

# **STRATEGIC PLANNING HANDBOOK AND MANAGERS IMPLEMENTATION TOOLS**



## **SOUTHERN UNIVERSITY AT NEW ORLEANS**

### **Academic Years 2006-2011**

Strategic Implementation Plan  
Academic Years 2006 to 2011  
Southern University at New Orleans

Revised 07.01.09

## FORWARD

The State of Louisiana requires higher education institutions to provide a strategic plan for intended operations. Southern University at New Orleans (SUNO) has prepared and implemented strategic initiatives for academic years 2006 to 2011.

The SUNO strategic plan includes the Louisiana Board of Regents and the Southern University System strategic goals for higher education institutions including student access and success, academic and operational quality and accountability, and service and research. These goals are complemented by an institutional vision of community linkages, academic excellence, illiteracy and poverty reduction, transparency, and technological excellence. These SUNO strategic directions are paramount for higher education eminence and for rebuilding our community and the Gulf Coast after the Hurricanes of 2005.

The strategic plan was facilitated by a strategic planning committee made up of representatives of every campus unit and was developed with input from the entire University family including community representatives. The implementation of the strategic plan will ensure that SUNO will continue to provide quality education, service to our communities, and contributions to the economic development of the State of Louisiana.

Victor Ukpolo  
Chancellor

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Dr. George Amedee  
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Mr. Woodie White  
Ms. Sheila Woods



## **I. STRATEGIC PLANNING PROCESS BACKGROUND INFORMATION**

### **A. A DEFINITION OF STRATEGIC PLANNING**

Strategic planning is a tool for organizing the present on the basis of the projections of the desired future. That is, a strategic plan is a road map to lead an organization from where it is now to where it would like to be in five or ten years.

It is necessary to have a strategic plan for your organization. In order to develop a comprehensive plan for your organization which would include both long- range and strategic elements, we suggest the methods and mechanisms outlined in this manual.

The plan must be: simple, written, clear, based on the real current situation, and have enough time allowed to give it a time to settle. It should not be rushed. Rushing the plan will cause problems.

### **B. PURPOSE OF STRATEGIC PLANNING**

The purpose of strategic or long-range planning is to assist an organization in establishing priorities and to better serve the needs of its constituency. A strategic plan must be flexible and practical and yet serve as a guide to implementing programs, evaluating how these programs are doing, and making adjustments when necessary.

A strategic plan must reflect the thoughts, feelings, ideas, and wants of the developers and mold them along with the organization's purpose, mission, and regulations into an integrated document. The development of a plan requires much probing, discussion, and examination of the views of the leaders who are responsible for the plan's preparation. However, more often than not, the development of the plan is less complicated than is the implementation.

Implementation, in essence, pulls a plan apart and diffuses it throughout an organization. Every unit within the organization which is involved must then accept the plan, agree to its direction, and implement specific actions. In order to effectively and efficiently implement a plan, all individuals involved in its implementation must function as a whole or the plan is destined for failure.

### **C. STEPS IN A STRATEGIC PLANNING PROCESS (Example I)**

Although every strategic planning process is uniquely designed to fit the specific needs of a particular university, every successful "model" includes most of these steps.

The university begins by identifying its vision and mission. Once these are clearly defined, it moves on to a series of analyses, including external, internal, gap, and benchmarking, which provide a context for developing organization's strategic issues. Strategic programming follows and the organization develops specific strategies including strategic goals, action plans, and tactics. Emergent strategies evolve,

challenging the intended tactics, and altering the realized strategy. Periodically, the organization evaluates its strategies and reviews its strategic plan, considering emergent strategies and evolving changes. It usually takes several years before strategic planning becomes institutionalized and organizations learn to think strategically.

*Note: Here we briefly review steps essential to success of any strategic planning process.*

### **1. Vision And Mission**

Identification of the organization's vision and mission is the first step of any strategic planning process. The university's vision sets out the reasons for organization's existence and the "ideal" state that the organization aims to achieve; the mission identifies major goals and performance objectives. Both are defined within the framework of the university's philosophy, and are used as a context for development and evaluation of intended and emergent strategies. One can not overemphasize the importance of a clear vision and mission; none of the subsequent steps will matter if the organization is not certain where it is headed.

### **2. Environmental Scan**

Once the vision and mission are clearly identified, the university must analyze its external and internal environment. The environmental scan, performed within the frameworks of the *Five Forces Model* and *SWOT*, analyzes information about organization's external environment (economic, social, demographic, political, legal, technological, and international factors), the industry, and internal organizational factors. The *labor market projections* provided on this site are most valuable for the environmental scan. Please refer to the brief description of the *Basic Models* .

### **3. Gap Analysis**

Organizations evaluate the difference between their current position and desired future through gap analysis. As a result, a university can develop specific strategies and allocate resources to close the gap (CSUN strategic planning leadership retreat, April 1997), and achieve its desired state.

### **4. Benchmarking**

Measuring and comparing the university's operations, practices, and performance against others is useful for identifying "best" practices. Through an ongoing systematic benchmarking process campuses find a reference point for setting their own goals and targets.

### **5. Strategic Issues**

University determines its strategic issues based on (and consistent with) its vision and mission within the framework of environmental and other analyses. Strategic

issues are the fundamental issues the organization has to address to achieve its mission and move towards its desired future.

## **6. Strategic Programming**

To address strategic issues and develop deliberate strategies for achieving their mission, universities set strategic goals, action plans, and tactics during the strategic programming stage.

*Strategic goals* are the milestones the campus aims to achieve that evolve from the strategic issues. The SMART goals model is essential to setting meaningful goals. Smart goals are specific, measurable, agreed upon, realistic, and time/cost bound.

"*Action plans* ... define how we get to where we want to go," the steps required to reach our strategic goals.

*Tactics* are specific actions used to achieve the strategic goals and implement the strategic plans.

## **7. Emergent Strategies**

Unpredicted and unintended events frequently occur that differ from the university's intended strategies, and the university must respond. Emergent strategy is "a pattern, a consistency of behavior over time," "a realized pattern [that] was not expressly intended" in the original planning of strategy. It results from a series of actions converging into a consistent pattern (Mintzberg, 1994, p. 23-25).

## **8. Evaluation Of Strategy**

Periodic evaluations of strategies, tactics, and action programs are essential to assessing success of the strategic planning process. It is important to measure performance at least annually (but preferably more often), to evaluate the effect of specific actions on long-term results and on the organization's vision and mission (Rowley, Lujan, & Dolence, 1997). The organization should measure current performance against previously set expectations, and consider any changes or events that may have impacted the desired course of actions.

## **9. Review Of The Strategic Plan**

After assessing the progress of the strategic planning process, the university needs to review the strategic plan, make necessary changes, and adjust its course based on these evaluations. The revised plan must take into consideration emergent strategies, and changes affecting the organization's intended course.

## 10. Strategic Thinking

With time, people in the university routinely make their decisions within the framework of the organization's strategic vision and mission. Strategic planning becomes an organizational norm, deeply embedded within the organization's decision-making process, and participants learn to think strategically as part of their regular daily activities (Lerner, 1999). Strategic thinking involves "arraying options through a process of opening up institutional thinking to a range of alternatives and decisions that identify the best fit between the institution, its resources, and the environment" (Rowley, Lujan, & Dolence, 1997, p. 15).

**NOTE:** A note regarding factors or drivers that may be important to an organization's master plan process from Caruthers, J. Kent and Daniel T. Layzell. 1999:

Caruthers et al. describes the development of campus master planning beginning with an overview of what it is, and how it relates to capital budgeting. Emphasizes the importance of integrating the master plan process within the overall planning framework of the institution. Describes nine master plan drivers: 1) projected enrollment and staffing levels; 2) current and future academic programs; 3) support programs and other university activities; 4) current space use and condition; 5) land availability; 6) health, safety, and accessibility issues; 7) local community considerations; 8) architectural and aesthetic considerations, and; 9) financial consideration.

### D. ROLE OF MANAGEMENT IN THE STRATEGIC PLANNING PROCESS

The primary tasks of strategic management are to understand the environment, define organizational goals, identify options, make and implement decisions, and evaluate actual performance. Thus, strategic planning aims to exploit the new and different opportunities of tomorrow, in contrast to long-range planning, which tries to optimize for tomorrow the trends of today (Drucker 1980, p. 61).

### E. STRATEGIC PLANNING PROCESS SUMMARY (Example II)

#### 1. Strategic Planning

The word "strategy" comes from the Greek *strategos*, referring to a military general and combining *stratos* (the army) and *ago* (to lead). The primary tasks of strategic management are to understand the environment, define organizational goals, identify options, make and implement decisions, and evaluate actual performance. Thus, strategic planning aims to exploit the new and different opportunities of tomorrow, in contrast to long-range planning, which tries to optimize for tomorrow the trends of today (Drucker 1980, p. 61).

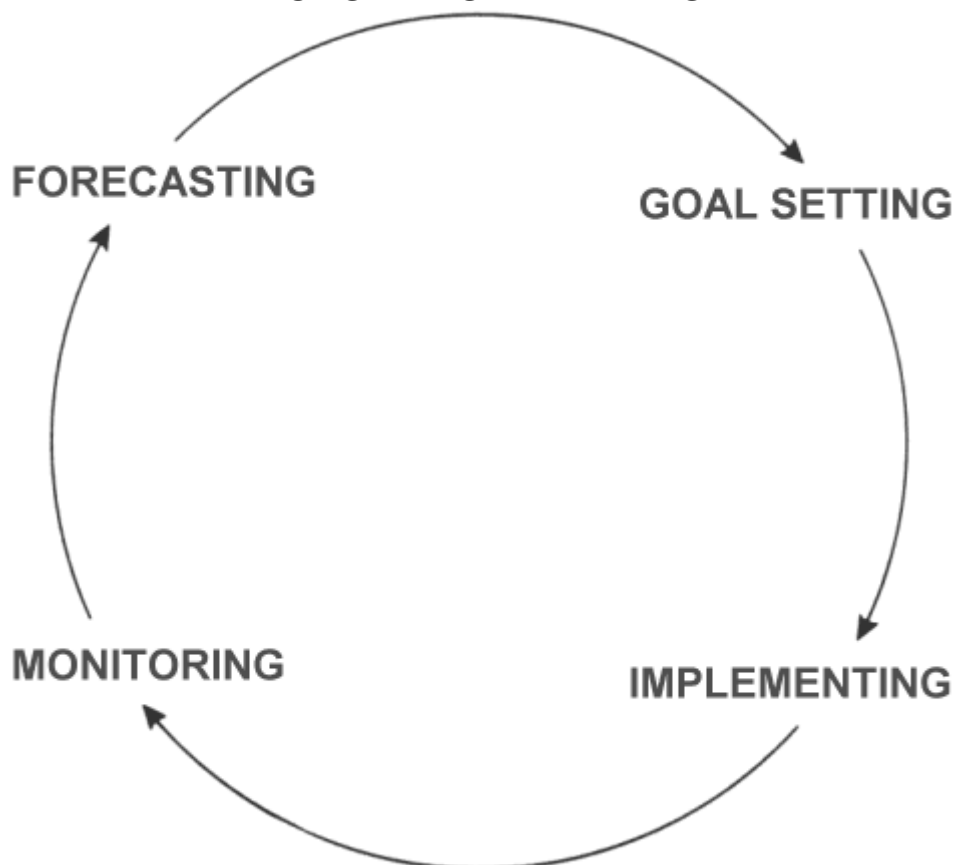
Most colleges and universities currently engage in long-range planning, but they can fruitfully augment that work by using the concepts of strategic planning and thereby enhance their ability to steer a course in a changing external environment. This section briefly describes the traditional models for long-range planning and

environmental scanning and then shows how these two models can be merged to provide the basis of a strategic planning process.

Traditional long-range planning in its most elementary form is based on the concept that planning consists of at least four key steps--monitoring, forecasting, goal setting, and implementing--which are intended to answer these questions: (1) Where is the organization now? (2) Where is it going? (3) Where does it want to go? and (4) What does it have to do to change where it is going to get to where it wants to go? (Renfro 1980b, 1980c; see [figure 1](#)). Performing these activities is a continuing process that, for example, produces a one-year operating plan and a five- or ten-year long-range plan every year. The long-range planning cycle begins by **monitoring** selected trends of interest to the organization, **forecasting** the expected future of those trends (usually based upon extrapolation from historical data using regression analysis or a similar technique), defining the desired future by **setting** organizational **goals** in the context of the expected future, developing and **implementing** specific policies and actions designed to reduce the difference between the expected future and the desired future, and **monitoring** the effects of these actions and policies on the selected trends.

**a. Long-Range Planning**

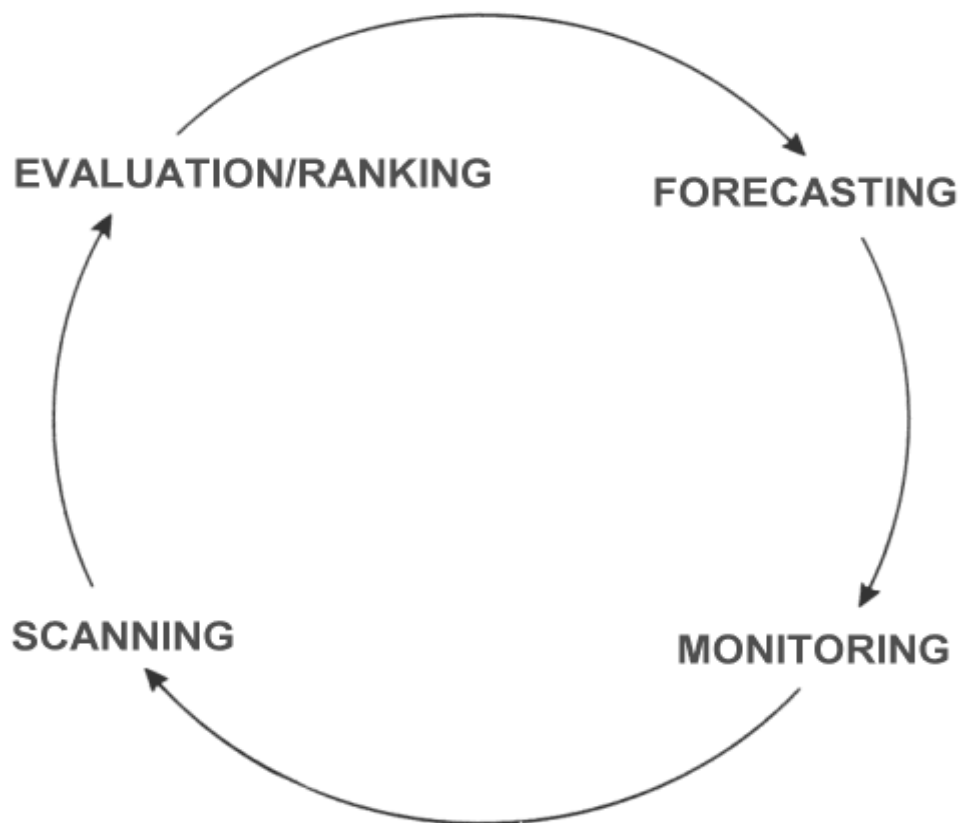
**FIGURE 1  
LONG-RANGE PLANNING**



The environmental scanning model ([figure 2](#)) begins with **scanning** the external environment for emerging issues that pose threats or opportunities to the organization. As part of this step, trends are specified that describe the issues and can be used to measure changes in their nature or significance. Each potential issue or trend is then analyzed (**evaluation/ranking**) as to the likelihood that it will emerge and the nature and degree of its impact on the organization if it should actually materialize. This stage produces a rank ordering of the issues and trends according to their importance to current or planned operations. The next stage, **forecasting**, focuses on developing an understanding of the expected future for the most important issues and trends. In this stage, any of the modern forecasting techniques may be used. Once the forecasts are made, each issue and trend is then monitored to track its continued relevance and to detect any major departures from the forecasts made in the preceding stage. **Monitoring**, in effect, identifies areas for additional and continued **scanning**. For example, subsequent monitoring may begin to suggest that an original forecast of the employee turnover rate is no longer credible, which would imply the need for more focused scanning, forecasting, and analysis to develop a more credible projection (see Renfro and Morrison 1984).

#### b. Environmental Scanning

**Figure 2**  
**ENVIRONMENTAL SCANNING**

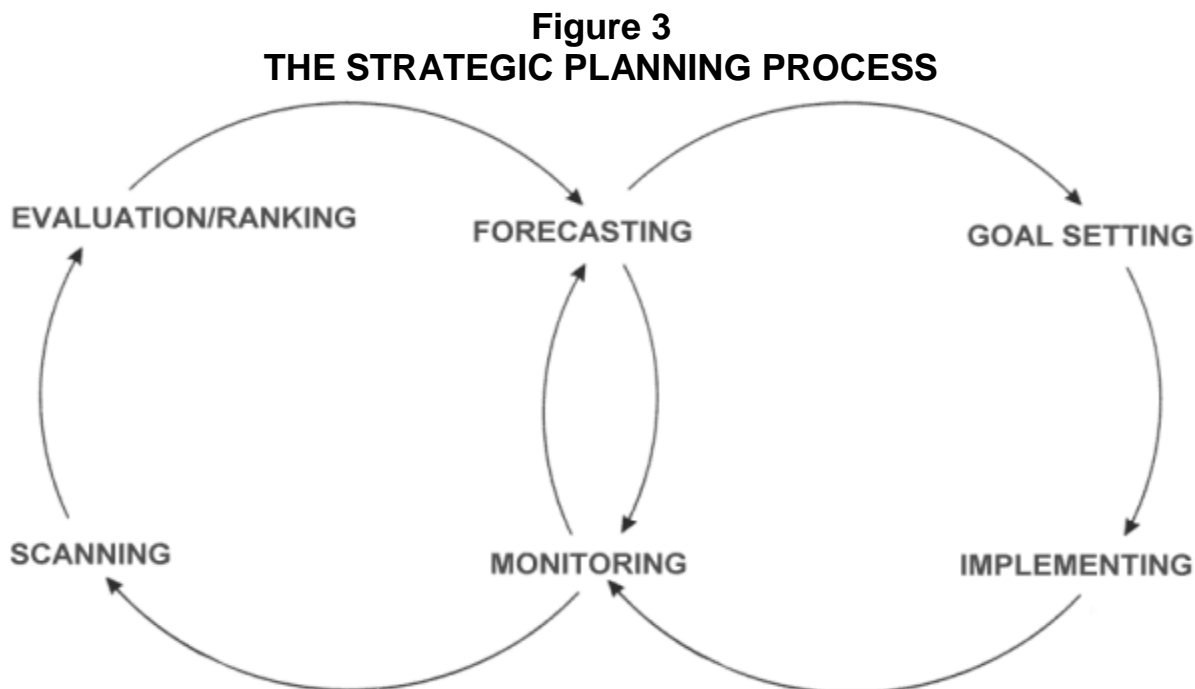


As noted earlier, one of the major limitations of the traditional long-range planning model is that information about the changing external environment is usually not taken into account systematically or comprehensively. When this omission occurs because of an assumption that "we cannot predict external changes," long-range planning destines itself to surprise and failure, if only because it locks itself to the information known from direct experience in the past and immediate present.

Information from the external environment adds important components to long-range planning, however. First, it identifies new and potentially crucial subjects that should be added to those identified and tracked during monitoring. Second, it identifies possible developments that must be used to adjust the forecasts of the internal issues derived from forecasting--specifically, the surprise events that are used in policy impact analysis or techniques like probabilistic systems dynamics and in other rigorous forecasting methods used in traditional long-range planning.

These two models of planning--long-range planning and environmental scanning--may be merged. The interrelated model, *the strategic planning process*, consists of six identifiable stages: environmental scanning, evaluation of issues, forecasting, goal setting, implementation, and monitoring (see [figure 3](#)). The merged model, then, allows information from the external environment in the form of emerging developments to enter the traditionally inwardly focused planning system, thereby enhancing the overall effectiveness of an institution's planning. More specifically, it allows the identification of issues and trends that must be used to modify the internal issues derived during monitoring.

### c. The Strategic Planning Process



Source: Renfro and Morrison 1984.

The argument for combining these two models becomes apparent when the future that happens *to the institution* and the future that happens *for the institution* are contrasted. In the future that happens to the institution (the typical "planned" future), new developments are not anticipated before they force their way to the top of the agenda, demanding crisis management and the latest fire-fighting techniques. In this future, issues are usually defined by others whose interests do not necessarily include those of the institution or its purpose. Not only are threats from the external environment not anticipated as early as possible; key opportunities will be missed or diminished in value.

In the future that happens for the institution, in contrast (the "strategic" future), administrative leadership is focused more on fire prevention and less on fire fighting. Hence, it is able to exercise more careful judgment in the orderly and efficient allocation of resources. Certainly management will still have to deal with unforeseen developments, but they will probably be fewer and less traumatic. Thus, institutions will be able to pursue their mission with greater confidence and consistency because they will be interrupted by fewer and smaller fire-fighting exercises.

## **F. STRATEGIC PLANNING PROCESS SUMMARY (Example III)**

### **1. Strategic Planning Model**

The strategic plan needs to include a Mission Statement, Objectives, Goals, and an Action (or Implementation) Plan.

#### **a. Mission Statement**

This is the agreed-upon statement by the organization and explains the reason for its existence. It is necessarily broad to encompass the diversity within the organization. The statement is not precise in its measurements nor does it need to be, but it does need to be periodically reviewed by the organization to see whether it still encompasses all of the relevant activities of the organization.

#### **b. Objectives**

The objectives are the areas of emphasis within the organization. Rather than specific statements with a specific goal, objectives state that the organization plans to continue to do quality work in the following areas. These objectives or areas of emphasis need to be attained by discussion and review of the organization's current activities as well as activities in which it would like to participate.

#### **c. Goals**

These need to be both long-term and short-term goals; six months, one-year, three-years, and ten-year goals need to be set so that the strategy for reaching these goals can be outlined in the plan. Most organizations recommend setting the long-term goals first and then setting short-term goals: those goals which can be reached as steps to attaining the long-term goal.

#### **d. Action Plan**

The Action Plan should be designed after the main goals and objectives have been set in order to attain the mission in a straightforward and measurable way. With an Action Plan, the goals themselves can be obtained. Without the Action Plan, and the measures it entails, it would be impossible to implement the plan and measure its success.

### **2. Strategic Planning Processes And Mechanisms**

#### **a. Gathering of Background Information**

Background information is used by your Strategic Planning Committee for its review. By shifting through that information, the Committee would be able to develop a sound basis to continue their work. After existing information has been gathered, another information gathering activity should take place. Develop a survey questionnaire to poll all members for their viewpoints on the directions your organization should take. After the information has been synthesized from the questionnaires as well as from information already gathered, move to the second step.

#### **b. A Planning Workshop**

Suggestions are recommended as put forth in an article by John N. Bailey in Leadership magazine, Spring 1981, pp. 26-29. The title of the article is "Strategic Planning: Lead Your Association With a Plan for Tomorrow". Based on this article, your organization needs to gather information on five basic questions:

- (1) Where are we now? (*The Situation*)
- (2) How did we get there? (*Our Momentum*)
- (3) Where are we going? (*The Direction*)
- (4) Where should we be going? (*Desired Direction*)
- (5) How will we get there? (*The Strategic Plan*)

Bailey recommends that after gathering the background information, the planning workshop should take place. The first session would assess the current situation and how you arrived at that present situation. The second activity of this first workshop is to try to figure out where you are going and where you want to be. This is a very hard-hitting and difficult time for any organization given the economic conditions and the change within higher education.

#### **c. Designing a Planning Workbook**

The planning Workbook will bring together all of the information gathered during the Planning Workshop, sift through the ideas put forward, and organize them into

a meaningful body for review by the Planning Workshop attendees and other interested parties in the organization.

**d. Second Planning Workshop**

After the Planning Workshop information has been gathered into a workbook, another workshop should be planned. At this workshop (which should not be held too long after the first one), several things need to be accomplished. In the first half-day a Mission Statement should be adopted/reviewed for the organization. The Mission Statement will include what the organization intends to stand for; what it hopes to contribute to the world-at-large. It should set goals for the organization and then, having set the goals, fulfill the Mission Statement by translating each goal into a specific objective. This means that the Mission Statement will be carried forth into a strategic plan.

**e. The Committee Structure**

The Strategic Planning Committee should be composed of people who understand the organization, but also who have a constant feel for the organization and where it is moving. The Strategic Planning Committee should be made a permanent standing committee within the organization with a rotating membership. This will encourage constant review and updating by the organization's members.

## II. THE SUNO STRATEGY

### A. INTRODUCTION

The mission, vision, and core values of Southern University at New Orleans (SUNO) provide the foundation upon which this strategic plan is developed.

**Mission:** The mission of SUNO is to create and maintain an environment conducive to learning and growth, to promote the upward mobility of diverse populations by preparing them to enter into new as well as traditional careers, and to equip them to function optimally in the mainstream of the global society.

**Vision:** Building on a legacy of educational excellence, equal access and opportunity to students from all walks of life, Southern University at New Orleans envisions itself as a state university which values excellence in teaching, research, and public service. Our vision is to build upon this legacy through the provision of academic excellence, to link all aspects of university activities with community needs and economic development, and to help students become productive citizens.

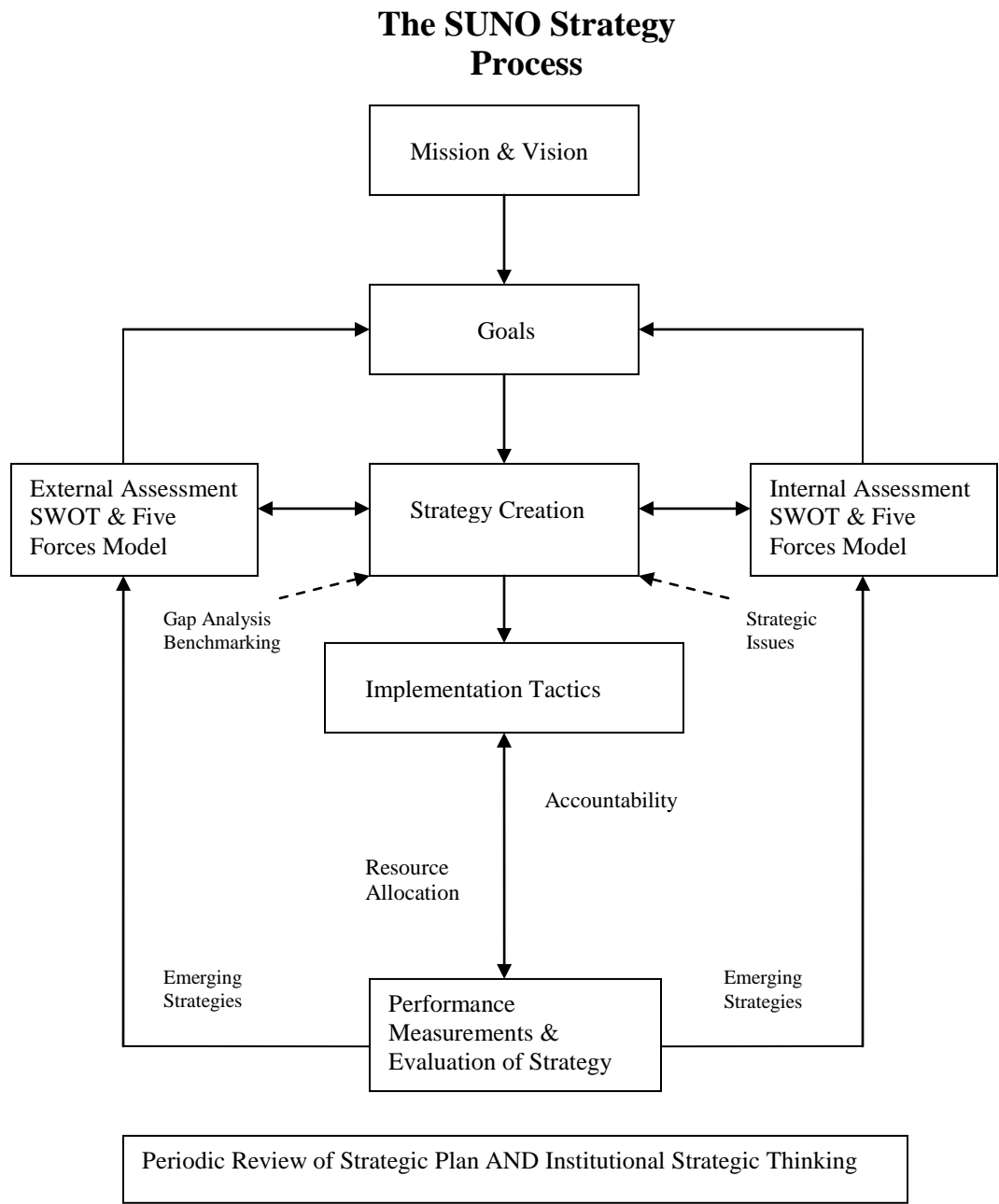
**Core Values:** Excellence, Responsibility, Integrity, Accountability, Diversity, Nurturing, and Service

### B. INSTITUTIONAL BACKGROUND

Southern University at New Orleans is a senior state institution of higher learning. It was founded as a branch of the Southern University Agricultural and Mechanical College, Baton Rouge by Act 28 of the Extraordinary Session of Louisiana Legislature of September 4, 1956, and began its initial year of operation on a seventeen acre site on the perimeter of Pontchartrain Park. Since the original freshman class of 158 students, the university had grown to awarding 450 undergraduate and 70 graduate degrees annually and serviced 3,600 students each semester prior to Hurricane Katrina. Immediately following the storms of Fall 2005, the Spring 2006 enrollment reached 2,100 students and increased by 17% for the Fall 2006 semester. Strategic enrollment expectations include 4,000 students in 3 to 5 years.

A range of degree programs in the liberal arts and sciences, substance abuse, social work, and education as well as graduate degree programs in Social Work, Criminal Justice, Management Information Systems, Museum Studies, and Urban Education are among the offerings. The University has maintained a highly qualified faculty of 70, with 50% of the full-time faculty holding the earned doctorate. The University's mission is to create and maintain an environment conducive to learning and growth, to promote the upward mobility of diverse populations by preparing them to enter into new as well as traditional careers, and to equip them to function optimally in the mainstream of the global society. Having served as a beacon light of inspiration to its constituency, Southern University at New Orleans continues to make a meaningful contribution to the upward mobility of the people of the community which it serves.

**C. ILLUSTRATION OF THE COMPONENT PARTS OF THE STRATEGIC PLANNING PROCESS**



**D. PLANNING CONTEXT**

The Strategic Planning Committee conducted an assessment of strengths, weakness, opportunities and threats (SWOT). The Committee looked at multiple external areas including economic, social, demographic, political, legal, regulatory, local community considerations, customers, competitors, workforce trends and major uncertainties.

Additionally, we addressed internal factors including enrollment levels, staff levels and skills, academic programs, finances, support programs, facilities, land availability, health, safety and accessibility issues, Board of Regents characteristics data and the overall university culture.

SUNO's strengths are in its faculty and staff education, skill levels, and teaching abilities, relatively smaller student/teacher ratios, academic programs, support programs, externally sponsored activities, a more mature mixture of traditional and non-traditional students, and family-like campus environment. Strengths are also reflected in the hard working personnel and student-body post-Katrina. High levels of faculty-student interaction, low tuition costs, and quality of instruction, including some online courses, are also institutional strengths. Strengths are also reflected in SUNO's, as an HBCU, support in our urban area's majority African American communities and our alumni's strong allegiance to the University. Facilities strengths include the potential for excellence regarding the FEMA/Corps of Engineers restoration of the devastated eleven buildings on our South campus and facilities development on our forty-acre North campus.

Financial strengths include the receipt of various levels of Katrina related funds and resources, our having survived the storms, and operations post-Katrina. These resources are contributing to the activities and support that lead to higher student and personnel morale. SUNO is attempting to acquire land adjacent to our South campus. A cultural strength exists regarding our having survived Hurricanes Katrina and Rita. Operational strengths are reflected in some staff working beyond the call of duty. SUNO will publicize, enhance, and build on its strengths, link its strengths to community needs, leverage Katrina funds regarding additional resources, and provide appropriate incentives for personnel working towards strategic goals.

Institutional weaknesses include loss of personnel due to the storms, lack of appropriate accountability throughout the campus, lack of sustained vision for the 21<sup>st</sup> century, less than optimum faculty/student ratios, low student diversity, lack of fund raising capacity, limited alumni financial support, limited customer service training, too few staff positions filled, low enrollment, and few library resources. Weaknesses also include some teaching skills enhancement requirements, and the lack of New Orleans culture in our curricula. There are student satisfaction concerns regarding some faculty instruction, operations, course offerings and schedules, and some faculties' insensitivity to, or adequate response to students' needs and problems. Incentives and salaries are not appropriate and relationships between faculty and staff and administrators should be improved. There is a perception of low levels of scholarly productivity of faculty. Infrastructure for faculty scholarship, promotion, research, service, and institutional processes is not strong.

Enrollment is low, including the number of high quality students and non-African Americans, and SUNO is too dependent on the local community population for enrollment. Approximately twenty programs have been discontinued, and there are no dormitories or other living facilities for students. We are weak in the provision of recreation and child care facilities and we have not used our additional forty acres of land for any development (except for FEMA trailers). The present North campus has poor

streets and drainage, no shrubbery and trees, and no scenic beautification within the campus. Financial management should be enhanced, and enrollment should be increased to enhance finances. There is a lack of appropriate lobbying for resources, and we have minimal formal linkages with elected officials.

Historically, SUNO has had no extra money. The lack of appropriate monies has contributed to low student and personnel morale in that activities necessary to raise and maintain morale have not been available. We lack a strong and rehearsed hurricane evacuation plan, we have a small number of campus police, and accessibility is sometimes a challenge for handicapped personnel. The hurricanes have caused some major mental and health problems for students, personnel, and the community. Weaknesses in support programs include lack of flexible operating hours, lack of alumni participation, few library resources, and lack of campus-wide awareness of support services activities. The SUNO alumni do not readily give to the University, we do not receive large gifts in general, and we have lacked a formal research administration office. We lack the necessary funding for most productive operations, some duties and responsibilities are not well defined or communicated, workloads are not distributed evenly, interdisciplinary activities are low, and there is a lack of global focus at SUNO.

The University can overcome these weaknesses by restoring infrastructure lost to the hurricanes, implementing and sustaining appropriate accountability measures, establishing vision for the 21<sup>st</sup> century, and developing personnel. In addition, the University can overcome these weaknesses by providing best practices instruction and faculty/student ratios, diversifying, increasing funding, involving alumni, filling staff positions, equipping the library, monitoring teaching, and restoring cut programs. SUNO can overcome these weaknesses by training and surveying for customer service, incorporating New Orleans into curricula, expanding recruitment efforts, providing living facilities, utilizing the forty-acres, increasing funding, establishing appropriate linkages, rehearsing evacuation plans, enhancing security, acquiring land, and enhancing financial management. SUNO can overcome these weaknesses by providing specific and quality measures identified through the establishment of benchmarks across faculty, staff, and administrative processes.

SUNO has the opportunity to become the center of restoration and service in our region through community linkages and workforce development considering displaced residents, and educational, community, and economic development needs. The University has an opportunity to integrate research, scholarship, and service into the public sector. Economic development opportunities include child care services, academic training, English as a second language, poverty, illiteracy, crime, and blight reduction, national and international faculty and student exchange and recruitment activities, counseling, housing assistance, research and technological enhancements, and auxiliary activities that generate funds. Opportunities exist regarding our present open-admissions requirements as well as for our preparation for the selective admissions requirements for 2010. SUNO also has an opportunity to assist residents in areas such as the affects of new flood mapping, community-based forums and meetings, and providing and directing resources to surrounding neighborhoods. Political opportunities include involvement and investment in the rebuilding planning and legislative processes, advocacy for funding to our region, and relationships with new system, local, and state leadership.

Opportunities exist for the establishment of living facilities for students and residents, for summer, after-school, and preK-12 programs, and for providing cultural activities for residents. Opportunities exist for uplifting 'The Big Easy' and contributing to a reduction of crime in our communities. Opportunities exist for on-line training and distance education, and for the provision of high-tech classrooms and other technological best practices in teaching and learning and operations. Opportunities exist for the strengthening of University culture through personnel development and adoption of the Strategic Plan. SUNO has an opportunity to restore and enhance the quality and size of the South campus and to expand facilities and operations to the forty-acre North campus site. SUNO has an opportunity to broaden its services to a new and more diverse population. SUNO should take advantage of these opportunities in all phases of University operations through strategic goals, objectives, and strategies.

Threats exist from educational and non-educational entities regarding our potential students, our image or the perception of SUNO should be enhanced, and our market base must be expanded due to the hurricanes and for growth. The lack of continual enhancement of internal and external relationships threatens maximum institutional productivity. Threats also include a reduction in housing, health needs, and security as well as drastic cuts in academic programs. Threats also include customer or student uncertainty and instability and some customer service concerns. Demographic threats include displaced and reduced numbers of residents and students, a general reduced number of males attending college, and a lack of maximum required on-line services for displaced and other individuals. There is also the threat of a lack of services for the new population in our area including Hispanics, African Americans, and other ethnic groups.

Economic threats include a reduced population and a reduction in related essential services and businesses. The increase in the cost of living in our area, a possibility of worsening hurricanes, and reductions in local and State funding threaten SUNO economically. International concerns include a lack of resources for international students, faculty, and programs, changing immigration laws, and the lack of technological best practices in such relationships. Job market threats include reductions in businesses in the region, an influx of non-local employees, and a lack of direct linkages of programs to local workforce needs. Important legal and political threats include the Selective Admissions requirement for 2010, legislative decisions regarding SUNO funding and existence, and a new populace. Community threats include depopulation in our area and the perception of SUNO.

Concerns with uncertainty include scattered students, loss of programs, budget cuts, levee re-construction and hurricane season, frequent changes in SUNO leadership, and the condition of the local school system. Regulatory threats include some Louisiana Board of Regents requirements such as graduation rates and recent program cuts, out-of-state fees, and too much control by governing boards. Social threats include displaced residents, lack of housing, fewer pre-K-12 institutions and low academic achievement levels, reduced social services, cultural activities, and other necessities, and financial strain in the community. Technological threats include minimal technology infrastructure and somewhat poor campus communications and computer literacy. The

hurricanes have stagnated our culture, caused personnel to be lured away, and decreased SUNO's presence in the community. SUNO should use all of its resources to mitigate these threats including strategic goals, objectives, and strategies.

## **E. ASSUMPTIONS**

SUNO will rise among the leading higher education institutions in the state and the region.

SUNO will provide opportunities for African Americans and all persons to receive a quality education.

SUNO will continue to seek support from the state and other public and private entities.

SUNO will effectively provide teaching and learning, research, and service to local, state, national, and global communities.

## **F. STRATEGIC PLANNING APPROACH**

The University Strategic Planning Committee, consisting of a campus-wide representation of administrators and managers, faculty, staff, students, and community representation, was charged with the development and implementation of an institutionally participatory five-year strategic plan for SUNO. Building on student relationships and institutional relationships are important to SUNO strategic planning. The strategic plan was developed using the consideration of internal and external environmental University strengths, weaknesses, opportunities, and threats. Information from SUNO personnel, students, the community, the Louisiana Board of Regents, the Southern University System, the State of Louisiana, and various other references were used in the development of this document.

### **1. STRATEGY**

#### **a. The Five Strategic Goals**

**The five strategic goals are:**

1. Increase opportunities for student access and success
2. Ensure academic and operational quality and accountability
3. Enhance academics, research, and services to best support University, state, national, and global communities
4. Establish and maintain uniqueness and competitive advantages in the higher education arena
5. Enhance major university-wide infrastructure and resources

#### **i. *Strategic Goal 1. Increase opportunities for student access and success***

**Objective 1.1:** To increase enrollment to at least 4,000 students with considerations for selective admissions standards by 2010 including an increase in Fall Headcount enrollment by 10.0% from

the Fall 2006 baseline level of 2,250 to 2475 by Fall 2007, including an increase in minority Fall headcount enrollment at by 10.0% from the Fall 2003 baseline level of 2100 to 2310 by Fall 2007, and including maintaining the percentage of first-time, full-time degree-seeking freshmen retained at the Fall 2004 baseline level of 55.7 percent to the second year, Fall 2007.

### **Strategies for Objective 1.1:**

- 1.1.1. Promote E-Learning and distance education activities for local and non-local students.
- 1.1.2. Continue implementing the successful access, retention, graduation, and success recommendations of Noel-Levitz Enrollment consultants.
- 1.1.3. Build a new student living quarters by 2008.
- 1.1.4. Recruit and enroll White, Hispanic, and other non-Black American students in addition to present recruitment of a majority black population.
- 1.1.5. Hire other race recruiters.
- 1.1.6. Make special scholarships available to diverse groups.
- 1.1.7. Gear some recruitment efforts specifically towards diverse population (White, Hispanic, Asian, European, African, and other non-Black American Students).
- 1.1.8. Recruit and enroll academically superior students.
- 1.1.9. Require and encourage University academic departments to participate directly in the student recruitment process.
- 1.1.10. Promote literacy and basic education programs in local and state communities.
- 1.1.11. Establish, implement, and maintain an Honors Program.
- 1.1.12. Establish, implement, and maintain Bridges Programs including 2+2 Programs with Junior and Community Colleges and bridges with Post-baccalaureate institutions.
- 1.1.13. Establish programs that involve SUNO alumni in our recruitment processes.
- 1.1.14. Establish, implement, and maintain Dual Enrollment Programs.
- 1.1.15. Establish, implement, and maintain articulation agreements with other colleges and universities.
- 1.1.16. Restore eliminated programs back at SUNO.

**Performance Measure:** An increased enrollment to at least 4,000 students with considerations for selective admissions standards by 2010 including an increase in the Fall headcount enrollment by 10.0% from the Fall 2006 baseline level of 2,250 to 2475 by Fall 2007, including an increased minority Fall headcount enrollment at by 10.0% from the Fall 2003 baseline level of 2100 to 2310 by Fall 2007, and including maintaining the percentage of first-time, full-time degree-seeking freshmen retained at the Fall 2004 baseline level of 55.7 percent to the second year, Fall 2007.

### **ii. Strategic Goal 2. Ensure academic and operational quality and accountability**

**Objective 2.1:** To increase the number of students earning associate, baccalaureate, and master's degrees in all majors by a combined total of 3% each year including minimizing the decrease in the six year graduation rate in Public Postsecondary Education at SUNO to 9% in 2007-2008 and increasing the number of graduates passing license examinations (PRAXIS, etc.).

**Strategies for Objective 2.1:**

- 2.1.1. Increase the number of education graduates by 3% annually.
- 2.1.2. Increase the number of graduates in accredited programs by percentages appropriate for accreditation requirements.
- 2.1.3. Increase the number of graduates in non-accredited programs by percentages appropriate for program review requirements.
- 2.1.4. Enhance the SUNO alternative certification program.
- 2.1.5. Revamp existing teacher education programs.
- 2.1.6. Create coordinated partnerships between SUNO and local school systems.
- 2.1.7. Expand recruitment to education majors.
- 2.1.8. Expand financial aid programs for education majors.
- 2.1.9. Get more involved with the School Board, Charter Schools, Recovery Schools, and School Districts by attending meetings, establishing a liaison with the Board, and participating in related community activities.
- 2.1.10. Adopt more schools.

**Performance Measure:** An increased number of students earning associate, baccalaureate, and master's degrees in all majors by a combined total of 3% each year including a minimized decrease in the six year graduation rate in Public Postsecondary Education at SUNO to 9% in 2007-2008 and increasing the number of graduates passing license examinations (PRAXIS, etc.).

**Objective 2.2:** To achieve 100% accreditation of mandatory programs and perform academic reviews for all other programs every three to five years.

**Strategies for Objective 2.2:**

- 2.2.1. Identify and acquire resources for academic program success and operational efficiency and effectiveness.
- 2.2.2. Continually conduct reviews for non-accredited programs and eliminate barriers to program accreditation and program reviews.
- 2.2.3. Provide professional development and training for all levels of University management associated with accreditation and program success.

**Performance Measure:** Achieved 100% accreditation of mandatory programs and perform academic reviews for all other programs every three to five years.

**Objective 2.3:** To establish best practices for instructional quality for each discipline according to accreditation standards in year one and sustain these practices for the next five years.

**Strategies for Objective 2.3:**

- 2.3.1. Provide for appropriate faculty to student ratios for best instructional quality as determined by accreditation standards.
- 2.3.2. Provide a comprehensive Human Resources program.
- 2.3.3. Provide competitive salary levels, monetary and other rewards, and incentives for faculty and staff.
- 2.3.4. Provide and encourage comprehensive faculty and personnel professional development including senior personnel mentoring to junior personnel.
- 2.3.5. Enhance major research activities for faculty with direct connectivity to curricula enhancement, community linkages, and economic development for the state.
- 2.3.6. Recruit high-quality new and hurricane-affected SUNO faculty and staff.
- 2.3.7. Hire faculty with terminal degrees and at minimum, those with at least 18 post-graduate hours in their teaching disciplines.
- 2.3.8. Hire personnel that meet and contribute to accreditation and program review requirements.
- 2.3.9. Encourage non-terminal degree faculty to acquire terminal degrees.
- 2.3.10. Provide customer service workshops.
- 2.3.11. Provide workshops and consultants for professional development.
- 2.3.12. Make travel monies available to faculty and staff for professional development.
- 2.3.13. Provide monetary incentives and other awards for excellent work.
- 2.3.14. Use faculty evaluations by supervisors and by students as planning tools.

**Performance Measure:** Established best practices for instructional quality for each discipline according to accreditation standards in year one and sustained these practices for the next five years.

**Objective 2.4:** To increase the campus-wide use of technology by five percent annually in order to close the technology gap between SUNO and other Louisiana and regional universities and maintain the highest level of technology possible over the next five years.

**Strategies for Objective 2.4:**

- 2.4.1. Provide appropriate technology to support best practices in teaching and learning, service, and research.
- 2.4.2. Provide exceptional E-Learning and distance education activities for local and displaced students.
- 2.4.3. Provide appropriate technology to support efficiency, effectiveness, and best practices in university operations.

- 2.4.4. Provide professional development for faculty, staff, and Information Technology Center personnel, and students.
- 2.4.5. Progressively implement the Banner system.
- 2.4.6. Enhance and maximize the Blackboard system for teaching and learning.
- 2.4.7. Establish partnerships, including as least one long-term industry partnership, involving new technologies, research, and community development.
- 2.4.8. Establish and strengthen technology clusters.
- 2.4.9. Plan for course delivery and related technology training needs for the upcoming academic years.

Note: Some of the annual measures for this objective include the number of students and faculty involved with E-Learning activities, the number of students with laptops or desktop computers, the number of and access to computers on-campus, and technology used for teaching and learning in the classroom, research and outreach, operation efficiency and effectiveness, connectivity, and customer services such as online registration.

**Performance Measure:** Increased campus-wide use of technology by five percent and a reduction in the technology gap between SUNO and other Louisiana and regional universities and maintained the highest level of technology possible over the next five years.

**Objective 2.5:** To annually increase SUNO operational effectiveness and efficiency by ten percent for each of the next five years.

**Strategies for Objective 2.5:**

- 2.5.1. Establish baselines prior to the beginning of each year for university operations and activities including administration and management and increase efficiency and effectiveness by 10% annually.
- 2.5.2. Establish accountability measures for every aspect and component of university operations including duties, responsibilities, and assignments, policies and procedures, contingencies, and practices for personnel noncompliance.
- 2.5.3. Involve all university stakeholders in the ongoing process of defining and measuring the efficiency and effectiveness of operations at SUNO.
- 2.5.4. Streamline the systems and processes that support successful student achievement of academic goals throughout admission, enrollment, and graduation.
- 2.5.5. Consolidate academic and administrative resources where possible to promote cost effectiveness.
- 2.5.6. Develop and implement incentives for the reward and recognition of increased faculty, staff, and student productivity.
- 2.5.7. Support staff involvement and leadership in appropriate professional development organizations.
- 2.5.8. Plan for course delivery and related technology training needs for the upcoming academic years.

- 2.5.9. Revise current fiscal structure for faculty and staff compensation in consultation with the fiscal/financial committee.
- 2.5.10. Produce policies and procedures documentation and publish on-line.
- 2.5.11. Provide appropriate professional development programs for faculty and staff.

**Note:** Examples of measures regarding efficiency and effectiveness are costs, time requirements, productivity, successful unit interlocking and connectivity, administrative and management skills, customer satisfaction, and employee input.

**Performance Measure:** Annual increases in SUNO operational effectiveness and efficiency by ten percent for each of the next five years.

**Objective 2.6:** To maintain accreditation through SACS.

**iii. Strategic Goal 3. Enhance academics, research, and services to best support University, State, national, and global communities**

**Objective 3.1:** To increase the number of partnerships with community, businesses, organizations and agencies by ten percent annually in an effort to establish and sustain strong linkages to the community through community service programs and economic development opportunities (qualitative benchmarks to be established by implementing units and management).

**Strategies for Objective 3.1:**

- 3.1.1. Establish a Community Center for Adult Literacy to include a GED (General Education Development) Program, an ESL (English as a Second Language) Program, a Remedial Reading Program, a Reading Comprehension Program, a Basic English/Writing Skills Program, a Computer literacy Program, a Basic Math Program, and a TANF (Temporary Assistance for Needy Families) Program.
- 3.1.2. Form community linkages with the Board of Elementary and Secondary Education (BESE), Orleans Parish Schools, Louisiana Department of Labor, and Workforce Commission for Employees that will assist us in providing quality community service.
- 3.1.3. Establish partnerships with community businesses, organizations and agencies.
- 3.1.4. Collaborate with the Student Development Center in identifying community service sites, in identifying and referring students seeking community service placement sites, and in developing a system for evaluating and monitoring placement sites and students placed.
- 3.1.5. Include community service as part of program and course requirements.
- 3.1.6. Develop incentives for students who register for and complete community service hours before the last semester of their senior year.
- 3.1.7. Develop and conduct annual student surveys to assess the extent to which the student service objectives were met.

- 3.1.8. Establish partnerships with state and local businesses and agencies.
- 3.1.9. Collaborate with the Career Counseling and Placement Office in identifying opportunities for students to contribute to the economic development of the city and state and in developing a system for monitoring and conducting follow-up on students participating in economic development projects.
- 3.1.10. Provide incentives for students that will help to increase the number of students who register with the Career Counseling and Placement Office or help to increase the number of students who attend job fairs, graduate/professional programs, and other activities.
- 3.1.11. Invite various agencies and organizations to make class presentations on economic development opportunities.

**Performance Measure:** Increased number of partnerships with community, businesses, organizations, and agencies by ten percent annually and established and sustained strong linkages to the community through community service programs and economic development opportunities (qualitative benchmarks to be established by implementing units and management).

**Objective 3.2:** To strategically align 100% of teaching and learning, research, and service activities to address the needs of the local, state, regional, national and international communities in year one and maintain and strengthen the alignment annually over the next five years.

**Strategies for Objective 3.2:**

- 3.2.1. Identify all plans and requirements that provide guidance to the SUNO academic divisions.
- 3.2.2. Identify employment trends and community needs in local, state, regional, national and international communities.
- 3.2.3. Align all programs to these various strategic plans and trends.
- 3.2.4. Create and restore programs that enable SUNO to meet the stated needs at the local, state, regional and/or national level.
- 3.2.5. Provide mechanisms to monitor strategic trends in the area.
- 3.2.6. Increase studies abroad.
- 3.2.7. Increase international exchange programs.
- 3.2.8. Establish local, state, regional, national and international partnerships.

**Performance Measure:** Strategically aligned 100% of teaching and learning, research, and service activities to address the needs of the local, state, regional, national and international communities in year one and maintained and strengthened the alignment annually over the next five years.

**iv. *Strategic Goal 4. Establish uniqueness and competitive advantages in the higher education arena***

**Objective 4.1:** To clearly define and publicize immediately, and support and broaden over the next five years, the unique aspects of higher education at SUNO.

**Strategies for Objective 4.1:**

- 4.1.1. Identify the unique aspects of SUNO academic, research, and service programs.
- 4.1.2. Identify specific resources required to support, broaden, and publicize the unique aspects of SUNO.
- 4.1.3. Clearly link and sustain linkages between the unique aspects of SUNO and local, state, and global communities.
- 4.1.4. Identify, support, and sustain SUNO's unique research and faculty engaged in research activities.
- 4.1.5. Identify, support, and sustain SUNO's unique services to the communities
- 4.1.6. Use SUNO's uniqueness to recruit and retain students and faculty.
- 4.1.7. Establish ongoing recognition of SUNO's outstanding unique qualities through reputable and appropriate publications, local entities, state offices, societies for the various disciplines, and the U.S. Department of Education.
- 4.1.8. Use SUNO's uniqueness to bring about institutional growth, wealth, and academic success.
- 4.1.9. Provide effective mechanisms for industry access to SUNO technologies and expertise.

**Performance Measure:** Clearly defined and publicized immediately, and supported and broadened over the next five years, the unique aspects of higher education at SUNO.

v. *Strategic Goal 5. Enhance major infrastructure and resources*

**Objective 5.1:** To increase the quality of facilities to excellent and to increase the number of facilities from eleven buildings to at least thirteen buildings in timeframes consistent with State and federal funding for the restoration for South Campus and in years 3-5 based on additional State and externally acquired funding.

**Strategies for Objective 5.1:**

- 5.1.1. Move back to the South Campus as soon as possible.
- 5.1.2. Provide new campus facilities including a School of Social Work building, a College of Business building, a student living facility, and a Research, Business Incubator, and Economic Development facility.
- 5.1.3. Purchase new land for campus expansion.
- 5.1.4. Maximize safety and accessibility for the campus.
- 5.1.5. Provide at least one satellite campus or location.

**Performance Measure:** Increased quality of facilities to excellent and increased number of facilities from eleven buildings to at least thirteen buildings in timeframes consistent with State and federal funding for the restoration for South Campus and in years 3-5 based on additional State and externally acquired funding.

**Objective 5.2:** To increase the amount of funding and other resources for SUNO, including reserves and self-generated funds, by at least 25% incrementally over the next five years.

**Strategies for Objective 5.2:**

- 5.2.1. Increase tuition and fees to annual amounts supporting a student enrollment of 4,000 students.
- 5.2.2. Increase revenues from state appropriations to at least \$35 million annually.
- 5.2.3. Increase external fundraising monies to at least \$10 million annually.
- 5.2.4. Increase externally sponsored grant and contract programs from \$12M to \$15M in year one, from \$15M to \$18M in year two, from \$18M to \$20M in year three, from \$20M to \$23M in year four, and to at least \$25 million annually thereafter.
- 5.2.5. Establish and maintain a research administration office with partially self-supporting resources, a million dollar external funding club, and major research faculty.
- 5.2.6. Increase auxiliary enterprise monies to at least \$1 million annually.
- 5.2.7. Provide for an annual reserve including self-generated funds of \$1-\$10M.
- 5.2.8. Develop incentives for faculty to participate in intellectual property and technology-transfer activities.
- 5.2.9. Provide training workshops on campus and via on-line in the areas of grant writing, intellectual property development and disclosure, technology transfer, and business and technology development.
- 5.2.10. Establish a strong intellectual property policy for SUNO.
- 5.2.11. Increase the university endowment fund.

**Performance Measure:** Increased amount of funding and other resources for SUNO, including reserves and self-generated funds by at least 25% incrementally over the next five years.

**Objective 5.3:** To establish and implement immediately, and maintain over the next five years, a comprehensive SUNO alumni program for supporting alumni, working with and receiving resources from alumni, and creating loyalty for SUNO beginning in the recruitment, freshman and pre-graduate stages.

**Strategies for Objective 5.3:**

- 5.3.1. Develop educational, training, and development activities beneficial to SUNO alumni.

- 5.3.2. Establish, implement, and maintain a comprehensive SUNO alumni program for alumni input, contributions, and involvement in our recruitment and retention processes.
- 5.3.3. Involve alumni in SUNO strategies and activities.
- 5.3.4. Establish and maintain ‘Chat with the Chancellor’ activities for SUNO alumni around the country.
- 5.3.5. Establish and maintain a thorough and comprehensive database for alumni contact and communications.
- 5.3.6. Enhance the activities involving, and the participation of alumni in appropriate affairs of the University.
- 5.3.7. Continuously provide alumni with “good news” and other important information.
- 5.3.8. Establish short- and long-term communications plans for contacting alumni.
- 5.3.9. Develop alumni roles and participation levels in fund raising, donations gift giving, and campaigns, and such activities as student recruitment in their areas.
- 5.3.10. Increase participation and support of graduates via alumni association.

**Performance Measure:** Established and implemented immediately, and maintained over the next five years, a comprehensive SUNO alumni program for supporting and giving to alumni, working with and receiving resources from alumni, and creating loyalty for SUNO beginning in the freshman and recruitment stages.

### III. IMPLEMENTATION SUMMARY

#### A. “FROM STRATEGY TO IMPLEMENTATION – SEEKING ALIGNMENT”

“Implementation describes the concrete measures that translate strategic intent into actions that produce results”. Implementation is operations oriented (Harvard Business Essentials – Strategy).

Difference between Strategy Creation and Strategy Implementation:

<b>Strategy Creation</b>	<b>Implementation</b>
Analysis and planning	Execution
Thinking	Doing
Initiate	Follow through
At the top	Top-to-bottom
Entrepreneurial	Operational
Goal-setting	Goal-achieving

Alignment = A successful strategy formed around a coherent and reinforcing set of supporting practices and structures. Generally, the four elements of alignment are strategy, processes, people (employees), and customers. Generally, alignment is a situation in which strategic goals are supported by organizational structures, support systems, processes, human skills, resources, and incentives. See Figure 1 below.

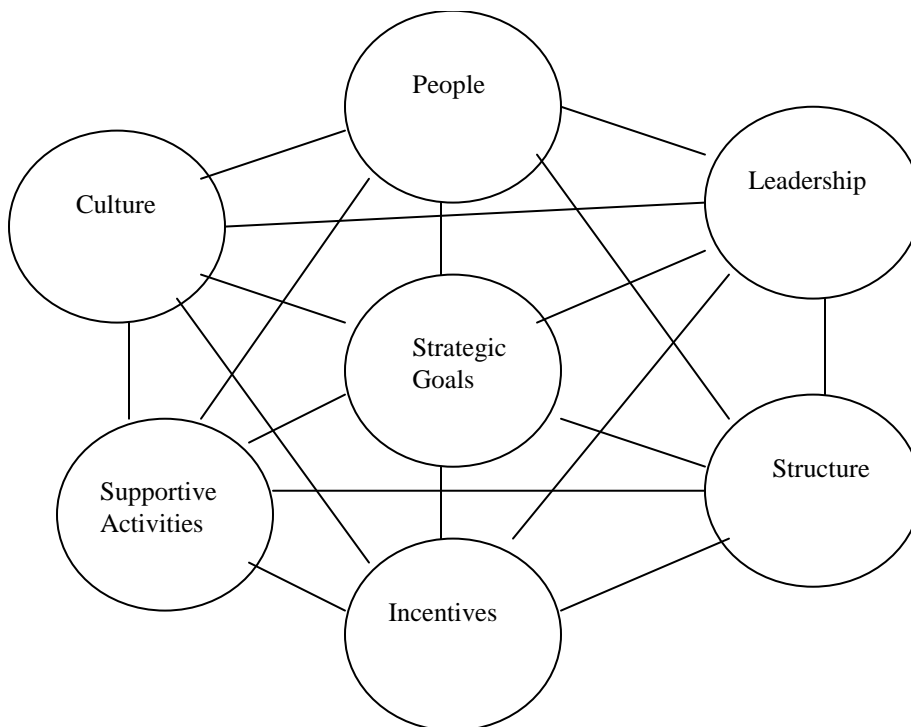
Senior management has a responsibility to communicate strategic intent to employees, and mid- and lower-level managers must reiterate that intent and translate it into the way their subordinates work. Management must also ensure **1)** people with the right skills to make the strategy successful (hiring and training), **2)** people with attitudes that support the strategy, and **3)** the resources that people need to do their jobs well.

**UNLESS EMPLOYEES HAVE REAL INCENTIVES TO IMPLEMENT THE STRATEGY, THEY WILL NOT COMMIT TO IT, AND THE STRATEGY WILL PROBABLY FAIL.** The best assurance of implementation is a rewards system that aligns employees’ interests with the success of the strategy. Therefore, every unit and every employee should have measurable performance goals with clearly stated rewards for goal achievement (i.e. rewards large enough to elicit the desired level of employee effort).

The strategy must be supported by other university key activities for example customer service, operations, hiring and training, and other activities that interlock the support system. Regarding organizational structure, reorganizing people and material in support of a new strategy is instructive and useful. Culture and leadership must be supportive of both the strategy and the day-to-day work that implements it. Culture refers to a company’s values, traditions, and operating style. **Note:** Companies with strong cultures are wise to adopt strategies consistent with their cultures. \*If culture change is necessary, changing company culture to better align with the new strategy is the responsibility of the CEO and the senior management team. See the Alignment Checklist in Table 1 below.

## 1. Figure 1 – Alignment For Implementation

### Alignment for Implementation



## 2. Alignment Checklist

**Table 1 - Alignment Checklist**

		Yes	No
<b>People</b>	Our people have the necessary skills to make the strategy work They support the strategy Their attitudes are aligned with the strategy They have the resources they need to be successful		
<b>Incentives</b>	Our rewards system is aligned with the strategy Everyone has performance goals aligned with the strategy		
<b>Structure</b>	Units are optimally organized to support the strategy		
<b>Supportive activities</b>	The many things we do around here – customer service, teach, operations, etc. – support the strategy		
<b>Culture</b>	Our culture and strategy are well matched		
<i>For every “no” response, specify the problem and what needs to be done to correct it.</i>			

Information in this document from “Strategy – Create and Implement the Best Strategy for Your Business”, HBS Press.

## IV. ACTION PLAN

### A. “THE ARCHITECTURE OF IMPLEMENTATION”

Successful implementation is accomplished by turning strategic plans into action plans that are executed at the unit level. Those action plans must address key strategic goals through practical steps, measure progress over time, assure that people have the resources they need, and keep everything on track. An action plan is where strategic planning and implementation overlap. It is where mid-level managers can really make important and visible contributions to organizational success. An action plan is a document that begins with strategic goals and identifies all the steps required to achieve them. See Figure 2.

An organization’s mission and strategic goals are the natural starting point for institutional- and unit-level goals. Individual units take companywide strategic goals and deconstruct them into unit goals with clear targets and performance measures. The institution’s highest strategic goals cascade down to the units, which devise goals for their parts of the strategy, as shown in Figure 3.

Top management must examine unit goals to assure itself that they:

- Support and are compatible with the organization’s strategy.
- Add up to a complete plan for achieve the organization’s strategic goals.
- Management must be alert for unit goals that are in conflict with those of the organization or those of other units.
- Management must ensure that all of the initiatives required to achieve organizational goals are covered within the collective unit plans.

Once you settle on goals and a plan to reach them, your unit must find ways to measure its performance in terms of those goals. The metrics of performance should be relevant and clear. Performance metrics should also address factors that you can actually measure without breaking the bank. There are many systems for measuring performance. Our strategic planning committee will initially determine performance measures and the units and individuals will follow up with more specific performance measures.

Steps in establishing performance measures:

1. Determine the unit’s critical areas of performance.
2. Decide how success will be measured.
3. Based on those measures, unit objectives can be defined.
4. Use measures that are **specific, measurable, achievable, realistic, and time-bound (SMART)**.

Once SMART measures have been established, Formulating Action Steps include:

1. Asking the question “How will we achieve these goals and measures?” The answer is through *action steps*. Action steps are the “who,” “what,” and “when” of carrying out strategic initiatives and achieving assigned goals. The sum of these steps should complete the job.
2. What are all the steps that must be taken to accomplish our goal?
3. Can this step be broken down into sub-steps? Ask this question over and over until steps can no longer be broken down. At that point, you will have identified every action step. Some managers use the phrase *work breakdown structure* for this process.
4. Estimate the amount of time required for each step.

An example outline of this process follows (see Implementation Worksheet Appendix A):

<b>Major Step (or task)</b>	<b>Level 1 Sub-steps</b>	<b>Level 2 Sub-steps</b>	<b>Level 2 Sub-step Duration (hours)</b>
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\*Every step must have an “owner” who publicly agrees to take responsibility for it.

An action plan is not complete if it fails to recognize the resources a unit needs to implement its share of the strategy. Action plan resources typically include many of the following:

-People	-Money (per budget)
-Technologies	-Office space
-Support from other departments	-Strategic partners
-Time	-Training

Some questions managers might ask when assessing resource needs include:

- How will this new action plan impact my group’s ongoing day-to-day work?
- Can the existing resources cover the action plan in addition to business-as-usual?
- If not, what additional resources will the unit need?
- What new skills will our people need to execute the plan?
- What training will be required, and at what cost?
- What new systems or technology will we need to support the initiative? At what cost?

\*Do not only look at today’s needs, also consider needs for the coming years. Therefore, consider (for example) hiring for tomorrow. Also, consider training present employees now for future needs.

Few units work effectively in isolation. They need to collaborate with others (inside and outside of the organization) to accomplish their goals. We refer to these points of cross-functional collaboration as interlocks. Interlocks do not appear on an organization’s organizational chart. They may take the form of a task force, an

interdepartmental team, or individuals within a department working together. Interlocks involve ‘giving’ and ‘receiving’. As obligation across units and departments increases, organizations often form cross-functional teams comprising representatives from each of the units that have interlocking interests and obligations. Cross-functional teams typically develop a charter outlining the group’s role, responsibilities, key milestones, deliverables, and decision-making processes. Note that interlocks may complicate managerial control, the assignment of resources, and accountability.

To ensure accountability, for all aspects of the strategic plan including interlocks, it is wise for managers to document all needs, expectations, and obligations.

**Tips for Crafting an Action Plan:**

1. Keep it simple.
2. Involve the people who will execute the plan.
3. Structure your action plan in achievable chunks.
4. Specify roles and responsibilities.
5. Make it flexible.

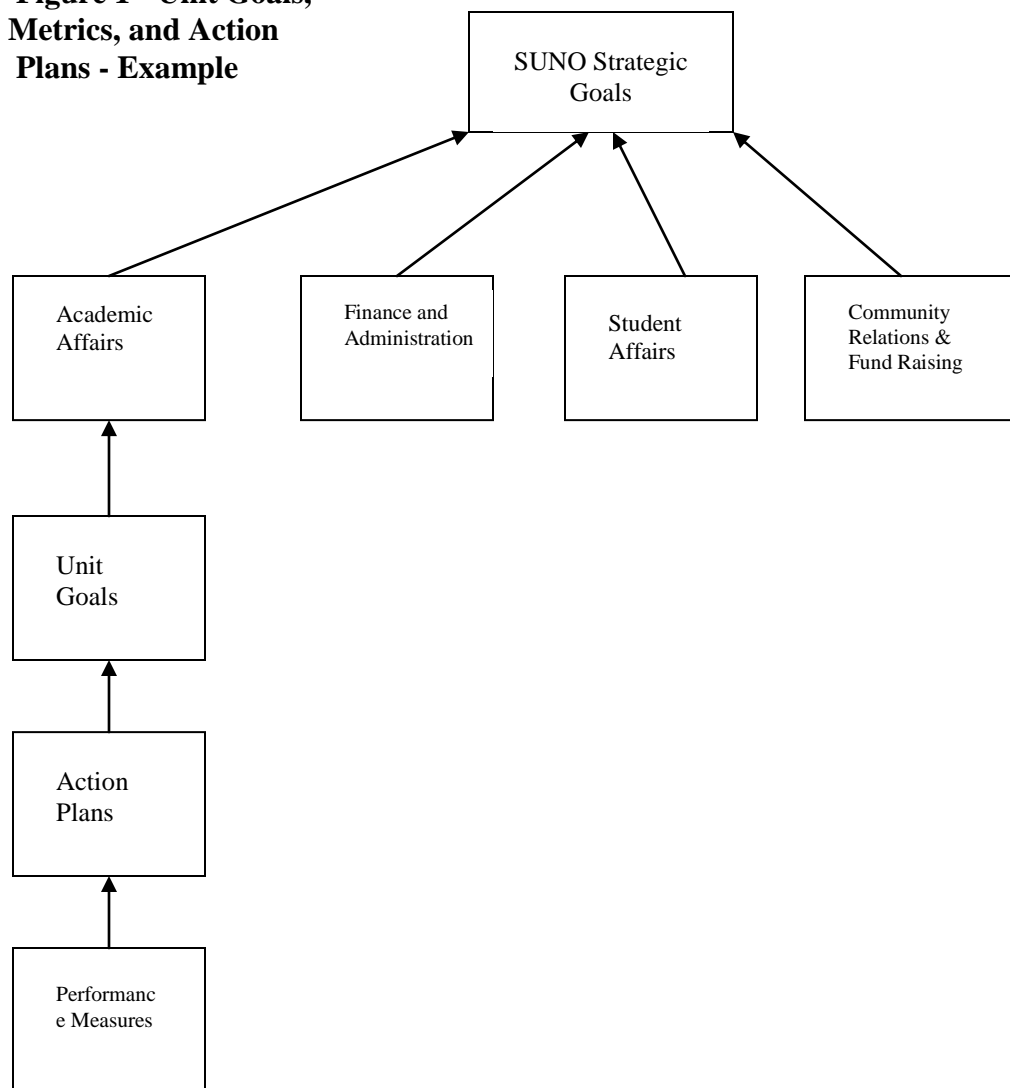
The final piece of the unit action plan is an estimate of the costs associated with the plan.

**An appropriate action plan will include:**

- Goals
- Performance metrics
- Action Steps
- Resources
- Interlocks
- Financial impact statement

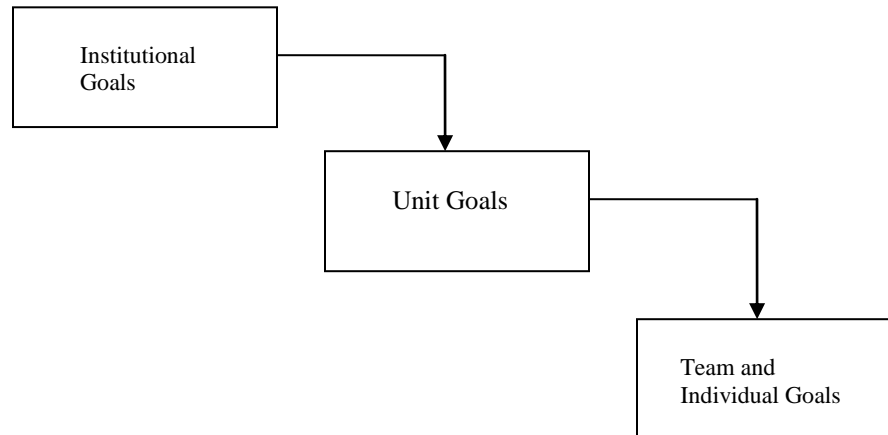
### 1. Unit Goals, Metrics, and Action Plans – Examples

**Figure 1 - Unit Goals, Metrics, and Action Plans - Example**



## 2. Linking Institutional, Unit, and Team/Individual Goals

**Figure 2 - Linking Institutional, Unit, and Team/Individual Goals**



Information in this document from “Strategy – Create and Implement the Best Strategy for Your Business,” HBS Press.

## V. IMPLEMENTATION AND ACTION PLANS MANAGEMENT TOOLS

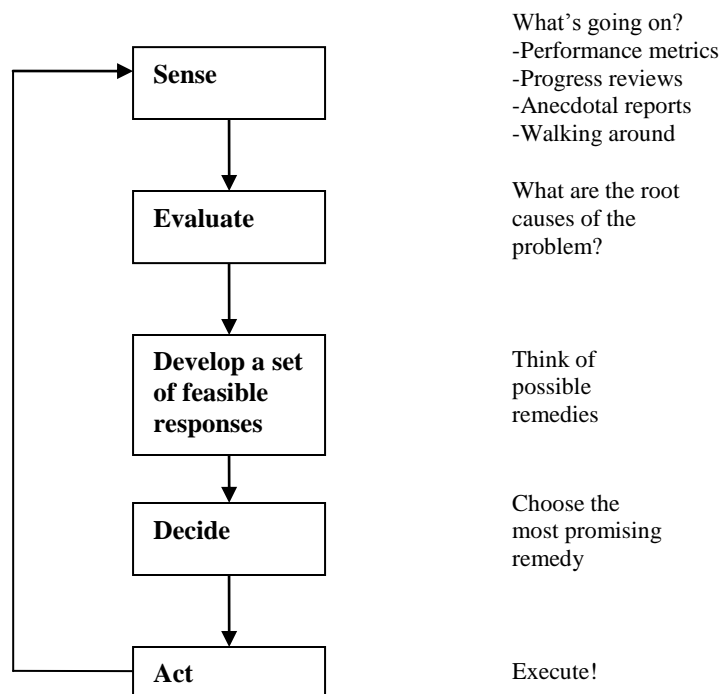
### A. HOW TO STAY ON COURSE

#### Sensing and Responding to Deviations from the Plan

Midcourse adjustments and management intervention are inevitable and necessary regarding the Strategic Plan. The Plan must stay on course (Ex. goals not met, finances not appropriate, etc.). Strategies often fail because they are not executed well. We must prevent, find, and mediate small and other problems before they grow into big problems. Managers have a major role in keeping the Plan on track. See Figure 1. Brainstorming among implementers often leads to more ways to fix problems.

#### 1. Finding And Fixing Implementation Problems (For Management)

**Figure 1 – Finding and Fixing Implementation Problems**



Sensing allows managers an opportunity to evaluate the situation. Progress reviews, using the performance metrics built into the action step(s) makes it possible for managers to gauge how well people are doing relative to the plan. Weekly or monthly progress reviews are good mechanisms for catching problems. Every important goal (company or unit) should be linked to one or more performance measures. Managers should use the metrics and dates to identify progress or lack of progress. Problems should be identified, analyzed, and fixed as soon as possible.

One- or two-page formal quarterly reviews should be submitted by managers to senior managers for each action plan that is being implemented. The reports should address the following:

1. What the unit has accomplished
2. What the unit hasn't accomplished that it said it would
3. Key issues or problems that need resolution
4. Decisions or resources the unit needs from senior management
5. Performance to objectives, when relevant

The Project Progress Report below is a good tool for managers to use to keep an eye on the progress of implementation.

## Harvard Manage Mentor — PROJECT MANAGEMENT TOOLS

### *Project Progress Report*

*Use this form to help assess progress, present this information to others, and think through next steps.*

<b>Project:</b>	<b>Prepared by:</b>		
<b>For the period from:</b>	<b>to:</b>		
<b>Current Status</b>			
<b>Key milestones for this period:</b>			
Achieved (list)	Coming up next (list)		
<b>Key issues or problems:</b>			
Resolved (list)	Need to be resolved (list)		
<b>Key decisions:</b>			
Made (list)	Need to be made: (list)	By whom	When
<b>Budget status:</b>			
<b>Implications</b>			
<b>Changes in objectives, timeline/delivery dates, project scope, resource allocation (including people and financial)</b>			
<b>Next steps</b>			
<b>List the specific action steps that will be done to help move this project forward successfully. Put a name and date next to each step if possible.</b>			
Step	Person Responsible	Date	
<b>Comments:</b>			

Executives and managers must also participate in informal checks, as opposed to formal progress reviews and reports, and must routinely see and be seen on the front lines of implementation. Watching, listening, and asking questions also keep executives and managers abreast of progress or lack thereof. Example questions are: How are things going? Are you getting the resources you need to reach your goals? What is blocking progress? How could I help you and your co-workers? Senior managers and executives should be seen in team meetings, lend a helping hand, and be personally involved in unit activities. This also allows the opportunity to reiterate the strategy, why it is important, and how everyone benefits from its success.

Some of the common causes of implementation failure include:

-Cause: Plans are expanded

Antidote: Take plan expansion and required resources to the implementation executive for decisions to provide resources for expansion or deny expansion of the plan.

-Cause: Plans are trimmed or cut back

Antidote: Implementation leaders should decide if a trimmed down plan finished on time is of greater value than the original plan finished somewhat later. Ask question 'Would SUNO's strategy be threatened if the implementation period was lengthened?'

-Cause: Resources are inadequate

Antidote: Managers should build flexibility into their plans, maintain a reserve (i.e. funds, equipment, people, etc.), and be prepared for resource shortfalls.

-Cause: Interlocks (Collaborations between different units) fail

-Causes: Poor communication

-Misalignment of goals or priorities

-Antagonism between unit managers

-Different working styles

-Lack of incentives for collaboration

Antidote: Communication

All units participating in developing the implementation action plans

-Cause: Change is resisted (passively or actively)

Antidote: Identify potential resisters and redirect their passive or active resistance

1. Identify who has something to lose; discuss the "why" of change to them; explain the urgency of moving away from established routines or arrangements
2. Emphasize the benefits of the new strategy to potential resisters (future job security, higher pay, etc.).
3. Help resisters find new roles – roles that = genuine contributions and mitigate their losses.
4. Empower resisters by giving them control by making them active partners in the strategy implementation and action plans.

\*If these interventions, then move resisters out of your unit (where their particular skills can be better used).

Develop contingency plans to handle potential setbacks. A contingency plan is a course of action prepared in advance of potential problems. Just as each task in the action plan should have an owner, managers should make someone responsible for each serious risk in the action plan.

## **B. THE PEOPLE SIDE OF IMPLEMENTATION**

### **Getting the Right People on Board**

People are the most important part of implementation and also the greatest challenge for managers; they must know success is important, they must be motivated, and they must be provided real incentives for their hard work.

Enlist the support and involvement of key people; employees whom others respect. To identify key people, ask these questions: Who has the power to make or break the change? Who controls critical resources or expertise? Of these people, who will gain or lose something? Are there blocks of people likely to mobilize against or in support of the change effort? Pick a good team.

How do you know if you have a good team? Ask these questions: Are enough of your company's key players (people in relevant positions of power) on the team? Do members of the team have the relevant expertise to do the job and make intelligent decisions? Does the team include the needed range of perspectives and disciplines to do the job and make decisions? Does the team include people with sufficient credibility so that employees and management will treat its decisions seriously? Does the team include true leaders? Are the team members capable of forgoing their personal interests in favor of the larger organizational goal?

Who should NOT be on the team? 1. People with big egos, 2. Snakes, and 3. Reluctant players. Implementing a new strategy is difficult enough without having these people on your team.

Support the Plan with consistent behaviors and messages that are aligned with the implementation program.

Develop enabling structures, such as pilot programs, training, and reward systems, that underpin successful implementation. Pilot programs are test runs. Training enables employees. Give rewards for working harder, working smarter, or working in new ways to support implementation. Questions managers should ask:

- Can you find a place for pilot programs in your strategy implementation?
- What training, if any, is appropriate before you move forward with action plans?
- Is employee behavior aligned with action plans through rewards?

Celebrate milestones (small and large). It is necessary to keep spirits and energy, as well as interests up. Celebrating neutralizes skepticism, shows that hard work pays off, retains support, keeps momentum going, and boosts morale. Here are a few suggestions for celebrating short-term wins and keeping your team pumped up:

- Treat implementers to a catered lunch; bring an outside speaker to talk about his/her company's success in implementation
- Take the afternoon off (for an activity perhaps)
- Recognize the work of exceptional contributors

Do something grander for major successes; at midpoint of initiative, host a dinner with the Chancellor as keynote speaker. \*Don't celebrate prematurely! And use the credibility and momentum of the short-term win to move into and to accomplish the next milestone.

Communicate relentlessly. Communication is the most important implementation tool available to managers and it should be used to clarify: What the strategy is, Why the strategy is important, How effective implementation will benefit the university and employees, and What role each person will play in implementing the strategy. **THIS SHOULD BE THE CORE OF THE CHANCELLOR'S PEP TALKS AND EVERY MANAGER'S COMMUNICATION TO DIRECT REPORTS AND THEIR SUBORDINATES.** The following are some communication tips:

1. Specify the nature of the new strategy and the results you aim for (customer satisfaction, quality, increased monies, productivity).
2. Explain why.
3. Explain the scope of the strategy change, even if it contains bad news.
4. Develop a graphic representation of the implementation action plan that people can understand and hold in their heads.
5. Predict the negative aspects of implementation.
6. Explain the criteria for success and how it will be measured.
7. Explain how people will be rewarded for success.
8. Repeat, repeat, and repeat the purpose of change and actions planned.
9. Use a divers set of communication styles.
10. Make communication a two-way proposition.
11. Be consistent.

The people side of implementation should be the most important concern of managers.

### **C. STRATEGY AS WORK-IN PROGRESS**

#### **Keep Looking Ahead**

No strategy is effective forever; external and internal environments change. Managers need to know how to assess the effectiveness of the strategy and how to recognize warning signs of losing the power to capture and satisfy customers. Managers should revisit the SUNO strategic planning process diagram and recall the feedback loops from the performance measurement portion of the model developed during the strategy creation process. Measurement tells managers how well their strategy in its implementation is working. Following the process diagram (Figure II) shown below, the next section addresses three approaches to strategy performance measurement (i.e. How well is your strategy working?): financial analysis, the balanced scorecard, and market analysis.

Financial statements – balance sheets and income statements – and profitability ratios based on financial statements give insight as to the strategy's effectiveness. **THESE RATIOS HELP TO UNDERSTAND BUSINESS PERFORMANCE.** Gauging from one year to the next contributes to an understanding of the effectiveness of the strategy and the implementation through operations. Profitability ratios associate the income earned with the resources used to generate the earned income. Important ratios include return on assets (ROA), return on equity (ROE), return on investments (ROI), and operating margin or earning before interest and taxes (EBIT).  $ROA = \text{Net Income} / \text{Total Assets}$ . ROA relates net income to the investment in all financial resources (should not be considered in examining effectiveness of strategy).  $ROE = \text{Net Income} / \text{Shareholders' Equity}$ . ROE relates net income to the financial resources invested by shareholders.  $\text{Operating margin} = \text{EBIT} / \text{Net Sales}$ . This gives a clearer indication as to manager performance. None of these indicators is a sure indicator of strength or weakness of the strategy. However, declines in these ratios over time should indicate to management that something might be poorly executed regarding the strategy. Note: 'Shareholders' and 'stakeholders' are all individuals and entities that have invested any thing in SUNO and expect a benefit as a result of their investment.

Financial ratios are outcomes. They are not buttons we push to get things done. They do not measure customer satisfaction or organizational learning (which assures long-term profitability/success). Balanced scorecards measure performance and give managers a more comprehensive view of business. They include financial measures that include the results of past actions and includes three sets of operational measures that relate directly to customer satisfaction, internal processes, and the organizations ability to learn and improve (the activities that drive future financial performance); therefore assessing both the company's strategy and its operational implementation. The balanced scorecard allows managers to answer the following questions:

- How do customers see us? (the customer perspective)
- What must we do to excel? (the internal perspective)
- Can we continue to improve and create value? (the innovation and learning perspective)
- How do we look to our shareholders? (the financial perspective)

1. SUNO Strategic Planning Process

Figure 2 – Strategic Planning Process

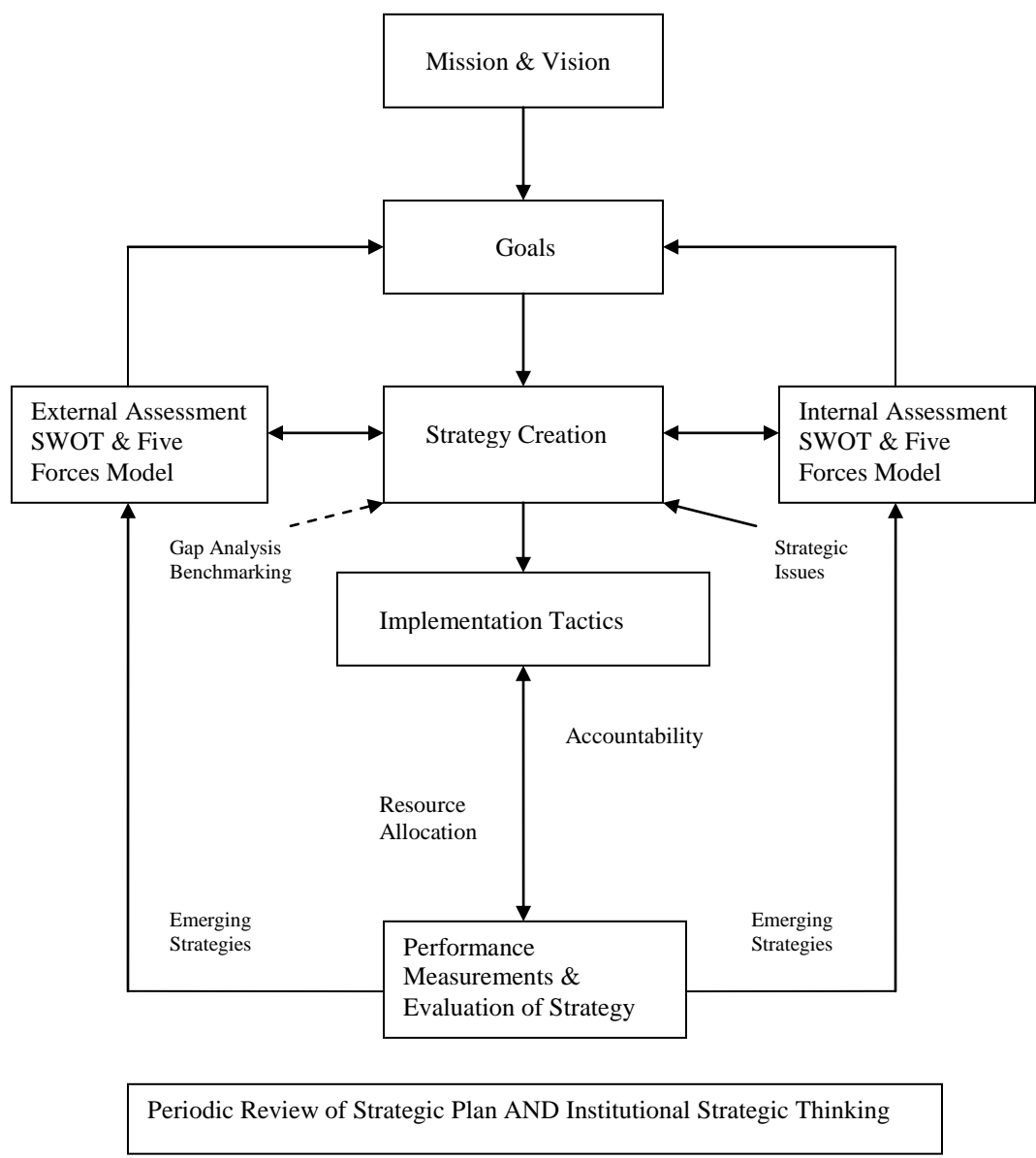
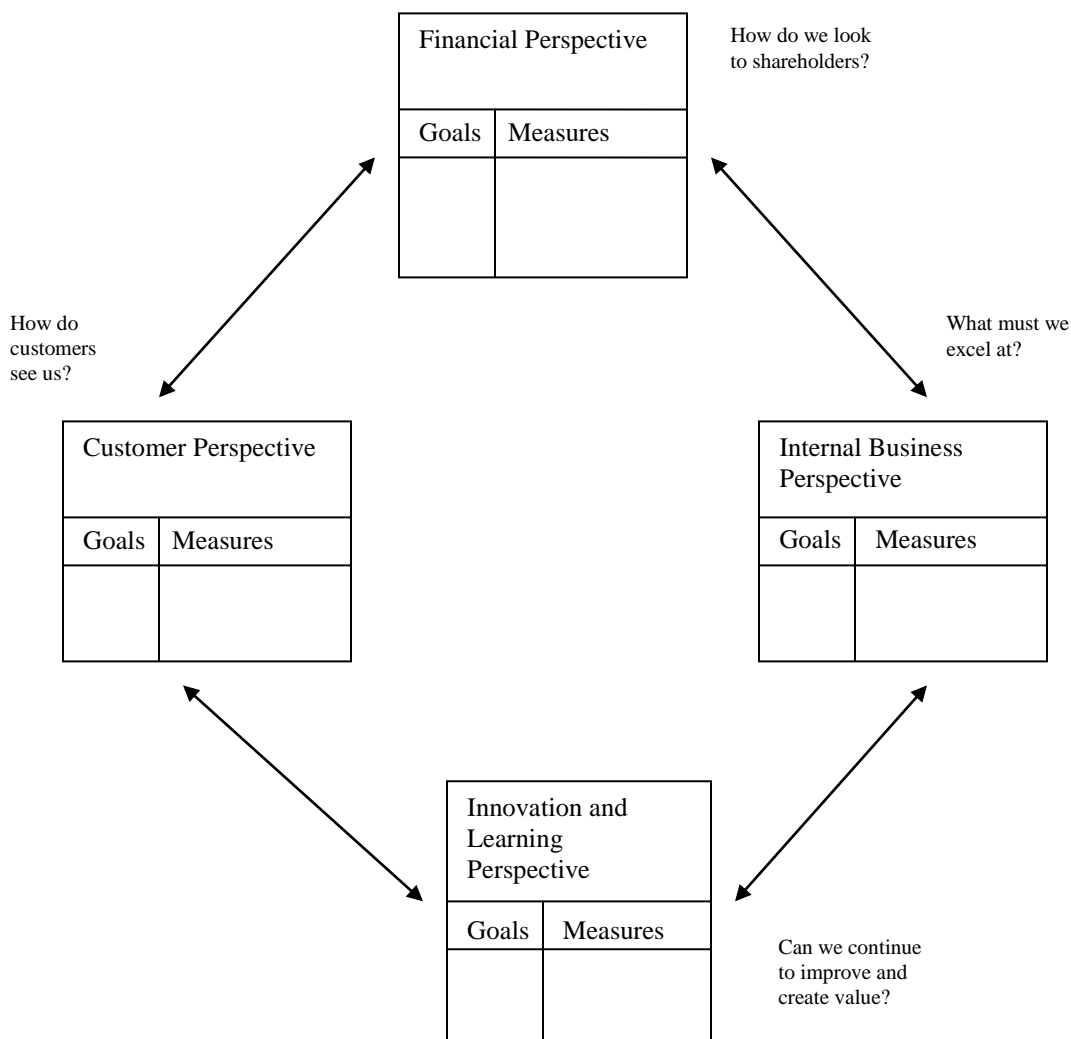


Figure 3 below shows the linkages between the four perspectives. The manager should manipulate these four perspectives in order to achieve future results. USED TOGETHER, THE BALANCED SCORECARD AND TRADITIONAL RATIO ANALYSIS CAN HELP MANAGERS UNDERSTAND THE EFFECTIVENESS OF THEIR STRATEGY AND IDENTIFY AREAS WHERE IMPLEMENTATION NEEDS WORK.

## 2. The Balanced Scorecard Links Performance Measures

**Figure 3**  
**The Balanced Scorecard Links Performance Measures**



Some of the activities that are necessary, and are very helpful in market analysis include:

- Customer acquisition. Are you succeeding at acquiring new customers at an acceptable cost?
- Customer profitability. Are your current customers profitable to serve?
- Customer retention. Are you retaining your most valuable customers at a reasonable cost?
- New Products/Services. Are your new products/services successful and profitable?
- Market share. Are you gaining share in the market segments that matter?

Any negative responses to these questions should cause you to reexamine your current business strategy.

Warning signs for problems will probably not appear overnight. Successful strategy attracts competitors or imitators. Success indicates the provision of something unique that customers' value. This differentiates your company and gives it a competitive advantage. With new entrants doing the same thing, the competitive advantage and differentiation will disappear. There are several defenses against competitors or imitators entering your market:

- Deliberately erect barriers to entry.
- Don't maximize profits.
- Exploit the experience curve to establish yourself as the low-cost leader.

If none of these activities work, the strategy must be altered in order to produce differentiation and competitive advantage.

Businesses' core technologies must be appropriate for today's (and perhaps tomorrow's) business environment. Business leaders must be aware of changing technologies and adjust strategies accordingly. Business must be prepared to enhance their present technologies as well as to incorporate new technologies that may become available. Two solutions to the invasion of new technologies include:

- Anticipate them (continually scan the external environment for potential threats). Establish policies that anticipate emerging technologies, send appropriate personnel to conferences, or setting up a unit to scan the technological literature.
- Go looking for trouble. Ask "What could kill our business?" Set up a good team to develop a business strategy capable of penetrating your market and stealing your current customers.

In leading strategic change, leaders need to be open-minded in their thinking. It is easier to stay the same than it is to change for something new. Continual monitoring of external and internal environments will contribute to the thinking and necessary strategic changes for leadership.

*Information in this document taken from "Strategy – Create and Implement the Best Strategy for Your Business", Harvard Business School Press, 2005.*

## VI. INCENTIVES AND AWARDS FOR PERSONNEL

I have a very interesting book entitled “1001 Ways to Reward Employees” by Bob Nelson, Ph. D. This book literally has hundreds to thousands of low-cost, proven strategies, best practices, and group activities rewards for personnel. As a note, the top motivator of employee performance is recognition for a job well done. Please consider the following guidelines for effective rewards and recognition:

1. Match the reward to the person.
2. Match the reward to the achievement.
3. Be timely and specific.

Some important definitions:

1. **Recognition:** an intangible activity, such as thank-yous, pats on the back, and positive gossip.
2. **Reward:** something tangible, such as money, merchandise, or travel.
3. **Award:** a combination of these terms such as a trophy, plaque, or certificate (honor for certain achievement, a presentation of some sort...)
4. **Incentive:** planned award (advance knowledge that if you do a certain thing, you will be given a certain reward).
5. **Formal reward:** planned, structured programs, repeated over time.
6. **Informal reward:** more spontaneous.

Rule of Thumb: For every four informal rewards (e.g. a special thank-you), there should be more official acknowledgement (e.g. a letter of recognition); for every four official acknowledgements, there should be more official reward (e.g. a plaque or public praise a company meeting); leading ultimately to more traditional rewards such as raises, bonuses, promotions, and special assignments.

The book content and reward categories are as follows:

### **Day-to-Day Recognition**

- Personal Praise & Recognition
- Written Praise & Recognition
- Electronic Praise & Recognition
- Public Praise & Recognition

### **Informal Intangible Recognition**

- Information, Support, & Involvement
- Autonomy & Authority
- Flexible Work Hours & Time Off
- Learning & Career Development
- Manager Availability & Time

**Tangible Recognition & Rewards**

- Outstanding Employee & Achievement Awards
- Cash, Cash Substitutes & Gift Certificates
- Nominal Gifts, Merchandise & Food
- Special Privileges, Perks & Employee Services

**Group Recognition, Rewards & Activities**

- Group Recognition & Rewards
- Fun, Games & Contests
- Celebrations, Parties & Special Events
- Field Trips & Travel

**Rewards for Specific Achievements**

- \*Sales Revenue
- Customer Service
- Employee Suggestions
- Productivity & Quality
- Attendance & Safety

**Formal Organizational Reward Programs**

- Multilevel Reward Programs & Point Systems
- Company Benefits & Perks
- Employee & Company Anniversaries
- Charity & Community Service
- \*Company Stock & Ownership

The book, including these categories, may provide us with additional awards, rewards and incentives considerations for future personnel activities.

**VII. STRATEGIC PLANNING REFERENCES**

- A. "Strategy - Create and Implement the Best Strategy for Your Business," Harvard Business School Press
- B. "Implementing Strategic Change - Tools for Transforming an Organization," Steven H. Hoisington, S. A. Vaneswaran
- C. "Strategic Change in Colleges and Universities," Daniel James Rowley, Herman D. Lujan, and Michael G. Dolence.

# APPENDICES

### Worksheet for Conducting a SWOT Analysis

<b>Date of Analysis</b> _____ <b>What is being analyzed:</b> _____ (Ex. Enrollment)	
<b>Internal Analysis</b> List factors inherent to what is being analyzed.	
<b>Strengths</b>	<b>Ideas for building on these strengths</b>
<b>Weaknesses</b>	<b>Ideas for reducing these weaknesses</b>
<b>External Analysis</b> List factors external to what is being analyzed, such as customer needs or marketplace trends.	
<b>Opportunities</b>	<b>Ideas for investigating or taking advantage of these opportunities</b>
<b>Threats</b>	<b>Ideas for minimizing or overcoming these threats</b>

Source: Harvard Business Essentials, “Strategy – Create and Implement the Best Strategy for your Business” training tools.

### Work Breakdown Structure

Develop a Work Breakdown Structure (WBS) to ensure that you do not overlook a significant part of a complex activity or underestimate the time and money needed to complete the work. Use multiple pages as needed.

<b>Describe the overall project:</b>				
Major Task	Level 1	Level 2 Subtasks	Level 2 Subtask Duration	
	<b>Total duration</b> (hours/days/weeks)			
	Major Task	Level 1 Subtasks	Level 2 Subtasks	Level 2 Subtask Duration
<b>Total duration</b> (hours/days/weeks)				

Source: Harvard Business Essentials, "Strategy – Create and Implement the Best Strategy for Your Business"

**Worksheet for Work Breakdown Structure**

**UNIT IDENTIFICATION:** \_\_\_\_\_

**STRATEGIC GOAL:** \_\_\_\_\_

**OBJECTIVE:** \_\_\_\_\_

**NOTE:** For each Action Step, indicate the tangible results, person/department responsible, costs and time-line.

<b>STRATEGY</b>	<b>ACTIVITY OR ACTION STEPS</b>	<b>PERFORMANCE MEASURES OR TANGIBLE RESULTS</b>	<b>PERSON OR DEPARTMENT RESPONSIBLE</b>	<b>TIMEFRAME FOR IMPLEMENTATION</b>	<b>COST</b>