Strategic Planning at IUPUI 2012-13
Steering Committee, Strategic Planning Committee and Deans

Agenda
10:00–10:40 am

• Welcome and Introduction
• What we hope the IUPUI Plan will do
• Review of August Deans’ Retreat
• The IUPUI strategic planning process
• Structure, roles and responsibilities
• Introduce Dr. Brent Ruben-Consultant/Coach,
IUPUI Vision (First Pass):
For What Do We Want to Be Known?

• Integrated with the city; engaged with the world
• Ready for the present; prepared for the future
• Locally engaged, globally competent
• Two great universities; one world-class city
• Academic health and life sciences campus
• We graduate success stories
• Great education, good value, excellent place to live and work
• An independent, innovative institution; meeting personalized needs in an efficient, agile, flexible, affordable way
• Other possibilities ??
IUPUI Themes/Goals (First Pass): How the Vision Can Be Achieved?

1. City/community engagement (helping Indianapolis become the healthiest city in the U.S., integration with downtown initiatives, catalyst for making Indianapolis a world-class knowledge center, contributing to revenue, creating hubs of learning)

2. Global education/internationalization

3. Excellence in research and application/translation

4. Teaching/learning excellence/innovation (addressing student current needs/graduating success stories, personalized approach, career-focus)

5. Efficient and effective organizational processes

6. Others?
Strategic Planning Structure

Campus Community
Deans, Faculty, Staff, Students

Chancellor

Steering Committee

Strategic Planning Committee

Strategic Planning Task Teams

External Communities
Strategic Planning Steering Committee (SC)

- Assumes overall responsibility for the planning process and content
- Oversees development and review of plan documents
- Identifies and secures needed resources, approvals, etc.
- Guides and coordinates the activities of the Strategic Planning Committee
- Identifies SPC tasks and responsibilities, and determines appropriate division of labor.
- Plans communication with Chancellor and SPC
- Develops communication strategy and plan for engaging campus and external constituencies
- Plans consultant engagement
- Others?

Consultant/Coach Role

- Advises on the Strategic Planning Process
- Develops and provides planning materials, guides and outlines
- Provides “behind the scenes” advice and counsel to the SPC and SC on process, strategy, content
- Provides guidance on design and approach for introductory session on strategic planning need, approach and IUPUI process
- Reviews process documents and handouts developed by Steering Committee and/or Strategic Planning Committee
- Provides advice and counsel on plan implementation
- Other assistance as needed/requested
Strategic Planning Committee (SPC) Responsibilities

• Collects, represents and integrates perspectives of key constituencies
• Provides input and assumes ownership of planning process and plan
• Guides and implements planning, leadership, communication, assessment, drafting and logistic tasks and activities, working through strategic planning task teams as necessary and appropriate
• Coordinates work of task assignments.
• Others?

Strategic Planning Tasks/Teams

• Communication (disseminating information about SP)
• Campus community engagement (involving campus in SP process)
• External community engagement (involving external community)
• Website design and maintenance
• Editorial/drafting (Editorial work on SP document)
• Assessment (Evaluating and monitoring SP process)
• Logistics
• Others?
Questions? Comments?
Strategic Planning Basics

Brent Ruben, Ph.D.
10:45 - 11:00 am
What is a Strategic Plan and Why Do One?

- Translates strategic thinking into a plan of action
- Specifies directions that are meaningful and mobilizing for faculty, staff, students and other key stakeholder groups
- Identifies initiatives/goals which are ambitious but achievable, clear and measurable
- Articulates strategies that describe operational responsibilities, deliverables, and deadlines for achieving goals
- Organizes and focuses aspirations into a unified and unifying way of thinking for an entire institution
- If developed through an inclusive process, promotes ownership of—and commitment to—the plan and its realization
Steps in Creating and Implementing the Content of a Plan

Creating and Implementing the Plan

1. Mission, Vision, Values
2. Stakeholders, Audiences, Beneficiaries
3. Environmental Scan
4. Themes/Goals
5. Strategies and Action Plans
6. Plan Creation
7. Outcomes and Achievements

Steps to Make Certain the Process is Successful

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Making the Plan Work

A. Leadership
B. Communication
C. Culture
D. Assessment

What’s Ahead?

• Meet with Steering Committee and Strategic Planning Committee today
• Review strategic planning model and process
• Review “takeaways” from August Retreat
• Working sessions on vision, key audiences to consider, environmental scan, SP themes/goals, and strategies
• Develop plan for engaging key audiences
• Establish communication plan
• Plan next steps (timetable, name, identify other tasks/teams)
Questions? Comments?
Steering Committee & Strategic Planning Committee Meeting
11:00 am - 3:30 pm

• Overview of the meeting
• Transformational change: Implications for higher education
• Strategic planning: What is it; why do it?
• The IUPUI strategic planning process
• SP Roles and responsibilities
• Getting started: Working sessions on vision, key audiences to consider, environmental scan, SP themes/goals, strategies
• Plan next steps: Develop plans for drafting SP, circulating and engaging key audiences, web site, timetable, task/teams
Transformational Change in Higher Education: Implications for Strategic Planning

Brent D. Ruben, Ph.D.

Professor II and Executive Director
University Center for Organizational Development and Leadership
Rutgers University

Presented at the
Strategic Planning Launch Retreat
Indiana University - Purdue University Indianapolis
September 26, 2012

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National Challenges Facing Higher Education Institutions – Ten Years Ago

- Meeting increasing demands with few new resources
- Responding meaningfully to external critiques
- Creating a shared sense of purpose and direction that unites faculty and staff and bridges academic and administrative cultures
- Learning from the best practices of other educational institutions and organizations in other sectors
- Developing enhanced leadership capability
- Responding proactively to accountability and performance measurement pressure
- Creating a culture of ongoing self-assessment, planning, and improvement
- Developing a guide to institutional effectiveness and excellence for leaders
- Creating distinctive visions of institutional excellence spanning academics, student life, and campus services.

The Current National Scene:
Same Challenges, New Urgency, New Language, New Ways of Thinking
“Despite [its many] achievements... this Commission believes U.S. higher education needs to improve in dramatic ways....”

“[Higher education’s] past attainments have led our nation to unwarranted complacency about its future....”

“It is time to be frank. Among the vast and varied institutions that make up U.S. higher education, we have found much to applaud, but also much that requires urgent reform....”

• Average tuition and fees at public four-year colleges rose by 16% beyond inflation from 2009-11.

• State appropriations per FTE student declined by 23% in inflation-adjusted dollars over the decade from 2000-01 to 2010-11.

Decline in HE Access

From: “Succeeding in Turbulent Times: Challenges and Strategic Growth Opportunities,” David Finegold, Senior Vice President, Lifelong Learning and Strategic Growth, Rutgers University, 2012. Used with permission
Rise in Online Instruction:
Percentage of Students Taking at Least One Course Online

- 2003 – 10%
- 2008 – 25%
- 2009 – 30%
- 2014 – 50% projected

The Latest: President Obama’s FY13 Higher Education Budget Proposal: Five Key Elements

1. Reforming campus-based aid
   Distribution of federal campus-based aid—specifically the Supplementation Opportunity Grants and the Work-Study program—to be tied to three principles: setting responsible tuition policy, providing good value to students, and serving low-income students.

2. Creating a “Race to the Top” for higher education
   A $1 billion investment in an initiative to encourage states to create conditions conducive to education innovation and reform.

3. Funding a First in the World competition
   A $55.5 million grant program that would ‘develop, validate, or scale up innovation and effective strategies for boosting productivity and enhancing quality on campus’

4. Providing new online consumer-information tools
   A proposed College Scorecard and an updated Financial Aid Shopping Sheet, with collaboration between the Department of Education and the Consumer Financial Protection Bureau (CFPB).

5. Continuing and increasing support for existing programs.
   A one-year reprieve for students from the year’s Stafford Student Loans rate hike: the American Opportunity Tax Credit made permanent; and the number of work-study jobs doubled.

Source: *Business Officer*, March 2012, pp. 11-12.
Discontent with Current Models is Intensifying

– Capital-intensive delivery model
– Declining public subsidy
– Losing money on each student, but making it up in volume
– Limited evidence of learning value-added (Arum, 2010)
– Graduates struggling to find work
  • Short- or long-term problem?
– Decline in HE affordability
– Growing pressure for accountability
– Etc.

Adapted from: “Succeeding in Turbulent Times: Challenges and Strategic Growth Opportunities,” David Finegold, Senior Vice President, Lifelong Learning and Strategic Growth, Rutgers University, 2012. Used with permission.
Change Strategies in Higher Education In Transition: From Talk of the Need for “Continuous Improvement” to Talk of the Need for “Transformative, Disruptive Change”

*From an emphasis on...*
- Inputs, efforts, opportunities, and anecdotes
- Localized process improvement projects
- Unit-level activities
- Particular tools and techniques
- Self-reliance, internally-led change initiatives
- Technology as add-on
- Incremental, continuous change

*To an emphasis on ...*
- Documented and measured outcomes
- Broadly-based structural and strategic change projects
- Institution, system-level activities
- Generalized organizational change models and methods
- Utilization of external expertise
- Technology as integral
- Transformative, innovative, “out of the box,” “disruptive,” “dislodging” change*

“disruptive” – Clayton Christensen, Disrupting College; “dislodging” – Robert Zemsky, Making Reform Work
A Period of Paradigm Change*

- Dynamics Creating Paradigm Change
  - Periods of the “normal” – customary, accepted views prevail.
  - Success breeds complacency.
  - Anomalies emerge which cannot be well accommodated by existing, accepted practices and models.
  - Denial is the default response.
  - Pioneering leaders create and promote alternative models, approaches, directions.
  - A tipping point eventually is reached, leading to the emergence of a new paradigm.

- Necessary Conditions for Paradigm Change:
  - Recognition that “more of the same” won’t solve the presenting problems.
  - Pioneering leaders and change agents put forth new models.
  - Earlier risk-takers experiment with, and others implement, these innovations.
  - New paradigms, practices, and models become the accepted view.
  - In higher education, we seem to be at a point, where more of the same doesn’t hold the promise it once did.
  - Failure of higher education and our institution to provide bold leadership or adopt the innovations of others may have disastrous consequences.

New Models to Address Anomalies

- Technology
- Collaborations, alliances, partnerships
- Operational and structural change
- Reshaped mission and vision
- New functions – offering badges, certificates, and certifying competencies rather than/in addition to courses/degrees
- Others?

http://epic2020.org/
Technology: Changing Ways To Access and Disseminate Information and Knowledge

Adapted from: “Succeeding in Turbulent Times: Challenges and Strategic Growth Opportunities,” David Finegold, Senior Vice President, Lifelong Learning and Strategic Growth, Rutgers University, 2012. Used with permission.
Enter: MOOCs (Massive Open Online Courses)

- Coursera, Udacity, and World Education University offer free courses provided by faculty from multiple universities encourage students to organize study groups through
- Meetup.com, a website that facilitates local gatherings.

- Both companies have created mechanisms on the site to organize student-led gatherings in different parts of the world

Technology and Organizational Structure: India School of Business

• Founded in 1999
• Doesn’t offer a degree
  – Post-grad 1-year certificate = billed as equivalent to MBA
• First Indian Business School to crack the FT’s Global Top 100 rankings
  – Top 20 last 3 years
• How did they do it?
  – Leveraged brand names of leading global B-schools: Kellogg, Wharton, later LBS
  – Boards filled with top employers

Adapted from: “Succeeding in Turbulent Times: Challenges and Strategic Growth Opportunities,” David Finegold, Senior Vice President, Lifelong Learning and Strategic Growth, Rutgers University, 2012. Used with permission.
Collaboration Across Disciplines & Institutions: BioScience Research Collaborative
Rice University and Texas Medical Center

The BioScience Research Collaborative is an innovative space where scientists and educators from Rice University and other Texas Medical Center institutions work together to perform leading research that benefits human medicine and health. The BRC is designed to facilitate and encourage interdisciplinary interactions among interinstitutional researchers, and is equipped for cutting-edge laboratory, theoretical and computational investigations. More than just a building, the BRC is a catalyst for new and better ways for researchers to collaborate, explore, learn and lead.

http://brc.rice.edu/home/
Based on a shared goal of easing students’ transition between Rogue Community College and Southern Oregon University, the institutions embarked on a jointly owned multimillion-dollar building. A detailed commingling model melds the activities of each institution into a seamless unit.

*Business Officer, March 2012, 32-34*
Organizational and Operational Change: University of California, Berkeley

Operational Excellence focuses on improving the operations of the University. Out of scope are aspects of the content of teaching and research that are under faculty governance, and revenue options that include registration or education student fees.

The Steering Committee (composed of representatives from UC Berkeley’s faculty, staff, students, and alumni) is making recommendations and new efficiencies, cost saving measures, and new organizational structures with significant input from the broader campus community through interviews, focus groups, meetings, surveys, and email contacts.

The analysis in this report was primarily prepared by a Working Group of more than twenty UC Berkeley employees, guided by UC Berkeley leadership and supported by Bain & Company.

http://www.uh.edu/af/budget/UCB.pdf
http://berkeley.edu/oe
Reshaped Mission and Vision: Globalization

Globalization has a number of implications for higher education:

Global competition for students, for faculty, professional staff

The need for global curricula to correspond global placement of students, faculty and professional staff

An innovative idea for exploiting these trends – already being considered or adopted by some institutions — is to internationalize curricula and faculty.
Things to Consider: College and University “Disruptions”

- Most colleges and universities have operated several “different businesses” for years—with several different “value propositions” – knowledge creation (research); learning (teaching), and preparation for life and careers. “These are fundamentally different and incompatible” according to C. Christensen, et. al.

- A typical state university today is the equivalent of having merged consulting firm McKinsey with Whirlpool’s manufacturing operations and Northwestern Mutual Life Insurance Company: three fundamentally different and incompatible business models all housed within the same organization.

Critical Decisions in a Time of Turbulence, Paradigm Challenge and Change

What is the appropriate portfolio of core “business(es)” for a college/university for the future?

– Providing instruction?
– Supporting learning?
– Generating new knowledge?
– Disseminating and transferring knowledge/technology?
– Community service and development?
– Networking?
– Personal development?
– Providing continuous professional development?
– Developing leaders?
– Others?
Guide to Strategic Thinking

• What is the vision and “value proposition” for each potential business?
• How do these businesses address well-defined needs, be distinctive, provide value, attract an audience, generate revenue?
• Key questions:
  – What talents and resources are required?
  – What unique and distinctive talents and resources do we have available now?
  – Which will need to be developed, acquired or partnered?
  – What do we give away and what do we sell—and to which constituencies?
  – What current activities should we deemphasize or discontinue?
• The kind of questions that provide a very useful foundation for strategic planning
Agenda
Progress Check

✓ Overview of the day
✓ Transformational change: Implications for higher education
  • Strategic planning: What is it; why do it?
  • The IUPUI strategic planning process
  • SP roles and responsibilities
  • Getting started: Working sessions on vision, key audiences to consider, SP themes/goals, strategies
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A Plan Should...

• Define aspirations
• Be focused—not all inclusive
• Articulate approximately 5-7 themes/goals
• Be clear and meaningful to internal and external audiences
• Establish clear priorities
• Be unique and differentiating—Not a generic, “fill-in-your institution name” approach
• Be “summarizable” in 1-2 pages
Getting Started: Vision for the Future

Creating and Organizing the Plan

1. Mission, Vision, Values
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Where to Begin: Articulating Aspirations, A Vision for the Future

Thinking ahead five years . . .

• For what would you like IUPUI to be known?
• How would you like to be able to complete the statement: “IUPUI is a state/regional/national leader in .... “

Vision statements should be:

• Clear
• Bold
• Distinctive
• Innovative
• Energizing for faculty and staff

• Meaningful to external audiences
• Future-oriented
• Unifying
• Ambitious but achievable
• Measurable
Available Paths to Distinctiveness and Excellence: Aspirations/Themes/Goals

Leadership
• Distinctive/differentiating leadership practices or styles within the institution (e.g., interdisciplinary models, innovative approaches)
• Distinctive/distinguished institutional approaches to leadership, leadership practice, and governance within the community, region, state, disciplines)

Purposes and Planning
• Distinctive/differentiating approach to planning (frequency, cycle time, engagement, inclusion of multiple constituencies in process).
• Distinctive approaches to engaging faculty and staff in the creation of creating shared sense of aspirations, values, priorities, and goals.

Beneficiaries and Constituencies
• Distinctive/differentiating approaches to identifying/prioritizing constituencies and to defining/serving particular constituencies (e.g., focusing on particular demographic student groups)
• Distinctive/differentiating collaborations, partnerships or alliances (e.g., among disciplines, communities, other institutions, other public or corporate entities)

Programs and Services
• Distinctive/differentiating academic programs in teaching, research, or service/outreach (e.g., individual disciplines, interdisciplinary, inter-institutional).
• Distinctive/differentiating services in teaching, research, or service/outreach or support in these areas.
• Distinctive/differentiating approaches to operational excellence (e.g., innovations in efficiency, organizational structure, revenue generation, outsourcing, insourcing, cost-cost control, etc.).

More Paths to Distinctiveness and Excellence: Aspirations/Themes/Goals

Faculty/Staff and Workplace
• Distinctive/differentiating characteristics of the IUPUI faculty and staff (e.g., quality, geography, employee satisfaction, etc.).
• Distinctive/differentiating characteristics of the IUPUI facilities, locale and culture as a place to work (e.g., city-situated, faculty/staff support programs, superior work climate, defined focus on particular value set, etc.)

Assessment and Information Use
• Development of distinctive/differentiating metrics for assessing, creating, communicating IUPUI unique contributions as an institution, and/or through its programs or services, productivity, effectiveness/efficiency, or value added.
• Distinctive/differentiating focus on creating an institutional culture of assessment (e.g., clearly defining institutional indicators and using these to advance mission, creating and using aligned indicators for all academic and administrative units, etc.)
• Distinctive focus on peer benchmarking and Information use throughout the institution to analyze, review, and improve performance relative to our vision, plans, and goals.

Outcomes and Achievements
• Distinctive focus on documentation indicating institutional success in achieving outcomes in achieving our mission, vision, plans, and goals, or other core features.
• Emphasis on documenting, using and publicizing outcomes in all categories above.

Go Beyond (But Don’t Ignore) the Obvious Mission Category Themes and Language

• Excellence in Education
• Excellence in Scholarship, Research, and Creative Work
• Excellence in Civic Engagement
• Excellence in the Student Experience

In what ways will IUPUI be unique, differentiated, a leader??
Vision Statement: An Illustration

• Become a national model for undergraduate education by demonstrating that students from all backgrounds can achieve career success at high rates

• Be a leader in understanding the complex challenges of cities and developing effective solutions

--Georgia State University, Atlanta, GA, 2012
IUPUI Vision Elements (First Pass): For **What** Do We Want to Be Known?

- Integrated with the city; engaged with the world
- Ready for the present; prepared for the future
- Locally engaged, globally competent
- Two great universities; one world-class city
- Academic health and life sciences campus
- We graduate success stories
- Great education, good value, excellent place to live and work
- An independent, innovative institution; meeting personalized needs in an efficient, agile, flexible, affordable way
- Others possibilities? (Break-out discussions)

End Point:

One or two sentence statement summarizing IUPUI’s unique and differentiating guiding vision
Stakeholders, Audiences, Beneficiaries

Creating and Organizing the Plan

1. Mission, Vision, Values

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3. Environmental Scan

4. Themes/Goals

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## Key Audiences/Stakeholders/Beneficiaries

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<th>Key Audiences</th>
<th>Sequence</th>
<th>Best Ways to Engage in SP</th>
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<td>1. Faculty</td>
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<td>2. Academic peers</td>
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<td>3. Staff</td>
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<td>4. Employers</td>
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<td>5. Community leaders</td>
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<td>6. Legislators</td>
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<td>7. Policy makers</td>
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<td>8. Indiana Commission on Higher Education</td>
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<td>9. ??</td>
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The Next Step: An Environmental Scan

Creating and Organizing the Plan

1. Mission, Vision, Values
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SWOT Analysis – Factors That Could Affect Accomplishing Your Vision/Aspirations

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<td>Organizational assets that could be used to advantage in the accomplishment of your plan/initiative</td>
<td>Organizational liabilities that could undermine the accomplishment of your plan/initiative</td>
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<td>Opportunities or possibilities that could be leveraged to facilitate the accomplishment of your plan/initiative</td>
<td>Threats or risk factors that could interfere with the accomplishment of your plan/initiative</td>
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SWOT Analysis – Break-Out Exercise
Identifying Themes/Goals

Creating and Organizing the Plan

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Primary Sources and Suggested Further Reading


BDR 7-2012