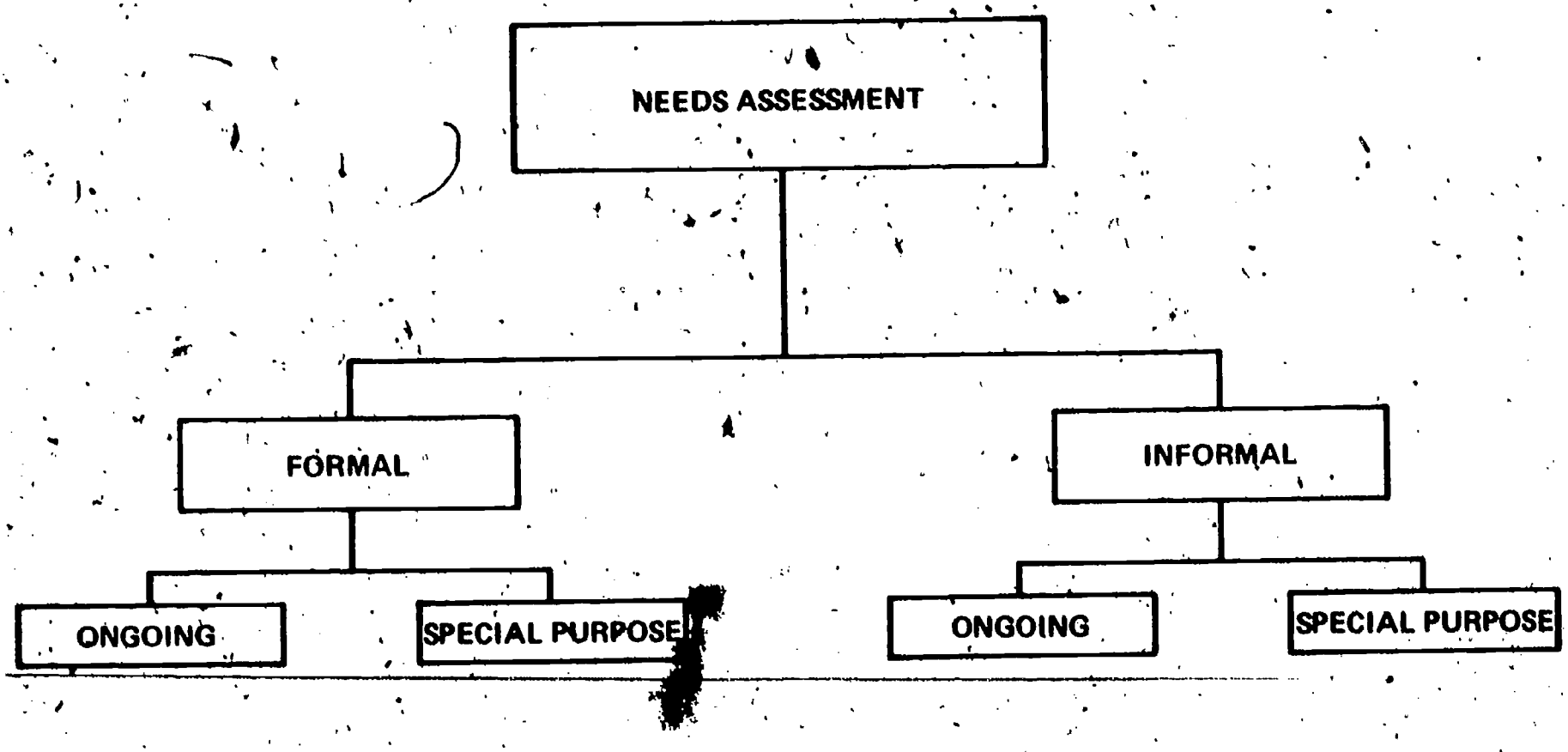
Needs assessment activities at Valencia Community College involve students, the community, and the college's educational programs. Visual Five illustrates the diversity of needs assessment areas. For students there are needs assessment activities related to future students, existing students, and alumni. For the community there are assessment activities on employment needs and opportunities. Educational programs needs assessment involves continuing assessment on career needs, advanced and professional course needs, developmental needs in basic skill areas, and assessment for community instructional services.

Needs assessment programs can be either formal or informal, ongoing or special purpose as illustrated in Visual Six. An example of a formal, special purpose needs assessment was the Community Impact Study done in the Spring of 1978. An example of an ongoing formal needs assessment program is the Placement and Follow-Up Studies done annually on all graduates and non-returning students of Valencia Community College. Another example of a special purpose formal needs assessment is the survey of a particular need for an occupational program such as a survey for a biomedical technician.

Informal needs assessment activities may either be


NEEDS ASSESSMENT
STUDENTS
COMMUNITY
EDUCATIONAL PROGRAM
FUTURE
EXISTING
FORMER
EMPLOYER NEEDS
INDUSTRIAL SERVICES
POPULATION CHARACTERISTICS
OCCUPATIONAL/CAREER
ADVANCED & PROFESSIONAL
DEVELOPMENTAL
COMMUNITY INSTRUCTIONAL SERVICES

VISUAL FIVE


NEEDS ASSESSMENT
FORMAL
INFORMAL
ONGOING
SPECIAL PURPOSE
ONGOING
SPECIAL PURPOSE

VISUAL SIX

ongoing or special purposes. An example of an ongoing informal needs assessment is the sensitivity of the college faculty to student needs. Such a sensitivity, for example, has led to increased developmental and remediation programs such as the writing and reading laboratories in the communications department.

Informal needs assessment can also be special purpose such as when a group at the college becomes interested in a particular area and conducts a special purpose, informal type of an assessment. An example of a special purpose informal assessment is the process by which an alternative to the general education program was developed. A group of faculty members sensed a need for students to have an alternative to the discipline-oriented general education program; therefore, they developed an interdisciplinary program for general education.

Every college has available to it many sources of needs assessment information, much of it not always recognized as such. These are needs assessment information sources we recognize and use at Valencia:

Academic Staff Minutes

Minutes of all the academic staff meetings on the East, West, and Open Campuses are available to demonstrate ways in which curriculum change and innovation might come about through the identification of a need and its review by the academic administration.

Advisory Committee Minutes

Advisory Committee minutes provide a data source for analyzing the input that the community college receives

from community representatives who serve on advisory committees. Copies of advisory committee minutes from all program areas are available.

Articulation Committee Minutes (Of the Coordinating Council of Orange and Osceola Counties, and VCC)

The Articulation Committee is a sub-organization of the Coordinating Council and provides program faculty and managers an opportunity to interact with school district personnel. Minutes of the meetings are available to demonstrate areas of articulation and cooperation.

Career Program Development Committee Minutes

The Career Program Development Committee is a committee composed of administrators from each campus and the Vice President for Institutional Services which meets monthly to develop new career programs and review existing programs. The minutes are available to document the flow of decision-making for the implementation and refinement of existing career programs.

Community Impact Study Reports (For further information regarding the Community Impact Studies conducted cooperatively by Valencia Community College, Kalamazoo Valley Community College, and Eastfield College, contact the National Center for Higher Education Management Systems (NCHEMS), Post Office Drawer P, Boulder, Colorado 80302.)

The Valencia Community College Community Impact Studies were conducted in the Spring of 1978 and consist of a series of six reports detailing responses to the survey. The study was initiated to determine the impact that Valencia Community College was having on its college district and to identify needs and opportunities that the college could meet. The individual reports are as follows:

A Report on the Citizen Responses to the Valencia College Community Impact Study, Institutional Services Report #78-79-2, November, 1978

One thousand, nine hundred and sixty-one citizens responded to the Valencia Community College citizens survey.

A Report on Educator Responses to the Valencia Community College Community Impact Study, Institutional Services Report #78-79-6, November, 1978

All public school educators were surveyed to determine the knowledge of and opinions about Valencia Community College.

A Report on the Employer Responses to the Valencia Community College Community Impact Study, Institutional Services Report #78-79-3, November, 1978

All faculty, administration, and career service employees were surveyed to determine their opinions about Valencia.

A Report on Social Service Agency Responses to the Valencia Community College Community Impact Study, Institutional Services Report #78-79-4, November, 1978

Social service agency directors were requested to assess the college's general service to the community and the college's effectiveness in meeting its objectives. Social service agencies were asked to make suggestions for meeting unmet educational needs in the district.

A Report on the Student Responses to the Valencia Community College Community Impact Study, Institutional Services Report #78-79-5, November, 1978

A sampling of full and part-time students was surveyed. Students were asked to rate the college's achievement of its specific objectives, their satisfaction with the instruction at Valencia, the impact of the college on their self worth, and the extent to which the college was helping them achieve their goals: personal, career, and academic. The students stated as the five major reasons that they were influenced to attend Valencia were as follows:

a. I can work while I go to school.
b. The college has low cost.
c. The campuses are conveniently located.
d. I can live at home.
e. The college offers courses I am interested in.

Community Instructional Services Assessment Survey

In a cooperative activity with Orange and Osceola Counties, the college annually conducts the Community Instructional Services Assessment which is used as a basis for identifying the priority areas in offering continuing education courses in community instructional services.

Minutes of Coordinating Council of Orange and Osceola Counties and VCC

The Coordinating Council of Orange and Osceola Counties and Valencia Community College consists of the Orange

County schools, the Osceola County schools, and Valencia Community College. The council meets monthly, and its chairmanship is rotated among the three member districts. The council is responsible for approving the development of new vocational and career programs in the district and providing a coordinated supporting role for vocational education.

Equal Access/Equal Opportunity Plan

Minutes of the EAEO Plan was developed based upon state goals for equal access and equal opportunity. The plan serves as a document which identifies needs, issues and concerns relating to personnel development are handled.

Equal Access/Equal Opportunity Plan

The EAEO Plan was developed based upon state goals for equal access and equal opportunity. The plan serves as a document which identifies needs in the area of affirmative action and equal opportunity. It is reviewed each six months by means of a progress report submitted to the State Monitoring Committee.

Individual Health-Related Program Accreditation Report

Accreditation reports for dental hygiene, registered nursing, and respiratory therapy are available. These reports address the individual health-related programs and present recommendations for their improvement. Accreditation is normally for a ten-year period.

Placement and Follow-Up Study for 1975-76 Selected Graduates, Institutional Services Report #77-78-1, May, 1978; and Placement and Follow-Up Report 1976-77, Institutional Services Report #77-78-4, August, 1978

The placement and follow-up reports of the college provide information on placement and program evaluation of graduates and substantial completers of the college's programs. The reports are prepared annually and distributed to managers and decision makers in the college.

Regional 19 Planning Guide, Orange County Public Schools, Osceola County Public Schools, Valencia Community College, September, 1977.

The Regional 19 Planning Guide was completed in September, 1977, and addresses the needs assessment in the area of vocational education for Orange and Osceola Counties. The report was compiled in cooperation with the Orange and Osceola County schools and represents an integrated look at vocational programs presently operating and the needs in the vocational area over the next five years.

Section 504 Institutional Self-Evaluation of Valencia Community College, August, 1978

A self-study completed by a committee of Valencia staff on accessibility for handicapped persons to all programs and facilities of the college.

Southern Association of Colleges and Schools Accreditation Reports

The college prepares a self-study every ten years for presentation to the Southern Association of Colleges and Schools for accreditation. The report is updated every five years. Specific recommendations for improvement of the college programs are offered by visiting teams of the Southern Association of Colleges and Schools.

Student Characteristics

Student characteristics are compiled at the end of each major registration period and provided to the Board of Trustees in informational packets. They are also made available to personnel of the college to use in assessing trends and understanding what may be occurring with changing student enrollment patterns.

NORTH CENTRAL TECHNICAL COLLEGE
PLANNING ASSUMPTIONS*

Assumptions about:

1. The societal context within which NCTC exists.
2. External agencies.
3. Institutional leadership/ management.
4. NCTC programs.
5. Potential clientele and enrollment.
6. Student services.
7. Staffing and professional development.
8. Physical plant.
9. Equipment.
10. Fiscal resources.

*Warren Groff. "Planning Assumptions for North Central Technical College", (An unpublished report to the Board of Trustees, Mansfield, Ohio, December, 1978).

MISSION STATEMENTS

Cuyahoga Community College, Cleveland, Ohio

The mission of Cuyahoga Community College is "to provide low-cost, quality, lifelong educational opportunities accessible with a minimum of barriers to all, while assuming leadership, in a metropolitan multi-racial setting, for meeting the changing educational needs and thereby improving the quality of life of the individual and the community."

Kirkwood Community College, Cedar Rapids, Iowa

The mission of Kirkwood Community College is to enhance human and community resources, by acting on its own initiative and in concert with other agencies, to provide quality educational programs and community services.

Valencia Community College, Orlando, Florida

The purpose of Valencia Community College is to provide comprehensive postsecondary education and lifelong learning opportunities that foster individual growth and community development.

Walla Walla Community College, Walla Walla, Washington

The mission of Walla Walla Community College is to serve as a medium for change with an emphasis on accountability for tangible results which foster community development as a focus of various courses and programs.

Accountability: by:	to:	for:
the student...	himself/herself and the community..	..conscientiously striving to reach objectives
the instructor...	the student..	..the student's eventual success in each unit/ course/program
the College	the community and State..	..tangible accomplishments per dollar spent.

GOAL STATEMENTS

Dallas County Community College District,
Dallas, Texas

1. Maintain a long-range comprehensive planning system.

2. Make a continuous effort to help employees understand its philosophy, organizational structure and decision-making process.

3. Continuously assess the educational needs of the community and its students for the purpose of maintaining a balance in its educational programs and services.

4. Provide learning opportunities consistent with student and community diversity.

5. Maintain a high priority for the improvement of student communications skills.

6. Provide a comprehensive and effective system of instructional support services to meet the needs of a diverse student population.

7. Maintain a comprehensive staff improvement program which will support development of skills, attitudes and abilities reflecting its philosophy.

8. Provide excellence in eduational opportunities while maintaining financial accountability.

9. Promote positive and productive relationships with external agencies consistent with the DCCCD philosophy.

GOAL STATEMENTS

Kirkwood Community College,
Cedar Rapids, Iowa

The following are the goals which have been established for the college through master planning:

1. Extend accessibility of programs and services throughout the service area and without regard to age, sex, social or economic class, racial or religious background, physical or emotional handicap, or prior educational achievement.

2. Intensify efforts to enhance the welfare, dignity, and success of students.

3. Cooperate with the community and its agencies in identifying, planning for, and serving the appropriate educational and related service needs of the community.

4. Attract and retain those persons who can be served by Kirkwood's programs and services.

5. Continue the commitment to high standards of service and to high expectations for optimal individual achievement.

6. Provide the opportunities and work conditions essential to attract and retain highly qualified employees, and to encourage them to grow professionally.

7. Provide those facilities and resources required to conduct properly the programs and services of the college.

8. Conduct college operations with efficiency, integrity and in a manner consistent with the philosophy of the college.

9. Continually assess the success of the college in accomplishing its mission and fulfilling its goals.

GOAL STATEMENTS

Valencia Community College,
Orlando, Florida

1. Provide continuous planning for defining and evaluating goals.

2. Provide experiences that develop in the individual a desire for lifelong learning.

3. Provide a program that helps the individual in assessing needs.

4. Provide educational programs which accommodate individual needs and differences in learning.

5. Develop a learning atmosphere which utilizes community resources with facilities and services accessible to all.

6. Develop a system that promotes effective community and college communications and decision-making.

7. Cooperate with the community in providing programs which foster both individual and community development.

8. Provide equal educational and employment opportunities.

9. Promote and support creative and dynamic faculty and staff.

GOAL STATEMENTS

Walla Walla Community College,
Walla Walla, Washington

1. Satisfy the educational goals of students.

2. Maintain open door by admitting as many students as possible when they desire, given available resources.

3. Offer the citizens a comprehensive array of occupational, academic, cultural, and recreational programs.

4. Develop and employ approaches to instruction which will increase the efficiency and effectiveness of learning.

5. Ensure that WWCC functions as an integral part of the communities it serves.

6. Obtain and make efficient use of capital resources.

7. Involve students, faculty, administrators, staff and community representatives in the formation of policies and operating decisions that affect them.

8. Provide an environment and develop procedures through which employees committed to WWCC can achieve their professional goals.

Exhibit 6

ENROLLMENT AND PLANNING WORKSHEET

TO: _____

FOR: Administrative Unit "_____", _____

The State Board for Community College Education is initiating planning with our district to develop the 1979-81 capital and operating budgets. This worksheet is a method to collect information and data the SBCCE will need in this process. Our input can be organized into four areas.

I. DISTRICT DEVELOPMENT OBJECTIVES: Look at the total college!

From your point of view what should the district development objectives be for WWCC? List priorities for our district. Examples might include greater emphasis on continuing education, greater program diversification, stabalized growth, more vocational education, etc. In other words list some directions you would like to see WWCC go as an institution during the next 6-10 years.

1. _____

2. _____

3. _____

4. _____

5. _____

II. PROGRAM PLANS: Look at the programs you coordinate in your administrative unit!

A. List assumptions which will impact educational programs and enrollments in your administrative unit. Factors to be considered might include but are not limited to: populations, employment, high school graduates, veterans, minorities, women, adult students, aged students, changes in tuition, etc.

1. _____

2. _____

3. _____

4. _____

5. _____

B. Based on the assumptions above, specify the development objectives for the programs in your administrative unit. These should be specific to the educational service delivered by your administrative unit. The objectives listed below should also be reflected in program enrollment projections (II-C).

1. _____

2. _____

3. _____

4. _____

5. _____

C. Project enrollments by program, HEGIS grouping, time/location, or special activity. Use a structure which works but for your administrative unit. Each individual will have to develop a unique system for his/her administrative unit. Use the blank form (page 4) for your administrative unit. A sample of a structure used in occupational education is attached for your information (attachment A).

D. Alternatives. (Brain Storm !) Identify alternatives to the programs and enrollment plans projected in section II-C. Think about some other ideas for providing education to the people of our district. List some alternative programs or services we could provide.

1. _____

2. _____

3. _____

4. _____

5. _____

ENROLLMENT AND PLANNING WORKSHEET (Continued)

FIVE YEAR ADMINISTRATIVE UNIT ENROLLMENT PROJECTION

Program, REGIS Group, Time/Location, Project, etc.	ANNUALIZED AVERAGE FTE'S						
	Prelim. 77-78	78-79	79-80	80-81	81-82	82-83	
TC							
ACADEMIC							
VOCATIONAL							

ENROLLMENT AND PLANNING WORKSHEET (Continued)

III. ENROLLMENT FORECASTS: Combine the program plans into an administrative unit enrollment forecast.

Enrollment forecasts are used in operating and capital budget development. In section III-A below, forecast annualized average, state supported FTE's for your administrative unit. Exclude contracted FTE's and self-support FTE's such as those coded community service. Split into academic and vocational sub-totals if possible. The annualized average, state and ABE FTE's are used to establish the operating budget.

In section III-B, forecast total fall quarter FTE's regardless of funding source (include contracted FTE's). If applicable split out a "day-on-campus" projection and further split this sub-total into academic and vocational sub-totals. The fall quarter projections are used for the capital budgeting process. The 1985 numbers will be used as back-up for the 1979 capital budget request.

A. ANNUALIZED AVERAGE STATE/ABE FTE'S FOR ADMINISTRATIVE UNIT

	1977-78	1978-79	1979-80	1980-81	1981-82	1982-83	1985-86
Academic							
Vocational							
Total							

B. FALL QUARTER ACADEMIC AND VOCATIONAL FTE'S FOR ADMINISTRATIVE UNIT

	1977-78	1978-79	1979-80	1980-81	1981-82	1982-83	1985-86
Total					*		*
Day on campus (if applicable)							
Academic							*
Vocational							*
Total							*

* These figures required by SBCCE. All others in section III-B for in-house use only.

IV. FACILITY IMPLICATIONS:

On-Campus

1. What deletions, changes, or additions to existing on-campus facilities will be required to achieve the enrollment and program objectives described in your projection?

2. What other on-campus facility improvements will be required in the next 6-10 years? These facilities need not be related directly to identified program objectives in section II.

Off-Campus

1. What will be the need for rental of K-12 or other facilities for evening or part time use? (More, Same, Fewer). Explain

2. What needs exist for "daytime" or long-term facilities that should be leased, purchased, or constructed by the state? Indicate type of facility and location.

BUDGET ANALYSIS FORM

PROGRAM: Ag Tech

Budgeted FTEF: 1

Projected FTE: 19

I. FACULTY ENTITLEMENT:

A. Projected FTE's 19 ÷ S/F Ratio 14.6 = 1.3 FTEF @100% X .72 = .936 FTEF Entitl. @.72

B. .936 FTEF @ 72% X .05 = .046 Supervision Entitlement

II. BUDGET MODEL REIMBURSEMENT:

A. FACULTY STAFF REIMBURSEMENT:

.936 FTEF @ 72% X (.8 Approx. % F/T X $15,605) + (.2 Approx. % P/T X $13,028) = $ 15,090 Faculty Salary Reimbursement

B. SUPERVISION SALARY REIMBURSEMENT

.046 Supv. Entit. (I-B). X $15,605 = $ 717.83 Supv. Salary Reimbursement

C. SUPPORT STAFF REIMBURSEMENT

19 Proj. FTE's X 146.99 Support Staff $'s/FTE X .60 = $ 1,675.68 Support Staff Reimbursement

D. OPERATIONS REIMBURSEMENT

19 Proj. FTE's X 291.19 Operations $'s/FTE X .60 = 3,319.57 Operations Reimbursement

E. BENEFITS REIMBURSEMENT

15,090 Faculty (II-A) X .1263 = 1905.87 Faculty Bnfts. (1) / 717.83 Supv. Salary (II-B) + 1675.68 Support Staff (II-C) = 2393.51 Indirect Salary X .1263 + 302.30 Indirect Benefits (2)

III. ANALYSIS

	PROJECTED REIMBURSEMENT		REQUESTED BUDGET	
DIRECT:				
II-A Salary	15,090		Salary	$ 17,991
II-D Operations (Includes Equip.)	3,319.57		Operations (G&S + Travel)	1,200
II-E (1) Benefits	1,905.87	20,315.44	Equipment	1,650
			Benefits	1,893.36
INDIRECT:				
II-B Supervision	717.83			
II-C Support Staff	1,675.68			
II-E (2) Benefits	302.30	2,695.81	TOTAL:	$ 22,734.36
TOTAL:		$23,011.25		
			Budget/FTE	$ 1,196.54

Reimb/FTE $1,211.12

Reimb/budget Ratio 1.012

Reimbursement is $ 276.89 (more) ~~or less~~ than budget for this program.

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