

# Funding the Future in Tough Times: The Programming Dilemma

Sandra R. Patterson-Randles

# The Challenges

- Erosion of public confidence in higher ed
- Decreased enrollments impacting budgets
- Decreases in state/federal funding
- Drastic measures — mergers, closures, scaled back offerings
- Graduates criticized as unprepared for the workforce
- Student needs and learning dramatically changing
- Jobs of the future not invented yet

# The Dilemma

So how do higher education institutions choose and support initiatives which will successfully “fund the future”?

# The Case Study

- Three different planning efforts
- Public, comprehensive, master's level regional university
- Metropolitan area with significant rural draw
- Mainly a “commuter campus”
- Planning covering nearly two decades

# Learning Outcomes

1. Create circumspect pre-planning strategies to invite proposals for forward-thinking campus and curricular programming.
2. Develop effective guidelines and methodologies for evaluating the impact and desirability of competing proposals.
3. Identify funding priorities and develop assessment rubrics and budget hearing guidelines to ensure adopted proposals deliver expected results and maintain relevancy.
4. Identify best practices and potential pitfalls of implementing programs when funding is scarce or uncertain.

# For each effort

- Motivation for the planning
- Process for solicitation of proposals and selection
- Planning issues
- Projects chosen/results

# Effort I – The “Academic Plan” (1997) and the “Red Book” Plan (Strategic Plan 2001: Excellence For a New Millennium)

## Motivation:

- New chancellor, 6 yrs. to retirement
- Upcoming accreditation review (1999)
- Desire for high-profile advances

## Process: Phase 1, The Academic Plan

- Outside consultant working with campus leaders
- Use of external framework for planning
- Sessions involved the Campus Executive Council
- Emphasis primarily on academic needs and priorities
- Non-specific consideration of budgetary needs



## Planning Issues:

- Limited campus-wide input and buy-in
- Priorities identified by involved leadership
- Unclear funding
- Standard, lock-step format via consultant
- Little involvement of off-campus stakeholders

# Process: Phase 2, The “Red Book” Plan in 2001

- Mixed accreditation review requiring immediate action; upcoming focused visit and interim report
- Open solicitation of proposals from entire campus (only 12 received)
- Speedy, five-month planning derived from previous Academic Plan with help of consultant
- Reviewed by campus leadership group for implementation
- Six projects selected; clear estimates of funding required; only three funded

## Projects Chosen/Results:

1. Freshmen Year Seminar (committed to implementation in spite of not knowing upcoming funding levels)
2. ROPES course
3. Marketing Project (5 county area)
4. Facilities Improvements (a plan to plan multi-year repairs and renovations)
5. Honors Program
6. Website Development

# Effort II – Commitment to Excellence Program

## Motivation:

- University-wide budget strategy
- Subsidized by tuition add-on for several years
- Promotion of innovation/entrepreneurship; advancement of undergraduate education
- Mandated by President and Board of Trustees

## Process:

- Annual solicitation of campus proposals
- Faculty review committee
- Rankings submitted to the Budget Committee
- Central administration approval required

# Planning Issues:

- No tie-in to comprehensive strategic plan
- Very competitive; turf wars
- Limited time funding
- Unrealistic expectations
- No standard format for demonstrating need for the proposed program

## Projects Chosen/Results:

- Annual Student Research Conference
- The Common Experience
- Institute for Learning and Teaching Excellence
- Four internationally focused programs
- Faculty positions – Criminal Justice, Honors, Informatics, Nursing
- Conversion of part-time instructors to full-time lecturers
- New Dynamic Records
- Career Service Testing Program

## Operational Note:

- Funding approved for 1-2 years at a time
- Extensive assessment required for continued funding
- Beyond the subsidy period, need for campus to find ongoing funding
- Created Degrees of Excellence program; a university initiative to reduce overhead expenses by 1% per year for five years and reinvest the funds in programs that increase retention and graduation rates.



# Effort III – Strategic Commitments for Growth to Distinction Strategic Plan 2005-2009

## Motivation:

Need for Comprehensive Strategic Planning at IU Southeast

- 1999/2000 accreditation review critical of five major areas
  - General education
  - Diversity
  - Assessment
  - Planning
  - Tying assessment/planning to budget
  
- Erratic enrollment – no enrollment management
- Outdated and limited infrastructure

## Pre-planning Issues:

- No previous comprehensive, institution-wide planning
- No use of collected institutional data; checkered history of effective, data-driven decision making
- Little knowledge of institutional history, current environment, colleague duties and responsibilities
- Little trust that members of other units could represent the views of any particular stakeholder
- Lack of progress in addressing weaknesses identified by HLC
- Community members who distrusted academics' ability to do effective planning and implementation

# Strategic Planning Committee at IU Southeast

- Broadly based – 27 members
  - 5 vice chancellors
  - 7 deans/library director
  - 6 faculty school representatives
  - 5 staff representatives
  - 1 community representative (Board of Advisors)
  - 2 student representatives
  - chancellor
  - ex officio: institutional researcher and administrative support staff

# Additional planning participants

- 80 regional community members for specific goals at later stage of planning
- Members of IU central administration for specific goals
- Administrators at other regional institutions for insights on specific goals

## Process:

- Chancellor discussed the need for comprehensive strategic planning in meetings with individual campus groups and public speeches both on and off campus
- Candidates selected from among faculty and staff – September-October 2003
- Committee convened – October 2003
- Committee studies school's history – October 2003

# Readings for Environmental Scan

October- December 2003

- Census Bureau Demographic Information
- Enrollment Reports
- Campus Attrition Data
- Student Body Profiles
- Previous Planning Documents
- Indiana Commission for Higher Education Documents – “Blueprint for Policy and Planning Development in Higher Education”
- AGB Documents
- Brookings Institute Study for Greater Louisville
- Local Chamber’s Plan (SI20/20)
- STAMATS Information
- Greater Louisville Chamber’s Business Network Report
- Kentuckiana Works Planning Documents
- Indiana Regional Workforce Investment Strategic Plan
- Local K-12 Planning
- Continuing Student Surveys
- NSSE Results
- Best Practices Articles

## Process (continued):

- SWOT analysis – December 2003
  
- Joint determination of major goals – January 2004
  - Six major goals identified by consensus of all committee members
  - Seventh goal added at insistence of Chancellor and supported by committee members once the omission was identified

# Strategic Commitments for Growth to Distinction

## Indiana University Southeast Strategic Plan 2005-2009

- Goal 1 – Educational Excellence
- Goal 2 – Effective Enrollment Management
- Goal 3 – Enhanced Diversity
- Goal 4 – Strengthened Resources
- Goal 5 – Better Image
- Goal 6 – Stronger Community Relations
- Goal 7 – Ongoing Strategic Planning



# Process (continued):

- Sub-committees with two co-chairs formed for each goal; charged with “fleshing out” Strategic Objectives and Initiatives for each goal with input from campus and local community members.
- Full draft of plan circulated to all members of the campus community for comment – Spring 2004
- Preliminary draft submitted to IU President for review – May 2004
- Refined version of plan made available to Board of Advisors and campus leaders – October 2004
- Plan finalized with 7 major goals and over 200 initiatives – December 2004

**Goal 2 – EFFECTIVE ENROLLMENT MANAGEMENT:** IUS will develop an up-to-date, data-driven enrollment management program, which will provide a sustainable enrollment base and enhance student retention and persistence to graduation.... The following strategic objectives and initiatives will enable IUS to achieve a sustained, competitive advantage in accordance with its educational mission and fiscal requirements:

**Strategic Objective 2.1:** IUS will determine its optimal size and student body academic profile for the next five years, including the mix of traditional and non-traditional students, undergraduate and graduate students, and the percentage of minority and international students.

**Strategic Objective 2.2:** IUS will develop a comprehensive recruitment plan that will attract potential students

**Initiative 2.2.1** IUS will develop and implement a comprehensive recruitment plan, including a review of undergraduate admissions criteria, engaging Schools/Divisions and alumni in the recruitment process, contacting middle school students, and utilizing the admissions funnel to track prospects and matriculated students from the inquiry stage to enrollment.

## Planning Issues:

- Huge document with many initiatives – Is it possible?
- What comes first?
- How to assess progress?
- How to estimate resources?
- Who does all this?
- Whom do we tell and how?
- Huge time commitment

## How IUS avoided S.P.O.T.S.

- Clearly accountable parties for all segments of the plan
- Breakout of prioritized initiatives on a yearly basis
- Use of annual accomplishment charts for progress documentation
- Strategic plan initiatives worked into employees' yearly reviews and goals

## How IUS avoided S.P.O.T.S. (continued)

- Budget requests tied to strategic plan; assessment results and demonstrable progress required for extension of support or new monies
- Regular reports to campus
- Modification of targeted initiatives as needed on a yearly basis
- Major review halfway through plan time period; 75% of initiatives completed, completed and ongoing, or substantially in progress

# Initial Breakout of Initiatives

## GOAL 2: ENROLLMENT MANAGEMENT

OBJECTIVE OR INITIATIVE	RESPONSIBILITY	TIMELINE	ASSESSMENT	COST
2.1	EM Committee, Deans, & Cabinet	Year 1 (fall '04)	Optimal size and profile report	Personnel/Time
2.2.1	Admissions	Yr 1 (Development) Yr 2 (Implementation)	Plan is implemented (measure in Yr 3). Does Plan achieve Objective 2.1?	TBD
2.2.2	Admissions and Continuing Educ.	Yr 2	# of partnerships and # of students	Salary for new off-site faculty
2.2.3	3 Grad. Prog. Coord.	Yr 1	# of grad. students from Ivy Tech and JCC personnel ranks	Time and postage
2.2.4	VC Academic Affairs and Deans	Yr 2	Decision and written plan	Time and faculty
2.2.5	Admissions	Yr 1	# of contacts made by current students	Student Ambassadors
2.2.6	3 Grad. Coord., Deans, R. Burch	Yr 1	Graduate recruitment plans (3) and marketing plan for each	Publications, marketing, postage
2.2.7	Continuing Educ.	Yr 3	# of partnerships and students and satisfaction surveys	Adjunct faculty costs
2.2.8	VC Student Affairs and VC Technology	Yr 2	Completion of Welcome Center	Library Renovation Budget
2.3.1	EM Committee, Inst. Research, G. Roberts	Yr 1	Data Analysis Report	Time
2.3.2	Student Recruitment & Retention Com. and G. Roberts	Yr 2	Established goals and retention plan	Time
2.3.3	Asst-VC- EM and G. Roberts	Yr 2	Retention Report	Time
2.3.4	Career Services and Volunteer Coord.	Yr 1	Report of services and programs	Time
2.4.1	Asst-VC-EM	Yr. 1	Communications Plan is implemented	Time, Postage
2.4.2	R. Burch & Asst-VC-EM	Yr. 1 Plan, Yr. 2 Implementation	Marketing Plan developed yr. 1; implemented yr. 2	(1) time; (2) marketing

Goal - # 5 IUS will define and enhance its image and raise its profile as a regional leader and resource center through strategic marketing and public relations.

Objective or Initiative	Priority	Description	Responsibility	Timeline		Assessment Methodology	Incremental Resources			Cross Reference	Note
				Begin (Year)	Complete (Year)		Estimated Costs (L,M,H)	Time Required (L, M, H)	Resource Assumptions		
5.1	1	Conduct research to establish baseline data (i.e., determine current image)									
5.1.1	1	Conduct focus groups and compile current data on perception of IUS	VC/UA, Instt Research	Year 1	Year 2	Completion of baseline image report	Low	High	Use University Resources	2.9.2, 2.9.3, 3.3.9, 4.4.2, 7.4.2	If outsourced, \$40,000
5.2		Develop marketing, PR, communications campaign									
5.2.1	1	Create internal work group	VC/UA	Year 1	Year 2		Low	Low		4.5.1	
5.2.2	1	Solicit campus success stories	PR Spec	Year 1	Ongoing	Publication of success stories in IUS Times, local & regional media Group meets semi-annually to discuss progress	Low	Medium		6.9.6	
5.2.3	2	Develop key communicators network	VC/UA	Year 1	Ongoing		Low	Low	\$1,000 for postage, meeting expenses (food, beverages)		
5.2.4	2	Develop vehicles to keep key communicators informed	Mkt Asst., PR Spec	Year 1	Year 2		Low	Low	Mostly email and web-based communication	7.4.1	
5.2.5	2	Develop 30-second "elevator" speech	VC/UA; Mkt Asst; PR Spec	Year 1	Ongoing		Low	Medium			Word-of-mouth "buzz" campaign
5.3		Develop advertising campaign									
5.3.1	1	Determine marketing messages	Chancellor, Cabinet, Mkt Asst, PR Spec	Year 1	Ongoing					2.2, 2.3, 2.4, 2.9	
5.3.2	1	Develop branding strategy	VC/UA; Mkt Asst; PR Spec	Year 1	Year 1						
5.3.3	3	Create "testimonial" bank	Mkt Asst., PR Spec	Year 1	Ongoing		Low	Medium		6.9.4	
5.4		Develop media relations strategy									
5.4.1	3	Produce annual PR calendar of newsworthy events	PR Spec	Year 1	Ongoing		Low	Low		4.5.1, 6.5.3, 6.5.4	
5.4.2	3	Maintain database of media contacts	PR Spec	Year 1	Ongoing		Low	Low			
5.4.3	3	Schedule meetings of Chancellor with editorial boards	Chancellor, VC/UA	Year 2	Ongoing		Low	Low			
5.4.4	3	Propose/write op-ed pieces	Chancellor, VC/UA	Year 2	Ongoing		Low	Medium		4.5.1	
5.5		Expand speakers bureau and develop "campus representatives" program									
5.5.1	2	Maintain and expand "experts" list	PR Spec	Year 1	Ongoing		Low	Medium		6.3.5	

# Indiana University Southeast - Strategic Plan Reporting Template

## Goal 2 Enrollment Management

Objective or Initiative	Description	Responsibility	Projected Completion	Status	Anticipated Costs	Comments
2	IU Southeast will develop an up-to-date, data-driven enrollment management program, which will provide a sustainable enrollment base and enhance student retention and persistence to graduation.		3	In Progress	\$55,000	A three-year (2007-2010) enrollment management plan will be completed by April 2007.
2.1	Determine its optimal size	EM Committee (data) & Campus Leadership Team		Completed		Increase total enrollment by 50 each year (2007-2017) to reach previous record of 6700 students.
2.2	Develop comprehensive recruitment plan.					
2.2.1	Develop comprehensive recruitment plan.	Admissions		Completed & Ongoing		Seventeen new recruitment initiatives were implemented in 2005-06. New admissions criteria established, territory management plan, ongoing tracking of prospects and applicants, Evening with the Chancellor programs, Financing Your Future, developed IM mechanisms, targeted veterans.
2.2.2	Establish business partnerships	Admissions & Continuing Educ.		Completed & Ongoing		Bursar re-instituted the Earn & Learn program with UPS. Developed Fee Remission Employer Deferral program.
2.2.3	Recruit from JCC & Ivy Tech	Transfer Specialist		Completed & Ongoing		Transfer student enrollment has increased 27% (+142 students) from 2004-2007.
2.2.4	Investigate merits of dual credit programs	Asst. VC-EM, VC Academic Affairs & Deans		Completed & Ongoing		ACP Program—8 classes started in 2005-06 (80 students), 12 classes in 2006-07 (106 students), and Bridge to College in progress.



## Results - Final Report of 2005-2009 Plan:

- 95% of 200+ initiatives successfully completed, completed and ongoing, or substantially in progress and near completion
- Full documentation of progress
- Only 11 initiatives intentionally dismissed or not attempted

## Plan Rollover:

- NCA Self-Study process at same time as Strategic Plan rollover; many similar goals.
- Overlap in membership on Self-Study team and Strategic Planning team
- Goals and initiatives freely exchanged for both reports
- Shared research efforts for both initiatives
- Weaknesses identified by the Self-Study team immediately addressed in the new Strategic Plan for 2010-2015, “The Key to Continued Educational Quality and Growth with Distinction.”

## Major Results of the Back-to-Back Comprehensive Strategic Plans:

- Record-breaking enrollments successively in 2009, 2010, 2011
- Record-breaking graduation classes in 2011 and 2012
- Development of first-ever student housing after over 30 years of failed attempts
- Major facilities improvements to support academic programming
- Greatly enhanced reputation in the region
- Greatly increased diversity in both student and faculty ranks

# Advancement Section of NCA Team Report

“IU Southeast has developed a comprehensive, systematic, and integrated strategic planning process that involves a broad-based representation of internal and external constituents in the entire planning process. Throughout the organization, faculty and staff consistently note the institution uses data to establish appropriate benchmarks and performance targets for strategic objectives and initiatives. It is clear that budgetary decisions, requests, and changes are tied to the strategic plan. Most notable, the institution has tied self study identified improvement opportunities for each criterion into the 2010-2015 strategic plan draft.”

In the Assurance Section of the report, the team commented, “In summary, IU Southeast has developed an exceptional strategic planning process that engages all campus constituents and has significantly enhanced the transparency of campus decision making.”

Ultimately the strength of IU Southeast's strategic planning and visioning yielded a review with no "major findings" or criticisms for the campus as well as no required interim visits or reports. In an exit interview the team chair commented that in his 20 years' experience completing reviews, he had "never been at a school that's better run," and he stressed "you have your house in order."

# Lessons Learned

- Be clear about motivations/expectations for the planning
- Identify stakeholders on and off campus and involve them – judiciously
- Create a balanced group of planning participants; good communicators and advocates for the process
- Thoroughly review revenues and expenses
- Carefully gauge support requirements – money, time, effort, people
- Consider limited-time funding until a program proves its worth

## Lessons Learned (Continued)

- Take time to do a thorough background study, context evaluation, and SWOT analysis
- Design an effective mechanism for gauging student interest/need
- Rigorously assess program success and tie continued funding to clearly substantiated progress
- Consider combined programming for budgetary efficiencies
- Make sure that any project chosen is fully integrated with the campus' full strategic plan – a comprehensive viewpoint which gauges how important the initiative really is to the institution



Thank you

Questions?