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**Office of Research and Institutional Effectiveness**

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***The Integrated Planning and Resource Allocation Process***

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Butler Community College plans for change. Its Integrated Planning and Resource Allocation (IPRA) model is the basis for a data-informed, strategic approach to creating focus and purpose across the college, aligning long-range plans to the critical daily work of teaching and learning, managing limited resources, and making decisions every day that move the college toward achieving its mission, purpose and strategic goals.

Executive Council has created a flexible approach to IPRA and specifically to developing the college’s Strategic Plan. Instead of defining at the top level a list of specific projects units would be required to accomplish, this approach creates a more general framework at the institutional level, allowing management, faculty and staff the opportunity to allocate resources to projects that rise to the top in their work areas as priorities evolve. This approach also helps units implement big projects that align with the Big Hairy Audacious Goals of the Strategic Plan in a more manageable manner.

**Butler’s Strategic Planning Framework**

In 2009 the college’s board of trustees approved the Strategic Planning Framework, which provides a context for advancing the college’s Mission, Vision and Timeless Values. The framework is the context within which Butler Community College operates to achieve its mission and vision. This framework enables college planners to effectively employ IPRA to manage daily operations and produce an institutional Strategic Plan. Through IPRA, the college defines the knowledge critical to the strategic management of the college, how to interpret that knowledge and apply our interpretation to plans and decisions that lead to continuous improvement of our programs, services and operations. Planners at all levels of the college are able to determine performance “gaps” at the institutional and divisional/unit levels and implement initiatives to close those gaps. Senior administrators, with input from internal stakeholders, are able to allocate resources to support those initiatives and ongoing operations that are essential to closing our performance gaps.

The basic operating principles of the Strategic Planning Framework are:

1. Butler exists to create success for its students and the communities it serves.
2. To create stakeholder success, Butler must develop appropriate capacity and function at ever-higher levels of effectiveness and efficiency.

The college enacts those operating principles through four standing Strategic Priorities:

* **Ensure Student Success**
* **Contribute to our Communities**
* **Invest in our Employees’ Success**
* **Advance Institutional Effectiveness**

The college’s Strategic Priorities represent constant areas of focus. Progress on the Big, Hairy, Audacious Goals (BHAGs) aligned to each Strategic Priority under the college’s Strategic Plan are measured by summative Key Performance Indicators. Butler’s KPIs are the *vital few measures of institutional effectiveness* monitored monthly*.*

With direction from the board, Executive Council has refined the IPRA model to assure the planning and allocation process:

* Grounds planning in an analysis of institutional effectiveness and outcomes and an understanding of changes outside the college that will affect its future.
* Aligns planning and budgeting so that planning enables decision makers to allocate the college’s limited resources where they can create the most benefit for students and other stakeholders.
* Aligns the work of academics, student services and the supporting units of the college toward achieving common institutional goals.
* Promotes continuous improvement of mission-critical operations, programs and services – and doesn’t merely define new projects that sit on top of already heavy workloads.
* Creates meaningful opportunities for all employees and students to define institutional goals and shape the planning process.
* Engages employees in innovations that promote higher levels of efficiency, effectiveness, sustainability
* Enable college leadership to create a compelling vision of the future – what’s driving change and how the college will respond
* Enable the leadership to ensure that action happens, specific goals are defined, all units are aligned to the achievement of common goals, that resources are allocated to support strategic goals and that results are achieved.

**Alignment of Analysis, Planning, Budgeting and Action**

***Strategic Analysis***

Strategic Analysis as a component of IPRA is designed to do the following:

* Provide continuous feedback on external conditions that will affect the college’s future
* Defines how the institution needs to adapt to changing conditions
* Produces in-depth knowledge of the college *as a system.*

Analysis includes description and explanation of basic college functions and operations, in-depth studies of critical issues, and modeling of critical systems so that planners can understand the dynamic interaction across enrollment management, teaching and learning, academic programming, institutional management and finances. Strategic Analysis is an ongoing function performance by the Office of Research and Institutional Effectiveness in collaboration with Executive Council and the institution as a whole. *Analysis drives Planning.*

Analysis is conducted at three levels:

1. Institutional Key Performance Indicators and other metrics that inform the college of the results of its operations and the gap between results and objectives.
2. Institutional planning models that analyze the variables that produce the results we measure and support planning that influences them.
3. Ongoing research on those variables so decision-makers can know more about them and get better at managing them.

***Planning***

Planning as a component of IPRA is designed to do the following:

* Applies a formal yet flexible approach to managing college operations and aligning its long-term objectives to daily work.
* Aligns institutional, divisional and unit level objectives into a common structure that still allows leaders at all levels to apply IPRA in ways relevant to their needs and missions.
* Aligns programmatic and operational objectives to the management and allocation of Butler’s limited resources.

*Planning drives resource allocation.*

***Institutional Planning***

* The board of trustees oversees the formation of a strategic plan based on input from Executive Council. The plan defines the college’s strategic direction and identifies the Big, Hairy Audacious Goals (BHAGs) that guide and align the work of all college units and advance continuous improvement of our four Strategic Priorities.
* Executive Council develops the strategic plan, manages its implementation, monitoring progress every semester. The council conducts major planning retreats each summer to maintain the currency of the Strategic Plan and to provide direction to the review and revision of division plans. The council revises the institutional strategic plan as necessary by the early fall of each academic year.
* As part of the strategic plan, Executive Council defines strategies in core functions of the institution – **Enrollment Management and Retention, Student Success, Financial Viability, Community Relations, Employee Development** and **Organizational Effectiveness** – that support achievement of the BHAGs and provide a framework for divisional and unit planning.

Division Planning

* The division plans for Academics and Student Services drive institutional planning. Academics and Student Services, working in coordination with leaders from the support divisions, review their plans in the summer of each academic year. As the combined Academic/Student Services Plan of Work is developed, Information Services, Human Resources, Facilities, and other units respond with “support” plans. Because divisional planning is coordinated, the definition of both the Academic/Student Services plan and the support plan evolve at the same time. As specific projects are developed to implement these plans, the division leaders follow the college’s project management process to manage the work and seek the necessary resources through the annual institutional budget process.

The specific tasks of Division-level planning include:

1. Management of Divisional-level planning for improvement.
   1. Division leaders (VPs, deans, directors) engage in Strategic Analysis/Gap Analysis, Visioning, Goal-Setting, Definition of Resource Needs, and creation of action timelines. Leaders will also manage the evaluation and improvement of the division planning process.
   2. Division Performance Management is holistic, encompassing more than the coordination of Unit Performance Management. It includes the definition of an overall direction and goals for the division, to which each unit will be expected to contribute.
   3. Strategic Analysis tools at the Division level are more integrated and extensive than the data collection and evaluation practices at the unit level.
2. Guidance of Unit Performance Management
   1. Division leaders (VP, deans, directors) define focus of UPM in their areas – key themes, outcomes, goals, processes that units will devote time and effort toward evaluating and improving over the course of a year.
   2. Units produce formal unit performance management plans, identifying short-term and long-term improvements. Division leaders approve these plans and ensure that unit efforts are as aligned and coordinated as possible so everyone is working to contribute to the same overall outcome.
3. Integration of Unit and Strategic Planning
   1. Division leaders play a pivotal role in shaping institutional strategy and the institutional strategic plan.
   2. Division leaders identify unit improvement goals that address more systemic, divisional or institutional issues and elevate those to be included in the Division Performance Management plans or advanced to Executive Council for consideration as strategic initiatives.
   3. Division leaders also make significant contributions to Strategic Analysis/Gap Analysis, Visioning, Goal-Setting, Definition of Resource Needs, and creation of action timelines at the institutional level by –
      1. Providing evidence and insight into the current state of effectiveness and efficiency in their divisions, which represent critical areas of institutional operations
      2. Providing evidence and insight into how the various divisions interact, either supporting or constraining effective operations
      3. Defining a strategic direction for the institution and the focus of strategic improvement initiatives in the strategic plan that will advance the Strategic Priorities
      4. Defining how limited institutional resources need to be allocated, reallocated or shared in different ways in order to optimize the performance of the institution overall – particularly in its efforts to achieve defined outcomes of its Key Performance Indicators.

Unit Performance Management

1. At the direction of division leaders (VPs, deans, directors), units engage in evaluating and improving performance in targeted areas that have a direct impact on their core operations
2. Within each division, units may work on improving a common process or, at the direction of division leaders, work on improving processes that are specific to their needs and operations
3. As noted above, units produce formal unit performance management plans, identifying short-term and long-term improvements. Division leaders approve these plans and ensure that unit efforts are as aligned and coordinated as possible so everyone is working to contribute to the same overall outcome.

***Resource Allocation***

Resource Allocation as a component of IPRA is design to do the following:

* Quantify to the extent possible the material capacity Butler requires to enact is strategic plan and maintain operations at desired levels.
* Manage the strategic development of the college’s financial resources.
* Enact strategies to optimize revenues and minimize costs.
* Allocate resources to support critical ongoing operations and special improvement projects.

Executive Council manages these actions. In the annual budget process, once resources are allocated, budget officers have the authority – within established accounting procedures – to manage the resources assigned to them to maximize opportunities to enhance ongoing operations or achieve improvements that advance the BHAGs of the college’s strategic plan.

As part of the routine budget process, senior budget officers (vice presidents, president) have the responsibility for defining the specific resource requirements to achieve the outcomes of their division plans of work and to support their critical operations.

*Resource Allocation makes planning real.*

**Structure of the Institutional Strategic Plan**

Butler’s strategic plan is a clear blueprint of the college: who we are, how we fit into and influence our environment, how we work, what we are working on, and how we measure our progress. The plan is organized around four Strategic Priorities, and the Board of Trustees has articulated a vision for each of these priorities as follows:

Strategic Priority: Ensure Student Success

*Vision Statement: Butler will provide responsive programs and services that meet student needs and prepare them to be engaged citizens and lifelong learners in a global society.*

Strategic Priority: Contribute to Our Communities

*Vision Statement: Butler will share its resources to build a better community, region and world.*

Strategic Priority: Invest in Our Employees’ Success

*Vision Statement: Butler will create a culture that engages employees and develops their full* *potential to influence student and community success.*

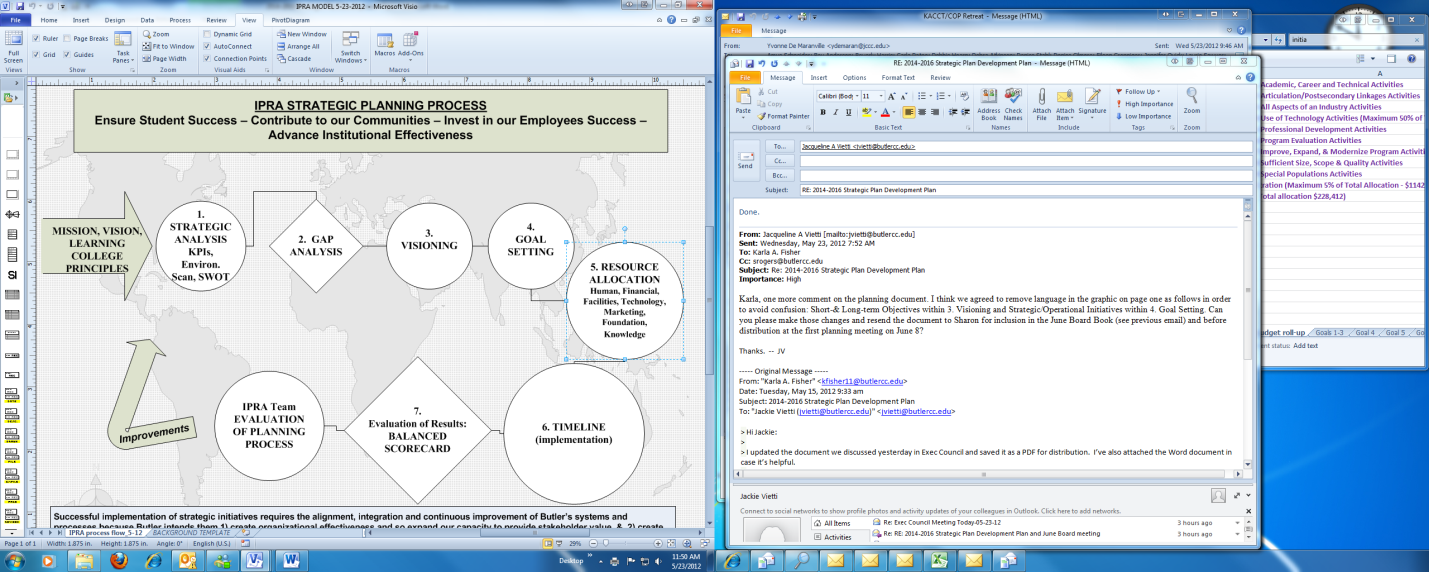
Strategic Priority: Advance Institutional Effectiveness

*Vision Statement: Butler will hold itself accountable to deliver on its promised value.*

These Strategic Priorities and Vision Statements provide the foundation for strategic planning. To bring focus and commitment to each Strategic priority, strategic planning avoids discussions of tactics (projects), focusing instead on what we want to be as an institution and what we can do over the next three years to get there. Following a model proposed by Jim Collins (*Good to Great in the Social Services* Sector) this vision is articulated in one BHAG (Big Hairy Audacious Goal) for each Strategic Priority. By definition, BHAGs should have a “gulp factor.” BHAGs are not restricted to the timeframe of the strategic planning period, and may require additional planning cycles to complete.

The BHAGs are used to determine a handful of objective statements that divisions and units can use to determine their projects and activities for the three-year cycle. BHAGs also are used to determine the set of Key Performance Indicators that are used to track institutional-level progress in major objectives related to the BHAGs. This planning framework places project management and evaluation at the division and unit level, freeing the executive level to concentrate on strategic evaluation.

The following chart summarizes the planning process.



**Strategic Planning Time Cycle**

Planning is most effective if it is part of the day-to-day management of the college and if it defines and guides the actual work we do. The process leading to our current Strategic Plan has created a foundation for effective planning, but to sustain that approach, academic deans, student services leaders and Executive Council will engage in planning activities throughout the academic year, following this cycle:

* **ONGOING.** Review/discussion of Key Performance Indicators at Board of Trustees, Exec Council/Deans regular meetings, other venues. KPIs include:
  + 1. Monthly update on strategic improvement projects, other core activities and functions
    2. End-of-term updates on KBOR Performance Agreement targets
    3. Annual (Spring) updates on institutional performance indicators.
* **JUNE/JULY.** Leadership engages in planning retreat to assess current state of the college, the relevance of current BHAGs and supporting strategies and to define Butler’s broad strategic focus and resource needs for the coming year. The leadership also spends time evaluating and revising the IPRA process as necessary. The process of ***Strategic Analysis*** (described above) provides the framework for the retreat.
* **FALL SEMESTER.** The Academic and Student Services divisions lead collaborative planning meetings with the support divisions to produce integrated divisional plans of work. These plans specify the major projects to be undertaken in the current and forthcoming academic year to advance the BHAGs and their supporting strategies in Enrollment Management and Retention, Student Success, Financial Viability, Community Relations, Employee Development and Organizational Effectiveness. The process of ***Strategic Analysis*** (described above) provides the framework for the retreat, and as part of the framework, participants respond to information from the June/July planning retreat, make an initial review of academic and student service programs, and begin to scope more specific resources needs in preparation for the next fiscal year budget process.
* **FALL SEMESTER.** Leadership engage in monthly research summits, which are focused discussion of critical issues that will influence the future of the college in such areas as student success, enrollment and retention, and financial viability. These discussions are intended to guide decision-making, long-range planning and management of strategic action projects. The December summit provides an opportunity to respond to the output of the Academic/Student Services planning meeting – particularly the overall assessment of the college’s current state, major strategic direction, and resource requirements. The December discussion will lead into program review and budget planning in the spring.
* **SPRING SEMESTER.** Leadership, faculty and staff focus on academic/non-academic program review; strategic budget development.
* **AUGUST/SEPTEMBER.** The associate vice president for research and effectiveness briefs the board of trustees on the status of the plan and solicits feedback.

**Support Planning as Part of the Integrated Planning and Resource Allocation model**

Annual and long-range planning of Butler’s units that provide support to Academics and Student Services is part of the college’s IPRA model. The purpose of support unit planning is to a) provide a means to support units of defining and prioritizing a scope of work they must accomplish to fulfill their purpose and advance the college’s mission, and, b) provide a means for those units to allocate resources to the direct support of the strategic goals of Academics and Student Services.

Multi-year support unit planning can take place following a schedule that fits the structure, purpose and workflow of the support unit, but the essential linkage between support units and Academics and Student Services will occur every year in the late fall or early spring as part of the annual IPRA planning cycle. More details on this are below.

Support Plan Structure

All support plans align with the following framework:

* Support unit plans are based on defined “pillars,” which define the three or four major, ongoing areas of focus that define the unit’s work. This planning context is modeled on the college’s Strategic Planning Framework, which is based on four enduring priorities: *Ensure Student Success, Contribute to our Communities, Ensure Employee Success, Advance Institutional Effectiveness.*
* Support unit plans follow written criteria that allow the unit to prioritize work according to its strategic importance. Work that is critical to the continuing operation of essential college services or work that clearly advances a strategic goal should take priority over less essential work.
* The planning process must be based on some capacity to gather information on the current state of the institution, its future needs and the future work the support unit must do to meet its own purpose. The planning process also must be based on some capacity to use that information is setting goals and forming a support plan.

Integration of Support Plans to Academic and Student Services

As part of the annual planning cycle, the leadership of Academics and Student Services will produce a unified division plan. Planning starts in a fall retreat and is finalized by the end of the fall semester. The division plan defines strategic goals for the next two academic years and will identify the resources necessary to achieve them. Ideally, representatives of the support units participate in the planning retreat but if they do not, then the Academics/Student Services leaders are responsible for meeting with support units by early spring in time to enable the combined division and support plans to inform budget-making decisions and guide long-range resource planning. To create the combined plan, support units and Academics/Student Services will discuss what resources the Academics/Student Services plan require from the supporting units, whether the supporting units have the necessary capacity to provide that level of support, and if not, what actions are possible to make the necessary adjustments. The planning partners also must agree on how the Academic/Student Services plan of work integrates with the strategic plans developed by the support units and determine how any disconnects will be resolved.