A Practical Guide to Strategic Enrollment Management Planning

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Educational Policy Institute

A Practical Guide to
Strategic Enrollment Management Planning
in Higher Education

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TABLE OF CONTENTS

About the Educational Policy Institute

The Educational Policy Institute (EPI) is an international, non-profit think tank dedicated to the study of educational opportunity. Our mission is to provide high-level research and analysis to support policymakers and practitioners and expand educational opportunity to all students. EPI was incorporated as a non-profit organization in 2002 and has operated as such for the past five years. EPI was created to fulfill a need for more rigorous educational research and to create better linkages between research and public policy communities. EPI is headquartered in Virginia Beach, Virginia, with satellite offices in Toronto, Ontario, and Melbourne, Australia.

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Preface

Over the past decade, strategic enrollment management (SEM) has become a major force in the organization and practice of higher education. With limited financial resources for financial aid, institutions must balance the need to attract and admit a freshman class that fits well with the institution and also provide the necessary financial support to allow for diversity in student body. This is not a simple task.

Because of this complex mission, institutions have become very focused on improving enrollment management strategies to maximize the resources of the institution. New software programs have helped make SEM more of a science than ever before, but our experience is also suggesting that learning to know the institution in a "strategic" manner is perhaps the most important factor in balancing the various forces on the institution.

As the authors of this guide state in the opening paragraph, "SEM focuses on what is best for students and how to ensure their success while addressing all aspects of the institution's mission." This is a critical point. Many institutions are perhaps using SEM for the wrong reasons; to maximize their ability to bring in the best students, without consideration of diversity and other important issues that make a campus great. It is our hope, through this guide, that institutions will take the time to understand the greater good of higher education and understand that they can, with careful study, "have it all" with respect to strategic enrollment practices. They can do both good and well at the same time.

Bob Wilkinson, a senior scholar of the Educational Policy Institute, along with the late Jim Taylor, Angé Peterson, and Maria de Lourdes Machado-Taylor have pulled together an exceptional guidebook for institutional practitioners and enrollment managers. We hope that the readers of this guide will put it to good use.

Regards,

Dr. Watson Scott Swail
President, Educational Policy Institute

Chapter I

Introduction

Strategic enrollment management (SEM) is an institution-wide responsibility and the central focus of the institution's overall strategic plan. SEM focuses on what is best for students and how to ensure their success while addressing all aspects of the institution's mission. Just like overall strategic planning, strategic enrollment management starts with the institution's mission. This will serve as the beginning and end of the focus for this strategic enrollment management planning guide.

According to Black (2001) and Henderson (2005) SEM has moved through several stages of development. The period between the 1970's and mid 1980's can be labeled the "Age of Recruitment." This was the beginning of SEM. The focus was on increasing enrollment through the development of enhanced recruiting models and the use of financial aid packaging and leveraging.

The "Age of Structure" started in the mid 1980's and continued through 2005 (actually, the Age of Structure is still alive and well). The focus of this age was on increasing enrollment through enhanced recruiting models and the use of financial aid packaging and leveraging. However, the SEM organizational structure becomes the focal point for implementation. It is during this age that we see the evolution of the enrollment management division and all the various organizational structures that basically redefined the division of student affairs by carving-out selected functions and grouping them together in this new SEM division.

"The Age of the Academic Context" started in 2005 with Stan Henderson's article Refocusing Enrollment Management: Losing Structure and Finding the Academic Context. It is in this "age" that SEM branched out to include the academic side of the institution. So far, this "age" has focused on developing and refining the SEM organizational structure and integrating SEM models while being encouraged to reach out to the academic division as SEM partners. The focus is still on increasing enrollment through enhanced recruiting models and the use of financial aid packaging and leveraging coupled with establishing a SEM organizational structure within the institution but there is now recognition that academics are important to the overall viability of the process.

Based on this evolution and the current state of SEM, there appears to be a set of core SEM principles that guide all current SEM activity:

- Establishing clear enrollment goals;
- Promoting student success;

- Determining, achieving and maintaining optimum enrollment;
- Enabling the delivery of effective academic programs;
- Generating tuition;
- Enabling financial planning;
- Increasing organizational efficiency and;
- Improving service levels.

However, there are some major institutional gaps caused by the core concepts. As currently practiced, there does not seem to a an overriding definition of SEM nor does there seem to be any way to breach the divisional divide or to bring focus to the broader concept of student success. The primary focus has been on simply increasing enrollment so as to increase and stabilize institutional revenues. Student success is defined as the institution's retention and graduation rate, which does not address many of the reasons students attend post secondary education. This means that students are recruited based on their probability of graduating – the student profile. Utilizing extensive institutional specific research, institutions develop a profile of the successful student (the academic and non-academic characteristics of the successful student) and then recruit students that fit that profile. While this may be acceptable for private selective institutions, most public institutions, especially community colleges, do not recruit based on a student's probability of graduating.

There is an overly heavy focus on developing the SEM organizational structure. While this might demonstrate the institution's commitment to a concept, it does not change the institution's culture. Finally, most SEM plans sit outside of the overall institutional strategic plan thereby being both marginalized and not included in the overall institutional priorities.

What is needed is a clear SEM definition and a set of core concepts that flow from this definition. SEM can be characterized as "a comprehensive process designed to help an institution achieve and maintain the optimum recruitment, retention and graduation rates of students, where optimum is defined in the academic context of the institution" (Dolence, 1993). Using this definition provides a fundamental shift in the way institutions look at and implement SEM.

According to Henderson (2005) the major focus of SEM has been for institutions to establish enrollment management organizational structures within the institution, usually realignment within the division of student affairs, to address issues of recruitment and retention. The focus of these structures was to provide more efficient and effective service to students while allowing the faculty to focus on academics. The concept of more effective and efficient service to students was correct but the development of the SEM structures made enrollment management the responsibility of one division, and usually only a couple of offices within that division. These institutions

also developed committees to address issues of enrollment planning and retention as well as other student success topics. However, the enrollment management staff usually chaired these committees and membership was primarily drawn from the enrollment management areas. In all, SEM organizational structures that were formed to address critical enrollment issues but eventually this approach perpetuated the silo culture of an institution and further removed SEM from the core functions of the institution.

The "academic context" and institutional culture were not incorporated into SEM activity. How does an institution fundamentally change its recruitment, retention and graduation rates if the faculty members are not intimately involved? How are business practices made to be more student friendly if the individuals working in those offices do not see their significance to student success? And how do you change a campus culture if all constituents are not involved?

This structural approach to SEM ignored the idea that SEM is an institutional responsibility and it has to be grounded in the academic context and culture of the institution. Establishing SEM within the academic context and culture of the institution is to make enrollment management the responsibility of everyone especially the faculty. Viewed as an institution wide responsibility and part of the academic context and culture of the institution, SEM becomes one of, if not the focus of institutional planning. This focus also means structure supports the processes and procedures as opposed to processes and procedures being driven by a static SEM structure. It is all about how we organize the institution to achieve our SEM vision, goals and objectives.

In order to start a dialog we advance the following definition as stated in the Morehead State University Strategic Enrollment Management Plan 2006-2010.

- **Strategic Enrollment Management** is a comprehensive approach to integrating all of the University's programs, practices, policies, and planning related to achieving the optimal recruitment, retention, and graduation of students with "optimal" defined by the mission, academic vision, and strategic plan of the institution. Enrollment management becomes Strategic Enrollment Management when it actively integrates planning, strategies and structures in the formal enrollment management units with the institution's evolving strategic planning, its academic vision and its fundamental mission.

- **Strategic Enrollment Management** does not ignore short-term activities. Instead, it integrates short-term administrative efforts with long-term planning processes. These administrative efforts include a focus on management of those functional areas responsible for achieving enrollment goals. As a planning process, Strategic Enrollment Management focuses on the outward- and forward-looking activities that guide the institution's pursuit of its preferred

future in a constantly changing and competitive environment and includes long-range planning and institution-wide strategy development.

Using this definition, the following core concepts then support all institutional SEM activities:

- All SEM activities are mission driven.
- SEM develops an institutional culture of student success.
- SEM is synonymous with student success and is integrated into the institution's strategic plan.
- SEM involves all internal and external constituents.
- External partnerships are critical.
- Everything is assessed and measured so decisions are data driven.
- Clear enrollment goals are established based on institutional capacity and the institution's strategic plan, and not simply on the student profile or revenue generation.
- Appropriate academic programs are maintained that prepare students for the careers of the future while sustaining mission appropriate offerings.
- Creative thinking and looking outside of higher education for best practices is necessary.
- Focus on the appropriate utilization of technology to enhance service to students is encouraged.

Colleges and universities need to develop a planning model that not only works for them but is inclusive and viable enough to become a breathing, life-sustaining, evolving process. This planning process begins with ownership and responsibility grounded in the academic mission of the college or university.

The core of SEM planning requires knowledge of institutional budgets, funding, communications, marketing, admission processes, practices and standards, recruitment, retention, student services, financial assistance and leveraging, academic preparation, institutional fit, external demographics, institutional profile, student transitions, alumni relations, communication, campus environment, career development, learning styles and methods, institutional research, assessment, data collection, constituency connections to campus, town-gown relationships, and university development to list a few.

As an institution moves through a SEM planning process, issues will continually arise that reinforce the institution-wide responsibility for student success and the need for external partnerships. For example, if your institution has space limitations, planning for continued on-campus enrollment growth may jeopardize the planning outcomes.

However, knowing that space is an issue, the institution's SEM plan may well address goals for additional delivery methods, outreach centers, regional campuses and partnerships with other colleges or universities, and/or virtual student support services.

Purpose of this Guide

The purpose of this guide is to facilitate strategic enrollment management planning in all types of postsecondary educational institutions. It draws heavily from the practical experiences of the authors, the literature base on strategic planning as well as actual institutional strategic planning experiences.

There are many models of strategic planning. No one model fits all situations. Each organization is different and the planning model used needs to be tailored to fit the environment for which it is intended. There is also a significant number of theories about strategic planning ranging from the traditional long-range planning of the 60's and 70's to the current concept of scenario-based planning and student centered planning.

On an applied level, all planning models and theories have numerous components in common: mission, vision, strengths, weaknesses, opportunities, threats, goals and objectives. Each model also has an evaluation loop that connects its end point in the model to the starting point thereby indicating a cyclical process. Another similarity is that almost all models and theories are actually sequential and linear in nature. Each step in the model is a prerequisite to the next, but once a step is completed, it is not revisited until the process cycles through the other steps. Rarely does one find a model with built-in evaluation/feedback loops each step of the way thereby allowing for changes and adjustments as the plan is evolving. Finally, all models struggle with the issues of which constituent groups should be involved and how appropriate input should be sought.

The planning model presented here was guided by several tenants that make it innovative and somewhat unique. First, commitment to a planning process and the eventual plan that results is gained through a sense of ownership and broad-based involvement. Second, nothing is viewed as sequential or compartmentalized. The internal and external environments are interlocked and the significance of one cannot be understood in isolation. Third, congruence is essential. As the process unfolds, there need to be formalized mechanisms to change and adjust all aspects of the plan as new insights are gained. Fourth, planning is an exercise in thinking creatively about the future. Creativity is the heart and soul of an effective plan. Fifth, the final plan is always subject to change. Planning has no real end point. Planning is a living process which needs constant monitoring and adjustment. Sixth, a truly successful planning process should significantly impact the assumptive world of the institution and change the decision-making paradigm. The planning process should bring a proactive focus to

everything the institution does. Decision-making should become more anticipatory and consistent.

Background

The complexities inherent in higher education management are enormous. A coherent understanding of these issues and a congruent means of orchestrating proactive institutional management are critical to effective policy development and decision-making. Higher education is at a pivotal crossroads as it enters the next millennium. The future of the enterprise as we know it will see significant transformation. Funding, accountability, integrity and leadership will be at the forefront in redefining academe in the 21st century. Higher education and the institutions that represent it cannot maintain the *status quo* and expect to survive, let alone prosper. Momentum is inevitable; its direction is in the hands of the leaders who have the ability to control it.

The key to successful institutional leadership, management and advancement is the design and implementation of a functional long range and strategic planning process. There are many models of strategic planning that have been designed, developed and implemented by higher education institutions. For campuses seeking to enter the planning arena for the first time, existing models are often given serious consideration. For the majority of campuses that are already involved in planning, these models serve as catalysts for improvement and for expansion of their current model.

As far back as the 1970's, higher education institutions in the United States were laying claim to visionary leadership through planning. Unfortunately, the reality was not as impressive as the proclamations. At best, a very small percentage of institutions were flirting with the edges of planning but realizing no gains. Plans were developed only to be ignored, and in some cases, done merely to appease outside groups. Often, the exercise of planning was a symbolic activity designed simply as a promotional tool for the university, but with no real substance.

Over the past 30 to 40 years, strategic planning, which gives rise to strategic management, has found different degrees of acceptance. Planning and management first received serious attention in the business sector. As successes were realized, support grew. Eventually, there was great excitement, and the not-for-profit sector began to delve into the planning arena. Higher education institutions were among those fledgling efforts. Unfortunately in higher education, the track record was anything but successful. There are a number of things that can be attributed to this failure. Of immediate note is the fact that the governing structure in postsecondary education differs markedly from that in business. Institutions are not ruled by the singular decision-making found at the top of the organizational hierarchy. There are many levels of participatory governance that must be dealt with, listened to and massaged. Another obstacle to strategic planning in higher education is the fact that the wheels of change

grind slowly. The process of creating proactive movement in higher education is deliberate and measured. The budget cycles are slow in turning, the shared governance model requires input and study from many constituent groups before final action is chosen and the bureaucracies of government impede rapid progress and change. To further complicate progress, the tenure of presidents continues to get shorter. Successful planning processes must be championed in a very public way by the chief executive officer. Unfortunately, long range planning's timeframe can easily exceed the time a president is in office. The transfer of presidential power is typically the death knell for the existing planning model.

Still, visionary leaders persisted in the belief that planning was possible and would benefit higher education institutions. Their steadfast commitment to making it work has proven fruitful. However, the number of colleges and universities that have created effective planning models is few. Many who would like to join the ranks of successful planning institutions have chosen to "reinvent the wheel" rather than model their efforts after proven successes. There are successful planning models available for adoption. However, it is important to note that an institution cannot simply take an existing planning model and implement it and expect to be successful. The planning model and process has to be tailored to the institution in order to be successful.

Why Strategic Planning?

Perhaps one of the most important axioms that can be identified is this -- there is no *status quo* for a campus. Despite the best efforts of many campus leaders, it is simply not possible to remain exactly as you are forever. There is a fundamental choice all campus leaders must make: they can either proactively advance their institution forward by design and through planning or sit idly by and allow natural momentum to let their institution slip backwards. In the United States, there are approximately 4,000 institutions of higher learning. The vast majority of these campuses are quite similar. There are only a very few that can honestly lay claim to distinctiveness. A closer analysis will show that most of the campuses that are leading the way are successfully engaged in long-range strategic planning through visionary leadership.

Society is changing and evolving very rapidly today. In fact, change is exponential. The technologies we marvel at today are obsolete three years hence. The environment created on a global scale by political and economic instability is causing leaders to make significant and sometimes desperate decisions in an effort to adjust and adapt. Organizations that have articulated a well-thought-out strategic plan are in a position to make informed decisions. Strategic planning puts everyone on the same page, working in unison.

Most postsecondary institutions are to some degree underfunded. This is a long-term trend that is not likely to reverse itself. Institutions that recognize this fact can plan

accordingly. Unfortunately, the vast majority of campuses keep hoping that the next budget cycle will show marked improvement. Their renewed disappointment is seen with the coming of each new cycle. When funds are limited, decisions become more difficult and priorities become more important. The tough decisions are most prevalent when one is forced to choose between several desirable outcomes due to limited resources. This is precisely the time when planning is most important to an institution. When priorities have been established through the planning process, it becomes much easier to allocate sparse funds appropriately. Too many institutions say that when the funding crisis is over and they have unlimited resources, then they can engage in the exciting world of planning and dreaming. They, of course, have failed to realize the fundamental point that it is when resources are scarce that planning is most needed. A plan with focus defines your choices.

It is also important to note that a well-designed planning process inspires pride, motivation and commitment among the people it touches. Leaders who are successful have a vision for a better future, and they are able to enthusiastically articulate it to their constituencies. People follow a leader with vision. Leaders do not single-handedly advance an institution, but rather they inspire the many other people who must work to keep it vital and proactive. The leader who can motivate through vision will instill among the people on his or her campus a sense of personal ownership in the vision that has been laid out. People will show their loyalty and support in the achievement of that vision.

Institutions that have an effective planning process are telling others they have a commitment to the direction their institution is taking and the future it will realize. The governing bodies which often determine institutional funding are quick to realize that the campus with a plan of action in place is much more likely to realize success than one without such a plan. Governing boards are wise enough to realize funding is best allocated to those who have a plan for how to use it effectively.

Finally, strategic planning provides a clear direction for an institution and allows its leaders to chart the proper course. It gives you the courage to challenge. If you are afraid to lose sight of the shoreline, you will discover nothing. Planning is the means to the end. It must be pointed out, however, that too often institutions merely plan with no follow-up. Planning alone is merely dreaming. Planning combined with action creates results. Employees who work in an institution with a plan have a heightened sense of security and stability. "Staying the course" is easiest when the people know the course they are to follow. Finally, strategic planning sets the priorities in the decision-making process. It makes discretionary judgments easier to formulate.

Organization of What Follows

This book is a practical, hands-on, guide to strategic enrollment management planning based on a very simple planning model. It provides, in a step-by-step format, worksheets and instructions, as well as multiple examples drawn from actual strategic enrollment management plans for each step in the model. At a very basic level by using the worksheets provided, an institution can develop an enrollment management plan in short order or use the worksheets as guides for the development of a more detailed plan. Remember, this is a how-to guide to facilitate the development of a strategic enrollment management plan. The model is designed to be flexible yet comprehensive in nature and adaptable for any setting.

Chapter II starts with a discussion of the more common strategic planning concepts. With this understanding, the chapter then proceeds to outline the planning process and how it works. Do not be confused by the broader discussion of strategic planning. This is only the groundwork for moving into strategic enrollment management planning as presented in the following chapters.

Chapters III through VII each focuses on a different phase of the planning model. Each chapter takes one phase of the model and reduces it into action steps. There are suggested procedures and worksheets to complete, as well as examples drawn from actual strategic enrollment management planning documents.

Chapter II

An Applied Planning Model

The focus of this chapter is two-fold. The first part discusses several concepts that are common to almost all planning models. The second part outlines a proposed planning model and presents flow charts of how the model works. Following this, Chapters III through VII operationalize the planning model. Each chapter focuses on one phase of the model reducing it into a series of action steps with suggested procedures and, where appropriate, sample outcomes.

Some General Concepts

The mission statement is the key to institutional identity. It is often heralded as the key to strategic planning. This is fundamentally wrong. The mission statement defines what your institution is. It is a measure of the *status quo*. While the mission establishes the organizational framework under which you operate, it does not provide direction. The mission defines the present; the vision speaks to the future.

Goals, objectives and strategies are terms frequently heard in discussions of strategic planning. These terms are essentially irrelevant. Developing the action plan to realize the strategic plan is what matters. Terminology is not the focal point. In planning, there are also several other terms which are frequently confused. There is operational, tactical, longrange and strategic planning, among others. Each can have a role and play a part in the overall process; however, each is distinctively different. Operational planning is of a very short duration -- perhaps only days in length. Tactical planning typically revolves around the budget cycle, which is frequently one to two years in length. Longrange planning can have a life cycle of up to five years. Some would say that longrange plans should span as many as ten or perhaps twenty years. This is folly. Planning is dynamic and ever evolving. A five-year plan is as far out as one can

realistically anticipate future trends and events. Beyond this is the need for the process to be dynamic and constantly subject to adjustments. This then leads one to strategic planning, which is totally different in its conceptualization. It has no timeframe. It is fluid and opportunistic. Long-range and strategic goals are closely related and intertwined. Long-range goals reflect the institution's commitment to growth and prosperity. Strategic goals reflect the plan to achieve those objectives. They are inseparable, one following the other.

A dilemma that compromises strategic planning is the fact that presidents typically have a short tenure in office. Long-range planning requires stability so that the leadership team has time to realize its long-term plans. Long-range planning exceeds the budget cycle by typically one to two years and often exceeds the period of time the president is in office. The funding for major initiatives must be planned over an extended period of time. When the leadership changes—goals and objectives change. This is an instability that undermines strategic planning on many campuses.

Strategic planning focuses on the awareness of the present and the future; it is anticipatory decision-making. The thrust of strategic planning is for the institution to be opportunistic and prepared to seize the moment as events present themselves. An understanding of futures research and environmental scanning, and the ability to anticipate events prior to their occurrence are important elements of strategic positioning.

A Strategic Planning Model

What are the components so often found in successful planning models? While not every component is in each model one might see, one or more can be found in the planning initiatives that have succeeded and, more importantly, have made a proactive difference on their campuses. The model described below is one that has been successfully in place long enough to have survived the test of time. The model contains what is believed to be the critical components to successful planning.

Critical Components

Successful planning must have focus and direction. There is a compelling argument for the case that the institutional mission is not necessarily the starting point for the planning process. This statement of the here-and-now does not drive the future-oriented planning process. It is a statement about the future that is the critical first component of planning. The vision statement is the roadmap to the future. While a mission tells an institution what it is, a vision tells it what it could and should become.

Dr. Theodore Hesburgh, the President Emeritus of Notre Dame University in the United States, was once selected as the most effective college president in the country. He was asked why he had been bestowed this honor. His simple answer was, "Vision." Vision is the center of the planning universe. It is, quite simply, the roadmap to a better future.

One need not look far to find examples of successful visions that reached fruition. Toyota Motors created the Lexus automobile, Bill Gates established the enormously successful Microsoft, Walt Disney established world famous amusement parks, and the list could go on. The process of developing a strong and effective vision is not altogether simple. There are steps that must be taken and understandings that must be appreciated. However, with guidance and direction, an institution can be successful in establishing a vision that will inspire, motivate and move its people and its goals forward.

Visionary leadership is pivotal to institutional health and vitality. Nothing of any import will occur in the planning arena without strong leadership from the top of the institution. The president must champion the cause for planning and provide a bully pulpit from which this vision is shared. An enthusiastic and widely shared vision has great appeal to employees and others outside the institution. It generates enthusiasm, loyalty, dedication and accomplishment. It is the driving force behind everyone's efforts. As an analogy to strategic planning, consider the submarine commander. He leaves port with a well-defined plan and mission. Through his vantage point from the bridge and through the periscope, he is able to scan the horizon and the external environment for a full 360 degrees. With this view of the outside world, he is able to monitor the environment for opportunities and threats. Within the vessel, the crew also maintains constant knowledge of its status and quickly notes all strengths and weaknesses it has. From this internal and external scanning process, the captain is positioned to act swiftly and decisively with his plan and mission fully under consideration.

Shared governance and a participatory process is another critical component. It is the second prong along with presidential leadership that creates the sense of ownership by the campus constituencies. In some way, the model should involve the various groups on campus. The planning committee itself should reflect the spectrum of constituent groups on campus.

Institutional assessment provides a vital support role to the planning process. Planning is data intensive. At the same time, planning groups must guard against getting bogged down in data gathering activities at the expense of strategic thinking. A support committee should provide assessment to the planning process.

Key performance indicators must be a part of the model. There must be tangible evidence that the process is producing results in a timely and efficient manner. Action plans need to be monitored and progress evaluated. However, an institution must do more than merely measure that which is easily measurable. A problem that often arises with the use of key performance indicators is the tendency to emphasize easily identifiable quantitative measures at the expense of more meaningful, but elusive, qualitative indices. The result, frequently, is measures that lack credibility and validity.

Effective planning involves an internal focus on the campus and an external focus on the environment. The latter process is dealt with through environmental scanning. A campus cannot be strategically positioned to take advantage of future opportunities without anticipating their occurrence.

With regard to environmental scanning and futures research, it should be pointed out that everyone is, in fact, a scanner. Everyone reads, everyone absorbs, and everyone gains knowledge. If these casual and informal individual efforts are formalized and documented, a scanning process is, in fact, in place. Scanning involves looking at and studying many different environments. The common acronym for environmental scanning is STEPP. This stands for the scanning of sociological/cultural, technological, economic, political and postsecondary environments. The breadth of scanning is also all encompassing. Scanners must look internally at the campus, into the immediate area of the community and region, broadly across the country they represent, and finally throughout the world. The acronym for what one scans is SWOT. This represents strengths, weaknesses, opportunities and threats within the internal and external environments. In all cases, one is looking for trends and events that could have immediate or future impact on the institution and its potential. Strengths are analyzed by looking at internal potential events on the campus of a positive nature that could be beneficial to the institution's future. Weaknesses are those internal factors that will hamper the institution's ability to grow and prosper. Opportunities and threats are the positive and negative external potential events and trends that could also have impact on the campus. In general, events are singular, short-term occurrences that can impact the institution and change its future. Trends, on the other hand, are ongoing, long-term patterns that also can change a campus, a society, a country, or even the world.

Planning without action accomplishes nothing. Visionary goals and aspirations must be operationally defined in terms of how they can be accomplished. This is the process of developing action plans. They specify what must be done when, by whom and with what necessary resources.

These then may be the cornerstones of effective planning -- the vision statement, presidential leadership, shared governance and a participatory process, institutional assessment, key performance indicators, environmental scanning and action plans.

Always view the mission statement as the starting point for strategic planning. Remember also, if you cling to a static mission for too long a period of time, you will be trying to achieve nothing more than what you have already accomplished. The mission statement is your departure point, not your destination.

The goals, objectives and strategies you articulate within the planning model are the defining features of the road to success. These concepts describe in great detail how you will reach your aspirations. Planning must result in actions, and the goals, objectives and strategies set forth are the definition of the action plans.

Institutions of higher learning simply cannot afford to neglect planning. Those campuses at the forefront will take the lead and develop planning models that support their goals. These are the campuses that will be advantaged for increased funding. These are the campuses that will be the model for other institutions and even entire countries. These will be the campuses that define the path followers must take.

Each president can choose to lead or follow; to prosper or languish; to succeed or fail. You can be what you dream or you can remain what you are -- until you slide backward. Please remember that there is no *status quo*.

The Model

The planning model presented below is a five-phase planning process operationalized into sixteen steps (see flowchart at the end of this Chapter).

- Phase I is the Plan to Plan where commitment to planning is established and the actual planning process is developed.
- Phase II, The Institutional Framework, brings into focus important organizational parameters. This is where formal and informal expectations placed on the institution, core organizational values and beliefs, and the institutional mission are brought into focus.
- Phase III, SWOT Analysis, identifies and determines the institution's internal and external strengths, weaknesses, opportunities and threats. In short, this is a coupling of internal self-assessment with environmental scanning to gain a clearer picture of the institution and the impact of the external environment in order to identify threats and opportunities.
- Phase IV, Vision, brings Phases II and III together by providing the insight necessary to develop an organizational vision of what it will become in the future. This phase establishes the institution's course for the future
- Phase V, Goals, are the broad initiatives that need to be pursued to achieve the vision.
- Phase VI, Operationalizing, sets into motion the processes necessary to achieve the strategic goals and realize the institutional vision.
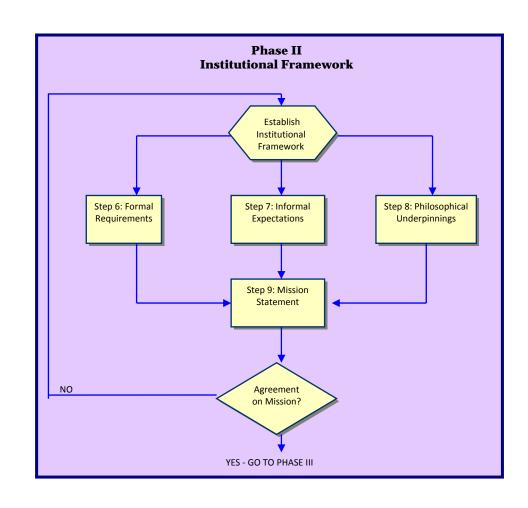
As the reader progresses through the remainder of this guide, there are three concepts that need to be reinforced. First, this model is only a guide. Each institution needs to develop a planning process that best fits its unique needs. No one model fits all institutions or all situations. Second, broad-based involvement and input is critical to the success of any planning process. Again, how the plan is developed and how involvement and input is considered is institution-specific. Finally, congruence of mission, vision, goals and implementation is mandatory. Continual evaluation and adjustment need to
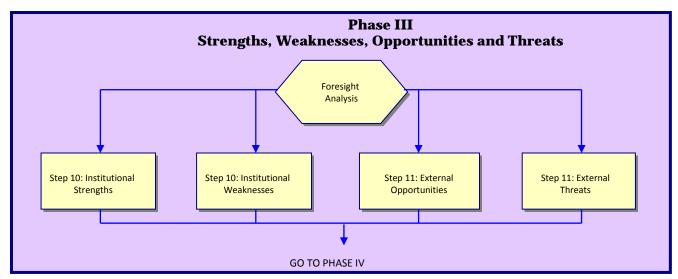
be built into each step of the planning process. This continual looping back through previous steps ensures not only congruence but also flexibility and change as new insights are uncovered.
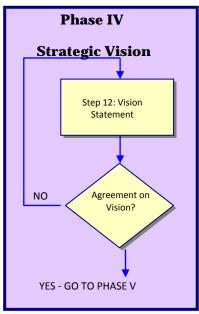
At the end of the guide are worksheets to help the reader conceptualize a procedure for developing various components to the overall model. The worksheets are intentionally simple and generic. The reader is encouraged to expand their formats and create detailed worksheets that best meet their unique needs. Remember however, they are meant to be tools for greater efficiency, not ends in themselves. Do not get bogged down in cumbersome processes that ultimately serve only to slow the process.

THE SIX-PHASE STRATEGIC PLANNING PROCESS
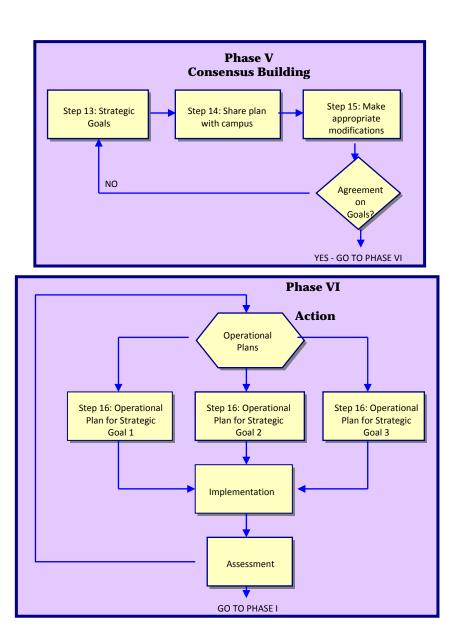
**Phase I
The Plan to Plan**

Step 1: Institutional Support for Planning

Step 2: Form Planning Committee

Step 3: Design Planning Process

Step 4: Set Time Frames

Step 5: Committee Resources to Planning

Committed to Planning?

NO

YES - GO TO PHASE II

**Phase II
Institutional Framework**

Establish Institutional Framework

Step 6: Formal Requirements

Step 7: Informal Expectations

Step 8: Philosophical Underpinnings

Step 9: Mission Statement

Agreement on Mission?

NO

YES - GO TO PHASE III

Phase III
Strengths, Weaknesses, Opportunities and Threats

Foresight Analysis

| Step 10: Institutional Strengths | Step 10: Institutional Weaknesses | Step 11: External Opportunities | Step 11: External Threats |

GO TO PHASE IV

Phase IV

Strategic Vision

Step 12: Vision Statement

Agreement on Vision?

NO

YES - GO TO PHASE V

Phase V
Consensus Building

Step 13: Strategic Goals → Step 14: Share plan with campus → Step 15: Make appropriate modifications

NO

Agreement on Goals?

YES - GO TO PHASE VI

Phase VI

Action

Operational Plans

Step 16: Operational Plan for Strategic Goal 1

Step 16: Operational Plan for Strategic Goal 2

Step 16: Operational Plan for Strategic Goal 3

Implementation

Assessment

GO TO PHASE I

Chapter III

The Plan to Plan

Before the actual strategic enrollment management planning activity begins, several steps have to be taken. This is often referred to as the "plan to plan." Without sufficient pre-planning, the entire process will flounder and likely fail. Therefore, the following activities (see Worksheet 1) usually lead to a successful beginning to the strategic enrollment management planning process.

Step 1: Gaining Institutional Support

It is up to the president to be the initiator and leader of the strategic enrollment management planning process. This is vital to the success of the process.. What is often overlooked in the higher education literature on planning is that the planning process has to be fervently supported by the other members of the senior administration as well. The vice presidents and deans have to be as firmly committed as the president or this weak link will cause the process to fail.

Some models call for the signing of agreements to support planning while others focus on simple group consensus. Either way, it is important that the senior administration agrees that strategic enrollment management planning is important and that they wholeheartedly support the process.

Step 2: Involvement and Forming the Planning Committee

In order for the strategic enrollment management planning process and the resulting action to be effective, broad institutional involvement is critical. A strictly top-down or

bottom-up plan will not get very far due to a lack of broad-based ownership. It is essential that a strategic enrollment management planning committee be formed and that it be comprised of individuals from all segments of the campus. This means exactly what it implies. Membership should include representatives from all segments of the campus from senior management to students as well as representatives of the non-instructional support staff. It is also a good idea to have a senior faculty member who is widely respected on campus chair or co-chair the committee. This is not intended to undermine the authority of senior administrators, however if they lead the group, only that one voice will be heard. In the interests of open communication and dialogue, it is essential that a faculty member orchestrate the committee's deliberations. It is further recommended that members of external constituent groups be included on the strategic enrollment management planning committee. External members will bring significant input to the process and will more than likely bring different perspectives. The downside to external constituent membership is the demands the planning process will place on their time. Worksheet 2 can be used to help identify the critical constituent groups that need representation on the planning committee. The assignment of individuals to the strategic enrollment management planning committee should be based on selecting the most respected leaders of the identified constituent groups. It is important to recognize the difference between being respected and being popular. Membership on the committee is not a popularity contest. Membership needs to be based on leadership -- those individuals that everyone says they can trust. It is all about creating a "critical mass" of respected individuals that can influence decision-making; it is not about establishing a majority of the academic community.

Step 3: Designing the Planning Process

Once the institution has set strategic enrollment management as a priority and a planning committee is formed, the committee needs to lay out the process and communicate it to the campus. There will probably be several iterations of this step before widespread support for the process is established. While the institution may support strategic enrollment management planning as an important concept, there also has to be agreement on the design of the model and a commitment to contribute.

This is the point where the institution gets its first input. This can be done in numerous ways. Open forums, often called town meetings, can be held where the initial draft is presented and attendees are given the opportunity to ask questions, make comments and offer suggestions. Another format is the focus group approach utilizing a sample of people drawn from each constituent group. While these are only two possibilities, the method utilized will depend on the individual campus and the form of communication and feedback that works best for the institution. After two or three iterations of this process, if necessary, the planning model should be fairly well defined with a majority of the institution agreeing to it.

Step 4: Setting Timeframes

The next logical step flows from Step 2 and refers to the timeframes for the planning process. This is the point where the process becomes operationalized. At this point in the plan-to-plan, responsibilities are assigned, goals for the process are set and timeframes for meeting the goals are established. Worksheet 3 is one suggested way of operationalizing the planning process. If the strategic enrollment management planning committee cannot set goals and timeframes for itself, it cannot possibly develop a strategic plan for an entire institution. Setting goals, timeframes and specific responsibilities for the planning process keeps the process on track, creates a sense of ownership, and lets the broader institution know what to expect and when.

Step 5: Resource Commitment

Once the institution has set strategic enrollment management as a priority, established the planning committee and designed the planning process, the campus needs to commit the resources necessary to make the process work. Hopefully, this step actually started with the decision to engage in strategic enrollment management planning. The planning committee members should be supported through recognition for their involvement. They should be released from some normal work duties to serve and generally be treated as a blue ribbon committee. This means simple things like providing a nice meeting area with refreshments. Staff support should never be a question and the institutional research function should be especially at their disposal.

The committee should report directly to the institution's president and the president should always be available to the committee. There should also be a significant resource commitment. This resource commitment should also include staff support. It is not realistic to expect all of the organizing and clerical work of the committee to be conducted by the members themselves. Clerical support will be necessary as well as the services of institutional research or some comparable data analysis function. Without this support, the planning process cannot function and a clear message is sent regarding the lack of priority given to strategic enrollment management planning. Strategic enrollment management planning is not an activity to be conducted on a shoestring. Worksheet 4 is one way of identifying the necessary resources and operationalizing the institutional commitment to the planning process.

Steps 1 through 5 represent the actions necessary for the strategic enrollment management planning process to begin. If successfully completed, these steps bring the institution to the point where formal strategic enrollment management planning commences. The institution is committed to the process; there is institution-wide

ownership; there is a process to follow with responsibilities; goals and timeframes; and sufficient resources have been committed to ensure its successful completion.

Chapter IV

The Institutional Framework

Once the "plan-to-plan" stage has been successfully completed, the institution is ready to begin the actual process of strategic enrollment management planning. Following the model discussed in the opening section of the guide, the first thing the committee needs to do is outline the current organizational parameters and draft a preliminary mission statement. Organizational parameters are the formal legal obligations under which the institution has to operate as well as the more informal expectations placed on the institution. Organizational parameters also focus on organizational values and beliefs. These are the defining characteristics within which all activity occurs. These characteristics define the institution's "personality." The end result of working through the organizational parameters is that the strategic enrollment management planning committee is now in a position to revisit the institution's mission statement and either reaffirm or redefine it. This last step of mission review is a critical activity that will recur throughout the planning process. As the process unfolds, one question which has to be continually asked is: "Given what we have learned, does the current mission of the institution still hold or do we need to change it?"

Step 6: Identifying All Formal Requirements

Institutions of higher education have to follow the laws of the country, region and locale within which they reside as well as formal institutional policies. In essence, these are the legal constraints within which the institution must function -- the "have to's" and "cannot's" of governance. But what are the "have to's" which have significant impact on the institution and can dramatically influence strategic enrollment management planning? If the institution was created by legislative action, it has to honor that action

and serve the purposes as spelled out in the enabling legislation and/or charter, or go about getting the enabling legislation or charter changed. The same is true for a private institution, except that in this case, articles of incorporation are addressed.

What does an institution have to do if it wants to participate in financial assistance programs or receive aid? What laws apply and what must the institution do when it applies for and/or receives government funds? How does the institution go about terminating a degree program? What are the personnel policies with regard to faculty and staff when eliminating programs or reorganizing? What control does the State and/or governing board have over the future direction of the institution? What are the local ordinances regarding developing property, off-campus housing or parking on public streets? There are many requirements that institutions must adhere to and many others that come into play when the institution starts or stops some activity. It is important for the strategic enrollment management planning committee to be familiar with these requirements because they shape part of the environment in which the institution must operate.

Worksheet 5 is one possible way to collect this information. Keep in mind that committee members should not be expected to be fully knowledgeable about these requirements and it is the responsibility of the appropriate administrative functions to bring these requirements to the attention of the committee as it develops the plan.. However, committee members do need to become familiar with theses requirements and have easy access to those individuals who have a more detailed knowledge base.

Step 7: Informal Expectations

What are the social and cultural expectations placed on the institution? Does the campus encourage visitors? Is it seen as a key player in economic development? Is the institution expected to participate in community affairs? Is the institution known for its small class size? Is it an institution where students of color and international students are welcomed or are they simply tolerated? These types of expectations, while not legally binding, have a significant impact on an institution. The strategic enrollment management planning committee needs to clearly articulate and understand what non-legal expectations are imposed by external and internal constituents, and how these expectations influence the campus.

Worksheet 6 is designed for collecting the information discussed in Step 6 and Step 7 in summary form. It will also be important for the committee to meet with the senior administration to discuss these issues so there is a common understanding of and agreement on the mandates and informal expectations.

Step 8: Philosophical Underpinnings

Consciously or unconsciously, everyone makes decisions utilizing a philosophical framework based upon a set of core beliefs and values. Personal conflict arises when we make decisions that are incongruent with our basic belief system. The same is true for an organization. Incongruence, chaos and confusion result when organizational decisions are made that are not in keeping with the core tenets of the organization. If the institution's mission statement professes that teaching is the primary focus of the institution and members of the institution believe that teaching is of primary importance, a policy that states funded research is more important for promotion and tenure will cause confusion. Similarly, if the institution is an "open door" institution but individual programs establish strict admission criteria, conflict occurs with the students.

Organizational beliefs change over time. However, it is very likely that while the belief structure may have changed, the mission and collective consciousness of the institution probably have not. When this occurs, the institution can often seem lost and floundering. Without a clear understanding of the institution's core beliefs and values, decision-making has no underpinning or consistency.

The best way to approach this step is to use the "blank paper" approach and work through an extensive brainstorming session with one overriding question: As an organization, what do we believe and what are our core values? Worksheet 7 shows the process. The follow-up activity then is to operationally define each belief and value. Below are examples taken from universities in the United States.

Pittsburg State University
Guiding principles:

- Students are central to the academic enterprise and should be the focus of university action.
- The university wants to change and improve both the undergraduate and graduate learning experience.
- Resources will be reallocated to support the goals and objectives of the plan.
- Quality academic advisement is a priority.
- Course sequencing within the major to promote a four-year completion is crucial to student success.
- Adequate availability on-line and throughout the day and evening of general education courses, writing to learn courses and other degree requirements is crucial to student success.
- Assessment of student learning is critical to student success.

University of Arizona
Guiding Principles – Retention Plan

Underpinning the work that has been done thus far is a set of guiding principles – statements representing the philosophy upon which all the goals, strategies, and action plans rest. These guiding principles must be evident in the actual implementation of the retention plan if it is to represent the heart of the commitment we make to students at the University of Arizona.

- Student retention is an outcome of a quality student experience and includes student satisfaction and student success.
- Student success is a critical part of the academic work of every college and is based on learning strategies for success built into the disciplines of each college.
- Connectedness to faculty and staff, both within and outside of the classroom, is critical to student success; thus all areas of the university share the responsibility for facilitating these connections and eliminating barriers to them.
- Student success is a core value at the University of Arizona, the result of a culture that engages diversity and values student participation. It is to be celebrated and rewarded.
- Optimal student retention can only be fully achieved when all students – including students of color, first-generation students, transfer students, and students with disabilities – experience success in degree completion at the same rate as the majority population.
- Interactions at all levels and among all participants in university life can be enhanced by a web of technology that connects students, faculty, and staff.

Chesapeake College
In order to implement our mission and pursue our vision, the College faculty and staff dedicate themselves to being guided by the following core values.

- *Quality.* The College is committed to high standards of excellence in education and support services. With a focus on teaching and learning, we are dedicated to meeting the needs of our students and to implementing a variety of effective and innovative instructional strategies. We believe that the keys to maintaining our excellence are continual self-assessment, improvement and professional development.
- *Self-Centeredness.* The college focuses on meeting the individual needs of each student and encourages each to take advantage of opportunities to maximize his/her potential. By creating an open, friendly environment with a comprehensive learning support network, the College provides opportunities for each student to be successful. Because of the varied educational backgrounds

within our student body, we provide counseling and personal attention as much as possible. We measure our success by the success of our students.

- *Community.* To benefit the region and its citizens, the College promotes community development initiatives and services as a catalyst in shaping programs and services. Partnerships and alliances allow the College to provide leadership in community activities and economic development. At the same time we view cooperation, collaboration, social responsibility and concern for others as crucial elements in building a sense of community both within the institution and in its dealings with others. The College also celebrates the rich cultural heritage of the Eastern Shore and commits to its preservation.

- *Diversity and Respect.* The College values individual differences and the contributions they bring to the learning process. Diversity in the educational setting in all forms will be respected as a means of enhancing the overall vitality of the institution. We believe that our students are enriched through a diverse intellectual and social environment where learning occurs through exposure to different cultures and through exchanges among a diversity of experiences, beliefs and perspectives. The College fosters an environment of mutual respect and teamwork where attitudes of fairness and integrity are encouraged.

- *Flexibility.* The College will provide an environment that encourages and is respectful of continual re-examination of programs, policies and practices. It adopts beneficial challenges and eliminates practices that are obstacles or no longer applicable due to changed conditions. Through ongoing self-evaluation, the College prepares itself for the challenges and necessities of the future. Our greatest strength is in strategic response to the changing needs of our students, faculty, staff and community partners.

- *Teamwork and Inclusiveness.* The College fosters collaboration and cooperation between and among students, faculty and staff. Listening to others and sharing out talents in finding creative solutions to problems strengthens us. By being inclusive, and bringing people together to participate in, and share knowledge of, decision-making, the College gains in institutional effectiveness.

- *Responsibility.* The College uses its collective resources efficiently to fulfill its mission and to meet its obligations to be fiscally responsible. We encourage students, faculty and staff to perform to the best of their ability, to embody a healthy work ethic and to take personal responsibility as members of the College community and also as citizens.

University of Central Florida – Regional Campuses

- *Values.* UCF Regional Campuses embrace and utilize the University's core values of integrity, scholarship, community, creativity, and excellence. This Creed is manifested in the values that guide our work.

- *Trusted Partner.* We will foster trustworthiness in every relationship with students, our partners, and the communities we serve.

- *Inclusive and Diverse.* We will foster an environment that is inclusive and diverse by actively reaching out to populations that are underserved and underrepresented.
- *Quality Service.* We are dedicated to providing comprehensive student--centered services that are exceptional in scope, reach and quality.
- *Accountability and Stewardship.* We are accountable to our students, the communities we serve, and the public--at--large and are committed to deploying public resources in a fiscally responsible manner.
- *Creativity.* We are committed to developing innovative educational programs, services and delivery systems to address current and future student needs. We encourage creativity, cultivate and support ideas, and recognize and reward accomplishment.
- *Community.* We nurture, serve and are inspired by our communities.
- *Pride.* We take personal responsibility in delivering the highest standard of excellence in the services we provide.
- Leadership. We embrace bold ideas and an entrepreneurial spirit.

Slippery Rock University of Pennsylvania
The core values of the Enrollment Services Division provide the conceptual underpinnings for our day-to-day operations as well as our interactions with people. Our core values are as follows:

- *Put STUDENTS first.* This philosophy means that whenever possible, decisions will be made and actions taken that are in the best interest of students and what matters most in achieving student success and learning in the context of a higher institutional environment. Student learning and success will drive policies, practices, system procedures and the messages of each communication. We will strive in our programming and services to consider what "matters most" in achieving student learning and success.
- *Put all levels of our staff next.* Students will never be first if all levels of our staff are not closely behind. Each university staff member needs to be valued for the diverse contributions they make to Enrollment Services, Slippery Rock University, and especially in the lives of our students.
- *Under promise and always strive to OVER deliver.* We should look for every opportunity to EXCEED the expectations of those we serve, always striving to deliver more than we promise. It is important for us to be certain that we are delivering what we promise. Quantitative and qualitative assessments will lead us to improve our efforts.
- *Have a purpose for everything we do and execute well.* Clearly define the purpose of everything we undertake as well as the desired outcome. Assess and measure the effectiveness of all initiatives and eliminate, refine, or replace less

effective strategies. Do only those things that we can do at an exemplary level of quality.

- *Lead by example.* Demonstrate concern for students and all University staff through our daily actions. Learn from "moments of truth" with students and staff and treat everyone with dignity and respect.
- *Add personal value to the vision and mission of the institution.* Each member of the Enrollment Services team will work to fully realize and advance the vision, mission, and goals of Slippery Rock University to the advantage of all constituent groups we serve individually, and as part of the State System of Higher Education in Pennsylvania.

Step 9: Institutional Mission Statement

By Step 9, the strategic enrollment management planning committee has a clear understanding of the formal and informal mandates of the institution, its legal obligations, the informal expectations of the campus and can articulate the institutional beliefs and values. It is at this point that a draft mission statement needs to be prepared. It is assumed an existing mission statement already exists. The committee may elect to use the existing institutional mission statement or it may decide to draft a strategic enrollment management mission statement. Either is fine but if you choose the latter, remember that everything flows from the institutional mission.

This process starts with a review (see Worksheet 8) of the existing mission, as discussed earlier. A question is then posed: "Is the current mission statement still appropriate?" If the answer to this question is yes, then you move on to the next step. If the answer is no, then two follow-up questions are pursued: "Why not? How should the mission change?"

Using these two questions as a guide, an open discussion of changes to the mission statement will lead to a revised or completely new mission. Once this is completed, the strategic enrollment management planning committee needs to communicate their progress to-date and get input and feedback. This can be done in several different ways. Planning members can interact with their appropriate constituent group(s), presenting the work accomplished and recording all input. Another approach could be a series of campus meetings or focus groups, or even a SEM planning website where individuals can submit input. The key is to communicate with the various constituent groups and let them have an opportunity for meaningful input. This builds support for the process and lets everyone know that their input is wanted and necessary for success.

Once this input has been collected the committee needs to review all suggestions and comments, assess all work to this point and make any adjustments that seem warranted. Once done, the strategic enrollment management planning committee needs to have a working session with the senior administration (president, vice

presidents and deans) to receive their input and agreement on the draft mission statement. Following are examples of mission statements taken from campuses around the country.

Examples of Institutional Mission Statements:

California Polytechnic State University Mission Statement
As a predominantly undergraduate, comprehensive, polytechnic university serving California, the mission of Cal Poly is to discover, integrate, articulate, and apply knowledge. This it does by emphasizing teaching; engaging in research; participating in the various communities, local, state, national, and international, with which it pursues common interests; and where appropriate, providing students with the unique experience of direct involvement with the actual challenges of their disciplines in the United States and abroad.

Cal Poly is dedicated to complete respect for human rights and the development of the full potential of each of its individual members. Cal Poly is committed to providing an environment where all share in the common responsibility to safeguard each other's rights, encourage a mutual concern for individual growth and appreciate the benefits of a diverse campus community.

The University of Northern Iowa Mission Statement
Mission Statement

The University of Northern Iowa is a comprehensive institution dedicated to providing a personalized learning environment, founded on a strong liberal arts curriculum. It is committed to being an intellectually and culturally diverse community. The University focuses both on undergraduate education, and on selected master's, doctoral and other graduate programs. It is characterized by excellence in three areas: teaching and learning; research, scholarship, and creative work; and service. Through its varied endeavors, UNI shares its expertise with, and provides service to, individuals, communities and organizations throughout the state, the nation and the world.

Focused Mission Statement

The University of Northern Iowa offers a world-class university education, providing personalized experiences and creating a lifetime of opportunities.

Chesapeake College
The College's mission is to provide a learner-centered environment that provides affordable, quality, educational experiences and support services, a focus on student achievement, choice in instructional delivery, and innovative use of instructional technology. This environment maximizes students' potential for intellectual and personal growth

Examples of Strategic Enrollment Management Mission Statements:

Oklahoma State University - Stillwater
Enrollment Management ensures student and institutional success by providing exemplary leadership in strategic enrollment planning and integrated programs and services.

Texas Tech University
The Division of Enrollment Management provides the highest standards of excellence in enrollment planning; actively identifies, counsels, recruits, and enrolls qualified students; and offers services that promote student retention and success.

The Pennsylvania State University
The office of Enrollment Management and Administration coordinates enrollment services for the University, working collaboratively with the academic colleges, campuses, and administrative units to identify and implement processes to meet, and wherever possible, exceed expectations and University goals.

DePaul University
Enrollment Management's mission is to improve and enhance DePaul's competitive market position and prominence in Chicago, the nation and the international community in order to increase DePaul's capacity to achieve the goals of our Vision 2006 plan in a manner consistent with DePaul's Catholic, urban and Vincentian character. The clarity of DePaul's strategic plan makes it easier for the division to set clear goals and measure our progress towards them.

To this point, the committee has been preparing for the actual process of strategic planning. The purpose so far has been to set the stage for planning. It is difficult, if not impossible, for planning to occur if you do not know your legal responsibilities and the constraints imposed on you. The same holds true if you do not understand the core institutional beliefs and values. There could be little worse then proposing strategic initiatives that are illegal or counter to the core values. Another important factor is that the committee has now demonstrated input is important and welcome. This creates a sense of personal ownership among members of the campus community. Assuming clear agreement on a draft mission statement has been reached, strategic enrollment management planning can commence.

Special note should be taken at this point. This is the first of many times the committee will loop back through the work that has already been completed. As the strategic plan unfolds, it will be critical to do this to make sure no changes are necessitated by the outcomes of the current activities. It also ensures that all activities are tracking back to

the earlier stages. Consistency of thought as well as consistency from mission to vision to goals has to be ensured.

Chapter V

Who We Are and What Our Environment Is

Before an institution can determine where it wants to go, there must be a shared understanding about what the institution is, what its strengths and weakness are, and how it is unique. There also has to be an understanding of the institution's external environment and how that arena could change over time. This idea is not new or difficult to address. By utilizing an environmental scanning process (See Figure 1 below) coupled with continual self-assessment and the use of key performance indicators, an institution can be proactive and strategically positioned to take advantage of opportunities when they present themselves.
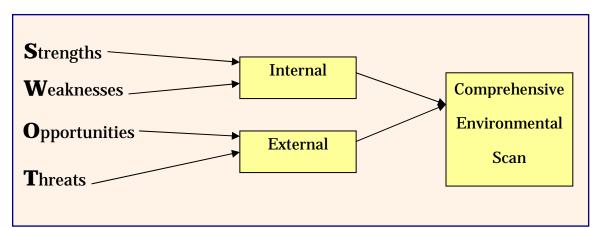
Figure 1. Internal and External Environmental Scanning through SWOT Analysis.

The steps presented in this section need to be thoroughly thought out. It is at this point that activity can become confusing and seem overwhelming. Trying to identify institutional strengths and weaknesses while also attempting to identify the major trends and events which will impact the institution over the next several decades can be a daunting undertaking. However, there are several simple steps to follow which will help organize the processes while allowing for some necessary ambiguity. The following steps should also identify several processes and informational needs that an institution might want to formalize to keep it strategically positioned. Establishing key performance indicators is the method for identifying internal strengths and weaknesses. Environmental scanning provides the method for identifying external opportunities and threats.

Step 10: Strengths and Weaknesses

The best method for beginning the process of identifying institutional strengths and weakness is to review the institution's last major accreditation self-study or related document and the follow-up response to that self-study. The report, coupled with the response from the visitation team, reflects the same type of feedback the institution would get if they had hired a consultant. An important difference is that a team as opposed to one person conducts this review. There are also other sources of institutional information which focus on identifying strengths and weaknesses. Most institutions are involved in assessment of student academic achievement, the use of opinion surveys and/or comprehensive program reviews. These activities are often done for the governing board, a major accrediting association or some government agency. Institutional accreditation is universally practiced in the United States. Technically, universities volunteer to seek accreditation. In reality, they have little choice. Without accreditation, a university is viewed as inferior and can be denied government funding.

There are many specific accreditations for programs of study, departments and colleges within a university. The most important one is overall institutional accreditation. This process is conducted every 10 years. There is also a wealth of data available to institutions through the professional associations and peer institutions. Finally, there is the collective wisdom of the campus. When all is said and done, it must be remembered that members of the campus community have enormous knowledge about the major internal strengths and weaknesses of the institution. The challenge is often getting individuals to openly discuss weaknesses. There are basically three ways to identify major strengths and weaknesses: 1) bring all available data to bear; 2) use the collective wisdom of the campus; or 3) use a combination of the two. The first approach is a more sterile and confrontational approach (facts are facts), while the second one is often biased by individual agendas, personal interactions and friendships. The third approach is more balanced and brings a broader perspective to the process.

It is suggested that current institutional reports and studies be refined and shared with the strategic enrollment management planning committee with ample time for questions and reflection on what the information is actually revealing. It is best to provide any data analyses or reports in advance so everyone has time to become familiar with the information. This is also an excellent way to build momentum for brainstorming.

Step 10 should begin with a brief overview of the material provided earlier in an attempt to tie all the information together. Once this is accomplished, shift the focus from the data and information to the group's collective wisdom via a brainstorming session utilizing a strategy like the one provided on Worksheet 9. It is also suggested that the process start with weaknesses (the bad news) and then move to strengths (the good news). Because of the delicate nature of the process of illuminating campus weaknesses, you may prefer to refer to them as institutional "concerns." In this way the process can hopefully end on a positive note. The end result of this step will be a realistic appraisal of institutional strengths and weaknesses.

Allow enough time for thorough discussion and reflection. It is critical that all perspectives are presented and that the final list is agreed upon. This is not the time to be bashful or politically correct. Only through honesty and openness will this step provide useful information. Following are examples from several institutions.

University of Alaska-Fairbanks
Institutional Strengths and Weaknesses that Affect Enrollment Management

Strengths/Opportunities

- Unique mission in the state
- Location with unequaled natural resources and recreational/research opportunities
- Dependable and dedicated enrollment management and student affairs personnel open to change and new initiatives
- Diverse student population and excellent support system for rural students coming to UAF (RSS)
- Long history of academic excellence – particularly in sciences and engineering
- Commitment to specific research and cultural agendas
- Small faculty-to-student ratio and intimate scholarly community
- Increasing MAU awareness of, and attention to, student service and academic support needs, including financial aid
- Multiple academic service centers and campuses that extend throughout the state
- Excellent communication, publication and design staff in University Relations
- Support and involvement of UA statewide offices

Weaknesses/Threats

- "Mission Creep" at other MAUs
- Geographic isolation, community size and sub-arctic climate
- Insufficient staffing levels in student service units
- Inadequate support for some underrepresented populations – particularly first-generation college students
- Insufficient physical space for academic support and services
- Insufficient technological support for basic infrastructure needs
- Low alumni involvement or commitment to the university
- Unfocused approach to financial aid packaging: privately funded scholarships, tuition waivers, discounting, etc.
- Multiple academic service centers and campuses that extend throughout the state
- Lack of unified UAF identity throughout all academic, research and administrative departments
- Support and involvement of UA statewide offices

Central Connecticut State University

Our Strengths EC/CE

- Established track record as a consistent profit center for the University
- Cohesive management team
- Positive, collaborative EC/CE relationships with CCSU academic and administrative units
- Highly skilled, culturally diverse and knowledgeable administrative and support staff.
- CE/EC as an academic unit generates internal and external credibility.
- Highly skilled, responsive and refined support infrastructure that allows for seamless service for all students: graduate, undergraduate, full-time, part-time, degree-seeking and non-matriculated.
- A long established philosophy and commitment to quality student service.
- Flexible and responsive to changing needs of university and community.

Our Challenges (Weaknesses CE/EC)

- State and CCSU budget challenges and current contractual constraints have dramatic effects on CE/EC.
- No incentives for departments and schools to work with CE/EC on program development.
- No clear institutional philosophy, mandate, resources, staffing or support for developing and instituting a viable and dynamic School of Continuing Education.

- CCSU units do not uniformly plan for an entire year's curriculum, including Summer and Winter Sessions. CE/EC is not an integral partner in planning for the needs of part-time students.
- Absence of a revenue sharing plan limits financial resources for new program development and provides no return on efforts expended.
- Continual, ongoing discussions about the mission and positioning of CE/EC within the institution cause uncertainty and confusion and damages staff morale.
- Lack of staffing resources and appropriate training to respond to increasing demands of faculty for academic information and historical data related to scheduling and students.
- No current comprehensive regional assessment of educational and program needs exists to guide the University in its strategic outreach response to the community and the establishment of its niche in a competitive marketplace.

Guilford College

Strengths

- Guilford has a clear and unique mission among institutions of higher learning in the U.S.
- Guilford is recognized as a good academic school. This is particularly true among CCE students enrolling at Guilford.
- The appearance of Guilford's buildings and facilities has greatly improved in the last three years. Specifically the Duke Memerial Building and the construction of the Frank Family Science Center have given the students and faculty of Guilford first-class space.
- Guilford's faculty is well-respected by students.
- New apartments and community center have been a major "hit" with students.
- The improvements to Armfield Athletic Center will be a major step to improving Guilford's image with former athletes and create a much-improved site for athletic competition. It will move Guilford away from the bottom of football game facilities in the conference.
- Guilford is acting on a Strategic Long Range Plan through 2010.
- With amazing growth in its adult population and more recently with its traditional student population, Guilford is the "fastest-growing college in North Carolina."
- Third-party endorsements (like Newsweek's Top 25 colleges and Colleges That Change Lives, continue to raise awareness of Guilford with prospective students, parents and counselors.

Weaknesses

- Guilford's clear and unique mission is somewhat difficult to communicate and very idealistic. While a narrow niche may focus recruiting efforts, too narrow a niche limits opportunities for recruitment. Many students are more comfortable with a pre-professional curriculum/approach than Guilford's mission.
- Guilford's "hippie, liberal" image is a turn-off to some students.
- Guilford's CIRP data indicate a student body that is more depressed, involved in substance abuse and is more learning-disabled than its peers.
- Guilford has a very low endowment as opposed to its primary private college competitors (specifically Earlham and Goucher)..
- Guilford is located in a state where the public university tuition is among the lowest in the country and is regarded as high quality.
- Guilford has extremely weak facilities for its co-curricular programs, specifically Founder's Hall and athletic/recreational opportunities.
- Guilford's Campus Life area has had a great deal of turnover in recent years. More stability is needed to achieve our retention goals.
- Retention at Guilford is slightly below the rates expected for our entering academic profile.
- While improving, low salaries (as compared to peer institutions) for personnel, especially faculty, continue to create a lack of confidence in Guilford.
- A relatively low giving rate among alumni makes it difficult to generate more enthusiasm for Guilford and a new capital campaign.
- Guilford's academic reputation is cited as not as strong as other schools to which our prospective traditional students apply. Only 34.7% of entering 2004 first year traditional students say Guilford "has a very good academic reputation."
- Students who visited Guilford ranked their campus visits experience below the other colleges the student visited.
- Guilford students continue to express frustration with the food.

Lincoln University

Strengths

- Affordability
- Diversity
- Small class size
- Open admissions
- Location
- Quality of faculty
- Registration

Weakness

- Human resources
- Curriculum
- Racial segregation
- Timely submission of financial aid materials

Step 11: Opportunities and Threats

Here the focus shifts from an internal to an external analysis. This is also the crux of strategic enrollment management planning -- understanding emerging trends and accurately projecting them into the future. By establishing an environmental scanning process, institutions develop an early warning system to identify and monitor opportunities and threats that need to be anticipated as the campus strategically positions itself in the planning process. Such a process is structured to identify and evaluate trends, events and emerging issues that will impact the institution in some way, thereby removing the element of surprise from the planning process.

A trend is an ongoing pattern. The constant increase in the number of Hispanics in the United States is an example. An event is an occurrence that happens at a given moment in time. A massive earthquake somewhere in the world would be an example. An emerging issue results from trends and represents a conflict of values or interests.

What are the threats and opportunities in the external environment that the institution needs to be aware of and either manage, take advantage of or be prepared to respond to? The more current names for this are environmental scanning, futures research and issues management. Environmental scanning identifies the emerging trends and futures research projects them. Issues management defines how the institution is going to respond and manage those issues.

There are many ways to proceed with environmental scanning. If an institution wants to invest the time and resources, a full-blown process can be established or periodic scans can be conducted. The options are endless and the ultimate decision must fit the needs and wishes of the institution. However, it is critical that some process be put in place so salient issues and trends can be identified and monitored. There is also a second reason for environmental scanning. It has to do with anticipatory decision making and thinking "outside the box." By establishing an ongoing scanning process and developing either a newsletter or routing procedure, information on emerging trends and wild card information will be constantly circulated, discussed and hopefully utilized via more informed anticipatory decision-making.

In most cases a well-structured brainstorming session primed with a current environmental scan will identify the major external trends and potential events that the institution needs to address and/or monitor. Utilizing Worksheet 10, the planning

committee can identify the major trends and emerging events. The end result will be three agreed upon lists -- one identifying the major threats, one identifying the major opportunities and one identifying the most likely potential events. Following are examples.

Lincoln University

Opportunities

- Up-to-date technology
- Federal funding
- Non-traditional programs
- State funding
- Innovative programs

Threats

- Competition with other universities
- Poor University image
- New technology
- Inadequate parking
- Low morale of students, staff and faculty

Central Connecticut State University

Our Opportunities

- CE/EC is the logical gateway for those not currently involved with the University.
- Growing demand for customized professional development and employee training.
- CE/EC has the breath of vision to spearhead efforts for coordinated outreach among various departments and units of the University.
- Growing demand for non-traditional delivery of instruction.
- Demands on University schools and departments to do the same or more with fewer resources provides CE the opportunity to serve as the vehicle for the extension of teaching and knowledge to new, broader audiences resulting in increased revenue for the university and revenue sharing for schools and departments.
- CE/EC by virtue of its nature and structure is poised to provide the University with avenues for creative solutions to issues of enrollment management, budget constraints and space limitations.

External Threats

- Local, regional, State, national and international economic recession and deficits impact programs, course offerings and enrollment University wide.
- Increased competition from UCONN, CTC's and private colleges and universities for students, funding and programs.

Guilford College

Opportunities

- Guilford's "hippie, liberal" image is a niche marketing opportunity.
- New and improved facilities give the college momentum for enrolling students and fundraising.
- Newsweek's latest college rankings list Guilford as one of the "25 hottest" colleges in the country.
- Rising applications for both traditional and adult admission indicate students are including Guilford on their lists more than ever.
- The changing demography in North Carolina (i.e. the growth of the Hispanic population) gives Guilford and opportunity for increasing enrollment. However, more Hispanic role models and a financial aid plan will be needed as well.
- Guilford has a strong web site. A fully functional web site will become even more important in the years to come. This is especially important for Guilford as it enrolls a high percentage of out of state students. Developments for the web must be fully-funded.

Threats

- The sheer number of institutions in North Carolina is a threat. Per capita, only Ohio and New York have more colleges. Specifically however, the UNC system remains the single greatest threat to Guilford College. They combine their low tuition with world-class facilities to create formidable competition. Unless Guilford can come closer to these institutions in facilities, options (food, housing), and academic reputation, our enrollment situation will become perilous. This is especially true given the rising cost of private college tuition (at our low-endowed college) and increasing resistance to loans by prospective students and parents. Increased attention to the value derived from higher education, and students' choice of institution is increasingly driven by their value judgments. Students and their families not only are less willing to pay for college education, they are also less able to pay. Average federal grant assistance as a percentage of college cost is falling; federal self-help assistance though work-study and loans is rising. A greater share of the financing burden of higher education is falling on the institution, the family and the student. Loan debt for Guilford graduates is increasing.

- Elon has been a threat to Guilford for several years. Now High Point University and its fund raising prowess will become more of a competitor.
- Guilford's financial aid discount rate, while decreasing, needs to be monitored and controlled. Guilford must be able to attract students who can pay a higher percentage of the total cost to enroll.
- The emerging changes in demography, especially in North Carolina, mean fewer Caucasian students (historically the base of enrollment for Guilford) are available to go to college. The Hispanic population (historically with very low secondary school completion rates, yet alone college-going or college-completing rates) will become a major social and economic force. Higher education is not ready for this radical change in student demography.
- In recent administrations of the CIRP, Guilford has not received high marks for academic reputation.

With the completion of Step 11, the institution has an institution-wide commitment to strategic enrollment management planning, an understanding of the institution's legal mandates and imposed informal expectations, an agreed upon mission statement, a clear understanding of institutional strengths and weakness, and a good view of the major threats and opportunities. The work to this point has gone from agreeing to plan to the development of a comprehensive understanding of the institution and its relationship with its external environment. This leads to the next stage, which is vision.

Chapter VI

Where We Want to Go

At this juncture, the strategic enrollment management planning committee has developed a comprehensive understanding of the current status of the institution and has an appreciation of the external trends impacting it. It is now time to take all that has been learned and establish strategic goals. However, before this can occur it is important to have a vision of how the institution wants to change and improve. While the mission sets the parameters, the vision is the ultimate goal. It reflects what the institution is striving for. The vision sets the mark and is the guide for the development of strategic goals, institutional decision-making and policy development.

Step 12: Developing a Vision Statement

Developing a vision statement is a rather straightforward brainstorming activity guided, but not mandated by the president's view of the future (see Worksheet 11). It requires that all members participate and allow creative and divergent thinking to occur. To start this activity, there needs to be a review and reaffirmation of the results of the preceding steps. This review refreshes everyone's memory and sets the stage for developing the vision. Once this review is completed, a question like: "What is the single overriding purpose of the institution?" or, "What is it we want to ultimately achieve or create?" is asked. The question posed is not as important as the discussion that follows. Primarily the perspective of the president will influence the general direction of the discussion that will follow. Utilizing the worksheet, keep a running list of all the suggestions and comments. After an appropriate amount of time, start combining the topics under

common themes. The end results will be that most everything proposed will fall into a small number of categories. Utilizing the categories developed the focus now shifts to creating a vision statement. It should have unanimous group approval. This step is not complete until everyone agrees to the vision statement.

Once there is agreement to the draft vision statement, the committee needs to once again review all work to this point and ensure the vision is realistic and congruent with the results of the previous steps. This is critical. If the vision is not realistic or is too radical, the campus community will never accept it. If there are incongruencies between organizational parameters, the mission statement, SWOTs, and the vision, the process has failed and it is time to back up and work through each step until congruency is achieved. Incongruencies usually appear due to insights that develop as the process unfolds, hence the need to continually revisit the prior steps. Following are examples of vision statements from five universities.

Examples:

University of Scranton
The University will develop and implement enrollment management strategies that support its desire to seek and retain undergraduate, graduate and non-traditional students of character and promise to share fully in the academic enterprise.

Oklahoma State University
Enrollment Management will:

- *Be a leader in strategic enrollment management;*
- *Exemplify quality customer service;*
- *Ensure a culture that embraces an integrated approach to enrollment management;*
- *Advance Oklahoma State University's national reputation; and*
- *Ensure that OSU is the institution of choice in Oklahoma and the region.*

University of South Florida
The University of South Florida is committed to enrolling, retaining and graduating the best and brightest undergraduate and graduate students. We will accomplish this in part by developing and implementing the goals set forth in this enrollment management plan.

Enrollment Management is not the sole responsibility of a single person, department or division within the University. Everyone who is a part of the University community plays a role in the management of enrollment at USF. Some may have more active roles than others, but everyone's actions or inactions contribute to the success we have with managing our enrollment.

Slippery Rock University
The following is the vision statement for Slippery Rock University. The vision statement for the university is used as a foundation for the development of Enrollment Services' vision statement.

Institutional Vision Statement:

Slippery Rock University will excel as a caring community of lifelong learners connecting to the world.

Enrollment Services Vision Statement:

The Division of Enrollment Services will strive to operate interdependently with others, sharing information of value to the institution as a whole, and working with our colleagues to achieve a cohesive, supportive, "seamless" network for students from the time of their first inquiry through graduation and beyond.

Each member of the Enrollment Services team will strive to work creatively, enthusiastically, and diligently to attain market prominence, achieve optimal enrollments through progressive recruitment and retention efforts, support the vision and the academic mission of the University, and enhance student learning and success.

Hence, team-initiated division and university-wide programming efforts and information management are vital to the achievement of these goals. Through shared learning experiences and a genuine commitment to teamwork, the Division of Enrollment Services will exert a positive influence to optimize the match between potential learners and the values, vision, and competencies of Slippery Rock University.

Texas Tech
The Division of Enrollment Management will
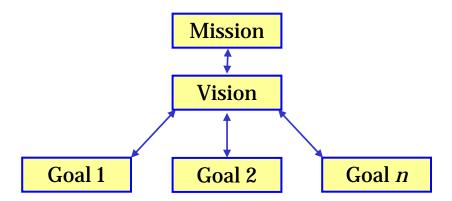
- *be recognized as a national model for innovative enrollment management programs, services and practices;*
- *ensure the University has a successful and diverse student population; and*
- *engage the University community in the enrollment planning process.*

Step 13: Strategic Goals

This is where all of the preceding work of the strategic enrollment management committee gets translated into action. Remember, planning without action is merely dreaming. With a clear mission and a guiding vision, the strategic enrollment management planning committee is now ready to establish the strategic enrollment

management goals for the institution and identify individuals who will be responsible for seeing that operational plans for achieving the goals are achieved.

```
              ┌─────────────┐
              │  Mission    │
              └─────────────┘
                    ↕
              ┌─────────────┐
              │   Vision    │
              └─────────────┘
         ↙        ↕        ↘
┌──────────┐ ┌──────────┐ ┌──────────┐
│  Goal 1  │ │  Goal 2  │ │  Goal n  │
└──────────┘ └──────────┘ └──────────┘
```

Again, before developing strategic goals, the strategic enrollment management planning committee needs to review all work to-date and agree on the results. Once done, it is time to develop goals.

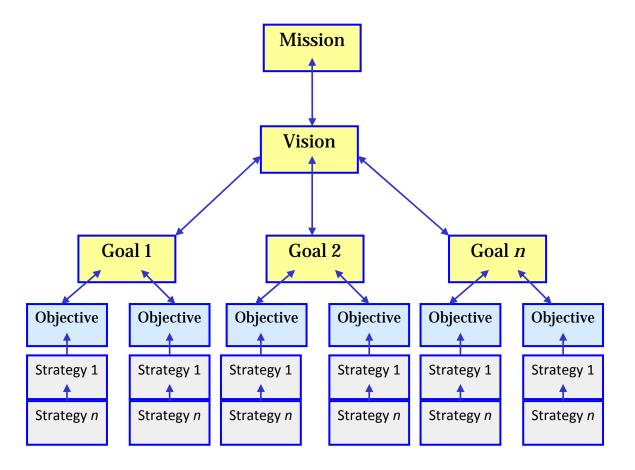The most straightforward way to proceed is to use Worksheet 12 and start a brainstorming process with the question, "What major initiatives must the institution address in order to achieve the vision?" As always, no suggestion is left out nor are there any limitations on input. As the process unfolds, the participants should group similar suggestions together and start developing categories. Once all the suggestions are expressed, review the categories for completeness. Start with one category and refine the suggestions into goal statements focusing on using the following phrase as the beginning of each: "The institution will...." This approach will generate action statements phrased in positive terms and bring each goal to life. At this level the goals should be broad statements of direction, but not so broad that they defy operationalizing. They should also not be so refined that they lose flexibility or creativity. Basically, strategic goals identify the parameters of the vision. They lay out the major institutional initiatives that need to be undertaken for the campus to realize its vision and meet the mission.

Once all suggestions have been written as goals and collapsed into broader goal statements, the committee needs to proceed through the goal statements, one at a time, until consensus is reached on each. This process will pare the list down further and bring more focus. When all members agree, there are two more steps.

After there is consensus on the goals, each one then has to be assigned to one or more individuals who will oversee the development of the operational plan to achieve it. This

provides ownership and a certain level of accountability and sends a clear message that the overall strategic plan has priority. Following are some examples.

Examples:

University of Alaska Fairbanks

Goal I. *Student Recruitment and Enrollment*

Identify, recruit and enroll a diverse student body, guided by UAF enrollment targets.

1. Use all available market and institutional research resources to identify students who represent the best fit for UAF programs, campuses and cultures.

2. Create or enhance recruiting programs and plans to ensure strategic enrollments.

3. Increase efficiency and productivity of recruiting activities.

4. Continue to attract and enroll a diverse student population.

5. Increase graduate student enrollments.

Goal II. *Student Persistence*

Increase undergraduate and graduate retention and graduation rates.

1. Improve the overall quality of the undergraduate educational experience.

2. Provide effective academic assistance and system-wide process improvements to support educational goal attainment for UAF students.

3. Provide academic advising services for students.

Goal III. *Student Financial Support*

Promote greater access to higher education through widespread, timely and accurate information regarding financial aid options.

1. Provide early access to information and tools necessary for students to successfully finance and complete their UAF education.

2. Expand student aid outreach and education workshops for families and prospective students throughout Alaska.

3. Develop packaging strategies that provide prospective and continuing students an attractive mix of institutional, state and federal aid.

Goal IV. *Infrastructure and Services*

Provide excellent facilities and services for students, faculty and staff.

1. Streamline academic and administrative processes and procedures.

2. Improve efficiency and delivery time for basic enrollment management processes and services to students, faculty and staff.

3. Link use of space and facilities to UAF Strategic, Academic Development and Campus Master Plans, as well as academic program and campus life priorities.

4. Routinely renew and renovate UAF buildings and grounds to ensure their integrity, usefulness and appearance.

Goal V. *Financial Sustainability*

Ensure that UAF enrollment management plans and activities support the institution's Financial Plan.

1. Connect student enrollment with revenue generation.

2. Ensure that undergraduate and graduate financial aid packages support enrollment and revenue goals.

University of Scranton
Goal: The University will establish a student body of a size, distribution, financial profile, ethnic diversity and quality that is optimal to its mission and resources. <u>See Financial Responsibility Goal VI, Objective B.</u>

Objectives

General

- Reach a target for the total student body of between 5,000 and 5,500 students that includes 4,400 to 4,500 full-time equivalent students and a freshman class of 950. <u>See Financial Responsibility Goal II, Objective B.</u>
- Develop, implement and maintain marketing and recruitment strategies to attract students whose character and ideals are consistent with the University's vision and mission. <u>See Public Image Goal I, Objective B.</u>
- Meet the profile for the overall student body that targets the mix of commuter and resident, local and regional, national and international, and traditional and non–traditional students. <u>See Diversity & Globalization Goal III, Objective B and The University and the Community Goal I, Objective E.</u>
- Maintain the University's commitment to serve the educational needs of northeastern Pennsylvania. <u>See The University and the Community Goal I, Objective E.</u>
- Increase the racial diversity of the student body to at least 10%, from the current 5%. <u>See Diversity & Globalization Goal II, Objective A.</u>

As part of the overall goals set in objective A1, The Kania School of Management, Panuska College of Professional Studies, College of Arts and Sciences, Dexter Hanley College and The Graduate School should reach enrollment goals specific to each college or school that include a quantitative breakdown of the enrollment target among its constituent programs.

Full–time Undergraduate

- Increase the average SAT score of the freshman class (for example, from the current 1112 to 1175) and establish goals to increase the high school class ranking and GPA of incoming freshman, with separate goals for regularly admitted and provisionally admitted (ADP) students.
- Recruit and enroll qualified transfer students to achieve an annual goal of 150 from the current number of 75.

Dexter Hanley College
- Develop and implement strategies to increase Dexter Hanley College's share of the region's adult market while maintaining student quality.
- Develop and implement strategies to increase the proportion of DHC students who are employer-supported.
- Reach an enrollment target of 650 students.

The Graduate School

- Develop and implement a targeted regional and national recruitment program supported by on-going assessment of current and potential program offerings.
- Develop and implement strategies to increase the proportion of graduate students who are employer-supported.
- Reach an enrollment goal of 850 students.

Continuing Education

- Create a coordinated marketing and recruitment plan for Continuing Education, Dexter Hanley College and the Graduate School. See The University and the Community Goal I, Objective D and Public Image Goal I, Objective B.
- Reach target enrollment and revenue goals for Continuing Education.

Goal: The University will develop pricing and financial aid strategies to attract and support a student body of the desired size and characteristics, to recognize its desired position in the marketplace, and to maximize net revenue. See Financial Responsibility Goal I, Objective D, and Goal VI, Objective A.

Objectives

- The Enrollment Management division will develop and maintain a student profile that assists in meeting the specific enrollment goals for the overall student body as outlined in Goal I. The profile will address issues of financial need, financing options and the resources used by students and families to support education.

- Focus the University's financial aid resources where they can best support identified enrollment goals, while lowering the University's freshman discount rate to 35% or less.
- Develop and implement a tuition-pricing strategy that best supports identified enrollment goals at all levels of the institution – undergraduate and graduate, traditional and non-traditional.
- Increase the percentage of financial aid resources that are generated from the University's endowment from its current value of 7% to between 10 and 13%, which would require a 50% increase in endowment funds. <u>See Financial Responsibility Goal IV, Objective B and Goal VI, Objective D.</u>

Goal: The University will analyze and evaluate changes in the marketplace and develop programs that respond to those changes in a manner that will remain faithful to the University's mission.

Objectives

- Implement and maintain a coordinated marketing plan across all colleges and divisions of the University that responds to segmented targets but is built on a consistent and clear public image. <u>See Public Image Goal I, Objectives B-E and Technology Goal I, Objective F.</u>
- Develop and implement a longitudinal program of market research for all constituencies, with particular attention to segmented targets identified in the enrollment management strategic plan and the strategic plan of the colleges and the Center for Public Initiatives (CPI). <u>See Public Image Goal II, Objectives A and B.</u>
- Create more effective linkages with the local business, government and public service community to determine and respond to educational and training needs and to engage in collaborative research. <u>See The University and the Community Goal I, Objectives A , B & D.</u>
- Coordinate decisions concerning program development and program retirement with the results of marketing research, and the goals of the strategic plan and marketing plan. <u>See Faculty Goal II, Objective F; Public Image Goal II, Objective D, and Technology Goal III, Objective C.</u>

Goal: The University will stabilize its already strong retention rate.

Objectives

- Develop, implement and assess a retention plan that incorporates key indicators of student success, at-risk student profiling and intervention strategies. <u>See The</u>

Environment for Learning Goal II, Objective A and B, and Diversity & Globalization Goal II, Objective B.

- Design, open and assess the use of a student service center to consolidate and enhance services provided through existing divisions. See Technology Goal I, Objective D.
- Design a University-wide advising system that is sensitive to individual distinctions within colleges and schools but that provides a cohesive approach to student advising. See The Environment for Learning Goal V, Objectives A, B and C.; and Faculty Goal II, Objective E and Goal III, Objective B.

Goal: The University will support the integration of the enrollment management philosophy across all University divisions.

Objectives

Develop, implement and assess coordinated programs that focus on functional procedures and professional development to support the delivery of services to students, including student recruitment and retention. See Technology Goal I, Objective E and Financial Responsibility Goal V, Objective A.

Create and implement an enrollment reporting system that is consistent among all programs with calendarized benchmarks. (full–time undergraduate colleges, The Graduate School and Dexter Hanley College)

Develop a cost analysis model for the recruitment activities of all programs. See Financial Responsibility Goal I, Objective A and Goal V, Objective A.

Implement staffing levels to support required functions within the enrollment management division, including the student service center. See Financial Responsibility Goal I, Objective A., and Goal V, Objective C.

Plan for and establish a suitable space design for the delivery of coordinated enrollment services. See Financial Responsibility Goal III, Objective B.

Oklahoma State University
Goal One: Student Recruitment and Enrollment Planning - Optimize university enrollment and student outcomes through strategic enrollment planning and effective student recruitment initiatives.

- **Objective 1.1:** Provide the campus with a strategic enrollment management plan.
- **Objective 1.2:** Increase the academic profile, diversity and academic performance of the freshman and transfer class.

- **Objective 1.3:** Improve the coordination and use of scholarships and financial aid to maximize recruitment and retention efforts.

Goal Two: Services and Programs - Provide modern programs and services that improve staff performance and meet the needs of students and other constituents.

- **Objective 2.1:** Invest in technology to enhance divisional efficiency and service.
- **Objective 2.2:** Ensure an effective college transition for all incoming students.
- **Objective 2.3:** Create and implement methods for measuring customer satisfaction.

Goal Three: Infrastructure - Create an organizational structure and professional environment that promotes teamwork and achievement.

- **Objective 3.1:** Insure effective communication and planning throughout the enrollment management team.
- **Objective 3.2:** Recruit, hire and retain a talented staff.
- **Objective 3.3:** Implement a program of regular professional development for all staff.
- **Objective 3.4:** Provide effective methods for evaluating staff performance.

Goal Four: Diversity - Demonstrate a commitment to diversity in all that we do.

- **Objective 4.1:** Recruit and retain a more diverse staff.
- **Objective 4.2:** Increase staff appreciation for and understanding of diversity.
- **Objective 4.3:** Insure that our commitment to diversity is evident in all divisional websites, video productions, and publications.

Goal Five: Collaboration and Partnership - Effectively use partnerships and collaboration to achieve strategic enrollment goals.

- **Objective 5.1:** Develop effective partnerships with community colleges that improve institutional efficiency, simplify the transfer process and help attract a larger number of qualified transfer students.
- **Objective 5.2:** Utilize OSU alumni to help identify and recruit high school students.
- **Objective 5.3:** Develop a campus-wide approach to student recruitment.

Goal Six: Image and Reputation - Establish and promote a consistent institutional image/brand that focuses on academic quality and achievement.

- **Objective 6.1:** Develop divisional publications that elevate the university's visibility and have a common look and feel.

- **Objective 6.2:** Develop effective websites.

Goal Seven: Accountability - Insure that all departments observe institutional, state and federal regulations, and are thoughtful stewards of the resources entrusted to them.

- **Objective 7.1:** Ensure the accuracy and timeliness of state, federal and organizational reporting.
- **Objective 7.2:** Ensure fiscal stewardship and accountability.

Pittsburg State University
Goal 1: Manage Enrollment Growth

- **Objective 1:** Increase the number international students.
- **Objective 2:** Development of a comprehensive E-recruitment web-based program that will provide all aspects of recruitment procedures and contacts with feed back into the student database. This may require IT Council approval and the possibility of purchasing software that will accommodate the strategic plan.
- **Objective 3:** Increase the number of American minority students.
- **Objective 4:** Maintain a strong number of new freshmen.
- **Objective 5:** Increase the number of "high performing" new freshmen.
- **Objective 6:** Increase the number of new graduate students.
- **Objective 7:** Maintain a strong number of new transfer students.
- **Objective 8:** Increase the number of continuing education/off-campus students.
- **Objective 9:** Continue to pursue TRIO grants.

Goal 2: Develop a Student-First Culture

- **Objective 1:** Provide "student first" customer service training for all faculty and staff.
- **Objective 2:** Provide true one-stop student service.
- **Objective 3:** Implement a student satisfaction and engagement survey.

Goal 3: Enhance Learner Retention and Success

- **Objective 1:** Establish course sequencing and semester-by-semester curriculum guides for all programs so students can complete a degree program in four years.
- **Objective 2:** Reorder the enrollment process so freshmen enroll first.
- **Objective 3:** Review and address the writing to learn course sequencing and availability problem.
- **Objective 4:** Redesign the undeclared majors program.

- **Objective 5:** Establish the learning communities concept.
- **Objective 6:** Implement an early alert program to identify, within the first four weeks of each semester, students at-risk of dropping-out.
- **Objective 7:** Implement a continual careers component into each major.
- **Objective 8:** Implement alumni programming within the major to link students with alumni and to bring them into the alumni association.
- **Objective 9:** Implement a comprehensive course management system.
- **Objective 10:** Offer a full complement of general education courses both in the evening and on-line.
- **Objective 11:** Develop cooperative programs to enhance the success of students in southeast Kansas and their transfer to Pittsburg State University.

Goal 4: Enhance Presents in Expanded Service Area

- **Objective 1:** Reexamine the role and scope of the KC Metro Center and develop a 5 year plan for its continued development.
- **Objective 2:** Develop a plan to establish an outreach center in Tulsa Oklahoma combining educational offerings, recruitment activity and alumni relations
- **Objective 3:** Enhance Pittsburg State University's presence in Wichita.

Goal 5: Ensure that the PSU Financial Plan Supports the Enrollment Management Plan

- **Objective 1:** Connect student enrollment with revenue generation
- **Objective 2:** Ensure that undergraduate financial aid packages support enrollment and revenue goals
- **Objective 3:** Ensure that graduate financial assistance packages support enrollment, research and revenue goals
- **Objective 4:** Increase the number and size of available scholarships.
- **Objective 5:** Improve the awarding and scholarship tracking processes

Goal 6: Create an organizational structure and professional environment that promotes teamwork and achievement.

- **Objective 1:** Examine the impact of the reorganization in an effort to identify gaps in services and issues effecting student success and make recommendation for enhancements.
- **Objective 2:** Allocate resources for professional and staff travel to professional conferences.

Goal 7: Establish and Implement a Marketing Plan

- **Objective 1:** Establish and promote a consistent institutional image/brand that focuses on academic quality and achievement.

Step 14: Campus Consensus of the Plan

At this point the strategic enrollment management plan for the campus has been completed. However, this does not mean that there is institutional ownership, nor does it mean that the various constituent groups agree with the plan. Therefore, it is at this point that the draft planning document needs to be shared with the campus. A method for receiving feedback needs to be developed as well. Open forums, small group/divisional meetings or other personal interactive sessions are preferable. Any type of small group setting where there can be open dialog and involvement will be effective. This approach is most preferred because of the personal interaction and the ability to have input, and the capacity to build trust and ownership.

Step 15: Planning Committee Revisits the Plan

Once all feedback and input have been collected and collated, the planning committee needs to review the entire planning document and make any adjustments necessary to accommodate suggestions and comments. To simply approve the existing draft planning document is not only a very cavalier approach, it will also demonstrate that input was not wanted or needed and shared ownership in the plan will be nonexistent.

Once all corrections and/or modifications have been made, the planning committee needs to review and approve the plan one last time. If any member of the planning committee is not able to approve the document, then those issues need to be worked through before the President receives the plan for endorsement.

With the completion of step 15, the strategic plan for the institution is complete. Unlike many planning documents, this process utilizes the Worksheets provided (or something similar), the institution has a working document that provides a wealth of information and it possesses a plan that can be referred to and updated as needed.

While this completes the strategic enrollment management planning document, the overall planning process has a few more steps. Now that the institution's strategic plan is in place, it is time to operationalize it. This means developing action plans with related budgets, developing performance indicators and tying the overall SEM plan to the institutional strategic plan addressing institutional budgeting, decision-making, policy development and key performance indicators.

Chapter VII

Integrating Strategic Planning, Budgeting and Decision-Making

Implementation determines if a strategic plan is a living document or a shelf ornament. If the plan is not implemented, nothing happens -- there is no direction, no institutional cohesion and no decisions with relevance to the future. Without a living plan, there is no guide, which makes leadership tentative at best. Without a vision and strategic goals, no one is certain where they are going or why they are doing what they are doing. Implementing the plan brings commitment, focus and direction. Implementation is the key to making everything else functional.

There are as many ways to implement a strategic plan as there are institutions, but there are a few actions and steps that might serve as starting points. Remember, ownership builds commitment, which means that implementation will be successful when those doing so have ownership not only in the strategic plan, but also in the operational plans.

Step 16: Operational Planning

In order to build commitment and ownership in the operational plan, it is important to have individuals in those functional areas that will be impacted by the strategic goal directly involved in developing and implementing the operational plan. To this end, it is important that each strategic goal has a committee to oversee the development and implementation of the operational plan. The methodology used by the committee to develop and implement the operational plan is of little significance. Significance lies in what is included in the plan and whether it is truly operational.

A successful operational plan will at least include well-defined goals, objectives, strategies, timeframes, responsible individuals, necessary resources and performance indicators. Worksheet 13 provides a possible format for summarizing any type of operational plan. While all the items that need to be in an operational plan are familiar to any institution, one item in particular needs to be addressed. Key performance indicators bring focus to how well the institution is achieving its goals. When all operational plans have been developed, the key performance indicators taken in their entirety should provide the data necessary for assessing the institution's progress, effectiveness and efficiency toward achieving the strategic plan. Again, however, one must be cautioned against measuring only the obvious, quantifiable variables in order to guard against invalid and misleading indicators.

Example:

Clark Atlanta University
1. Statement of Goals:

The major goals of graduate student orientation are to help students transition from undergraduate education and jobs to graduate education, and to provide information to help students understand their responsibilities and those of the University to students.

Objectives:

a. To provide academic connections by providing students with CAU's history, academic structure, University expectations, and the educational opportunities available at CAU.

b. To provide students with information, which outlines their responsibilities and those of the University to students.

c. To provide students an opportunity to meet and question University support personnel responsible for helping in a successful matriculation.

d. To provide an opportunity for students who have not received advisement an opportunity to receive advisement and enrollment services.

2. Implementation Strategy:

• The University will conduct two orientation sessions each year, at the beginning of the fall and spring semesters.

3. Responsible Units/Individuals:

• Office of Graduate Studies

- Enrollment Services and Student Affairs

- School Deans and Department Chairs

- Office of the Provost

4. Expected Outcomes:

- At the conclusion of the orientation, students will have acquired some knowledge of the University's history, University expectations, academic expectations, and registration and enrollment procedures.

5. Target Group for Which the Activity/Program is Intended:

- The target population is first-year and transfer graduate students.

6. Resource Statement:

- Expected resources should be derived from such sources as school budgets and the creation of a line item in the budget of the Office of Graduate Studies to carry out the goals and objectives of the graduate retention.

7. Timeline for Implementation:

- Orientation sessions for new graduate students will be held the week prior to classes beginning each semester.

8. Evaluation Plan:

- A questionnaire will be given to each student to determine whether the orientation met his or her needs. The data will be used as a part of planning for subsequent orientations.

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Worksheets

Worksheet 1

Plan-to-Plan
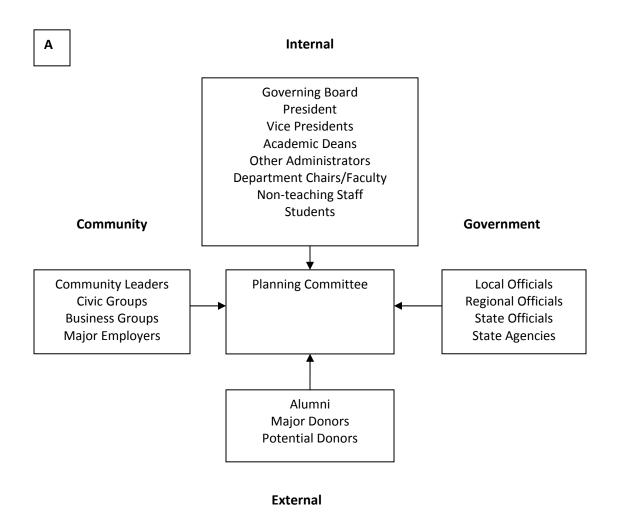
Instructions: Check each activity as it is initiated or completed.

Done   **Activity**

☐   President openly promotes and supports strategic planning.

☐   Vice Presidents openly promote and support strategic planning.

☐   Academic Deans openly promote and support strategic planning.

☐   All other constituents openly promote and support strategic planning.

☐   Strategic Planning Committee formed.

☐   Planning Committee shares initial model with entire campus.

☐   Strategic planning model/process refined and approved.

☐   Planning timeframes established.

☐   Resources committed to the planning process.

Worksheet 2

Constituent Groups

Instructions: Utilizing the graphic below (A), utilize brainstorming to identify all constituent groups. Once all constituent groups have been identified, list those which need to be involved in the planning and in what way they should be involved (B).

A

Internal

Governing Board
President
Vice Presidents
Academic Deans
Other Administrators
Department Chairs/Faculty
Non-teaching Staff
Students

Community   **Government**

Community Leaders		Planning Committee		Local Officials
Civic Groups				Regional Officials
Business Groups				State Officials
Major Employers				State Agencies

Alumni
Major Donors
Potential Donors

External

Worksheet 2 (Continued)

B

Constituent Group	Type of Involvement
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	

Worksheet 3

Timeframe for Strategic Planning

Planning Steps	Planning Strategies	Timeframe	Person(s) Responsible

Worksheet 4
Resources for Strategic Planning

Instructions: Using the broad categories listed below; use the worksheet to build a budget for the planning process.

Category	Funding Allocation	Personnel Allocation	Office/Person(s) Responsible	Justification
Operating Expenses				
Clerical Support				
Resource Materials				
Release Time				
Consultants				
Other Expenses				

Worksheet 5

Formal Requirements

Mandate	Source	Category	Summary	Impact

Worksheet 6

Informal Expectations

Mandate	Source	Category	Summary	Impact

Worksheet 7

Core Values and Beliefs

Instructions: Utilizing brainstorming and following the rule of group consensus, complete the following items.

1.   As an organization, what do we believe (rank order if possible)?

   a.   We believe …….
   b.   We believe …….
   c.   We believe……..
   ↓

2.   As an organization, what do we value (rank order if possible)?

   a.   We value…….
   b.   We value…….
   c.   We value…….
   ↓

3.   Operationally define each core belief and each value statement.

Belief/Value	Definition

Worksheet 8

Reaffirming and Redefining the Mission Statement

(Place current mission statement here)

1.   Given the results of Steps 6, 7 and 8, is the current mission statement as presented above still appropriate?

> If yes, then this worksheet is completed.
> If no, then proceed through this worksheet.

2.   Why is the current mission statement not appropriate? List the reasons in short concise statements?

a.
b.
c.
d.
e.
f.

3.   Utilizing the information collected in Steps 6, 7 and 8 as well as the summary statements above, draft a new mission statement. Try to keep the statement short and focused.

(Insert draft of new mission statement here.)

4.   Is the new mission statement in keeping with the formal and informal mandates, as well as with institutional values and beliefs?

> If yes, then this worksheet is completed.
> If no, then start over again.

Worksheet 9

Strengths and Weaknesses

Weaknesses:

1.   Using a large flip chart to record all responses, address the following question:

     Given everything we know about our organization, what are our major weaknesses?

2.   Utilizing the table, develop broad categories for all the responses and list the specific weaknesses under the appropriate categories.

Strengths:

3.   Using a large flip chart to record all responses, address the following question:

     Given everything we know about our organization, what are our major strengths?

4.   Utilizing the table, develop broad categories for all the responses and list the specific strengths under the appropriate categories.

Worksheet 9 (Continued)

Strengths	Weaknesses

Worksheet 10

Opportunities and Threats

Trends

1.   Utilizing a large flip chart, record all responses to the following question.

      Given all that we know about our external environment, what are the major enduring and long term trends that will impact the institution over the next 10 to 20 years?

2.   After an appropriate amount of time, utilizing the categories in the table, categorize all input accordingly.

3.   Once all the identified trends have been categorized, using the table, record each as an opportunity or threat.

Potential Events

1.   Utilizing a large flip chart, record all responses to the following question.

      Given all that we know about our external environment, what are the potential short term events which might impact the institution over the next 10 to 20 years?

2.   After an appropriate amount of time, utilizing the categories in the table, categorize all input accordingly.

   3. Once all the potential events have been categorized, using the table, record each as an opportunity or threat.

Worksheet 10 (Continued)

Opportunities	Threats
Social/Cultural	Social/Cultural
Technological	Technological
Economic	Economic
Political	Political
Postsecondary	Postsecondary

Worksheet 11

Creating a Vision

1.   Review the results of Worksheets 6 through 9 and reaffirm the results or make any necessary changes.

2.   Using a large flip chart, record all responses to the following question.

      What is it we want to ultimately achieve, create or become in the future?

3.   Once all possible suggestions have been recorded, refine and merge as many as possible and record them again on a large flip chart.

4.   Using the refined list as a starting point and utilizing group consensus, craft a one to three sentence vision statement. This step is completed once all participants agree on its content.

5.   Answer the following question.

      Based on Worksheets 5 through 9, is the vision statement realistic and congruent?

      If the answer is yes, then this activity is complete.

      If the answer is no, then the committee needs to backup, find the source of the problem and make all necessary changes by re-evaluating the appropriate worksheets.

Worksheet 12

Developing Strategic Goals

1.   Using a large flip chart, record the responses to the following question.

        Based upon the identified institutional beliefs and core values, and drawing from the SWOT analysis, what major initiatives must we undertake in order to serve the mission and achieve the vision?

2.   Following the group consensus approach, put similar initiatives together and develop major identifiers for each grouping.

3.   Within each grouping, refine the suggested goals into action statements which begin with "The institution will…" and record each in the first column of the table.

4.   Using the table, start at the top and assign an individual to be responsible for developing the operational plan to achieve the goal and also establish the timeframe for developing the plan.

Worksheet 12 (continued)

Strategic Goals	Timeframe	Person Responsible

Worksheet 13

Operationalizing and Monitoring Strategic Goals

Strategic Goal:

Objectives	Strategies	Timeframe	Person (s) Responsible	Additional Resources	Cost	Performance Indicators	Date Completed

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