MICHIGAN STATE UNIVERSITY LIBRARIES
3 1293 10646 6810

THESIS
pt.1

LIBRARY
Michigan State
University

This is to certify that the

dissertation entitled

The Development of a Long-Range and Strategic Planning Guide for a Large, Public University

presented by

Martha Lide Robertson Hesse

has been accepted towards fulfillment of the requirements for

Ph.D. degree in Education

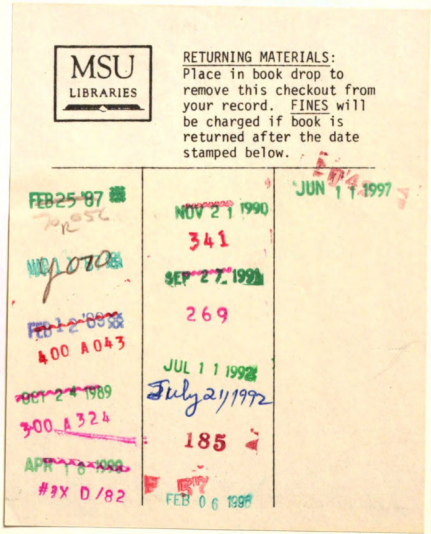
Major professor

Richard Featherstone

Date March 15, 1985

MSU is an Affirmative Action/Equal Opportunity Institution

O-12771


MSU
LIBRARIES
RETURNING MATERIALS:
Place in book drop to remove this checkout from your record. FINES will be charged if book is returned after the date stamped below.
FEB 25 '87
NOV 21 1990
341
JUN 17 1997
SEP 27 1991
269
400 A043
JUL 11 1992
July 21/1992
300 A324
185
#3X D/82
FEB 06 1996

THE DEVELOPMENT OF A LONG-RANGE AND STRATEGIC PLANNING GUIDE FOR A LARGE, PUBLIC UNIVERSITY

By

Martha Lide Robertson Hesse

A DISSERTATION

Submitted to
Michigan State University
in partial fulfillment of the requirements
for the degree of

DOCTOR OF PHILOSOPHY

Department of Educational Administration

1985

© 1985

MARTHA LIDE ROBERTSON HESSE

All Rights Reserved

DEDICATED TO ELIZABETH JANE AINSWORTH ROBERTSON

...for her independence and loyalty,

...for her wisdom and strength,

...for her caring and gentleness,

...for her love and example as my mother.

June 1985

ACKNOWLEDGMENTS

The research described and reported herein has been enriched by the contributions of many individuals with whom I have been associated throughout the course of my studies at Michigan State University. Chairperson of my graduate committee and director of this doctoral research project has been Dr. Richard L. Featherstone, Professor of Educational Administration. He has challenged, led, and guided my development in a collegial manner, which I shall remember as a superb example of the relationship between a professor and a student. Our association is one in which I have continuously learned, and I deeply appreciate his faith in me. His support has meaning beyond what can be described in these acknowledgments, and for that support I shall always be grateful.

Other members of my committee have been generous in their willingness to provide stimulation and suggestions, and to expand my horizons in regard to my graduate program and in the conduct of this research. Dr. Marylee Davis, Assistant Vice-President for Administration and Public Affairs at Michigan State University; Dr. Howard Hickey, Professor of Educational Administration at Michigan State University; Dr. Jean Netherton, Provost at Northern Virginia Community College; and Dr. Ronald Savitt, Professor of Marketing and

Transportation at Michigan State University, have each made unique and significant contributions which I appreciate to the research project.

Dr. Robert M. Lockhart, Director of the Office of Planning and Budgets at Michigan State University, has been supportive of the development of the Planning Guide as a project of interest and potential benefit to Michigan State University. His personal encouragement has provided a momentum helpful to the completion of the research.

The identification of those individuals who participated in the review of the Planning Guide drafts is not possible within the agreement to provide confidentiality. However, to those individuals who must remain unnamed, I express my sincere appreciation for the investment each made in the development of the Planning Guide and the completion of the research project. Without their efforts the study would not have been possible.

To my parents, Lynn and Elizabeth Robertson, I owe the opportunity to have grown to know Michigan State University and the land-grant philosophy. They have always encouraged my participation in the educational process and have helped in many quiet ways to make this accomplishment possible.

My husband, John, has read and corrected more drafts of this dissertation than is reasonable to expect from a good friend, partner, and spouse. His support and willingness to encourage my graduate studies and research have been constant. The participation of our children, Jay, Pamela, and Todd, has added an unexpected dimension to

my experience of graduate study and I hope has expanded their horizons, as well. I admire, respect, and am grateful for the patience, involvement, and understanding which they have demonstrated. In large measure, this research project has been a family team effort.

TABLE OF CONTENTS

	Page
LIST OF TABLES	ix
LIST OF FIGURES	x
Chapter	
I. INTRODUCTION	1
Background	1
Purpose of the Study	3
Focus of the Study	5
Importance of the Study	6
Definition of Terms	7
Limitations and Delimitations	8
Design	9
Overview	14
II. REVIEW OF THE LITERATURE	16
Connotations Associated with Planning	16
Applicability of Business Planning Concepts to Higher Education Planning	20
General Approaches to Planning--Planning Defined	24
General Approaches to Planning--Higher Education	25
General Approaches to Planning--Long-Range and Strategic Planning	27
Components of Long-Range and Strategic Planning	31
Planning Structure--Long-Range and Strategic Planning	40
Benefits and Cautions--Long-Range and Strategic Planning	50
Documentation--Long-Range and Strategic Planning Guides and Manuals	55
Summary of the Review of the Literature	67

Page

III. DESIGN AND METHODOLOGY 71

Operations Research Described 71
The Development of Operations Research 71
Operations Research as a Mode of Problem Solving . . 72
Operations Research Defined 74
The Use of Models in Operations Research 78
Operations Research and Decision Making 79
Operations Research Applied to the Study of Planning in Higher Education Institutions . . . 80
The Research Design: Development of a Planning Guide . 82
The Stages of Operations Research 82
The Interdisciplinary Team 85
The Development and Role of the Model 87
Summary 91

IV. PRESENTATION OF THE RESULTS 92

Development of the Theoretically Based Guide 93
Cycle I Review 102
The Overall Quality of the Theoretically Based Guide 103
The Perceived Role of the Planning Guide 106
The Organization and Format of the Planning Guide . 106
The Content of the Cycle I Planning Guide 109
The Planning Issues Raised by the Planning Guide . . 114
The Modified Planning Guide 114
The Cycle II Review 123
The Modifications Evaluated 128
The Summary Questions 128
Summary 132

V. SUMMARY, CONCLUSIONS, IMPLICATIONS, AND RECOMMENDATIONS 133

Summary 133
Conclusions 139
Implications 144
Recommendations 145
Recommendations Related to the Planning Guide . . . 145
Recommendations for Further Study 146

Page

BIBLIOGRAPHY 148

APPENDICES 162

A. CORRESPONDENCE RELATED TO REVIEW OF THE PLANNING GUIDE 163

B. MODIFIED (CYCLE II) PLANNING GUIDE 169

LIST OF TABLES

Table		Page
4.1	The Perceived Role of the Planning Guide	107
4.2	The Organization and Format of the Cycle I Planning Guide	110
4.3	The Content of the Cycle I Planning Guide	112
4.4	Unresolved Planning Issues Raised by the Planning Guide .	115
4.5	Cycle II Review of the Planning Guide	125

LIST OF FIGURES

Figure		Page
1.1	Design of the Research Project	11
2.1	Cope's Comparison of Long-Range Planning and Strategic Planning	28
2.2	The Steiner/Miner Structure and Process of Institution-Wide Planning	46
2.3	Keller's Environmental Considerations	47
2.4	Shirley's Levels of Strategy	48
2.5	Recognized Planning Structures	49
2.6	Koontz's Rationale for Planning Failure	54
3.1	Model Evolution	90
4.1	Descriptive and Topical (Cycle I) Outline	100
4.2	Cycle II Planning Guide Outline	121

CHAPTER I

INTRODUCTION

Background

Planning is generally considered as a primary function of managerial decision-making that contributes to the success of an institution (Reinharth, Shapiro, & Kallman, 1981). However, as Keller (1983) noted, academic planning is at a crossroads. Despite a wide acceptance of the importance of planning, studies by Cohen, March, and Olsen (1972), Johnson (1975), and Mayhew (1979) indicated there is little evidence that comprehensive institutional planning actually takes place in American colleges and universities.

Before 1960, comprehensive institutional planning for large colleges and universities was primarily limited to "campus planning"--relating to the building of sidewalks, parking lots, laboratories, buildings, and other physical plant structures. Major data bases, such as Educational Resources Information Center (ERIC), scoped comprehensive institutional planning according to this facility-oriented definition until the 1970s.

During the 1960s and 1970s, many colleges and universities were involved in long-range planning activities that developed increasingly comprehensive five- to ten-year institutional plans (Fife, in Cope, 1981). Long-range planning activities during the 1960s and 1970s

assumed that a university was a relatively closed system and that internal analysis would yield appropriate quantitative models for resource allocation (Cope, 1981). Planning tended to be a separate, ad hoc function within the operations of the university (Stansbury, 1970), the purpose of which was to produce a specific blueprint plan of action.

Known as strategic planning, an approach widely used outside of higher education in corporate planning efforts has received more recent attention (Trotter, 1981). Strategic planning assumes an open system as information is integrated into the university's activities from the external environment. Current and future trends are used to make decisions. Strategic planning focuses on the external environment, innovation, and on integrated participatory involvement in planning activities at a variety of operational levels as resource-allocation decisions are made (Keller, 1983).

The strategic view differs from the long-range approach in its emphasis on change rather than stability, and on external factors rather than internal ones. A variety of studies, including the research of Elia (1981) and Steinert (1971), have asserted that strategic and long-range planning have high applicability in higher education. The integration of these two approaches has been suggested by authorities in both business and education as an optimally effective planning model, as noted by McNeill (1973) and Gil (1982). Keller (1983) noted that while colleges and universities are different and special, they are not outside the organizational world. He advocated

that the time has arrived for college and university leadership to pick up planning tools and use them:

> Planning is becoming essential. It makes the implicit, inarticulate, and private explicit, articulate and public. It brings decision making out of the closet. It replaces muddling through with purpose. . . . For an organization like a university, dependent on knowledge workers who cannot be ordered about by management but must be persuaded to work roughly in unison toward some goals to which they can subscribe, the creation of a widely known plan of action becomes vital. (p. 70)

Purpose of the Study

A set of operational planning principles and guidelines was developed to serve as a framework for long-range and strategic planning at a large, public university. Operations research was described as the procedure selected and used to reach decisions about the development of a planning guide. The study was based on the major premise that universities need an effective, comprehensive planning system to remain congruent with the institutional mission.

Planning activities take on increasing importance for large universities as significant changes take place in arenas such as state and federal funding levels, enrollment shifts, and faculty/staff requirements. The institution's capacity to maintain its mission in the midst of such changes may be directly related to the design for achieving that mission.

Little is known about the nature of institutional planning as it exists in large, multi-mission universities or about the theoretical and experiential factors that structure the framework of a plan-for-planning. Relatively little has been reported about long-range and

strategic planning within the setting of higher education, and literature is extremely limited relative to large institutions.

No models exist for the integration of long-range planning products with strategic planning processes. No models exist for the large, single-campus, public university that does multi-year planning. Although a variety of planning programs are available to universities for the activities related to resource requirements of the instructional mission, there is no model for comprehensive academic program and support services planning related to all three major missional elements--instruction, research, and public service. In general, there is very little formal institutional documentation of existing college and university planning practices and processes. Further, the synthesis of the theoretical planning models with the experience of practicing administrators and faculty exists as a dramatic void in the "state of the art" for higher education planning. It is the last point that will be addressed within this study as there is little evidence that suggests the practical planning experience of university administrators and faculty has been combined with acknowledged theoretical platforms to yield planning frameworks appropriate for comprehensive institutional planning.

Building planning guidelines, applicable for a large university, based on both theoretical and experiential knowledge, puts the complexities and uncertainties of planning into a logical structure that would be amenable to subsequent formal analysis. However, before formal analysis of comprehensive planning principles and guidelines can

be attempted, institutional documents such as a Planning Guide should be set forth. Such documentation should be comprehensive in scope of both academic program and support service units, inclusive of all aspects of the academic mission relating to instruction and research and public service, and should be applicable at the major administrative levels.

In summary, the need for planning principles and guidelines is acute (Cleland & King, 1974). The purpose of the research was to develop such a set of guidelines as an operations research project and to set forth those principles and guidelines in the format of a Planning Guide.

Focus of the Study

The primary focus of this study was on management decision making within the more narrow context of comprehensive institutional planning in a higher education setting. The aspects of planning that received attention were those elements of long-range planning and strategic planning that had received formal review and study. The literature of several fields has reported a variety of applications that have been suggested to hold promise as they could be adopted and adapted in higher education settings.

For the institutional focus of the study, Michigan State University was chosen as a field site appropriate for the development of a plan-for-planning that would have applicability to other similar institutions. Twenty-three publicly supported AAU universities are similar to Michigan State University. The internal diversity of

Michigan State University's academic programs and support services represents a range of complexity not incompatible with other large American institutions of higher education. More specifically, the institutional aspect of focus concentrated on the three major administrative levels at Michigan State University as representative of a common hierarchical structure that includes central administration, colleges/major administrative units, and departments/schools/divisions.

Importance of the Study

Although institutional value of comprehensive planning processes and products is a notion that has been well advanced in corporate management, the application of long-range and strategic planning at large universities has not been supported by planning documentation. Documentation in the form of planning guidelines and principles serves as the institutional framework within which administrators proceed to plan for the success of the unit for which they are responsible as that unit exists as a part of the larger university. It is hoped that the planning document represented by the Planning Guide:

1. Provides a concrete example of the application of the principles of operations research in a higher education setting.

2. Provides information, not currently available, relative to the synthesis of long-range and strategic planning as an important aspect of higher education planning.

3. Provides a document of planning guidelines and principles that could be useful to large universities.

4. Provides documentation, not currently available, for the analysis of planning practices and procedures.

5. Provides administrators with a tool that facilitates compatible planning among diverse units and between administrative levels.

6. Provides the mechanism by which relatively autonomous units within a large university directly contribute to the mission of the university.

Definition of Terms

A few terms are used throughout the study, and those definitions are presented below. Other terms that need definition in specific aspects of the study are defined when they are introduced and/or in the context in which they are used.

Planning is that aspect of management decision making that generates a course of action intended to lead to the accomplishment of the institutional mission. The concept of planning is more fully developed in Chapter II.

Long-range planning requires reference to a time horizon of three to seven years, at the end of which certain conditions and characteristics will have been accomplished through the planning process.

Strategic planning is the process of developing and maintaining a match between the institution's mission and its resources and the changing environmental opportunities.

Comprehensive institutional planning is the process of determining the actions and activities that cut across all three academic missions of instruction, research, and public service, at all administrative levels, as well as support service missions, as the success and mission of the institution are sustained.

Large, public university is defined as a degree-granting institution, owned by the government, that is a collection of colleges that have a multi-mission of instruction, research, and public service. The size of such an institution exceeds 35,000 head count.

Limitations and Delimitations

The major limitation of this study was the dependence on the experiential knowledge of the selected interdisciplinary review team members. The study also was limited by the judgments of the researcher in operationally modifying the initial instrument after the interdisciplinary review.

The other limitations of the study were framed within the ranges of planning experience represented by the review-team members themselves. It might be expected that the suggested modifications were related to the specific past planning experiences rather than to any characteristics or requirements of the unit for which they are responsible, or the position in which they serve.

Several factors delimited the study. The theoretical basis of the initial instrument, presented as the Planning Guide, depended on the formal literature available through the Michigan State University library system, and the data bases of ERIC, Management Contents, and INFORM. The study was bounded to include only large, single-campus, multi-mission universities that do multi-year planning.

Design

The study was designed as an operations research project that developed the comprehensive planning principles and guidelines for a large, public university.

An explanation and description of operations research and the implementation of that research procedure was expected to produce a planning document that was superior to a planning instrument based solely on relevant research. The initial development of the research instrument was based on existing theory in the fields of education and business. The initial instrument was presented as a Planning Guide to be modified after the review of practicing administrators and faculty at a variety of hierarchical levels, both within and outside the university environment.

The theoretical Planning Guide and how it was developed are presented in the study. The process of administrative review is described. The outcomes of that review are reported as observations between different hierarchical levels internal and external to Michigan State University. Also reported as findings are the suggested modifications. The changed instrument was developed and is included as

an appendix. The design of the research project is illustrated in Figure 1.1.

Operations research has been acknowledged to be applicable in a variety of managerial situations, including higher education (Moskowitz & Wright, 1979). Definitions such as the following found in Churchman, Ackoff, & Arnoff (1980) illustrate the wide applicability and purpose of operations research:

> The attack of modern science on complex problems arising in the direction and management of large systems of men and materials. The distinctive approach is to develop a scientific model of the system, incorporating . . . factors such as chance and risk. . . . The purpose is to help management determine its policy and actions scientifically. (p. 175)

The emphasis is on analysis of operations as a whole (Heyel, 1982) and bringing to bear, through a model, an orderly, coordinated, and intensive interdisciplinary approach to decision making.

Moskowitz and Wright (1979) identified five major steps in operations research:

1. Formulation and definition of the problem.
2. Construction of the model.
3. Solution of the model.
4. Validation of the model.
5. Implementation of the results. (p. 18)

The present study includes the steps related to formulation and definition of the problem, the construction of the model as represented by the description and explanation of operations research, and the solution of the model as represented by the initial theoretically proposed Planning Guide and the subsequent experiential modification of the guide.

INITIAL DOCUMENT	HYPOTHESIS	CYCLE I	CYCLE II	EVALUATION	CONCLUSIONS	MODIFIED DOCUMENT
Relevant planning literature and research reviewed to provide the basis for a theoretical Planning Guide	Operations research practices and procedures described Expectation that operations research will yield a Planning Guide that is assessed to be superior to the initial instrument	Administrative review of the initial instrument Recorded will be: What was observed to occur when the instrument was introduced, and suggested modifications	Document modified to reflect findings of Cycle I Document recycled for review	Participating interdisciplinary review team members	Assessment of the operations research developed document (Planning Guide) as superior to the initial instrument Other conclusions	Presented as an appropriate planning document for large, public universities
Chapter II	Chapter III	Chapter IV	Chapter IV	Chapter IV	Chapter V	Appendix

Figure 1.1.--Design of the research project.

Divided into three phases, the study began with a review of the interdisciplinary literature concentrating in the fields of education and business. On the basis of a broadly based, formal literature search, a theoretical document of planning guidelines and principles was formulated within the foci of long-range and strategic planning for large, public universities.

Developed within the institutional context of Michigan State University, the components of the Planning Guide included principles and guidelines related to planning procedures, planning parameters, planning participants, and planning products.

Planning procedures are described to include elements related to:

1. The planning structure of mission, role, purpose, and goals, objectives, and aims.

2. Planning as a comprehensive, institutional decision-making process.

3. Planning incentives and linkages to resource allocation.

4. Mechanisms of iteration among and between planning participants.

5. The timing sequence of planning activities.

6. The relationships between academic program and support service planning.

Planning parameters are described to include elements related to:

1. External environmental factors.

2. Internal environmental factors.

3. Informational factors related to the use of data as a planning base.

4. Terminology definitions.

Planning participants are described to include elements related to:

1. The responsibility, authority, and accountability for planning within the administrative hierarchy.

2. The roles of the planning participants, including central administrators, deans, chairpersons, directors, faculty, and the faculty governance structures.

3. The planning climate.

Planning products are described to include elements related to:

1. The planning balance of mission elements--instruction, research, and public service.

2. The major function requirements of faculty, finances, program, facilities, and students related to the activities of instruction, research, and public service.

3. The evaluation of the planning process itself, as well as the results of the process.

In the third phase of the study, the Planning Guide was modified following a systematic review by practicing administrators at three hierarchical levels: central administration, deans, and chairpersons, as well as faculty members and reviewers external to

Michigan State University. The subsequent revision was recycled for further review by the same interdisciplinary review team.

At the end of the second cycle, the third step of the operations research process was engaged. The solution of the model was proposed as an operational set of principles and guidelines for comprehensive, institutional planning. Such a document could be used as a framework from which administrators and planners at a variety of levels develop their own unique plans. The intent of such plans is to enhance the purposes of the department/school/division, or the roles of the college/major administrative unit, while sustaining the mission of the university.

The third phase was concluded with the individual evaluations by the participating reviewers as each assessed the superiority of the Planning Guide developed using their modifications suggested through the procedures of operations research.

Overview

In Chapter II is developed the review of the literature on which the initial research instrument was theoretically based. Research in the fields of education and business was reviewed relative to research about general planning as well as research about strategic and long-range planning. The review of central university documents at Michigan State University provided the theoretical basis within the context of a specific institution.

In Chapter III is described operations research as the methodology that was used to modify the theoretical document from an experiential knowledge base.

The findings of the two-cycle review are set forth in Chapter IV. Described, in narrative form, are the results that occurred when the initial theoretical instrument was introduced, modified, and reintroduced. Individual reviewer evaluations following the two-cycle development of a Planning Guide are reported as an assessment of the superiority of a guide developed using operations research practices.

In Chapter V are presented the summary, conclusions, implications, and recommendations of the study. The Planning Guide, actually modified as a result of this research, is presented in an appendix.

CHAPTER II

REVIEW OF THE LITERATURE

The literature relevant to long-range and strategic planning for large public universities is found primarily in the disciplines of education and business. The review of that literature, including computer searches of the Educational Resources Information Center (ERIC), Management Contents, and ABI/INFORM data bases, revealed that relatively little is known about the nature of comprehensive institutional planning as it exists in large, multi-mission, public universities, or about the theoretical and experiential factors that structure the framework of a plan-for-planning.

Connotations Associated With Planning

The ideas and concepts associated with planning have changed and are changing as planning evolves as an art and as a science. As Ewing (1969) reported, in the beginning planning was a simple device used by individuals, families, and small groups. When societies became organized, planning came to be a device of leadership and management. In this sense, it took on complexities and subtleties it never had before.

Also changing are the management notions of planning. Planning has been described and classified in a variety of ways using

directional terms (top down or bottom up), situational terms (planning for profit or nonprofit organizations), time-related terms (long-range or short-term planning), positional terms (executive or tactical planning), and organizational terms (individual, organizational, societal planning). Lotto, Clark, and Carroll (1980) provided a taxonomy of kinds of planning that describes seven types of planning, depending on the purpose for which planning is intended. These seven types are:

> Symbolic Planning--for the purpose of generating an organizational hallmark or ethos; or as a short or long range substitute for action.
>
> Advertiseable Planning--for the purpose of selling the institution by representing its past achievements, capacity or style.
>
> Political Planning--to provide an orderly framework for organizational stakeholders, inside and outside the institution, to negotiate their interests; or to build consensus and support for current and proposed organizational activities.
>
> Procedural Planning--to create the occasion for selected individuals and groups within or external to the organization to discuss, and perhaps modify positions on supra-group issues; to involve organizational members or external reference groups in non-action oriented discussions of institutional activities, purposes, futures, and goals.
>
> Decisional Planning--to assist organizational decision making, i.e. establishing criteria that organizational members will accept, at least tentatively, for evaluating resource allocations, recruitment time use, etc.
>
> Futurist Planning--for the purpose of generating alternative future end states for the organization, contrasting these with likely organizational features and identifying interventions that would modify the likely organizational future. (p. 19)

Goode (1984) provided a mega-structure for his taxonomy, which described approaches to higher education planning as either self-contained, connected, or strategic. With more of a strategic focus,

Balderston (1981) identified several approaches to planning that deal with different facets of organizational realities. Each type is more compatible with some styles of organizational structure and decision making than others. Those approaches of the taxonomy are:

Goals and Targets Approach--made familiar in the numerous exercises to implement Planning, Programming, Budgeting Systems (PPBS) and includes examples such as the National Center for Higher Education Management Systems (NCHEMS) Program Classification Structure.

Long Path Planning--includes the extended future forecasting techniques of various mathematical models.

Short Period Planning--includes the approaches used in rapidly changing markets and environments.

Business Portfolio Strategy Models--includes the optimum balance of programs along a matrix of variables.

Contingency Uncertainty Approach--includes the planning for specific environmental scenarios.

The American Management Association (Freiman, 1983) identified four major types of planning. The first type is informal, intuitive, entrepreneurial planning, which is usually the work of one individual and rarely results in any written plans or documentation. The second type is formal, organized planning, which is a system developed on the basis of a set of procedures and data, involves the work of many people, and usually results in some form of written documentation. The third distinction is related to long-term planning, which focuses on the establishment of goals, objectives, plans, and programs over an extended period of time. Long-term planning is distinguished from the fourth type of planning, operational or tactical planning, which is focused on the specific, short-term, often daily operational tasks

(Benoliel, 1983). Although these four types of planning may be distinguished from one another, they are not completely discrete as well-accepted definitions of planning would indicate.

In his introductory comments to Evaluation of Management and Planning Systems, Poulton (1981) noted that

> Planning has many definitions and meanings to individuals depending upon the kind of organization involved, the nature of the primary activity of the organization, and the role of a given individual in the organization. Planning is often synonymous with a perspective on management and decision making that emphasizes rationality, utilization of information, and central control or influence of future events. Planning may refer to a set of techniques for organizing and analyzing information. Planning may imply an organizational model, an ideal state of the organization, or a blueprint for some future conditions. (p. 1)

Holloway and King (1979) described planning as a field characterized by a "semantic jungle" (p. 74), with terms and concepts meaning some things to some people and other things to different individuals. This is evident in the notion previously referenced by Poulton. Virtually all of these notions appear in the "semantic jungle" of a search of the relevant literature.

Beginning with the broadest overview, several bibliographies of planning literature relevant to higher education have been developed. The Society for College and University Planning (SCUP) has published A Guide for New Planners (Norris, 1984), which lists a broad range of sources and annotates more than 60 of the citations, including references citing concerns and "anti-planning" contributions. With more of a strategic focus, Waggoner (1983) compiled a planning bibliography with "references to strategic planning as a way of thinking for the future of an institution" (p. 48). Although not a traditional

bibliographic listing, two other broad reviews of the literature are found in the recent work of Keller (1983), Academic Strategy: The Management Revolution in Higher Education, as he described the results of strategic planning; and of Cope's (1981) account of the characteristics and results of strategic planning, Strategic Planning, Management, and Decision Making. Each provides insights into academic strategic planning, and the notations, previously referenced by Poulton, appear in these general bibliographic listings. It should be acknowledged that Cope noted that very little empirical research is available now and that, considering the difficulty of the arena of studying the real behavior of colleges and universities, he would expect little more in the foreseeable future.

Applicability of Business Planning Concepts to Higher Education Planning

It should be noted that the Waggoner and SCUP bibliographies include references from both the fields of business and of education. The literature acknowledges a variety of evidence for the applicability of business-related planning concepts to higher education. Steinert (1971) built a model for educational long-range planning that was based on the study of planning in business and industry. Considerable commonality between business and education was noted in the process of planning. From the perspective of evaluating the usefulness of strategic planning concepts developed as a business model when used in institutions of higher education, Elia's (1981) four case studies confirmed the assumption that strategic planning has high applicability in

colleges and universities in the areas of strategy evaluation and environmental analysis.

However, in practical application, Millett (1975) focused on higher education management versus business management in a 1973 study for the Academy for Educational Development. He concluded that the management of a business and management of an institution of higher education are so unlike each other that it is difficult to find a commonality in the nature of the institution, purposes, objectives, work force, the selection of managers, and the managerial techniques employed.

In his examination of the management and planning concepts in higher education, Johnson's (1975) questionnaire sent to all four-year institutions in the United States noted that:

> While the role of business management seems to be somewhat different from the role of higher education management, the difference is not so much one of authority and responsibility as it is of end purposes. In the business enterprise, management has an extensive role in determining goals and objectives, in choosing desirable programs, in arranging the necessary financing, in directing the sale or marketing of goods and services, and in coordinating the work efforts of many different persons of different competencies toward a common purpose. In higher education, a considerable amount of this is exercised by the faculty and students. (p. 34)

Johnson went on to relate this difference, not to the applicability of business planning concepts but to a struggle between two contradictory models--one that is hierarchical and one that is participatory: "The fundamental differences may be in their structures. While there is a recognized structure in business management, there appears to be a lack

of a recognized structure in higher education" (p. 38). Neither model is within the exclusive domain of business or education. Cohen and March (1974) articulated a stronger view of the lack of recognized structure in a university and its internal environment as they saw higher education as an "organized anarchy"--difficult at best, and probably impossible--for which to plan using the rational hierarchy of business concepts.

As early as 1974, Drucker noted the change in the very nature of the business organizations to be managed, and the challenges of managing a business or an educational enterprise.

> Increasingly the dominant institutions to be managed and organized, even in the business field, are not manufacturing companies, not companies operating in one country or one market alone, not companies employing primarily manual labor. They are businesses in the service industries--bank or retail businesses, and non-businesses such as hospitals and universities. They are multi-product, multi-technology, multi-market, multi-national businesses. And increasingly, the central human resources are not manual workers--skilled or unskilled--but knowledgeable coworkers, company presidents. . . . (p. 30)

Keller (1983) synthesized the thoughts of Millett, Johnson, Cohen and March, and Drucker when he stated that "colleges and universities are different and special but they are not outside the organizational world. The time has arrived for college and university leaders to pick up management's new tools and use them" (p. 30). Those "new tools" to which Keller referred are found in strategic planning as it attempts to synthesize a rational-economic approach with a partisan-political approach to planning.

While acknowledging the skepticism of individuals like Millett, Cohen, and March, Cope (1981) could argue that both business and

nonprofit organizations have some characteristics that are common to each and make planning in comparable modes feasible. Those characteristics relate to an organization's need to interact with the environment, the need to satisfy a consumer, and the need to establish a mission, role, scope, and to set goals. Starting from the perspective of the profit-making organization, Steiner (1978) came to essentially the same conclusion as Cope when he noted that the similarities in not-for-profit organizations and the private sector are significant.

> Introducing and maintaining a strategic planning system in a typical public not-for-profit organization is considerably more complex and difficult than in the typical private profit organization. But the lessons of planning in the private sector have been applied successfully to the public sector. . . . (p. 910)

The review of the literature proceeds on the assumption that research in both business and education is an appropriate basis from which to draw the principles and framework of a plan-to-plan.

The major topical areas described in the literature are the general approaches to institutional long-range and strategic planning, the components of those approaches, the structure of the planning process, the benefits and pitfalls of long-range and strategic planning, and the communication and implementation of long-range and strategic planning. Each of those major topics suggests or implies factors related to a framework of a plan-for-planning as it is developed within a large, public university.

General Approaches to Planning--Planning Defined

Planning is broadly defined within the context of management decision making. Drucker (1974) specified planning as:

> the continuous process of making entrepreneurial decisions systematically and with the greatest knowledge of their futurity; organizing systematically the efforts needed to carry out these decisions, and measuring the results of these decisions against the expectations through organized, systematic feedback. (p. 125)

The concepts of planning and decision making are linked in Drucker's definition through factors related to planning as a continuing process, planning as a systematic process, and planning as a process that injects a future perspective into present decisions.

Peterson (1980) posed a definition similar to that of Drucker and recognized different levels of planning: individual, organizational, and societal. Peterson suggested there are three distinct planning functions upon which his definition was built. Those functions relate to the analytically oriented, institutional function: the function that integrates planning as a part of decision making; and a politically oriented policy function. Peterson noted that:

> Planning is a conscious process by which an institution assesses its current state and the likely future condition of its environment, identifies future states for itself and then develops organizational strategies, policies, procedures for selecting and getting to one or more of them. (p. 114)

The assumption of emphasis in Peterson's definition is that of a consistent rather than an arbitrary process that analyzes strengths and weaknesses of an institution and leads to beneficial change.

The combination of concepts related to affecting the future, consistency, rationality, and the preferences of top management was

developed by Ewing (1968). In The Practice of Planning, he presented a definition of planning that incorporates those four concepts: "Planning is a method of guiding managers so that their decisions and actions affect the future of the organization in a consistent and rational manner, and in a way desired by top management" (p. 17). The Drucker, Peterson, and Ewing definitions scope the general approach to planning as it is represented in the literature.

General Approaches to Planning--Higher Education

In a study of the planning systems used in administrative decision making, Gonyea (1971) cited numerous definitions for planning in an attempt to fully define the concept and its practice in universities. Included were definitions of planning as:

> A major technique to give direction to any organized endeavor.
>
> A process for anticipating future conditions and preparing to meet them.
>
> A continuous activity which constantly seeks to meet changing circumstances, changing needs, and changing ideas.
>
> Producing plans; judged in terms of the results they project and achieve.
>
> A duty of management, an essential ingredient in decision making.
>
> Needing the participation of all groups or elements in a structural operation.
>
> Preparation for action.
>
> Intelligent cooperation with the inevitable.
>
> An integrated activity which seems to maximize the total effectiveness of an organization as a system in accordance with the objectives of the enterprise.
>
> The vehicle for accomplishment of system change. (pp. 111-18)

Those definitions set forth by Gonyea for applicability in higher education institutions are not dissimilar to those set forth for a business corporation by Egerton and Brown (1972). They noted that planning:

> Is a systematic method for effective and efficient management of change in the best interests of the corporation. It includes determining where the company is to go as well as how it is to get there; or more formally the setting of objectives, goals, and the formulation and the selection of alternative strategies and courses of action to reach the goals and objectives.
>
> Identifies and analyzes opportunities, strengths, weaknesses, problems, and threats, and sets priorities for capitalizing on or overcoming them so that company resources will be put to the best use.
>
> Is incomplete if it does not entail regular measurement of progress toward objectives and goals and the execution of strategies and action programs. (p. 82)

In addition to the Gonyea research, there are few studies of either the practice or the nature of higher education planning on which to report. One of those few investigations of comprehensive planning was a mail survey of 56 public and private institutions and in-depth case studies of four research universities, done by Freeman (1977). He identified principal characteristics of comprehensive planning systems and defined comprehensive planning as "a formal system for integrating the long range academic, administrative, financial, and facilities planning for the total university and its principal components" (p. 21).

In the previously mentioned 1974 survey of all four-year institutions of higher education in the United States, Johnson (1975) broadly defined planning as:

A concept of executive action which embodies the skills of influencing and controlling the nature and direction of change.

A pervasive and continuous executive function involving complex processes of perception, analysis, conceptual thought, communication, and action. (p. 180)

General Approaches to Planning--Long-Range and Strategic Planning

These broad definitions of planning acquire increased specificity as they are modified by the "long-range" or "strategic" approaches to planning. A historical evolution of planning systems as traced by Ansoff (1965) related the development of long-range planning with the increased forecastability of future events.

In an attempt to blueprint the future, long-range planning develops sets of written plans that are to be used far into the distant future. If the climate surrounding long-range planning can be described as one of forecastability, then in a more exploring climate, strategic planning focuses on the future external environmental threats and opportunities as they are matched with institutional strengths and weaknesses. Like Ansoff, Cope (1981) also developed the concept of the evolution of planning systems and projected an "open system of planning" as the model of the future. However, in a more contemporary mode, Cope compared and contrasted conventional long-range planning as the evolutionary ancestor to strategic planning. His table of comparisons of the orientation of long-range planning and strategic planning is an excellent illustration that summarizes the attributes of those two distinct types of planning. (See Figure 2.1.)

Attribute	Conventional Long-Range Planning	Strategic Planning
Perspective	Internal	External
System View	Closed	Open
Data	Quantitative	Qualitative
Function	Separate Office	Participative Integration
Process	Deduction	Induction
Basis	Science	Art
Result	Blueprint	Process
Result	Plan	System of Decisions
Result	Decisions for the future	Today's decisions from a future perspective

Figure 2.1.--Cope's comparison of long-range planning and strategic planning. (From Cope, 1981, p. 7.)

The strategic view of planning has developed from an evolution which includes long-range planning concepts as well as contributions from several different disciplines. Cope stated that the basic theories from geopolitical science, field theory, and social science, and general systems and contingency theory; as well as the applied theories from policy study, marketing, and effectiveness, contribute to strategic planning. As the contributions from those theoretical models are applied to strategic planning, it becomes an approach to managing and leading an organization. The approach characterized by the strategic view of planning is a process that is hierarchical and intrainstitutional; and one that matches the internal resources of values, programs, facilities, and staff with the opportunities of the external environment to advance the mission, goals, and role of the institution. Cope summarized this strategic way of thinking as it is "trained and

organized common sense, seeking communication as much as allocation of resources. It is a creative process, valuing feasibility and innovation and seeking synergistic strengths" (p. 55).

In a dynamic, strategic approach, the main purpose of strategic planning is related to those decisions that are likely to have a future impact. Balderston (1981) stated that the purpose of strategic planning is to "improve decisions concerning the future direction of an organization--to guide the key decision makers of that organization when they take action having long range significance" (p. 51).

Implied in a look toward the future is the identification of the environmental threats and opportunities, and strengths and weaknesses in both the internal and the external environments. The environment external to the institution is characterized by threats and opportunities and includes factors such as economic conditions, legal constraints, and characteristics of students and other clientele. Strengths and weaknesses reference the special competencies the institution possesses internal to its unique organization and may include factors related to faculty expertise, program quality, and physical facilities. The relationship of those external threats and opportunities with the internal strengths and weaknesses represents the concept of strategic choices inherent in strategic planning. Arns and Curran (1983) stated that strategic planning is a:

> process of matching the threats and opportunities of the present and future external environment with the distinctive competencies of an organization in such a way as to carve out a niche in which

> the organization can successfully compete and improve its performance. (p. 23)

The Arns and Curran statement illustrates the critical role of competition in a strategic planning approach--a factor given little consideration in long-range planning models. They also focused on the aspects of implementation that link together the attributes of the long-range and the strategic views previously noted as set forth by Cope (1981). The strategic choice "deals with choices available in implementation and requires design of coordination mechanisms and an expanded role for information and decision support systems" (Arns & Curran, 1983, p. 24).

In one of the few papers that explicitly shows how a specific business strategy such as a portfolio planning concept can be used in strategic higher education planning, Doyle and Lynch (1979) further defined strategic choice as:

> The direction in which the organization is to grow and which areas are to be given priority in the allocation of future resources.
>
> So far models have focused on budgetary rather than strategic problems. They have not dealt with the longer term issue of which directions and areas the University should remain in or move into if it is to remain effective in a competitive changing environment. (p. 603)

The importance of "effectiveness" in addition to "efficiency" is a contribution of the strategic evolution from long-range planning. While efficiency is concerned with doing things right and in a manner that optimally conserves resources, effectiveness is concerned with doing the right thing, and it relates to the previously referenced

Doyle and Lynch statement regarding institutional directions as a strategic choice.

Steiner (1966) provided a summary of the preceding discussion as he suggested that strategic planning should be understood in at least four different ways. First, it is a prospective picture that looks at alternative courses of future action in the light of present decisions. Second, it is a comprehensive system that begins with the development of goals and objectives, defines strategies and policies to achieve those goals and objectives, and develops detailed plans to assure that these strategies are carried out. Third, strategic planning is a way of life, a philosophical perspective brought to bear on decision making. Fourth, strategic planning integrates all of the major functions of an enterprise within the framework of common goals, objectives, strategies, and policies.

Cope (1981) expanded for higher education Steiner's prospective, comprehensive, philosophical, and integrated approach to strategic planning. He included the qualities of long-range and strategic planning that emphasize change. He also emphasized that change occurs as a dynamic pattern in a stream of decisions, often occurring in a political realm. The Steiner approach, extended by Cope, provides a representation of the general approaches to strategic and long-range planning found in the literature.

Components of Long-Range and Strategic Planning

The components or elements for long-range and strategic planning were described in the literature as characteristics related to

effective planning, although components are found to refer most often to academic planning only. It is on the planning components, described in this section, that a structure or a specific design may be developed as a planning framework.

In a classic statement about academic planning, Fuller (1976) identified a series of elements on which meaningful academic planning must be based. Those elements include:

> Sound research and solid evaluation data.
>
> Collection and analysis of data in varying formats from several sources.
>
> Identification of priorities and implementation strategies.
>
> Operation of a process that is well designed, broadly participatory, open and continuous.
>
> Absence of administrative dominance. (pp. 65-77)

As Fuller's elements suggest, a data-based approach that is implied to include both quantitative and qualitative sources; the prioritization, and the implementation of strategies occurs best in an atmosphere that is broadly participatory without dominance from the hierarchical structure.

Shortly before Fuller developed his "Framework for Academic Planning," Meagher, Weiler, and Zillgett (1974) found that university planning needs to be fully compatible with the decentralized organizational realities of higher education. In an article that is a noted source on decentralized planning, they commented that:

> University planning models should have flexible aggregation of categories which can be determined and re-adjusted by the decision maker as the model is used.

> Resource constraints in planning models should be flexible and negotiable and negotiation over resources should be a part of the analytical domain.
>
> Planning in universities must take into account the problem of planning incentives which cause the behavior of individuals within the university to be directed to the needs of the institution's clientele. (pp. 357-772)

Parekh's (1977) often-quoted monograph, Long Range Planning, related the participatory components referred to by Hoenack et al. and Fuller to the administrative structure:

> Planning is designed to serve education and not just the administrative support structure. Hence college and university planning is not just one of the traditional functions but a comprehensive institutional responsibility shared equally by the comptroller as by members of the faculty.
>
> A planning program will succeed only if the process of planning itself has the same meaning for the English Department as it has for the Admissions Office; it will succeed only if it carries the same validity for the President's Office as for the Division of Arts and Sciences. (pp. 7-8)

Johnson (1975) studied the approaches actually being used by colleges and universities in planning for their futures and managing their present operations. He began with the hypothesis of decentralization similar to that of the Hoenack et al. article. Johnson's research identified seven phases of formal planning that serve as the basic components of whatever system is developed for an institution:

> Depth analysis of the salient external and internal influences upon the institution.
>
> Required insight into the institutional resources.
>
> Formalization of the institution's mission, goals, objectives on a more quantitative, qualitative, and formalized basis.
>
> Development of an assumption base attendant to the formulation of objectives and goals.

Delineation of institutional strategy required in the attainment of goals and objectives.

Formalization of increasingly effective management systems to permit commitment of institutional resources in attainment of real results.

Establishment of a control and recycling system which is more compatible with formalized planning processes.

The last of the components specified by Johnson illustrates the focus of the research related to the evaluation of the components themselves. In an analysis of the achievement of planned outcomes, Jones (1982) noted that the components of a planning system should be reviewed regularly to insure they meet the needs of the institution. Regular review promotes credibility and continuity of a planning process and avoids major, disruptive changes in the components and the planning process as it is continually readjusted.

Another reason for the recycling of the planning process itself was noted in Poulton's (1979) research, which investigated the impacts of planning activities in five major institutions. His review of institutional documentation and practice confirmed the evolutionary nature of planning. Without attention to review and readjustment, the planning process would quickly lose its synchronization with the institution.

Sharing the dynamic view of the strategic planning process with an emphasis on change, review, and re-examination is the Cope perspective on the results of strategic planning. The components, as he would identify them, cluster around elements related to the perspective of the institution as a whole. Because strategic decisions cut across

both the hierarchical structure and the functional structure of a university, a holistic perspective becomes an essential characteristic. More specifically, Cope's elements were:

> A great emphasis on conditions in the external environment and matching them with internal strengths.
>
> An iterative, continuing, learning process.
>
> More concerned with effectiveness than efficiency.
>
> Concerned with the basic character of the organization, its core of special competence, its mission, role, scope. (p. 3)

Cope's elements are similar to what Keller (1983) identified as the features of strategic planning. Those characteristics identify the university and its departments, schools, and colleges as active participants in their position in history; focuses on keeping in step with the changing environment; recognizes that it is subject to competitive forces that are both inside and outside of the university; concentrates on decisions and on people acting decisively and roughly in concert to carry out a strategy they have helped to devise; and is highly participatory and tolerant of controversy as it blends rational and economic analysis, political maneuvering, and psychological interplay.

Lockwood's (1972) study of planning in the British system of higher education noted that "few members of the university are involved in all aspects of planning but most members should be involved in some aspect of it" (p. 412). Identified in Lockwood's observations were components relating to flexibility, participation, and integration that are also found in the profile of components previously referenced.

Components of a planning process must yield an output that describes both the present programs and those future desired states in programs. In fully comprehensive planning, descriptions of present and projected future status include both academic and support service programs. Efforts at mathematical modeling and quantitative assessments have been developed primarily in the support services areas related to budgeting, student flow models, and facilities planning. Ideal for input/output equations, computer-based planning models provide valuable decision support for "what if" kinds of questions.

However, with a few notable exceptions, primarily the work of Hopkins and Massy (1981) at Stanford University, the work in analytical simulation models and techniques has been confined to either a segment of the university (i.e., a specific college or department) or a specific planning requirement (i.e., enrollment, facilities, etc.) (Updegrove, 1981).

In a series of twenty-one case studies, Casasco (1970) surveyed the planning techniques frequently used for university management. Enrollment calculations, space requirements, space-allocation models, cost-simulation models, budget systems, and facilities costing were reported to be the most frequently used planning tools, but their use was usually restricted to a single administrative or program unit within a university. Casasco concluded that there exists a severe gap in the comprehensiveness of university planning.

Typical of the kind of effort required for the development of a limited-focus academic model is the mid-1960s work of Koenig, Keeney,

and Zemach (1968). They developed a systems model for management, planning, and resource allocation. Although a sophisticated array of equations, the model considers only the flow of manpower and financial resources. It makes no attempt to be concerned with quality considerations or other objectives of the educational process.

The pioneering work of the National Center for Higher Education Management Systems (NCHEMS) has provided both theoretical and technical development of data-base planning systems. NCHEMS is one of the early efforts to develop data-base systems for both academic and support service planning--although a comprehensive data-base system is yet unreported in terms of successful application.

As data are actually used in planning, Brinkman and Krakower (1983) noted that the use of comparative data in strategic planning has some severe liabilities. As the core of consideration, rather than supplementary information, use of comparative data risks a drift toward sameness and mediocrity in an institution that traditionally has valued diversity. Additionally, they noted that in proportion as comparative data increase, the field of vision decreases, thus handicapping the creative consideration of strategic alternative courses of action.

In addition to consequences of using comparative data, a case study of the Illinois Board of Higher Education (Fattu, 1971) documented the consequences of using data-base qualitative measures for higher education institutions. Fattu noted the tendency to develop quantitative economic criteria at the expense of ignoring the serious implications of the sole use of quantitative data.

It seems appropriate that of all the kinds of organizations, higher education could use a knowledge base rather than intuitive approaches as the institution considers its future. As a contributor to rational decision making, long-range and strategic planning components display alternatives to be considered. The appropriate use of computer data-based planning models is well recognized. However, used alone, quantitative data bases and mathematical models do not capture the more subtle qualities of institutional atmosphere, the character of human responses to the educational venture, and the institution's claims of loyalty and dedication to its members (Balderston, 1981). Such considerations are equally critical to long-range and strategic planning as the rational, data-base computer applications.

An excellent summary of the components of academic long-range and strategic planning was developed as a Handbook for Institutional, Academic, and Program Planning by Kieft, Armigo, and Bucklew (1978). Components of the planning process were derived from four intensive case studies done by NCHEMS in the mid-1970s. Those components were summarized as:

> Planning and the allocation and re-allocation of resources constitutes a single system and cannot be separated from the mainstream of institutional decision making.
>
> Planning is a future-oriented activity, cyclical, and none of its various stages final in an ongoing process.
>
> Planning must not be limited to quantifiable or measurable considerations, and is predicated on the understanding that much that is worthwhile in higher education is not measurable.
>
> A planning process should rationalize decision making by minimizing its ad hoc character.

> Formal communication of planning procedures is necessary to the utilization of planning efforts.
>
> Planning requires information about the internal aspects of the institution and includes: enrollment figures, staffing figures, tenure ratios, retirement and attrition estimates, resource commitments to program maintenance, qualitative and quantitative evidence of program need, evidence of congruence between program and goals, benefits derived from a program, evaluation criteria, cost-benefit information, and a full-array of long term future estimates of the above elements.
>
> Planning requires information external to the institution including: local, state and national economic trends; student characteristics; career and employment opportunities; labor trends; social priorities; student aid programs; and the physical environment of the institution. (pp. 4-7)

Kieft et al.'s components were, however,

> more than a surrogate for the arbitrary and capricious decisions of the experienced, far-seeing, judicious, and wise academic dean. They offer an opportunity, in whatever format the institution adopts, for the membership of a college or university to form and share a common map of the institution's present status, probable resources, and alternative futures. (p. 59)

The characteristics of an ideal planning process were presented by Takeuchi (1983). He developed a review of the literature preparing for the study of the differences in perspectives held by the senior participants in an institution's planning system at a midwestern university. Those planning-system characteristics reviewed by Takeuchi were:

> The planning process should be strategic in nature.
>
> The planning process should be linked to resource allocation.
>
> Planning should be integrated with the regular operations of the institution.
>
> Planning should be comprehensive.
>
> A planning system should have a policy analysis component.

> A planning system should have a plan and should be assessed.
>
> A planning system should not focus on the production of a paper plan.
>
> A planning system should not be viewed as completely rational. (p. 2)

Although derived from academic-planning case studies, the Kieft et al. as well as the Takeuchi components could serve well for a comprehensive system involving both academic and support service planning.

Other than the work on specific support-service-related models, there is an absence of components related to the process of comprehensive support services planning. When the concept of "comprehensive" is extended to include the whole of academic program and support service planning, and in the absence of comprehensive components, those planning components developed in specific reference to academic planning will have to be assumed as the basis from which planning structures are derived.

Planning Structure--Long Range and Strategic Planning

A planning structure is designed and derived from those characteristics of long-range and strategic planning reviewed as planning components. With one exception, an assumption relating to the goal-basis of planning is fundamental to those major designs.

The exception to goal-based planning was developed in a series of articles published in New Perspectives on Planning in Educational Organizations, edited by Clark, McKibbin, and Malkas (1980). In this monograph, issue was taken with the a priori condition for planning,

which assumes a clear understanding of institutional mission and goals. Clark's (1980) review of educational organizations and their experience in planning led him to conclude that:

> Theoretical challenges to the pervasive goal-based, rational, sequential perspectives have sufficient force to suggest that the required conditions for institution-wide, goal-based planning are seldom found in educational organizations. (p. 7)

Clark went on to suggest that a planning structure should be based on the specific conditions under which an institution operates. The implication is that a goal-based comprehensive structure for planning creates only synthetic linkages among and between the units and the institution. The synthetic nature of the linkages raises questions of actual utility and would suggest that no single strategic approach to planning could be suitable for the multiple contexts and multiple uses in an educational system (Lotto et al., 1980).

Huff (1980) also argued with a framework that is goal based. However, she acknowledged the essential role of the usefulness of a structure for understanding planning. She noted that frameworks perform the invaluable function of making interpretation and coordination possible--each an essential aspect of any planning process. She stated, "Some structure is necessary precisely because educational organizations tend to be so complex, diverse, and difficult to understand" (p. 34).

The Clark and Huff positions, however, stand clearly as a minority claim. Goal-based planning is the dominant structure, although a variety of hybrids have been developed using the common

assumption of planning based on understanding of institutional mission and goals.

Building on a goal-based assumption, the terms relating to "goal" show two distinct meanings. Usually in a business-oriented hierarchy of terms, an "objective" is a superordinate term to "goal." Quite the reverse is generally noted in the literature generated in the field of education. Of more importance, however, the meaning ascribed to the superordinate and subordinate terms is considerably more consistent. For example, Holloway and King (1979) described an objective as a "desired or needed result to be achieved in the long run future," while a goal is a "specific time-based point of measurement that the organization intends to meet in pursuit of objectives" (p. 75). On the other hand, Casasco (1970) distinguished goals as the general statements of ideals expressed in abstract terms; and objectives as the specific, quantifiable, realistic achievements. The greater balance of literature directly pertaining to higher education has identified goals as the more abstract superordinate term, and this review will proceed within that definition as the one on which goal-based planning is designed.

In a review of ten recognized contributors to planning literature, Holloway and King (1979) identified a generic hierarchy of the strategic choices to be made through the planning process. That structure begins with "mission" as a general statement of what an organization is, why it exists, and the unique contributions it can make. "Objectives" and "goals," previously defined, are then followed

by "strategic" as a set of decision rules and guidelines for progression toward goals and objectives. "Programs" and "implementation" project a time-phased action sequence used to guide the operations of the organization.

The Holloway and King structure was supplemented with specific tasks. Although different authors have treated the tasks somewhat differently in terms of importance, there is no evidence that the following tasks are not among those essential to a long-range and strategic planning structure:

Identification of problems and needs.

Development of data inputs for environmental monitoring and forecasting, including assumptions about the environment.

Integrating information and analysis of external threats and opportunities and internal strengths and weaknesses.

Development of alternative courses of action.

Quantify and qualify alternatives.

Establish priorities and targets.

Identify the actions of choice.

Implement--performance standards, budget requirements, resource allocations.

Evaluate--review and recycle plans and the planning process.

The planning structure and tasks are combined in various ways as the specific design is adapted for a particular institution. Representative of the recognition that no single approach is universally valid, Neghandi and Reimann (1973) raised the question of fit between the internal structures of an organization and the external environment. They found a positive relationship between organizational

effectiveness and the degree of congruence between the environment and the structure. Keller (1983) was more precise in his belief that different campuses will require different processes. The academic-strategy revolution facing higher education is for each institution to analyze its own situation and devise a tailored process that yields an optimal match between the process and the organization.

Implied in the work of Neghandi and Reimann and that of Keller was the thesis that the environment in which planning takes place affects the very structure of the process itself. Arth (1984) confirmed this thesis as he analyzed planning and budgeting in a climate of resource constraint. He concluded that in such a climate the planning process must be defined in greater detail and with increased visibility than when budgets do not actually decline in real dollars.

The role of environmental factors as they relate to a planning structure includes factors both internal and external to the institution. Included are highly visible factors and trends such as square feet of laboratory space, areas of extraordinary faculty expertise, or student enrollments. Also included are the institutional values that serve as criteria for particular decisions. Presented as a case study of the budgeting process at Stanford University, Chaffee (1983) built a model for rational decision making in higher education. She identified as a major criterion for rational decision making a pre-existing set of values that are formulated in accordance with the values of the university as a whole. Both the highly visible and less

visible factors are environmental factors that structure planning. The influence of the internal and external environments is identified.

Steiner and Miner (1977) combined the strong environmental perspectives and developed them into a framework of expectations and evaluations. These expectations and evaluations were combined with a broad framework of structure and tasks as they developed a process for institution-wide planning. That process is representative of the planning structure suggested in the literature and is displayed as Figure 2.2.

In a focus on both "inside and outside," Keller (1983) linked the forward direction of the institution with the historical moment in which the institution finds itself. He provided another example of a conceptual framework for strategic planning. The internal traditions, values, aspirations; strengths and weaknesses; and leadership influence the external environmental trends, threats, and opportunities; market preferences, perceptions, and directions; and the competitive situation. Those six internal and external elements are brought to bear on the institution as a strategic planning process and are depicted in Figure 2.3 as Keller described them in Academic Strategy: The Management Revolution in Higher Education.

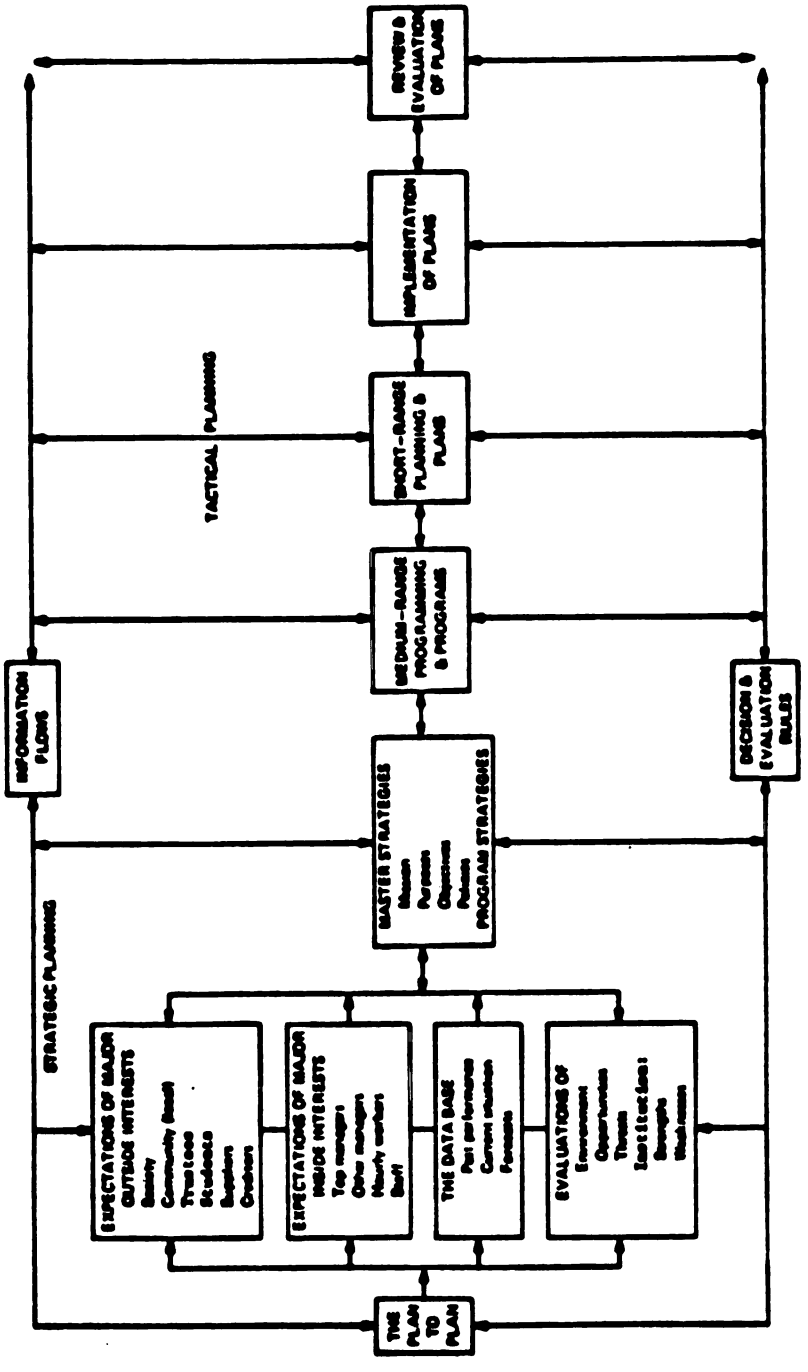


Figure 2.2.--The Steiner/Miner structure and process of institution-wide planning. (From Steiner & Miner, 1977, p. 18.)

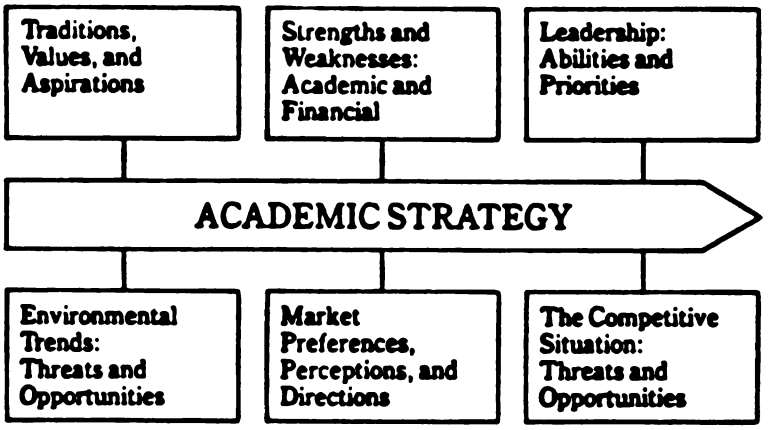


Figure 2.3.--Keller's environmental considerations. (From Keller, 1983, p. 152.)

Featuring similar dimensions as a combined Steiner/Keller approach is the work of Shirley (1983) and the NCHEMS. A strategic planning system was developed that frames both academic unit and support service unit planning within the same planning system. Shirley further identified planning events with the appropriate organizational level. (See Figure 2.4.)

The specific structures of the Steiner and the Keller process and frameworks are comparable to other examples of planning structures recognized by Cope, Kotler and Murphy, Parekh, Shirley and Volkwein, Uhl, Vaccaro, and Yeager and Morrow. A summary of those structures is presented in Figure 2.5.

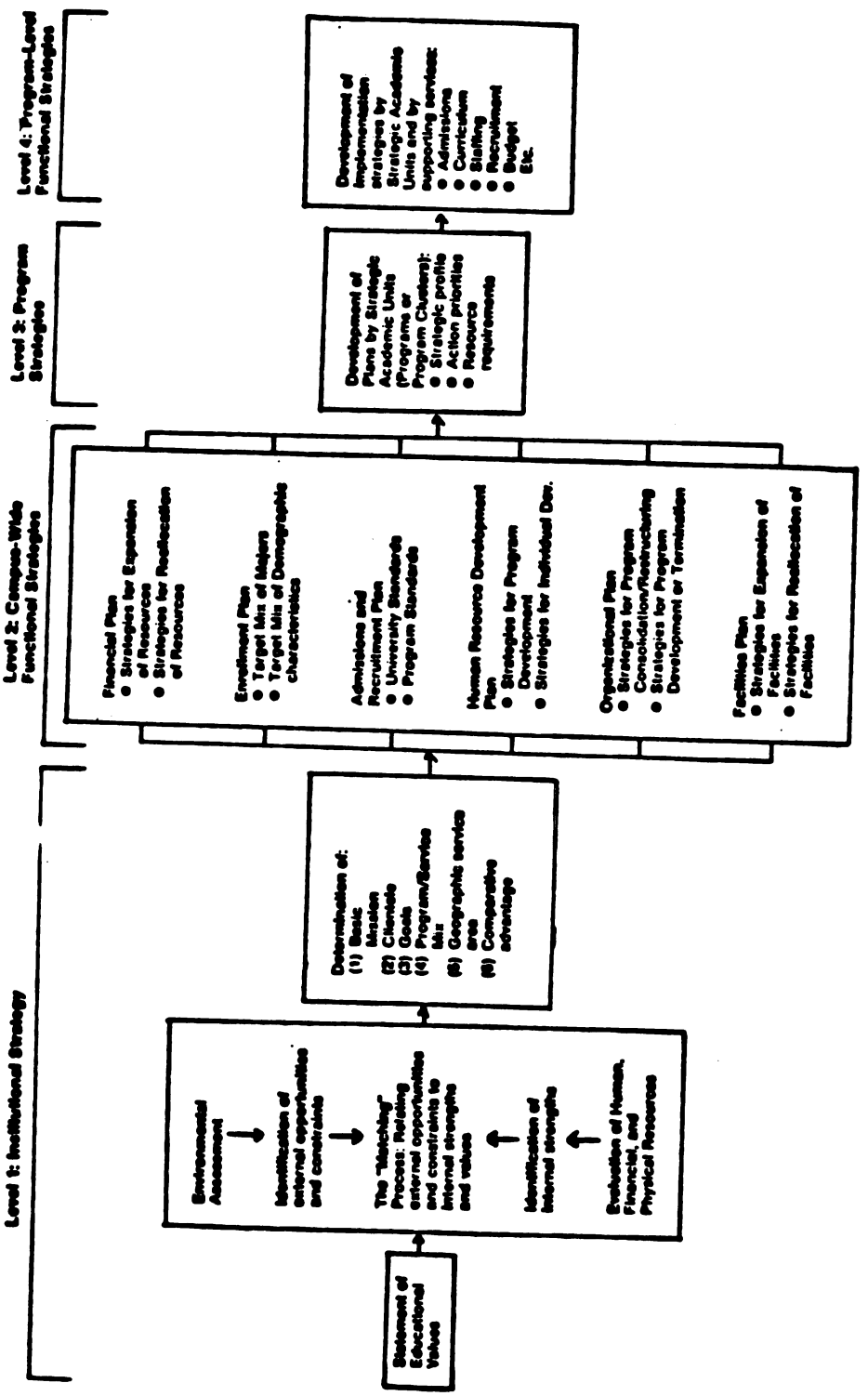


Figure 2.4.--Shirley's levels of strategy. (From Shirley, 1983, p. 95.)

Author	Structure	Comments
Cope (1981)	Review of mission, role, and scope of the institution, college, and department. Gather data on internal operations, especially strengths and weaknesses. Gather data on external environment, especially threats and opportunities. Match mission with strengths in ways that develop alternatives. Choose from among alternatives those strategies that are consistent with the institution's values, economically justifiable, politically attainable, and consistent with serving social needs.	Vertically Interactive Matching Process
Kotler & Murphy (1981)	Environmental analysis and resource analysis; goal formulation; strategy formulation; organizational design; systems design.	Horizontally Linear
Parekh (1977)	Mission, Goals, Responsibilities, Budget, Evaluation.	Vertically Linear
Shirley & Volkwein (1978)	Institutional mission and philosophy. Role and scope, goals and objectives. External needs, internal strengths and capabilities.	Matching Process
Uhl (1983)	Analysis phase, Mission and goals phase, Objectives and action phase, Resource need, analysis, and expenditure strategies phase.	Vertically Linear
Vaccaro (1976)	Goals, Objectives, Program identification, Calculate necessary resources, Analyze and compare resource requirements to available resources, Allocate available resources to priorities agreed upon, Plan for a system of periodic review.	Vertically Linear
Yeager & Morrow (1974)	Mission, goals, assumptions, program objectives, activities, and evaluation described at different administrative levels.	Matrix Structure of Tasks and Administrative Levels

Figure 2.5.--Recognized planning structures.

The specific applications of planning structures to institutions of higher education have not been widely investigated, although the planning systems, or aspects of those systems, of at least fifteen major public universities have been described in the previously referenced research of Johnson, Freman, Jones, Poulton, Gonyea, and Chaffee. Each institution developed its own unique planning structure, focusing on different but similar issues of planning. As Poulton (1980) noted, there is:

> not the absence of ideal models for guiding the planning process or of information processing techniques providing information for decision making. The problem is the development of a strategy for moving university management toward a planning orientation in decision making where rational bases are provided for decisions and those bases accompany the decision mode. (p. 645)

In his introduction to Institutional Research and Strategic Planning, Uhl (1983) commented that "what may be an excellent planning procedure for one institution may be totally ineffective for another" (p. 2). The statements of Uhl and Poulton combined with the selected structural examples provide a summary of the literature relating to planning components.

Benefits and Cautions--Long-Range and Strategic Planning

Inherent in whatever planning structure is tailored to meet an institution's needs is the reality that planning intensively consumes a valuable and expensive human resource: management time. The perceived result is a disproportion between the time and money expended in the strategic and long-range planning effort and the substantiated value of the resulting plans and strategies. Hunsicker (1980) noted this as a

"pedestrian quality of strategies that often result" from planning (p. 14). In a similar vein, Holloway and King (1979) reported:

> The body of scholarly research involving comparative planning evaluations is so sparse and inadequate that there is not yet even convincing evidence that planning, per se, has demonstrable value to a firm. (p. 74)

Ewing (1968) mentioned the "disastrous powers of anti-planning" (p. 44) as he commented on the planning movement: "Despite strong motives to make it succeed, planning has not generally been blessed with success" (p. 16).

Although Ewing's observations were generated from a corporate profit structure, Baldridge and Okimi (1982) directly questioned the value of planning for colleges and universities. They concluded that planning processes traditionally overpromise and underdeliver; and because of the necessity of political consensus in institutions of higher education, planning falls apart. In three case studies of a rational model for planning and decision making, McNeill (1973) suggested that the limitations of "rationalist planning" in education are striking. She argued that effective planning must integrate the qualitative and the quantitative, reflecting the importance of the "extra rational."

The pitfalls and concerns relative to planning for higher education must be contrasted with the recognition of benefits. In his comparative study of planning of independent colleges in Michigan, Lahr (1981) concluded that institutional planning of a decade ago was typically expedient, unsystematic, and operational rather than the more effective trend to be substantive, systematic, and comprehensive. He

documented the widely held belief that colleges and universities will be able to cope with their problems only when planning is conducted at the institution.

Goode (1984) reviewed a variety of approaches to planning and commented on the unique benefits of strategic planning as it:

> enables the total management resources of the institution to be focused on the desired future of the institution. It provides procedures for top managers to function as a management team and thus brings the breadth of experience of the total organization to the issues being faced. (p. 19)

The organizational tensions created by anti-planning versus pro-planning advocates appeared to be largely reduced when contributors to the planning literature examined the experience record of efforts related to long-range and strategic planning and then proceeded to document and develop characteristics for effective planning. "The Reality Gap in Strategic Planning" fully acknowledged the unfulfilled promises and unfortunate outcomes. Paul, Donovan, and Taylor (1978) proposed an "adaptive forward planning" that incrementally adjusts the planning of an institution with the successes and failures it experiences. It is an approach that:

> Emphasizes the process of planning, not the financial aspects of the plan.
>
> Gears the plan to specific events.
>
> Decides in advance the criteria for continuation or abandonment of a project.
>
> Sets up a monitoring system. (p. 128)

Koontz (1976) examined the disillusionment with strategic planning and suggested that it is attributable to lack of clarity and precision regarding:

> What strategies are and why they are important.
>
> How strategies fall into the entire planning process.
>
> How strategies are developed.
>
> How to implement strategies by bringing them to bear on current decisions. (p. 37)

Failure to understand clearly those four aspects of strategic planning leads to a series of reasons regarding why Koontz believed planning fails. These reasons are then developed into requisites for effective planning and implementation strategies. Those reasons for failure, the requisites, and implementation strategies are specifically set forth, as shown in Figure 2.6.

The synthesis of experienced planning failures with the requisites and implementation strategies for planning appropriately balances the rational and the intuitive contributions to effective planning systems. Minahan (1976) noted that "administrative decision making in academe is too often regarded as a sort of art at which good administrators are proficient and outstanding ones are excellent" (p. 2).

Relating strategic goals to both the process and the politics of planning is both art and science. According to Quinn (1977), "Establishing strategic goals for complex organizations is a delicate art, requiring a subtle balance of vision, entrepreneurship and politics" (p. 37). As it is practiced, Enarson (1975) linked planning

Reasons for Failure	Requisite	Implementation
Lack of commitment from the Chief Executive Officer	Organizational Self-Appraisal	Communication to to all key decision makers
Confusing planning studies with plans	Assess the future environment	Planning premises developed and communicated
Making decisions without clear strategy	Organizational structure which ensures planning	Action plans must contribute to and reflect major objectives and strategies
Lack of clear, actionable, attainable, verifiable goals	Assuring consistent strategies	Strategies are reviewed regularly
Neglecting or underestimating the importance of planning premises that are essential to coordination		Contingency strategies
Failure to place strategies within the total scope of the plan		Make organizational structure fit planning needs
Failure to develop clear policies		Define roles
Failure to keep in mind the time frame		Organizational climate that forces planning
Tendency of people to base actions on past practice instead of future expectations		

Figure 2.6.--Koontz's rationale for planning failure. (From Koontz, 1976, pp. 38-47.)

and management as art forms: "Both involve those elements we associate with art--intuition, creativity, discernment, command of the work tools and materials, an appreciation of form and function" (p. 174).

In spite of the tensions that result when strategic and long-range planning is actually used as a management tool, there are benefits related to improved decision making. According to Poulton's (1980) study of strategies used by large universities:

> The primary products of planning and institutional research efforts are two fold: the improved ability to hold and analyze information, and the improved basis for taking action. The evolution of the planning and institutional research process centers around three creative tensions: The match between the administrative environment as a target of change and the planning activity that prompts change, the mix of centrally oriented activities, and the mutual understanding of the division of roles among participants. (p. 648)

Contributors to planning literature have acknowledged both the benefits and pitfalls of long-range and strategic planning. Each shapes the implementation of a planning framework for an institution.

Documentation--Long-Range and Strategic Planning Guides and Manuals

The mechanisms for linking together the conceptual context for planning with the actual practice of planning as management makes and implements effective decisions has been identified in the literature as planning documentation. These have usually been referred to as "planning guides" or "planning manuals."

Although sound documents communicating the planning process are not a substitute for strategic thinking and effective planning, they do, according to Abell and Hammond (1979), "reinforce it" (p. 449).

Toll's (1982) identification of strategic plans as an increasing priority for colleges and universities clearly noted that "plans drafted with an eye toward implementation have reduced the chance of remaining on the shelf unused" (p. 37).

The contribution of planning guides and manuals to the corporate systems of planning has been investigated through research sponsored by the Conference Board, a research association for corporate management (O'Connor, 1976). Because the implementation of an effective planning system is directly related to business strategies for profitability, the public access to the specifics of corporate planning guides does not appear to exist. However, O'Connor's survey of corporate planning guides and manuals noted the corporate use of written planning documents in the planning process.

Documentation for planning activities, as it develops the practice of strategic planning, is widely implied as a characteristic of planning systems and of plans. For example, the planning structures of Steiner, Coper, Parekh, Vaccaro, Yeager, and Morrow, which have been previously discussed, each specified some type of iterative event. However, the framework of a recurring event was not developed. In a similar example, pervasiveness of planning throughout an organization is a widely referenced characteristic. Yet, the mechanisms for the pervasive communication and participation between different administrative levels are not specified.

Shirley's (1983) work in relating strategy to administrative level began to focus on "what" has to be accomplished and by "whom"

(p. 93). The Parekh Long Range Planning book (1977) is frequently referenced as a framework for planning documentation. However, both Shirley and Parekh stopped short of a full-scale effort to provide guidelines that specify the context for planning, an orientation to the planning for a specific institution, and the instructions for academic and support unit planning. Specific references to existing planning guides for organizations other than businesses are rare.

Planning documentation is most effective when, like the planning structure itself, it is tailored to the specific institution and evolves as the institution's experience with planning grows. The purpose of planning documents is twofold. They should guide the process of planning, as well as produce the required plans. The role of such documentation serves to:

Stimulate creative thinking.

Ease the consolidation of unit plans into the corporate plans.

Educate managers in regard to planning.

Serve as a communication tool. (O'Connor, 1976, p. 1)

Lahr, Johnson, Poulton, and Freeman reported on research studies of planning documents at colleges and universities. A wide variety of formal planning documents and techniques was revealed. However, no manual or resource guides for planning were noted for linking the conceptual context of a mission, goals, and objectives statement with the specific "end product" planning formats or techniques, such as the NCHEMS Resource Requirement Prediction Model, or unit plans.

The beginning of planning processes can be documented in statements related to the university planning philosophy or in statements of mission or goals. Beyond that, Johnson (1975) commented:

> Rarely is found in written form for every level, the kind of detailed planning which would enable decision-makers to see at a glance what must be done step-by-step if goals of the institution and each of its subprograms are to be realized. (p. 8)

Johnson's comments referred to the pervasiveness of comprehensive planning in a mode that encompasses the entire planning structure. In another mode of comprehensiveness related to both academic program and support services program planning, Freeman (1977) noted that:

> There is little evidence that more than passing consideration was given to comprehensive planning in the sense of a systematic effort to integrate academic planning with planning for financial and physical resources. (p. 2)

The deviation between conceptualized planning systems and their pervasive, effective institutional use is illustrated by the lack of guidelines in the literature relating to the authority, responsibility, and accountability requirements of the people involved in an effective planning system. Although the critical role of the chief executive officer in corporate planning has been well identified (Koontz, 1976), the respective roles of administrators and faculty are less clear. Takeuchi (1983) confirmed the importance of the executive commitment and involvement in the process. Tack and Peseau (1982) noted that when faculty are involved in planning it generally occurs on a random basis or as a product of a particular faculty interest and expertise. Palola, Lehmann, and Blischke (1971) confirmed that the literature on the faculty's role in planning is quite sparse. They attempted to

detail some of the variables of faculty involvement in planning and to relate that to adequate resources to fund participation as a legitimate faculty role with criteria for promotion, fully recognizing their participation in the planning functions. The role of academic governance structures in the planning of an institution is not well set forth in the literature and has not been documented to stimulate the practice of planning. Additionally, the gaps in the concept-to-effective-practice continuum were illustrated as Uehling (1981) suggested that the theory of "who" is actually involved in planning needs to be expanded, in practice, to include the other relevant shareholders of the institution:

> For a long time the faculty was the only group other than administration who were thought to be relevant to the planning process--but we have come to realize that there are other constituencies--both within and without the institution that are important. (p. 35)

Those "other constituencies" might include support staff, students, and the external publics. Although the concept is gaining acknowledgment, little has been done to develop the mechanisms of the participation of a variety of constituents in the planning system.

In search for literature describing the actual planning of colleges and universities, it was necessary to refer to unpublished university documents. The files of the Michigan State University Office of Planning and Budgets (OPB) were reviewed. A 1978 OPB request for the sharing of information relating to planning and budgeting procedures yielded a file of resource documents from large, public universities throughout the United States. Those documents illustrated the institutional adaptation of external planning systems to their own

needs. However, no documents were found that fulfilled the role of a planning guide as an explicit reference framework for the planning system and for the required "end product" formats.

While the universities did indicate they used a formalized concept of planning in the management of their institutions, and several had succeeded in developing guidelines that addressed segments of a comprehensive planning system, there were no examples that detailed the process and procedures to be followed at all administrative levels. This review of selected university planning documents appears to confirm a gap in the content-to-practice continuum.

Perhaps Keller's (1983) book on academic strategy comes the closest to a "generic" planning guide for institutions of higher education. He explicitly posed key questions that frame a planning system. Those questions were consistent with his present-future and external-internal paradigm as a matching process:

> What business are we really in? Of the 3,100 colleges and universities and two-year community colleges, what special role do we play in the American higher education network?
>
> What attractive and important set of services does our institution provide that people cannot obtain elsewhere better, faster, or cheaper?
>
> What comparative advantages do we have over approximately similar places?
>
> What academic fields and college services will be most needed by the country and our own region in the next decade?
>
> With our traditions, endowment, location and collections of faculty and administrators, what should our campus be building toward?
>
> What should our college aspire to be ten years from now? (p. 121)

Such questions are easily adapted to a decentralized organizational structure and are applicable at each major planning level: central administration, the college level, and the department level. Perhaps the ongoing weakness of the Keller questions as planning guidelines is that they are limited in scope to academic planning. The linkages with support service program planning are largely unaddressed.

In summary, the literature demonstrated an apparent gap between the guidelines acknowledged or implied to be significant aspects of the comprehensive planning effort and the actual existence of those guidelines. More precise guidance from the literature regarding the bridging of that gap between theory and practice is lacking. However, the literature does set forth some principles, components, and structures of planning systems. The characteristics of the planning components and the design of the planning structure do exist as a starting point for the development of documentation applicable to a large, public university. Such documentation may be referred to as a planning guide or a planning manual.

Beyond the theoretical principles relating to components and structure, the specific institution itself must be examined. Planning guidelines that are tailored to the institution bridge the gap between the ideal of and the practice of planning within the context of the institution itself.

As an illustration of this additional level of planning specificity, Michigan State University (MSU) serves as an example of a

large, public university. The current university-level planning documents were reviewed, as well as the final reports of two major university-wide planning efforts.

During the 1950s and 1970s, MSU engaged in major self-examination efforts in regard to planning. With the second one-hundred years of development, MSU initiated a significant reorientation. In an environment of expanding resources, in 1959 the University set forth a comprehensive mission with new directions. An all-university Committee on the Future of the University issued a report to then-President John A. Hannah. The land-grant philosophy was interpreted for Michigan State University to mean:

> The desirability of equality of educational opportunity at the University level.
>
> A broad liberal education for students who are also in technical or professional training.
>
> The University should use its knowledge and facilities for solving the significant problems of society.
>
> The University's responsibility to carry knowledge to the people.
>
> A University must be a mechanism for change in society. (Report to the President, 1959, pp. 2-3)

Out of the land-grant philosophy emerged two major theses as the Committee on the Future urged dedication to excellence and the development of quality programs, and the warning that MSU must be selective with regard to areas it chose to stress and emphasize.

As the planning process emerged out of the effort of 1959, it focused on the budget process and the development of unit planning within an all-university context:

> Each department and college should prepare a long-range program consistent with the general objectives and criteria developed for the University.
>
> All academic units should give early attention to program plans which include statements of long term objectives, distinctiveness of approach and emphasis, planned contributions to the program of the total University, and a schedule for discontinuing courses, fields and curricula no longer contributing to the central program. ("Report to the President," 1959, pp. 62-63)

In an effort to plan in an environment of diminishing financial resources, the University evolved two academic planning documents in the 1970s: the 1972-73 Annual Evaluation and Report and the later All Funds Program and Budget Planning Report. Both were upward-bound reports, completed at the department and school levels and returned to central administration to be used as a context for resource allocation and programmatic decisions.

As early as 1975, then-President Clifton J. Wharton stated that current conditions demanded the initiation of a long-range planning effort if MSU was to continue to have a dynamic future (State of the University Address, 1975). To fully consider all the options, President Wharton appointed on a temporary basis a special Long Range Planning Council. The Council was established to "receive, analyze, and make recommendations and suggestions not easily introduced through regular structures and procedures" ("Report to the President," 1978, p. 4). A second major all-university report was developed at the request of President Wharton in 1978-79. That "Report to the President on Long Range Planning" reviewed the history of long-range planning at MSU. The focus of that planning effort was the reassessment of University priorities and the development of long-range plans.

As the Long Range Planning Council proceeded with their charge, it became apparent that it would be "helpful and appropriate to the University community for the Council to make a statement on the future of long-range planning at Michigan State" ("Report to the President," 1978, p. 5). The recommendation that came out of that effort spoke to the desirability of a long-range planning capability that is reviewed regularly. Additionally, a profile of capability attributes was specified.

The current central planning documents consist of a series of separate but related documents:

Long Range Strategic Planning at Michigan State University
Mission Statement
Environmental Assumptions
University Goals
Academic Programs: Michigan State University
Support Service Programs: Michigan State University
Academic Program Planning and Review
Support Services Program Planning and Review

The Academic Program Planning and Review and the Support Services Program Planning and Review documents are developing procedures and formats. The others stand as central guiding statements relative to comprehensive long-range and strategic planning.

The "Statement of Long Range Strategic Planning at Michigan State University" identified a number of principles around which an effective, comprehensive planning system is developed. Broadly set forth:

> Michigan State University is a large, complex, decentralized, public institution which is not subject to rigorously formal or highly technical planning procedures. Because of the University's dynamic nature, its planning process must be flexible, responsive,

> and continuing. Accordingly, MSU's long range plan is actually a design for a process of planning. It is at once static (a plan) and dynamic (a process). Long range planning takes place in successive stages of definition of components, process, and product. (p. 20)

Within the "Statement on Long Range Strategic Planning," more specific principles are articulated in regard to time horizons, parameters of participation, and a programmatic basis for planning. Included are:

> Planning is a three- to five-year "rolling" or cyclical process.
>
> The Provost and the Vice President for Finance and Operations have primary responsibility for the design, implementation and monitoring of long range planning.
>
> Planning will take place mainly in departments, schools, colleges, and equivalent support units, where the principle of extensive consultation, both within the units and with appropriate administrators, also prevails.
>
> Planning is fundamentally programmatic. (pp. 2-3)

In addition to these guiding principles, six structural elements broadly define the boundaries within which planning occurs. Those are set forth for Michigan State University as:

> Mission: The mission statement outlines the enduring purposes and responsibilities of Michigan State University. The mission expresses the idea of MSU and thereby guides, in a basic way, the entire planning process. It is a philosophic statement, based on the University's history and traditions that should not require frequent revision. Prepared by the administration, after consultation with the Board of Trustees, with Academic Governance, and with college and support unit administrators, the mission statement reflects a consensus version of the University. Along with other basic factors, the Mission will influence long range planning at every stage.
>
> Environmental Assumptions: The environmental assumptions express the best sense of how external conditions, over which the University has little control, but which in some cases it can influence, will constrain or augment the University's programs.

> Academic Programs: The Academic Programs statement describes, from a comprehensive University perspective, the undergraduate, advanced study, research, and public service programs of MSU.
>
> Support Service Programs: Organized according to major support function, the Support Services Program statement includes brief descriptive accounts of major university services and enunciated goals and criteria against which these services are reviewed.
>
> University Goals: The goals of the University provide an intermediate definition of the University's purpose. Goals interpret and delineate the mission so that academic and support units can define their own role and objectives, and plan programs which are consistent with the mission of MSU. (pp. 4-7)

Detailed planning takes place in the major academic and support service units:

> As a rule the annual reviews will be conducted through the Academic Program Planning and Review and the Support Services Program Planning and Review process which requires projections over several years as well as detailed annual plans.
>
> Plans will be evaluated and coordinated by the appropriate administrative officer and finally, after reasonable consultation, by the Provost and the Vice President for Finance and Operations. (p. 3)
>
> Planning will include the definition of objectives and the means for achieving them, the analysis and evaluation of the program's effectiveness, the assessment of alternatives for making improvements, and a projection of future plans for unit programs. These should be consistent with the role, purpose, and priorities of the college and the unit itself, as well as with the mission and goals of the University. Program planning should also be based on realistic long-range budget, enrollment, and facility projections, and other appropriate planning assumptions. (p. 8)

While the "Long Range Strategic Planning Statement" provides an umbrella under which planning may proceed, additional and separate documents have addressed a more focused thrust for academic program and support services program planning. Included in this description would be Academic Programs--Michigan State University, Support Services Programs--Michigan State University, and the Academic Program Planning

and Review Procedures. The Support Services Program Planning and Review Procedure is in a developmental state.

From review of the documents cited, it appears that planning has been set forth for MSU in a comprehensive and continuous mode. However, the linking together of these central documents in a manner that stimulates and guides the "strategic thinking" and planning responsibilities of the unit administrators does not exist as a formal framework.

Summary of the Review of the Literature

The definition of planning as it is related to the management of large, public universities can be derived from those developed in the literature in the fields of education and of business. Increasing the specificity of a planning definition to include long-range and strategic planning is the most effective approach for institutions of higher education.

The characteristics of a planning process build the conceptual structure. Although there is a variance in the labelling of specific terms and the relative importance proposed for those elements, an overall profile of elements can be implied from the literature.

The practice of planning acknowledges literature that enthusiastically supported long-range and strategic planning as well as literature that may be characterized as "anti-planning." It may be demonstrated that both perspectives offer guidelines to be considered in the actual practice of planning.

Literature in both business and education has directly acknowledged, and also has inferred from the planning structure itself, the positive role of planning documentation conceived as guides or manuals for making planning work. However, there are apparently no examples of such manuals or guides for large, public universities. Such guides link the conceptual planning structure and components with the implementation of planning in a specific institution. Nor could a model for such a guide be found in the literature. Lacking a definitive example, the development of a planning guide may proceed along the same attributes that were reviewed as a profile of planning elements. Thus, such a planning guide should:

Be explicit in terms of the development of "goals" and "objectives" for all administrative levels.

Set forth the parameters for supporting the institutional mission.

Set forth the specific assumptions as the premises upon which planning proceeds.

Include a strategic and long-range, internal/external focus on the analysis of strengths and weaknesses, and threats and opportunities.

Integrate the major administrative levels in an interactive and continuous process.

Require both academic program and support service program planning.

Identify the protocol for linking academic and support planning.

Specify the participants in the planning process and the responsibilities, authorities, and accountabilities of each.

Recognize the high turnover of department-level administrators and the experience and orientation of these individuals to their discipline rather than to the management and leadership of an organizational unit within a greater whole.

Integrate program quality assessment and identify plans for future improvements.

Illustrate the model for communication and iteration of plans.

Provide for an evaluation of plans as well as of the planning system itself.

Distinguish the use of data from qualitative and quantitative sources and identify appropriate protocol for the utilization of each.

Identify the elements of a data-based quantitative unit profile and provide for more than an extension of historical trends.

Provide for a budget justification as a link with resource allocation.

Evaluate the use of institutional resources at the lowest possible level.

As those guidelines are developed into a manual for planning, the experience of the particular university must be considered also. At Michigan State University such a document for the practice of planning provides a framework for a dialectic. The debate among the institution's constituencies is framed, at one level, within the mission, role, and purpose of the university; the colleges and major administrative units; and the departments, schools, and divisions. At another level, the dialectic may be framed in terms of guidelines related to planning parameters, planning procedures, planning participants, and planning products.

As Abel and Hammond (1979) noted, "The state of the art of planning will advance to the degree that new techniques and procedures can be devised that shed more light than heat on this process" (p. 458). The literature indicated that the development of a planning guide for use in a large, public university by administrators who are

largely without formal management or planning training would be such a contribution.

CHAPTER III

DESIGN AND METHODOLOGY

The method selected for research relating to the development of a planning guide is described as "operations research." The same methodology is also known by a variety of other names, including operational analysis, operations evaluation, systems analysis, systems evaluation, systems research, and management science (Ackoff & Sasieni, 1968). The selection of the operations research methodology is based on the fundamental nature of operations research (OR) as defined in the literature and on the essential characteristics of OR as derived from the definitions.

The discussion related to the research methodology is developed in two sections. The description of operations research as a method of scientific inquiry is presented first. The second section describes the application of operations research in a higher education setting and as the design for the research herein reported.

Operations Research Described

The Development of Operations Research

Churchman, Ackoff, and Arnoff (1957) noted that the roots of operations research are as old as science and the management function,

although the name dates back only to the late 1930s and early 1940s. During World War II, professional operations researchers in the United Kingdom worked with the Royal Air Force to create the first radar-based air defense system. During the war, the OR approach quickly spread to the other services and armed forces of other nations, including the United States. The OR approach to problem solving has been reported as instrumental in winning military encounters such as the Air Battle of Britain, the Battle of the North Atlantic, and the Island Campaign in the Pacific (Moskowitz & Wright, 1979).

Following the successful uses of OR in the second world war, business organizations were attracted to the use of the formal tools of OR as a method of inquiry into complex organizations. OR emphasizes the formal decision-making processes. It rests on the assumption that over the long run, "application of a formal, rational approach to decision making should also enhance the managerial decision making process" (Moskowitz & Wright, 1979, p. 7).

Operations Research as a Mode of Problem Solving

The scientific method is usually described as a five-stage process which begins with the observation of a problem and ends with the testing of a hypothesis. It is based on the assumption of the repeatable experiment in which given conditions reproduce the same results upon replication. The stages of the scientific method have been described as:

1. The statement of the problem;
2. The collection of relevant data;
3. The analysis of data;
4. The formulation of a hypothesis;
5. The testing of the hypothesis and, if necessary, its amendment. (Rivett, 1983, p. 678)

What made OR unusual and successful during the second world war as a mode of problem solving was:

> the fact that these scientists were not playing the normal game against Unchanging Nature, which goes on within laboratories. This meant they could not manipulate the research object in the same way that, for example, the laboratory physicist studying magnetism can decide what to include in his experiment, what to leave out, which variables to change, and which to keep constant. The stratagem was to construct a surrogate for the real-world situations, a <u>model</u> of it which could be manipulated where the research object itself (the real-world situation) could not. Experiments could then be done on the model and the results hopefully transferred to the real situation. (Checkland, 1983, p. 664)

What Checkland described as the intellectual breakthrough in the application of the scientific method is the OR recognition of the "logic of situations" (p. 665). The investigation of real situations may be scientifically pursued using a model of the logic of the situation when it is impractical or impossible to manipulate the variables in a traditional research design.

Thus, OR begins with the core component of the empirical method of the natural sciences and applies it to the real-world situations as previously described by Checkland. It accomplishes this by identifying what problem is to be solved and explores how the objective may be achieved by manipulating a model or a surrogate of the real situation.

Operations Research Defined

Described as an applied science, Churchman et al. set forth an early and well-known definition of OR as "the application of scientific methods, techniques, and tools to problems involving the operations of systems so as to provide those in control of the operations with optimum solutions to the problem" (p. 8).

The concept of "an optimal solution" involving a total organizational system was crucial in the Churchman definition. Optimization focuses on the tendency of the parts of any complex organization to develop autonomous goals, activities, and value systems that most fully enhance their own objectives. Hillier and Lieberman (1974) noted that the consequence of such a tendency is the loss of vision regarding how the activities and objectives of different organizational components mesh with those of the overall organization. What is best for one part of the organization is frequently in conflict with another. The Churchman definition illustrates the broad OR viewpoint of conflict resolution within an organization in a manner that is best for the organization as a whole. OR is a philosophy, a way of looking at conflicts and problems that "tries to find the best decision relative to as large a portion of a total organization as is possible" (Churchman et al., 1957, p. 6).

While many OR authors have reinforced the perspective of "optimization," Churchman (1970) noted that the thrust of OR is to secure "improvement in social systems by means of scientific methods" (p. B-39). With improvement as the target, a strictly optimal solution

that can be demonstrated and guaranteed to be the best may be impractical for many OR problems. Complex problems may require the exercising of judgment, experience, intuition, and rules-of-thumb and tend toward recognizing a heuristic concept as a part of optimization.

The term "heuristic" has been defined as "a method which on the basis of experience or judgment, seems likely to yield a good solution to a problem but which cannot be guaranteed to produce an optimum" (Foulds, 1983, p. 929). Although not fully recognized as a standard OR technique, it is accepted as a valid decision-making tool in the practical application of OR in situations where lack of reliable data reigns supreme (Foulds, 1983). It is within a heuristic definition of optimum that the research describing the development of a planning guide is focused.

Thierauf and Grosse (1970) reviewed the Churchman definition and those presented by other OR authors. They concluded that OR can best be defined as a method:

> which utilizes the planned approach (scientific method) and an interdisciplinary team in order to represent complex functional relationships as mathematical models for the purpose of providing a quantitative basis for decision making and uncovering new problems for quantitative analysis. (p. 14)

An interdisciplinary team approach was key in the Thierauf and Grosse definition. During the World War II applications, small teams of scientists were drawn from any discipline from which they were willing to come. Ackoff and Sasieni (1968) related the considerable success of these interdisciplinary teams to the nature of the OR approach to problems: "There is no such thing as physical problems,

biological problems, psychological problems, and so on. There are only problems; the disciplines of science represent different ways of looking at them" (p. 7).

It is desirable to evaluate a wide range of alternative approaches toward selection of optimal solutions. The interdisciplinary team approach recognizes that most complex problems have many different aspects. Likewise, the OR approach recognizes that a "team mind" may hold the potentially useful scientific information in a capacity far greater than one "individual mind."

> When a scientist is confronted by a new type of problem, he, like anyone else so confronted, tries to abstract the essence of the problem and determine whether or not he has faced a similarly structured problem in a different context, particularly in his field of specialization. Once he finds an analogous problem in his special field he can inquire as to whether or not the methods he would use on the analogous problem in his own field are applicable to the new problem with which he is faced. In this way he brings to bear on the new problem methods of attack which might not otherwise be thought of in this connection. When scientists from different disciplines do this collectively, the pool of possible approaches to the problem grows. (Churchman et al., 1957, p. 10)

Thus, the team approach stimulates new and improved solutions to the research problem as new viewpoints, new techniques of analysis, and alternative solutions are applied.

A common element of both the Churchman and the Thierauf and Grosse definitions is the application of scientific methods to the research problem. The acknowledged stages of that process have been previously described as a rational, repeatable model of experimentation as problem solving.

The objectivity and control of the traditional scientific method are consistent with what Thierauf and Grosse (1970) specified as a five-step planned approach:

1. Observation;
2. Definition of the real problem;
3. Development of alternative solutions;
4. Selection of the optimum solution using experimentation;
5. Verification of optimum solution. (p. 31)

Those five steps were developed into stages of phases or an OR project by Moskowitz and Wright (1979). They were specified as:

1. Formulation and definition of the problem;
2. Construction of the model;
3. Solution of the model;
4. Validation of the model;
5. Implementation of the results. (pp. 18-20)

Some authors have added a step in between Moskowitz and Wright's fourth and fifth phases. Hillier and Lieberman (1974) suggested that a step which establishes controls over the solution is usually found in OR projects.

Rivett (1983) discussed the difficulties caused by the nonrepeatable nature of all OR studies. He maintained that within the mainstream of science, OR tackles the complex problems avoided by the traditional scientist. The nonrepeatability of complex problems does not mean that they are insoluble. The world consists of rationality,

reason, immutable laws. OR looks for that sense at the heart of every problem.

> We are looking for the commonsense that lies shrouded in the middle of the chaos within which we deal. It is this commonsense that the physicist finds at the heart of the matter and the astronomer finds in the farthest reaches of the universe. We never find nonsense at the end of research in any part of science. (p. 683)

The Use of Models in Operations Research

The construction and use of models as a representation of reality is an area of difference with the traditional empirical scientific research and in the OR methodology. The usefulness of applying models to further scientific investigation has long been a part of the natural sciences. OR authors have noted that astrological models are used to predict the actual performance of planetary orbits.

However, the importance of model building is at the heart of the nature of OR. Particularly useful for complex or ill-structured problems, models are the operations researcher's vehicle for arriving at a well-structured view of reality. Wagner (1969) described a model as the logical counterpart to laboratory experimentation in the physical sciences as models help:

> put the complexities and possible uncertainties attending a decision making problem into a logical framework amenable to comprehensive analysis. Such a model clarifies for the decision maker alternatives and their anticipated effects, indicates data that are relevant for analyzing the alternatives and leads to informative conclusions. (p. 10)

The Thierauf and Grosse (1970) definition, previously referenced, made use of the term "mathematical model." They further categorized mathematical models in categories including:

Quantitative and Qualitative;
Standard and Custom-Made;
Probabilistic and Deterministic;
Descriptive and Optimizing;
Static and Dynamic;
Simulation and Non-simulation. (pp. 16-19)

Thus, mathematical models are recognized to encompass more than the quantitative analysis of mathematical programming and probabilistic models.

Operations Research and Decision Making

The primary focus of OR is on decision making within the total organization. Wagner (1969) claimed that the results of OR analysis must have direct and unambiguous implications for executive action as it combines intuition, chance, hunch, and serendipity (even dreams) effectively with the scientific method.

In a paper concerned with the strategic planning process and the contribution that analysis can make to it, Tomlinson and Dyson (1983) viewed effective OR as being the result of the interaction of the management process and the analytical process within the context of the total organization.

Although OR literature has been "curiously silent" on the processes by which decisions are made within organizations, Rapley (1983) provided a reasoned case for the increased involvement of OR researchers as an approach to support decision making. The perspective of viewing the organization as a whole system has been likened to that of a world view. The large perspective of a world view not so much

solves specific problems as designs optimum problem-solving systems that are capable of solving a wide range of problems.

In summary, the usual phases of an OR project are described as formulating the problem, constructing a model, deriving the solution, validating the model, and implementing the solution. The essential characteristics of an OR project are found in the definition of OR as an approach to decision making. They are a scientific method of inquiry, a multidisciplinary team approach, the use of models, and a focus on decision making within the total organization.

Operations Research Applied to the Study of Planning in Higher Education Institutions

The literature supported the extensive application of OR in a wide variety of areas, including government, health care, business, and industry. There is little evidence of application in institutions of higher education to the process of comprehensive institutional decision making or planning. However, Moskowitz and Wright (1979) maintained that the "nature of the organization is irrelevant" (p. 10). OR is characterized by inquiry into the conduct of activities within the functioning of the total organization. It is concerned with the practical management of the organization, without regard to the kind of organization.

The complexity and the very nature of college and university planning requires that a research approach be used that does not involve what Ackoff and Sasieni (1968) described as "experimentation (in the most narrow sense entailing the physical manipulation of the

subject under study) on the total system" (p. 9). Thus, some authors have believed that it is not practical to design an experimental research project dealing with college and university planning which is based on the physical manipulation of variables.

Although OR usually deals with tactical, short-run problems, Ackoff and Sasieni noted that problems relating to long-range planning are among the most typically strategic ones addressed by OR. The process of seeking simultaneous solutions to a set of interdependent problems was seen by Ackoff (1970) as the essence of planning.

In summary, OR is well suited to an investigation related to institutional planning as an aspect of decision making. The development of a planning guide as a formal description of the planning framework represents a focus on the entire organization. The total institutional focus is a characteristic of the optimizing thrust of OR and is well matched with the necessary perspective of a guide to comprehensive institutional planning. The multidisciplinary team approach developed as part of the OR methodology was assumed to be particularly valuable to institutions of higher education where the range of internal expertise alone is broad and a valuable resource. The planning guide as a model to be developed and modified on the experience of practicing administrators uses the OR methodology of evolving optimal solutions to a problem.

The Research Design: Development of a Planning Guide

The description of OR as applied to the development of a planning guide is based on the acknowledged stages of OR and its characteristics as identified in the literature. The research design is described in three sections: first, the stages of OR as applied to the development of the guide; second, the development and research role of the guide as a model; and third, the selection and the research role of the interdisciplinary team.

The Stages of Operations Research

Three of the five stages previously described by Moskowitz and Wright and other OR authors are applicable to the development of the methodology used to modify a theoretical document on the basis of experience. The three applicable steps are the first listed by Moskowitz and Wright. They are those related to the formulation and definition of the problem (Stage I), the construction of the model (Stage II), and the solution of the model (Stage III). Because the remaining two stages of OR deal with methodology related to implementation and use, they are not as applicable to the developmental phases of a planning guide as an OR project.

Stage I. The formulation of the problem centers on the unavailability of a university planning guide that provides the institutional framework for long-range and strategic planning. The problem is further defined when the acknowledged unavailability of a planning guide is contrasted with the recognition that such a guide improves planning effectiveness. What is available is a body of

literature in the fields of business and education that provides the basis for such a theoretical framework for planning.

Stage II. The development of the initial theoretical planning guide as a model was designed to be based on two foundations. The planning principles and guidelines as found in the literature in the fields of business and education provided one basis and were described in Chapter II. Also a part of the foundation was the necessary institutional context of a specific university.

Michigan State University (MSU) was selected as the institution for which a planning guide would be developed. MSU, located in East Lansing, Michigan, is described as a premier land-grant institution and a member of the Association of American Universities. With an enrollment exceeding 40,000, MSU ranks among the nation's largest institutions in full-time enrollments. Without a formal university planning structure in place before the early 1980s, MSU has been in the process of developing a series of conceptual statements to guide long-range and strategic planning. The application and implementation of that framework began in late 1983.

MSU does not possess a comprehensive planning document to provide the guidelines necessary for the implementation of the relatively independent planning statements in regard to long-range strategic planning for academic programs, support service programs, and budget and financial planning. Although the University does possess a number of papers and conceptual statements, they have been developed by different individuals over the years. The unavailability of such a

comprehensive planning guide at MSU represented, within a single institution, the problem addressed by the OR study.

The OR expectation relative to the problem was twofold. First, a planning guide could be developed that was consistent with the theoretical planning concepts found in the literature. The theoretical concepts were described in Chapter II. Such a theoretical guide was expected to provide a concrete model to represent a solution of the problem. It was expected that the theoretical guide would be judged by the review team to be a reasonable, but not optimum, tool to aid university planning. The second OR expectation was related to OR methodology of an interdisciplinary approach and was developed in Stage III.

Stage III. It was expected that the theoretical guide, or initial model, would be substantially improved as a result of an interdisciplinary review. The revision of the guide, modified on the basis of the experience and knowledge of the review team, would be judged by members of that team to be an improved planning resource and a more optimal solution to the problem. The criteria used to assess that judgment would be the comments and opinions of the review team upon their final review. Following their final review, each team member was asked to comment on two questions:

1. Has the Guide been improved as a result of the interdisciplinary review?

2. Is the Guide a potentially useful planning tool for chairpersons/directors and deans or Major Administrative Unit Vice Presidents and Assistant Vice Presidents?

The Interdisciplinary Team

The constituency of the interdisciplinary review team was guided by the two general concepts found in the literature. Thierauf and Grosse (1970) noted that the "interdisciplinary approach means utilizing at least two people who have somewhat different educational experience and backgrounds" (p. 13). Moskowitz and Wright (1979) emphasized "the importance of having those managers who will act on the results of the study on the team that analyzes the problem" (p. 20).

For the purpose of reviewing the planning guide drafts, an interdisciplinary team was developed to include participants from within a specific large, public university, as well as external to the institution and/or higher education. An effort was made to select both individuals who were known to be broadly experienced at several different administrative levels and individuals whose experience was more concentrated. The review team also represented a diversity of age, gender, discipline, profession, and educational level.

The minimum number of members on the interdisciplinary team was set at eleven participants who would have contributed to both cycle one and cycle two review in the development of the planning guide. In recognition of the considerable voluntary effort required of the participants and the constraints of a time frame of not the participants' own choosing, the team was designed to include an initial cohort of

twenty-two participants. The size of the initial cohort allowed for a 25% drop-out rate for each cycle, without jeopardizing the minimum considered essential to the design.

Additionally, the team was designed to include an internal redundancy of the diversity related to discipline or profession, age, gender, and administrative experience. Thus, the design allowed for a considerable loss of participants without the total loss of their perspective.

The interdisciplinary team approach was structured to exclude interpersonal dynamics between team members by not sharing the identity of other team members. The approach allowed for a larger review team to be selected and thus increase diversity. It also focused the attention of the team members on the problem as presented in the form of a planning guide rather than on other participants.

The characteristics of the selected review team may be outlined in terms of professional position in the following manner:

I. Team members internal to a large, public university who are currently serving or have served as a
   - A. Central Administrator
     1. President
     2. Assistant to a President
     3. Academic Program Vice President (Provost)
     4. Support Service Program Vice President or Program Director
   - B. Dean
   - C. Chairperson
   - D. Faculty
   - E. Nonacademic Staff Member

II. Team members external to the selected university who are currently serving or have served as a
   - A. State government agency director
   - B. Research and policy analyst in the public sector

C. Administrator in another college or university
D. Corporate vice president
E. Corporate middle-management executive
F. Independent consultant

The selected team may also be described in terms of educational diversity, with a range from high school plus two years of college to postdoctoral studies. The age range extended from thirty-five to postretirement. Each administrative category internal to the university contained female and male participants. The external team members were equally balanced between males and females.

The team may be further described in terms of the colleges or departments, or the professions or disciplines represented. Those included:

American Thought and Language
Agriculture and Natural Resources
Business
Economics
Educational Administration
Engineering
English
Fiscal Operations
Library Science
Marketing and Transportation
Music
Physical Plant Operations
Physics and Astronomy
Political Science
Social Science

The Development and Role of the Model

The concept of "model" has a variety of meanings. Wagner (1969) specified several shades of those meanings that are relevant to the design of the described research project:

> First a "model" may be a substitute representation of reality such as a small scale model airplane or locomotive. Second, a "model" may imply some sort of idealization, often embodying a simplification of details, such as a model plan for urban redevelopment. Finally, a "model" may be used as a verb, meaning to exhibit the consequential characteristics of the idealized representation. (p. 11)

The planning guide was developed as a concrete representation of the complex and interrelated elements of formalized institutional planning. It was further designed, as Wagner described, "to imply some sort of idealization" of those elements related to planning. Finally, the planning guide model was designed to systematically exhibit the characteristics that represented the planning framework of a selected large, public university.

Thierauf and Grosse (1970) noted that most thinking about complex organizational problems such as those related to planning start with qualitative models and then gradually develop toward a greater quantitative precision. As a pioneer effort related to formal planning, the model tested was by necessity largely a qualitative description, which was evaluated by the observing interdisciplinary team members on the basis of their particular perspective and experiences. Since no standard model existed in the form of a planning guide, the model was custom-made for a specific large, public university. The model was a dynamic one to the extent that the specific requirements of planning change with varying institutional and environmental circumstances. The model was developed as a qualitative, custom-made, dynamic type of a mathematical model.

The initial model was developed to represent what Thierauf and Grosse described as the symbolic world. The evolution of the model resulted from its testing in the institutional or "real world," in the expectation that it would become a more precise representation of what would lead to an optimum solution for the institution. That evolutionary process is described on the basis of the Thierauf and Grosse concept of the role of models in an OR project and is illustrated in Figure 3.1.

The heart of the OR methodology is in the "evaluation" component, as illustrated in Figure 3.1. It is at this point that the contributions of the multidisciplinary team are actually developed into a solution. The solution becomes the next evolved model. The actual results of the OR project are observed and formulated at this stage of the research procedure. The process designed as the evaluation component and related to the development of a planning guide is more fully described in Chapter IV.

The OR methodology, as applied to the development of a planning guide, is summarized as the cycling and recycling process that progressively evolves an optimum planning tool. The practical application of such a methodology in the development of corporate planning guides was implied by O'Connor (1976): "Developing a Guide is not a one shot event, it usually takes several planning cycles to arrive at a satisfactory format and to tailor a process to a company's unique specifications" (p. 2).

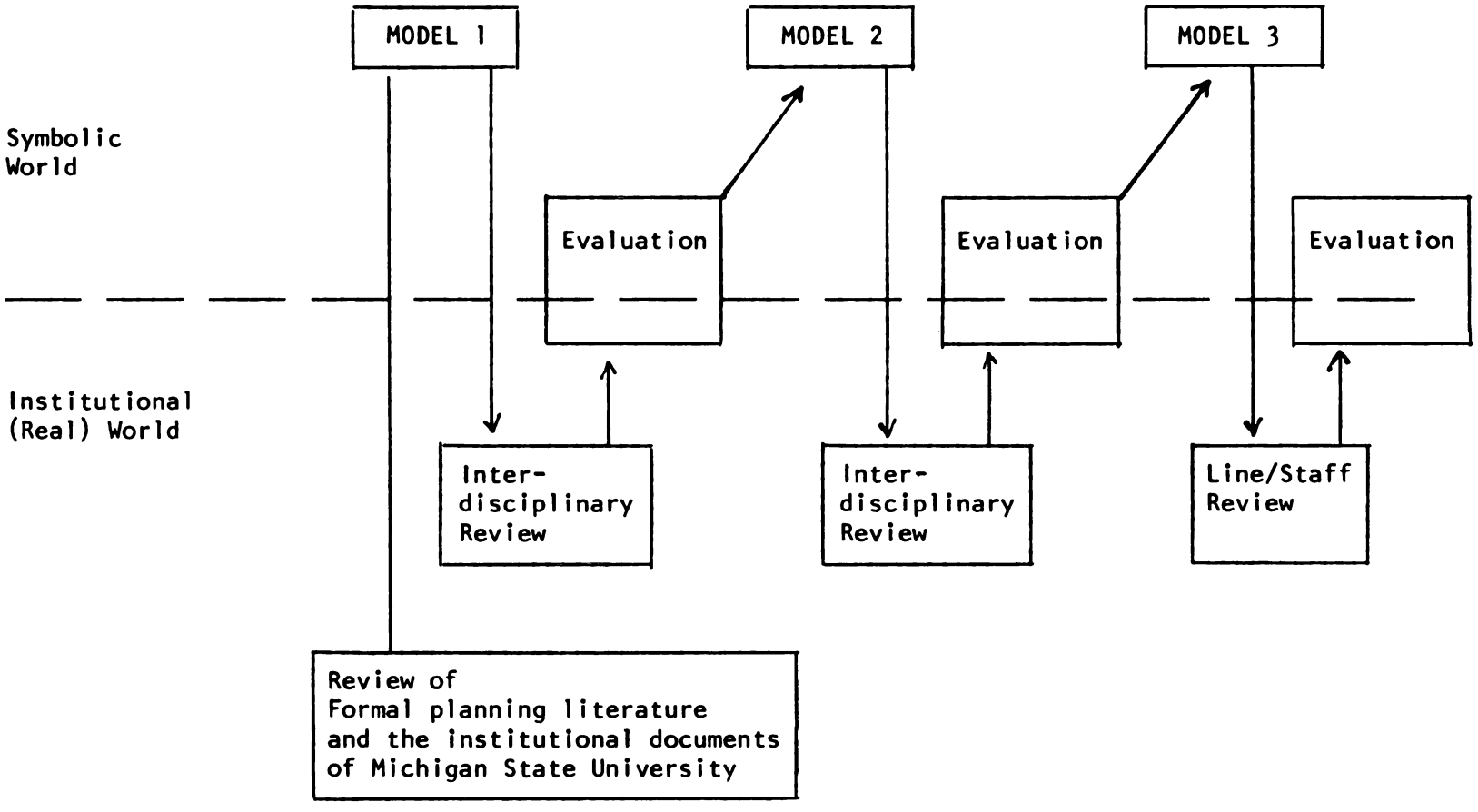


Figure 3.1.--Model evolution. (From Thierauf & Grosse, 1970, p. 20.)

Summary

The development of a planning guide for a selected large, public university proceeded within the conventions of the OR approach to planning as an aspect of decision making. The characteristics of the OR methodology can be summarized as a focus on the total institutional point of view, the use of an interdisciplinary team, and the employment of mathematical modeling techniques. As an initially developed theoretical planning guide was modified on the basis of an interdisciplinary review, the acknowledged phases of an OR project included the definition of the problem, the construction of a model, and the solution of that model.

CHAPTER IV

PRESENTATION OF THE RESULTS

The results of the research relating to the development of a guide for comprehensive university planning are presented in four sections. In the first section are described the results of the literature review as a theoretically based planning guide was developed within the context of a large, public university. In the second section are recorded what was observed to occur when the research instrument in the form of a planning guide was introduced to a cohort of twenty-two individuals for review. The observations are presented as a full range of suggested modifications to the initial instrument, along with comments of a more general nature from the team members. In the third section are presented the results of the first-cycle interdisciplinary review as a planning guide modified on the basis of the perspective and experience of the members of the interdisciplinary review team. In the fourth section are presented the observations of what occurred when the modified instrument in the form of a revised planning guide was introduced in the second-cycle review. This section includes the results of the summary questions asked of each participant as he/she assessed the improvement and potential usefulness of the modified guide.

Development of the Theoretically Based Guide

The theoretically based planning guide was drafted to be a concrete representation of the long-range and strategic planning elements as specified in the summary of the literature presented in Chapter II. Those elements were reordered and formatted as an extension of the Michigan State University (MSU) conceptual planning statement, "Statement on Long Range Strategic Planning at Michigan State University," and developed into a Planning Guide. While targeted to be specifically applicable to MSU, the theoretically based Guide was structured as a model planning document that could be adapted for use at other large, public universities.

The planning elements as summarized in Chapter II, integrated with the MSU central documents, and then reformatted into the MSU Planning Guide may be outlined within four major headings relating to Planning Parameters, Planning Procedures, Planning Participants, and Planning Products. A "Descriptive and Topical Outline" sets forth the content of the Planning Guide as it was developed for the first-cycle review. Using the outline, as actually presented in the Cycle I Guide, and annotating each section with the appropriate theoretical element, demonstrates the theoretical basis for the Guide. The relationship of the initial (Cycle I) Guide to the theoretical elements as described in Chapter II is outlined in Figure 4.1.

I. INTRODUCTION

A. PLANNING CONCEPTS

A synthesis of "long range" and "strategic" planning provides the conceptual underpinnings for planning at Michigan State University.

B. TOPIC OUTLINE

Building upon the conceptual synthesis of "long range" and strategic, four components are developed as essential elements of a comprehensive process: parameters, procedures, participants, and products.

C. MICHIGAN STATE UNIVERSITY

The four essential elements of planning parameters, procedures, participants, and products are formulated in concert with the historical tradition and present realities of Michigan State University.

D. STATEMENT ON LONG-RANGE STRATEGIC PLANNING

June 14, 1983, document for Michigan State University.

II. PLANNING PARAMETERS

The characteristic factors of planning are generated from a series of critical events. These parameters, at the institutional level, provide the mega-bounds for the long-range strategic planning of the units.

A. UNIVERSITY MISSION

A definition of the most broad boundaries within which Michigan State University exists is provided by an articulation of mission.

Theoretical Element: Set forth the parameters for supporting the institutional mission.

. University Mission

The Board of Trustees approved a Mission Statement in June 1982.

B. EXTERNAL ENVIRONMENTAL CONSIDERATIONS

Variables outside of the control of Michigan State University bear upon both the institution and the individual units. Those external forces are evaluated as a part of the planning process.

Theoretical Element: Set forth the specific assumptions as the premises upon which planning proceeds.

. Environmental Assumptions

May 1984--Profile of institutional-level assumptions.

C. INTERNAL ENVIRONMENTAL CONSIDERATIONS

The full range of human and material resources internally available to Michigan State University, the values of the incumbent leadership, and University policies bear upon both the institution and each unit in a manner similar to the external environment.

Theoretical Element: Set forth the specific assumptions as the premises upon which planning proceeds.

. Principles of Academic Programming and Rules of the Game

April 4, 1983, Draft of guidelines for programming, curriculum, student services, research, public service.

D. UNIVERSITY GOALS

A common institutional direction for the great diversity of academic and support units is provided by University Goals.

Theoretical Element: Set forth the parameters for supporting the institutional mission.

. University Goals

October 1984.

E. DEFINITIONS

In a planning process which extends beyond the bounds of a specific unit, shared understanding of a core of terminology is essential.

Theoretical Element: Set forth the specific assumptions as the premises upon which planning proceeds.

F. DATA AS A PLANNING BASE

The use of both unit-level data and information as a basis for planning builds a process in which alternative courses of action may be considered on a rational basis.

Theoretical Elements: Distinguish the use of data from qualitative and quantitative sources and identify appropriate protocol for the utilization of each. Identify the elements of a data-based quantitative unit profile and provide for more than an extension of historical trends.

. Unit Profile

The developing draft of an academic program unit profile.

III. PLANNING PROCEDURES

The particular way in which Michigan State University's plans are derived forms a decision-making process which broadly covers the academic program and support services program missions of the University.

A. STRUCTURE FOR PLANNING

An increasingly specific structure for the articulation of future intentions and current commitments guides both academic program and support services program planning.

Theoretical Element: Be explicit in terms of the development of "goals" and "objectives" for all administrative levels.

B. ACADEMIC AND SUPPORT SERVICES PROGRAM PLANNING

The relationship between academic and support services program planning occurs with a programmatic basis.

Theoretical Element: Integrate the major administrative levels in an interactive and continuous process.

. Academic Programs: Michigan State University

1983 statement from the Office of the Provost.

. Support Services: Michigan State University

1984 statement from the Office of the Vice President for Finance and Operations and Treasurer.

C. SEQUENCE AND RECURRENCE OF PLANNING ACTIVITIES

The sequence of major planning events is a bi-directional flow of advisory and initiative responsibilities and responses that are structured through a set of essential planning questions to be answered.

Theoretical Elements: Include a strategic and long-range, internal/external focus on the analysis of strengths and weaknesses, and threats and opportunities. Require both academic program and support service program planning. Identify the protocol for linking academic and support planning. Integrate program quality assessment and identify plans for future improvements.

. Academic Program Planning and Review Document

The 1984-85 document as revised from a pilot study.

. Support Services Program Planning and Review Document

The May 1984 proposed draft--a developing document.

D. PLANNING INCENTIVES AND LINKAGES

A data-based approach to long-range strategic planning provides a powerful data and information base for financial, personnel, student, program, and facility related options available to decision makers. These options may be tied to budget cycles.

Theoretical Elements: Illustrate the model for communication and iteration of plans. Provide for a budget justification as a link with resource allocation.

. Current Budget Cycle documents

IV. PLANNING PARTICIPANTS

The organization climate, administrative structure, and roles of the participants guide their major planning relationship with the whole of Michigan State University.

A. PLANNING CLIMATE

The prevailing institutional atmosphere conducive to effective planning must not only stimulate options and new ideas but provide mechanisms for choosing between them.

Theoretical Element: Recognize the high turnover of department-level administrators and the experience and orientation of these individuals to their discipline rather than to the management and leadership of an organizational unit within a greater whole.

B. ORGANIZATIONAL STRUCTURE

The responsibility, authority, and accountability for planning is rooted in the organizational structure of Michigan State University.

Theoretical Element: Specify the participants in the planning process and the responsibilities, authorities, and accountabilities of each.

. Administrative Organization

The organizational chart for the University plus a detailed outline of the academic structure.

C. ROLES

The roles of the planning participants are related to the formal decision-making process at Michigan State University.

Theoretical Element: Specify the participants in the planning process and the responsibilities, authorities, and accountabilities of each.

V. PLANNING PRODUCTS

Expectations of what is produced by long-range strategic planning are found in the relative balance of the missional elements (instruction, research, and public service); in the operational requirements relating to students, personnel, programs, facilities, and finance; and in the evaluation of the planning process itself.

A. BALANCE OF MISSIONAL ELEMENTS

Long-range strategic planning continually targets the University mission as the unit's role and purpose, derived from that mission, are related to instruction, research, and public service.

Theoretical Element: Set forth the parameters for supporting the institutional mission.

B. FUNCTIONAL REQUIREMENTS

A comprehensive planning product clearly specifies resource requirements in the functional decision areas related to students, personnel, programs, facilities, and finance.

Theoretical Element: Evaluate the use of institutional resources at the lowest possible level.

C. PLANNING PROCESS EVALUATION

The assessment of the planning process is related to the essential elements that are a part of the process. These elements actually become products as planning is operationalized.

Theoretical Element: Provide for an evaluation of plans as well as of the planning system itself.

. Process Audit--a check list of essential process considerations.

VI. SUMMARY

The major groupings of elements essential to long-range strategic planning are described as: planning parameters, planning procedures, planning participants, and planning products.

Figure 4.1.--Descriptive and topical outline.

The Planning Guide was developed to be a resource tool for use by department/school/division, college/Major Administrative Unit, and University-level administrators as they engage in their planning responsibilities. It was developed not only to set forth the framework for long-range and strategic planning at Michigan State University, but also to include examples of the specific formats and documents currently used or being developed at MSU. Because the existing central documents were not within the scope of the interdisciplinary review, they were not included within the format of the initially developed Planning Guide. However, the Guide was designed to supplement the central documents throughout the draft as "white pages" that would implement the planning framework. The Guide was formatted as a notebook, with color-coded sections and tabs to facilitate ease of use and modification of planning formats and frameworks as experience would suggest.

In addition to the four sections of the Guide representing specific theoretical elements found in the planning literature and developed as planning parameters, procedures, participants, and products, an "Introduction to Planning at Michigan State University" was developed. The Introduction specified the concepts underlying the guidelines, which made up both the form and substance of long-range and strategic planning. The Introduction also identified the role of the Planning Guide and set forth the conceptual underpinnings for comprehensive planning at MSU as a synthesis of the "planning," "long-range," and "strategic planning" concepts.

Cycle I Review

Each of the selected twenty-two members of the interdisciplinary review team received a draft of the Planning Guide developed on the principles and guidelines found through the review of the literature and integrated into the institutional context of Michigan State University. The draft was delivered with a letter of general explanation. A copy of that letter is found in Appendix A. Each participant was asked to treat the Planning Guide as a working draft on which he/she could bring to bear his/her particular experience and perspective on the development of the document. A return date of within thirty days was requested.

After the distribution of the Planning Guide, a memorandum from the Director of the Office of Planning and Budgets at Michigan State University was sent to each participant. The memorandum affirmed the value of each person's contribution and set forth the development of a planning guide as an effort of substantial interest and benefit to Michigan State University. A copy of that memorandum is found in Appendix A.

Seventeen participants returned their copies of the Planning Guide. Fifteen of the returned Guides contained working notes, suggestions, and comments. Of those fifteen, fourteen included an additional narrative statement setting forth a variety of general considerations and issues. Two copies of the Planning Guide were returned in conjunction with a participant-requested verbal review of his/her comments and suggestions relative to the Planning Guide.

Comments were observed to contain suggestions for specific changes as well as comments in support of "no change" for a particular part of the Guide. The results of the Cycle I review are observed at two levels: the content of the comment and the position of the originator. Tracking of profession or discipline, and college or department affiliation of the comment source, was assumed to be unnecessary once the team was selected. In the operations research model, specific diversities are not as important as the overall diversified approach to problem solving. It was judged potentially important to track comment source position as it related externally to the University or internally to MSU in terms of administrative structure.

The Overall Quality of the Theoretically Based Guide

Of initial interest were results related to the overall quality of a theoretically based document. Comments regarding the quality of a theoretically developed Planning Guide were recorded as quotations, which were observed to come from each administrative level and were general or global in nature. Examples are as follows:

Faculty:
--Overall this is a good effort which will no doubt contribute to MSU's planning effort.

--In general, I find the Guide a splendid and monumental achievement. It is logically arranged and systematically presented.

Chairperson:
--I believe that the Planning Guide does an excellent job in laying out the conceptual basis for long-range planning. It does a superior job in analyzing the various components of "what one

does or ought to do in laying out a logically sequential and rational series of activities when engaged in long-range, strategic planning."

Dean:
--Good stuff. . . .

Central Administrator:
--The initial draft of the Planning Guide is pointed in the right direction and, when completed, should be extremely helpful to those responsible for the planning function at the University. It reflects an effort to make people think about planning in a systematic fashion--something overdue at MSU.

--. . . succeeded in developing an informative document that has a quality of guidance.

--After reading the entire draft, I did not find it necessary to make many comments.

External:
--Very logical, the steps are clear.

The comments from members of the interdisciplinary review team were observed to be positive regarding the general quality of the theoretically based Planning Guide. The document was positively described, using comments relating to the logical, systematic presentation, the analysis of conceptual components necessary to planning, the qualities of informing and guiding, and the expectation of a positive influence on MSU's planning efforts. Although no reviewer expressed an overall negative evaluation of the Cycle I Guide, specific suggestions were made for areas of change. Those suggestions are described as results.

The results of the review of the theoretically developed Planning Guide are described as a series of comments taken from the working drafts returned by members of the review team. The individual

comments and suggestions represent the "raw data" and total several hundred different notations. These notations ranged from suggestions of wording substitutions to the articulation of unresolved institutional planning issues.

A series of tables is presented as displays of the data. The comments and suggestions have been edited to reflect comments that, in the judgment of the researcher, illustrate contributions of potential influence on the development of the Planning Guide. The tables display an illustrative comment and track the generating source of the general content of the comment by position external to the University or internal to MSU in terms of administrative structure.

Although a single illustrative comment occupies the extreme left column of each table, the position tracking cells reflect the editing of other comments of a similar nature. Thus, indicated in each table is the minimum scope of comment sources. For example, a filled-in "faculty" cell signifies that at least one faculty member expressed a similar notation.

In the extreme right column of each table is found the operational research evaluation of each notation. The evaluation represents the judgment of the researcher regarding the implications for further development of the Planning Guide.

Four tables are developed, in which results are presented relating to:

--The Perceived Role of the Planning Guide (Table 4.1)

--The Organization and Format of the Cycle I Planning Guide (Table 4.2)

--The Content of the Cycle I Planning Guide (Table 4.3)

--The Planning Issues Raised by the Cycle I Planning Guide (Table 4.4)

The Perceived Role of The Planning Guide

It was observed that the members of the interdisciplinary review team had different expectations regarding the role of a planning guide. It could also be noted that the reviewers in different administrative positions or external to the University could hold similar expectations about the way in which a planning guide could function as a resource tool. Functional descriptions of the role of a planning guide were observed to include those related to motivation, education, information, guidance, and communication. Perceptions about the role of a planning guide were found to include both the conceptual framework related to guidelines and the details related to the completion of specific planning exercises and reporting formats. The results regarding the perceived role of the Planning Guide are presented in Table 4.1.

The Organization and Format of the Planning Guide

It was observed that members of the interdisciplinary review team provided a variety of suggestions relating to the organization and format of the Guide. There was no disagreement that the Guide would benefit from attention to the manner in which the guidelines were expressed. These wording, editorial, and stylistic changes accounted

Table 4.1.--The perceived role of the Planning Guide.

Comment	External to MSU	Faculty	Chair-person	Dean	Central Adminis-trator	OR Evaluation
If the goal is long-range strategic planning at MSU, what must happen to make this process operational? As a minimum the needs are to motivate and educate. Knowing of no other planned activities, both objectives would have to be achieved through the instrument of the planning guide if they are to be achieved at all.	X	X	X		X	A planning guide should motivate, educate, and guide.
The Guide would serve as an introductory piece for those not familiar with the process.				X	X	A planning guide could function as a glossary or commentary on the planning materials as they now stand at MSU.
A good idea would be survey chairpersons/ directors about how it (the Planning Guide) would be most useful in relationship to the Academic Program Planning (and Review--a required MSU reporting format).	X			X	X	A planning guide should serve to address the needs of a unit administrator in completing the required reporting formats.
The implementors of the planning process need "nuts and bolts" type of information as well as the conceptual background presented in the Guide.	X				X	A planning guide should provide the task-oriented detail necessary for completing required exercises.

Table 4.1.--Continued.

Comment	External to MSU	Faculty	Chair-person	Dean	Central Adminis-trator	OR Evaluation
Should discuss why we need this planning process at this time and for the future. Are the theoretical conceptual tools as set forth equally applicable to different kinds of objectives lying behind the act of planning?	X		X			A planning guide should respond to the specific circumstances which give rise to the act of planning.
Make it absolutely clear the audience for whom the material is written. For example: What every unit administrator needs to know. . . .	X		X	X		The Guide should target a specific "user" audience.
Somewhere down the road, it may be possible to dispense with some of the discussion in the Guide and make it an annual update of mission, objectives, assumptions, etc.	X					The Guide should function as an evolving University document as the experience of the total University grows with planning.
Connect the business of planning to the seat of authority within the University.	X	X	X	X		The Planning Guide should communicate the formal process to those who are responsible for managing the University.

for the greatest number of different notations in the Cycle I review. The review found that the notebook format should be retained, some reorganization of the major sections should be considered, the use of quotations as a stimulus should be reconsidered, an authoritative endorsement of planning should be included, and concrete examples should be provided to illustrate the benefits of planning. The results regarding the organization and content of the Cycle I Planning Guide are presented in Table 4.2.

The Content of the Cycle I Planning Guide

It was observed that members of the interdisciplinary review team provided a variety of suggestions relating to the content of the Planning Guide. Those suggestions involved the existing content of the Guide as well as suggestions for content that was not found to be included in the Cycle I Guide. Without attachment to administrative position, different team members focused on different content areas to be modified. The review indicated that attention for the modification of the Guide should include the definitions of terminology, the planning sequence, benefits to planning, consideration of intangible factors, the planning data base, the planning structure, feedback and follow-through, and environmental assumptions. The results regarding the content of the Cycle I Planning Guide are presented in Table 4.3.

Table 4.2.--The organization and format of the Cycle I Planning Guide.

Comment	External to MSU	Faculty	Chair-person	Dean	Central Adminis-trator	OR Evaluation
The document would profit by editing for grammar, prolixity, and precision. Some instances are noted in the manuscript.	X	X	X	X	X	Alternative wording, punctuation, and/or grammatical changes.
The language used needs to be more readable, precise, straightforward.	X	X	X			Simplify the rhetoric.
Notebook format will make the updating easier, allows sections to be used as the reader needs them--Excellent.	X	X				Retain notebook format.
More "Participants" section to the front; the reader will want to first understand what his/her responsibilities are.	X	X	X	X	X	Reorder the sections.
Move the "Products" section to the front; the reader will want to be provided with the necessary rationale.	X		X			No change.
Eliminate the "Products" section--it is redundant of the rest of the Guide.				X		No change.
Move the "Summary" to the front; the illustration provided would be an excellent introduction.	X					Include in the "Introduction."

Table 4.2.--Continued.

Comment	External to MSU	Faculty	Chair-person	Dean	Central Adminis-trator	OR Evaluation
Move the "Outline of Contents" from the "Introduction" to the front of the Planning Guide.	X			X	X	Include following a preface.
The four-section structure needs to more clearly track with what planners need to know as it is developed in the "Intro-duction."	X					Tie the conceptual introduc-tion more closely to the operational content of the sections.
The use of quotations for section headings is distracting, will turn off unit admin-istrators.				X		No change.
The use of quotations for section headings is helpful; they make the points well and add a dimension of external credibility to an internal document.	X	X	X		X	No change.
The Guide should contain a clear adminis-trative endorsement about the importance of planning and the use of the Guide.	X		X			Provide the authoritative endorsement.
Copies of the central university documents should be included in the second review.	X	X	X		X	Include University documents but exclude from scope of the Cycle II review.
A short case study would make the benefits of planning more real.		X	X			Use concrete examples through-out the text; add a case study as a summary.

Table 4.3.--The content of the Cycle I Planning Guide.

Comment	External to MSU	Faculty	Chair-person	Dean	Central Adminis-trator	OR Evaluation
Definitions should be expanded with concrete examples.	X		X			Add examples from the most current MSU planning experi-ence to the definitions.
Definitions should be reduced in number; only a few key terms need to be defined.				X		Eliminate the double display of definitions as currently found in the introduction and in a section of the Guide.
Planning calendar needs to be added.	X					Add a flow of events as the time frame for the planning process.
Provide a conceptual map to identify the participants' roles.			X	X		Develop the aspects of the Guide regarding who reviews what within the hierarchical reporting framework.
Clarify the nature of the relationship between unit and support services plan-ning and specify the levels of inter-action.				X		Specify the planning sequence to a greater degree.
The formal planning process needs to recognize the human factors and the political environment of planning.			X			Acknowledge the "intangible" and less-formal factors.

Table 4.3.--Continued.

Comment	External to MSU	Faculty	Chair-person	Dean	Central Adminis-trator	OR Evaluation
Need to further develop how data are to be organized, how they are computerized, and how they will be used.		X		X		Include an example of a quantitative data profile.
The concept map which illustrates the planning structure is very helpful.				X		No change.
The concept map is not very helpful.				X		No change.
The unit administrator needs to have feedback from upper administrators. Are the goals of the unit acceptable? Involves a collaboration and substantiation of the strategic planning document.	X	X	X			Emphasize the "looping back" of planning activities.
Both internal and external environmental assumptions are of great interest and should be highlighted as a critical element in planning. Environmental assumptions are very important even at the departmental level. Programs that are needed or academically sound may not be adequately supported when their existence contradicts the current self-image of the University. Developmental and remedial programs have sometimes suffered this fate.		X	X		X	No change.

The Planning Issues Raised by the Planning Guide

It was observed that the review of the Planning Guide produced the articulation of a variety of issues related to planning without suggestions for resolutions. Issues were presented by individuals in each of the positions being tracked. However, it was noted that team members external to Michigan State University raised fewer planning issues than did members of the interdisciplinary review team who were associated with MSU. The results regarding the planning issues raised by the Cycle I Planning Guide are presented in Table 4.4. The Cycle I draft produced suggestions that were considered as the Planning Guide was modified. The results of that modification are presented in the next section as the Cycle II Guide.

The Modified Planning Guide

The comments and suggestions submitted by the review team were considered for inclusion in the Guide by using a three-stage decision tree. Those stages and the branching questions represent the heart of the operations research procedure as the alternative solutions were considered and evaluated. The three-stage decision tree is described as follows:

Branch One:

Does the suggestion/comment appear to be of an editorial, grammatical nature, or one which improves the clarity of the existing statements or structure of the Guide?

If Yes to any of the above: Modify the Guide.

If No: Continue.

Table 4.4.--Unresolved planning issues raised by the Planning Guide.

Comment	External to MSU	Faculty	Chair-person	Dean	Central Adminis-trator	OR Evaluation
Unless some way is found to circumvent the ideas and plans blocked by chairmen, deans, vice presidents before they get to the provost, planning will be deprived of a vital, invigorating input. Feckless or vision-less intermediate-level administrators are the de facto gatekeepers for innovation from the ground up. An organizational set-up that institutionalizes "you can't push with a string" will insure that a vital element is missing from the planning process.		X				The hierarchical structure may block creativity and the generation of ideas at the lower levels of the administrative structure.
How does it profit the basic unit of the University to have the whole system know more about them and where they are aiming to go?			X			The centralized sharing of unit plans may serve to benefit only the whole of the University and be a liability to the specific unit.
A strategic plan is at its best as a strategic vision. Campus leadership primarily in the hands of the principal academic officers of the University is essential.		X	X			Leadership and vision cannot be replaced by planning.
It is vitally important to target certain people or groups of people to serve.	X		X			Designing the unit to serve the needs of students and other targeted clientele may compromise academic integrity.
The concept of evaluating opportunities and threats and matching them with the resources of the university diffuses the tendency to assume principled positions.				X		

Table 4.4.--Continued.

Comment	External to MSU	Faculty	Chair-person	Dean	Central Adminis-trator	OR Evaluation
The concept of "futurity" is not connected to any of the incentive systems which presently operate within the university.		X				The future time horizon is not the perspective of the units whose rewards are a part of the "now."
Can long-range planning succeed in an essentially political environment, i.e., where direction-setting is not subject to more structured executive determination? It has, after all, had only mixed success in the later.	X	X	X	X		Rational orientation of a systematic, logical planning guide may not be effective in a political atmosphere.
The very nature of mission and goal statements may make the risky assumption of commonly held and compatible values. This may be quite inconsistent with the actual reference points held by a diverse faculty.		X	X	X		The mission statement creates the illusion that there is a commonly held value orientation within the University community.
Should all units necessarily contribute to the whole mission?			X	X		Unit contributions to the mission of the University may vary in degree of contribution as well as in area of contribution.
What are the options in a structure when a plan doesn't work or an unplanned opportunity becomes available?		X	X	X		The linear structure of planning limits the unit flexibility perceived to be necessary to effectiveness.

Branch Two:
Does the suggestion/comment appear to have support in the reviews from other team participants?

If Yes: Modify the Guide or record as an unresolved planning issue.

If No: Continue.

Branch Three:
Does the suggestion/comment appear to be compatible with the existing formal planning literature and MSU central planning documents?

If Yes: Modify the Guide or record as an unresolved planning issue.

If No: Stop and record as an unresolved planning issue or reject.

Within the previously described criteria, the Planning Guide was modified and delivered to the seventeen participants who had returned the Cycle I draft. A letter of general explanation (a copy is included in Appendix A) and a summary of the revisions made in the Guide (a copy is included in Appendix A) accompanied the revised Guide. Each participant was asked to treat the Cycle II Planning Guide as a working draft upon which he/she could bring to bear his/her particular experience and perspective on the development of the document. A return date of within three weeks was requested.

Modifications were made to the Cycle II draft as outlined and related to the theoretical principles and guidelines as they were presented earlier in this chapter. The revised Cycle II Planning Guide is included as Appendix B. The outline of the modified Guide, as actually presented, is shown in Figure 4.2.

I. INTRODUCTION

An overview of general planning concepts pertinent to MSU.

A. PLANNING CONCEPTS
A synthesis of "long range" and "strategic" planning provides the conceptual underpinnings for planning at MSU.

B. MICHIGAN STATE UNIVERSITY
The four essential elements of planning participants, parameters, procedures, and products are framed in concert with the historical tradition and present realities of MSU.

C. STATEMENT ON LONG RANGE STRATEGIC PLANNING
The June 14, 1983, document for Michigan State University.

II. PLANNING PARTICIPANTS

The organizational climate, administrative structure, and roles of the participants guide their planning relationship with the whole of MSU.

A. PLANNING CLIMATE
The prevailing institutional atmosphere, if conducive to effective planning, must not only stimulate options and new ideas but also provide mechanisms for choosing between them.

B. ORGANIZATIONAL STRUCTURE
The responsibility, authority, and accountability for planning is rooted in the organizational structure of MSU.

--Administrative Organization
The organizational chart for the University plus a detailed outline of the academic structure.

C. ROLES
The roles of planning participants are related to the formal decision-making process at MSU.

III. PLANNING PARAMETERS

The characteristic factors of planning are generated from a series of critical events. These parameters, at the institutional level, provide the macro boundary for the long-range strategic planning of the units.

A. UNIVERSITY MISSION

A definition of the broadest boundaries within which MSU functions is provided by an articulation of mission.

--University Mission
The Board of Trustees approved a Mission Statement, 1982.

B. EXTERNAL ENVIRONMENTAL CONSIDERATIONS

Variables outside of the control of Michigan State University bear upon both the institution and the individual units. Those external forces are evaluated as a part of the planning process.

--Environmental Assumptions
May 1984--Profile of institutional-level assumptions.

C. INTERNAL ENVIRONMENTAL CONSIDERATIONS

The full range of human and material resources internally available to MSU, the values of the incumbent leadership, and University policies bear upon both the institution and each unit in a manner similar to the external environment.

--Principles of Academic Programming
April 4, 1983, Draft guidelines for programming, curriculum, student services, research, and public service.

D. UNIVERSITY GOALS

A common institutional direction for the great diversity of academic and support units is provided by University goals.

--University Goals
October 1984.

E. DEFINITIONS

In a planning process which extends beyond the bounds of a specific unit, shared understanding of a core of terminology is essential.

F. DATA AS A PLANNING BASE
The use of unit-level data and information as a foundation for planning builds a basis upon which alternative courses of action may be rationally considered.

--Unit Profile
Academic Program Unit Profile--drafts of two phases of a developing document.

IV. PLANNING PROCEDURES

The particular way in which Michigan State University's plans are derived forms a decision-making process which broadly covers the academic and support services program missions of the University.

A. STRUCTURE FOR PLANNING
An increasingly specific structure for the articulation of future intentions and current commitments guides both academic and support services program planning.

B. ACADEMIC AND SUPPORT SERVICES PROGRAM PLANNING

--Academic Programs: Michigan State University
1983 statement from the Office of the Provost.

--Support Services Programs: Michigan State University
1984 statement from the Office of the Vice President for Finance and Operations and Treasurer.

C. SEQUENCE AND RECURRENCE OF PLANNING ACTIVITIES
The sequence of major planning events is a bi-directional flow of advisory and initiative responsibilities and responses that are structured through a set of planning questions to be answered.

--Academic Program Planning and Review Document
The 1984-85 Document as distributed to the units in October 1984.

--Support Services Program Planning and Review Document
The developing draft, not yet distributed to the units.

D. PLANNING INCENTIVES AND LINKAGES
A data-based approach to long-range strategic planning provides a powerful data and information base for financial, personnel, student, program, and facility related options available to decision makers. These options may be tied to budget cycles.

--Current Budget Cycle Documents
The draft of the Budget Request Timetable.

V. PLANNING PRODUCTS

Expectations of what is produced by long-range strategic planning are found in the relative balance of the mission elements (instruction, research, and public service); in the operational requirements relating to students, personnel, programs, facilities, and finance; and in the evaluation of the planning process itself.

A. BALANCE OF MISSION ELEMENTS
Long-range strategic planning targets the University mission as the unit's role and purpose, derived from that mission, are continually related to instruction, research, and public service.

B. FUNCTION REQUIREMENTS
A comprehensive planning product clearly specifies resource requirements in the functional decision areas related to students, personnel, programs, facilities, and finance.

C. PLANNING PROCESS EVALUATION
The assessment of the planning process is related to the essential elements that are a part of the process. These elements actually become products as planning is implemented.

--Process and Product Audit--a check list of essential process and product considerations.

Figure 4.2.--Cycle II Planning Guide outline.

It was found that the outlines of the Cycle I Planning Guide and the Cycle II Planning Guide were very similar in both form and substance. It would be observed that changes to the theoretically based Guide were those internal to the overall structure first developed. The modifications that resulted in the revised Guide may be summarized to include:

--Numerous wording changes throughout the text. Those changes were primarily of a nature that was intended to increase the precision and clarity with which the guidelines were presented.

--The draft of a sample presidential endorsement with which to begin the Guide.

--The development of a preface, which acknowledged the intangible, often irrational, and diverse human factors as a reality of planning.

--The addition of a Table of Contents, as an annotated outline of the Guide.

--Considerable restructuring of the introduction, including increased emphasis on the implementation responsibilities related to planning. The Introduction also attempted to more clearly target the Guide toward what every unit administrator needs to know and be able to do to engage in effective long-range strategic planning.

--The rearrangement of the notebook sections, to move the "Participants" section forward in the Guide.

--The inclusion of the Michigan State University documents referenced in the Guide. These were included as "white pages" and, as existing or developing central documents, were specified as outside the boundaries of the Planning Guide review.

--An attempt throughout the sections was made to increasingly specify the hierarchical responsibilities and relationships relative to planning. In that regard, a Budget Request Timetable and a Chronological Flow diagram of academic program planning and review events were included. Additionally, the charts describing the "Planning Structure" and the "Planning Sequence" were revised.

--The addition of concrete examples was provided for among the definitions, and a case study was proposed as an appendix.

--The "Products" section was redrafted as a summary of the Guide in terms of both the product and process results.

The modifications presented in the revised Planning Guide were the focus of the Cycle II review.

The Cycle II Review

Twelve participants returned their copies of the revised Planning Guide. The characteristics of the review team returning both Cycle I and Cycle II planning guides may be outlined in terms of professional position in the following manner:

I. Team members internal to Michigan State University who are currently serving or have served as a
   A. Central Administrator
   B. Dean
   C. Chairperson
   D. Faculty Member

II. Team members external to Michigan State University who are currently serving or have served as a
   A. Research Analyst in the public sector
   B. Administrator in another college or university
   C. Corporate Vice President
   D. Corporate Middle Management Executive

The characteristics of the review team may be further described in terms of the departments or colleges, or the professions or disciplines, represented. Those included:

American Thought and Language
Economics
Educational Administration
Education
Engineering
Fiscal Operations
Library Science
Marketing

Music
Physical Plant Operations
Political Science
Social Science

Thus, the attrition of ten participants from contributing to both review cycles was observed to decrease the depth of the review team. However, the breadth of diversity represented by position, profession/discipline, or department/college orientation was observed to be only slightly different from the full team selected to begin the two-cycle review of the Planning Guide.

Each returned Guide contained comments for additional revisions. Additionally, each participant returned his/her response to two common questions. A copy of the summary questionnaire is included as Appendix B. The focus of the questions was an assessment of document improvement and potential use. Observations relating to the modifications of the Guide are presented first. These are followed by the results of the summary questionnaire.

The results of the Cycle II review are observed on the basis of the revisions made to the Guide and at the same two levels as the Cycle I review: the content of the comment and the position of the originator or originators. In Table 4.5 are displayed the illustrative comment in the extreme left column, the position of the originator of the comment is displayed in the center section, and in the extreme right column is found the operations research evaluation related to the specific revision made to the first draft.

Table 4.5.--Cycle II review of the Planning Guide.

Comment	Position	OR Revision Evaluated
Improved in style and presentation.	Faculty	Wording changes
Some sharper attention needs to be paid to clarity, precision, and general readability.	Faculty	Wording changes
Particular care should be taken in the ordering of components identified as students, program, personnel, facilities, and finance to indicate consistency and some priority of consideration.	Faculty	Wording changes
Clarify the way in which MSU is taken to be different aggregates at different times, i.e., sometimes meaning only the administrative structure, sometimes including students.	Faculty	Wording changes
Somehow at the very beginning, some explanation must be given to explain the use of "Long Range Strategic Planning." I would suggest putting your explanation in a footnote at the beginning, and introducing the acronym LRSP, since the use is an idiosyncratic one in this special context.	Faculty	Wording changes
Readability of the Guide could be improved through using shorter words and sentences. This will enable the reader to focus on the main ideas being conveyed without getting hung up on large words and complex sentences. You may also wish to consider using key words to the left to provide the reader with a synopsis of content and help add orderliness to the document.	External to MSU	Wording changes
Presidential endorsement is a valuable, much-needed addition.	Faculty	Authoritative endorsement
Presidential endorsement needs a stronger statement recognizing the enormous impact of the world/national/state environment on MSU and its operations.	Central Administrator	Authoritative endorsement
Preface is excellent addition.	External to MSU Chairperson	Authoritative endorsement

Table 4.5.--Continued.

Comment	Position	OR Revision Evaluated
Include the source for the Preface, as it is developed as an open letter to university administrators.	Faculty	The development of a Preface
Table of Contents helps to make the organization of the Guide more visible.	Central Administrator	The addition of a Table of Contents
Consider graphically illustrating each section as another way of explaining the content of the Guide. Relevant parts of the introductory diagram could be used.	External to MSU	The addition of a Table of Contents
I agree with the rearrangement of the notebook sections.	Chairperson	Rearrangement of notebook sections
Moving the Participants section forward makes more sense to me.	Faculty	Rearrangement of notebook sections
Having the Participants' roles come earlier than was presented in the first draft is an improvement.	External to MSU	Rearrangement of notebook sections
The MSU documents included in the text of the Guide interrupted the flow of ideas being conveyed; consider moving them to an appendix.	Chairperson External to MSU	Inclusion of central documents
The responsible source for each of the MSU documents should be identified with the document.	Faculty	Inclusion of central documents
The inclusion of the documents fits well with the Guide; it was helpful to see how they all fit together.	Chairperson	Inclusion of central documents
The Introduction is a major improvement; I would use it.	Central Administrator	Restructuring the Introduction

Table 4.5.--Continued.

Comment	Position	OR Revision Evaluated
The time table is excellent	Faculty	Increased specification of the hierarchical responsibilities and relationships relative to planning.
The sequence and recurrence sections are valuable.	Central Administrator	
A conceptual flow chart of the entire comprehensive process should be developed.	External to MSU	
In efforts to spell out who is responsible for what, avoid use of words like "must" and "should"; some may take offense at the idea that they are being told to do something they already know is their responsibility.	Faculty	Hierarchical responsibilities
This will help make planning "real."	Chairperson	Hierarchical responsibilities
Have not quite solved the problem of definitions. By and large, terms are defined early and then redefined in later uses. The result is a rather repetitious exercise.	Chairperson	Addition of concrete examples
Specific examples will be more helpful than abstract definitions.	Faculty	Addition of concrete examples
The case study is a good idea.	External to MSU	Addition of concrete examples
Who is to use the check list?	Central Administrator	Redraft the "Products" section as a summary
Need to clarify who is to evaluate and how such an evaluation will affect a better planning process in the future.	Faculty	Redraft the "Products" section as a summary

The Modifications Evaluated

It was observed that the revisions made to the Planning Guide were regarded positively by members of the interdisciplinary team at a variety of administrative levels. Additional comments regarding the strengths and weaknesses of the Cycle II Guide are found in the responses to the summary questions answered by each participant.

The Summary Questions

Members of the interdisciplinary review team were asked to comment regarding the following:

> Has the Guide been improved as a result of the interdisciplinary review?
>
> Is the Guide a potentially useful planning tool for chairpersons/ directors and deans or Major Administrative Unit Vice Presidents and Assistant Vice Presidents?

The preceding questions are the only instance in the operational research development of the Guide where the focus of each team member was directed toward common questions. The results of those summary evaluations are presented as observations relative to each question and the position of the respondent.

--Has the Guide been improved as a result of the interdisciplinary review?

Central Administration:

> YES!! To me, it has a much more organized and logical flow! In any case, each section is identified well enough and each is comprehensive enough that they are self-explanatory, if someone wished to pursue working with the Guide in some other order. It is also less full of jargon-type words and the clarity is improved! It is obvious that the parts to-be-added will enhance the uses after the first time around.
>
> Yes, the improvements stand well by themselves.

Yes, very much. Congratulations on the progress with improving the Planning Guide.

Dean:

I have not made further suggestions in the Guide--it is improved.

Chairperson:

Yes, to the extent that certain substantive materials were included in the introduction and at selected other places in the document.

No, to the extent that the inclusion of some of the existing documents together with lengthy quotes from the same existing documents breaks up the developmental flow of the document.

The Guide seems to be improved because more information is included and the wording and definitions are more easily available and understood. Sections that appeared to be particularly helpful were the sections on Environmental Assumptions, Unit Profile Information, and Support Service Programs.

Since the initial review I have had the experience of completing a plan for one academic unit. That experience, coupled with the revisions that have been made in the Guide, permit me to say that the revision was worthwhile. My last suggestion would be that a small task force of unit administrators be asked to serve as an ad hoc advisory committee to the planning process. If this group were to be convened, they would surely help to get the "bugs" out of the process.

Faculty:

Yes. I believe that the Guide has been improved as a result of the reviews. The first version was an excellent start, but I believe that the revised version is even better. The revisions are all valuable contributions to the Guide.

I do think the Guide has been improved by the review. (I can hardly think otherwise if any of my previous suggestions have been accepted!)

The Guide has been improved as a result of the interdisciplinary review. The second version deals with the intangibles much better than the first. Knowing those makes the reader realize that he/she approaches the planning process through individual assumptions and prejudices that have to be faced before quality planning can take place. At least you hope the reader will realize this. Sometimes I wonder. You have done your job well.

External to MSU:

The review process strengthens the Guide for me.

I believe the interdisciplinary perspective improves any product that is used by a varied audience. This Guide has been much improved as a result of the review process.

--Is the Guide a potentially useful planning tool for chairpersons/directors and deans or Major Administrative Unit Vice Presidents and Assistant Vice Presidents?

Central Administrator:

Yes, it has a wealth of material about planning as well as about MSU. The applications made through the design of planning to fit MSU and its style, size, and needs for planning is going to be a useful tool for administrators to fulfill their planning responsibilities. It will be most useful the first time through (which is quite obvious)! It should have a life and flexibility of its own and a vehicle for change and updating as the Guide is used. The evaluation/audit aims at this feedback and change loop, but I am not clear how that is going to happen.

This is workable. If we would use the same document for more than one year, it would be made even more workable.

In its present form with the improved precision and clarity, the document should become a good reference manual for everyone involved in leadership and management responsibility.

Dean:

It is potentially useful for planning. I continue to believe the quotes as section headings will offend chairpersons as trite. . . .

Because it fills an existing void, it is potentially of great value.

Chairperson:

It is potentially useful as a planning tool primarily for persons with little or no administrative experience. However (and this is no criticism of the quality of the Guide), I cannot help but wonder whether the document would really be used or merely be filed away among other bureaucratic memoranda.

I think the Guide is a useful tool for the administrative hierarchy. It would be advantageous if the university could institute a full day of inservice at which time a relatively

small number of administrative unit representatives could spend time together reading, brainstorming, and plotting strategies for completing the planning document. An administrative unit, such as one college, with the academic unit chairs in attendance, would be appropriate.

I think the Guide is useful to those who would be preparing a unit plan. It includes useful information, definitions of terms, and a more or less shared understanding of what is to be included. I would suggest that this Guide plus some optional training would enhance the quality and increase the efficiency of the unit-level plans at MSU.

Faculty:

From my perspective, the Guide would be a useful planning tool for MSU administrators. It would seem that the Guide would provide the structure and instructions necessary for assisting the administrator in doing a good job of planning. Without the information that is provided in the Guide, one would be overwhelmed by the planning process. You've done a great job here!

I do think that the Guide is a potentially useful planning tool for administrators. Whether it is likely to be actually useful is harder to say; if administrators take seriously the need to listen to inputs from people at the working level, it will be useful. And they can't help but be influenced by the call for long-range planning.

Worded as simply and directly as possible, such a guide should be useful because it establishes the format for planning. It also identifies the MSU philosophy of planning. Not all will use it, however. Those who do not really want to plan, but must, will wait for the new documents and the directions for completing them. I believe many will use it, however, because it describes planning at several interrelated levels. The most critical factor is not what you say, but how you say it.

External to MSU:

It is difficult for someone outside of the "user group" to answer this question. I imagine that it should be potentially very useful.

It will be potentially useful to the extent that it bridges the gaps between the theory of planning and the application of planning.

It was observed that participants at each of the position levels perceived the revised Planning Guide to be much improved as a result of the review in which they participated. Team members also believed that the Guide would be a potentially useful planning tool, although several reviewers noted that potential usefulness and actual use would vary greatly with the specific individual planner.

Summary

The theoretically developed Planning Guide provided a model for an interdisciplinary review. That review produced comments and suggestions regarding the Planning Guide and its perceived role as a planning tool, organization and format, and content. The interdisciplinary review also raised additional conceptual planning issues that related to the overall framework for planning but for which no resolution was developed by the review team. The comments and suggestions were results to be considered within the criteria developed as a part of the research design. A modified Planning Guide was developed on the basis of the results of the Cycle I review. The Cycle II review by the interdisciplinary review team resulted in additional suggestions and comments. Members of the review team evaluated the Guide on the basis of its improvement and potential usefulness. The results of that evaluation indicated that each of the twelve two-cycle participants commented favorably regarding both the improvement in and the potential usefulness of the Planning Guide.

CHAPTER V

SUMMARY, CONCLUSIONS, IMPLICATIONS, AND RECOMMENDATIONS

The summary, conclusions, implications, and recommendations of an operations research project relating to the development of a guide for comprehensive university planning are presented in this chapter.

Summary

Planning is generally considered to be a primary function of managerial decision-making that contributes to the success of an institution. Despite the wide acceptance of the importance of planning, there is little evidence that comprehensive institutional planning actually takes place in institutions of higher education.

Formal planning literature, found primarily in the areas of business and education, acknowledges the positive role of planning documentation in making planning work. Planning documentation, conceived as guides or manuals, links the conceptual planning structure with the implementation of planning in a specific institution. There are apparently no examples of such comprehensive manuals or guides for large, public universities, nor could a model for such a guide be found in the literature. In the absence of an example or a model, the development of a planning guide proceeded along the profile of

attributes identified in the literature as theoretical elements or principles. These were described in Chapter II.

As the elements were developed into a guide for planning, the experience of the particular institution at which the guide is to be used must be considered. Michigan State University (MSU) was selected as the institution for which a planning guide would be developed. MSU possesses a number of formal planning papers and conceptual statements developed by a variety of individuals over a number of years. However, MSU did not have a comprehensive planning document that provided the guidelines necessary for the implementation of the relatively independent planning statements on long-range strategic planning, academic programs, support service programs, and budget and financial planning.

The method selected for research relating to the development of a planning guide is identified as operations research and was described in Chapter III. The essential characteristics of an operations research project are found in the definition of operations research as an approach to problem solving. They are a scientific method of inquiry, a multidisciplinary team approach, the use of models, and a focus on decision making within the total organization.

The operations research project was developed in three stages. First, the formulation of the problem acknowledged the unavailability of a guide for comprehensive university planning as contrasted with the recognition that such a guide improves planning effectiveness. The second stage of the operations research project focused on the development of a theoretical planning guide as a model based on two

foundations. The planning principles and guidelines as found in the literature provided one basis. Also providing a foundation was the necessary institutional context of Michigan State University as an example of application in a specific institution of higher education. The third stage of the research project subjected the theoretically developed Planning Guide to a review by twenty-two individuals selected to participate in an interdisciplinary review.

It was expected that the theoretical guide, or initial model, would be substantially improved as a result of the comments and suggestions made by the reviewers external to MSU as well as internal to the University at different administrative levels. A revised Planning Guide was developed as a Cycle II model. The revised Guide was submitted as a working draft to the seventeen members of the interdisciplinary team who completed the Cycle I review. Interdisciplinary team members were asked to evaluate the revised Guide relative to its improvement and usefulness as a planning tool.

The findings or results of the research relating to the development of a planning guide were described in Chapter IV. The overall quality of the theoretically based Planning Guide was observed to be positive by reviewers both external and internal to Michigan State University at each administrative level. The document was described positively using comments relating to the logical, systematic presentation, the analysis of conceptual components necessary to planning, and the qualities of informing and guiding. No reviewer expressed an

overall negative evaluation of the Cycle I Guide. However, specific suggestions were made for areas of change.

Suggestions for the Cycle I draft were presented in a series of tables found in Chapter IV. In four of the tables, data are found describing the role of a planning guide, the organization and format of the Cycle I draft, the content of the Cycle I draft, and an articulation of unresolved institutional planning issues. Each table tracks the generating source of comment content in terms of position external to MSU or administrative structure internal to the University. Additionally, each table provides an operations research evaluation of the notation as a potential contribution to the development of the Planning Guide.

Reviewers in different administrative positions or external to the University could hold similar expectations about the role of a planning guide as a resource tool. However, different members of the interdisciplinary review team held different expectations about the role of the Guide. Reviewer descriptions of the functional role of a planning guide were observed to include those related to motivation, education, information, guidance, and communication. Reviewers' comments were directed toward both a framework providing the conceptual planning guidelines and the operational and task-related details necessary for the completion of required planning formats. The results of the Cycle I review relating to the perceived role of the Planning Guide were presented in Table 4.1.

The interdisciplinary review resulted in a variety of specific suggestions relating to the organization, format, and content of the Guide, which are found in Tables 4.2 and 4.3. Without regard for administrative position, different team members perceived different sections of the Guide to be of greater relative importance than other sections. The same diversity of focus was noted in relation to suggestions regarding content. In several instances, reviewers presented conflicting suggestions regarding suggested revisions to both form and content. Different sections of the Guide were proposed to be presented first. The inclusion of illustrative quotations, a glossary of terminology, and the helpfulness of a conceptual illustration of the planning structure were the other primary areas of incompatible suggestions for change.

The review of the Cycle I theoretically developed Planning Guide provided a number of commonly presented comments or suggestions. Alternative wording, punctuation, and grammatical changes were noted throughout the returned drafts and accounted for the greatest number of notations. The notebook format was noted as excellent, and suggestions were set forth to add an authoritative endorsement of the planning process and concrete examples of the benefits of planning. Other commonly proposed suggestions included the development of a planning calendar, a conceptual map of planning participants' roles, the clarification of the relationship between academic unit and support services planning, a recognition of the human factors of planning as an important intangible element of the formal planning process, the further

specification of the use of data as a planning base, and the highlighting of environmental assumptions as a critical element for all administrative levels.

In addition to specific comments and suggestions, the review of the initial Planning Guide resulted in the articulation of a number of planning issues for which no suggested resolution was offered. Nine specific issues were observed to provide a partial description of the environment in which the Planning Guide functions. Data related to the articulation of planning issues were presented in Table 4. Included as issues were:

--Rational orientation of a systematic, logical planning guide may not be effective in a political atmosphere.

--The Mission Statement creates the illusion that there is a commonly held value orientation within the University community.

--Unit contributions to the mission of the University may vary in degree of contribution as well as in the area of contribution.

--The linear structure of planning limits the unit flexibility perceived to be necessary to be effective.

--The hierarchical structure may block creativity and the generation of ideas at the lower levels of the administrative structure.

--The centralized sharing of unit plans may serve to benefit only the whole of the University and be a liability to the specific unit.

--Leadership and vision cannot be replaced by planning.

--Designing the unit to serve the needs of students and other targeted clientele may compromise academic integrity.

--The future time horizon of planning is not the perspective of units whose rewards are a part of the "now."

The Cycle I draft was modified to reflect the suggestions and comments from the first review of the interdisciplinary team. Those revisions were regarded positively by members of the review team, as evidenced by comments on the Cycle II draft. Additional comments on the strengths and weaknesses of the revised Planning Guide contributed to the continuing evolution of the Planning Guide. The data regarding the Cycle II revisions were presented in Table 4.5.

The potential usefulness of the Guide as a planning tool was commented on favorably by the participating reviewers. However, several reviewers noted that the potential usefulness and actual use of the Planning Guide would vary greatly among the specific individuals actually responsible for planning.

Conclusions

The conclusions based on the operations research findings are set forth as a series of nine determinations relating to the development of a planning guide for a large, public university. The operations research expectation that a planning guide could be developed on the basis of theoretical principles and subsequently improved as a result of a review by an interdisciplinary team was confirmed. The confirmation of that expectation was supported by results observed in the Cycle I (theoretical) and Cycle II (experience modified) reviews of the Planning Guide.

Conclusion 1: The theoretical principles and guidelines found in the literature and in the context of a specific institution provided a sound initial document. The conclusion is supported by the results

observed to be an overall favorable review of the theoretically based Cycle I draft, and the very few comments made regarding the Guide's framework of a conceptual introduction followed by sections on planning parameters, procedures, participants, and products. The conclusion regarding the appropriateness of a theoretical foundation is further supported by the reviewer comments in favor of the logical, systematic approach to planning as set forth in the Guide. Further evidence is found in the comparison of the outlines of the theoretically based (Cycle I) and the modified (Cycle II) guides. The outlines of both the Cycle I Guide and the Cycle II Guide were found in Figures 4.1 and 4.2. With the exception of a reordering of sections, the major framework for the Cycle II outline of the Guide remained fundamentally unchanged from the Cycle I outline.

Conclusion 2: The modification of a theoretically developed planning guide on the basis of experience and perspective is concluded to produce a superior document when compared with the initial draft. The theoretically developed Planning Guide, modified on the basis of the experience and perspective of a diverse group of individuals, resulted in a planning document that was judged by those same individuals to be a superior product. This conclusion is supported by the evaluations of review-team members and on the basis of the content of the second-cycle review. None of the changes made to the theoretically based instrument was judged by the members of the review team to diminish the potential values of the Guide.

A conclusion subordinate to the effectiveness of the interdisciplinary review may be noted. While the Cycle I through Cycle II attrition of review participants remained within the research design parameters, ten of the twenty-two members did not complete the full two-cycle review. It is concluded, however, that the participation attrition minimally impacted the substance of the review because the diversity of the team remained broad. This conclusion is supported by the comparison of the descriptions of the interdisciplinary review team presented in Chapter III.

Conclusion 3: The revised draft is sufficiently strong to withstand tensions created by the existence of unresolved institutional planning issues. The initial review of the Guide produced the articulation of a series of issues for which the solution primarily lay outside of the developmental process of the Guide. While the Cycle II draft provided recognition only for several of the issues, the continuation of the articulated issues as unresolved in the modified draft did not render the document useless. Concluding evaluations from review-team members supported the potential usefulness of the revised document, while recognizing the value of the resolution of the articulated issues.

Conclusion 4: A planning guide is likely to receive the support of potential users if they participate in the development of such a guide. The participation of individuals in the developmental process of a planning guide is not likely to produce a negative assessment of the document if participants are able to recognize

modifications they suggest. This conclusion is one supported by the results of the Cycle II reviews, in which participants favorably noted the changes for which they were responsible.

Conclusion 5: In between the major conceptual institutional statements of planning and the required reporting formats, two levels of planning documentation are needed. The role of a planning guide as a bridge between the broad conceptual institutional statements and the reporting formats-to-be-completed set forth two expectations of reviewer expectations. A frontispiece that conceptually links diverse university documents into a comprehensive planning framework is concluded to be the role of the Planning Guide as developed. An integration of the conceptual framework with the planning activities of the unit is thus perceived as the major role of a planning guide. However, also perceived as necessary are the instruction manuals specifically regarding the operational and task-oriented "how to complete each particular planning requirement" guidelines.

Conclusions 6: Planning documentation in the form of a written guide more likely will be used if accompanied by people-to-people guidance. The positive assessment of "potential" usefulness of the Guide was tempered by comments related to its "actual" use. The conclusion is supported by the reviewers' suggestions for training sessions and inservice workshops.

Conclusion 7: The modified (Cycle II) Planning Guide may serve as a model of a planning guide for a large, public university. This conclusion is supported by the similarities between the Cycle I and

Cycle II guides. It is further supported by the similarities and compatibilities of comments generated by participants of the interdisciplinary review team internal and external to Michigan State University.

A subordinate conclusion relating to the Guide as a model pertains to suggestions from different administrative levels internal to MSU. There do not appear to be substantial differences between administrative levels regarding the expectations of content or format of the Planning Guide. Thus, it is concluded that the Guide is an appropriate resource for the different structural levels found in the administrative hierarchy.

Conclusion 8: The theoretically developed and experientially modified Guide is ready for line-staff review and sanction. The number of comments between Cycle I and Cycle II appear to be decreased, more narrow in scope, and increasingly focused on the "actual use" or implementation activities. Thus, the Guide developed through the operations research process could go forward as a formal proposal for full administrative review.

Conclusion 9: Interdisciplinary review yields the articulation of unresolved issues. While the interdisciplinary review generated suggestions relative to the Guide, it also generated additional problems to be solved. The setting forth of issues which are perceived by reviewers to impact the planning process resulted as reviewers considered a planning guide draft.

In summary, the researcher concluded that planning documentation in the form of a logical, systematic, comprehensive guide for planning at a large, public university could be developed and perceived to be useful. The process of development concluded to be effective was one initiated by a theoretically based set of written guidelines, subsequently modified. Modifications proposed by individuals internal and external to the specific institution for which the Guide was developed were concluded to increase potential usefulness of the Planning Guide.

Implications

Results of the operations research project regarding the development of a planning guide imply impacts that pervasively reach every administrative level within the university. The researcher concluded that the Planning Guide, as developed, was a potentially useful resource tool. The conclusion reached by reviewers at each administrative level implies a gap in the existing MSU planning documentation that was filled by the development of a Planning Guide.

Implied in the acceptance of the model planning document is an acknowledged value of formalizing a comprehensive, rational, systematic approach to planning. While a formalized planning guide does not exclude informal approaches to institutional leadership and management, the Guide implies that the authority, responsibility, and accountability will reside in the formal institutional structure.

While the researcher concluded that the Planning Guide is an appropriate resource for planning at different administrative levels,

it is implied that the Guide could be usefully adapted to differences in individual stylistic approaches to the leadership and management of specific units. Thus, it is implied that the relatively discrete sections contained in the Guide could be rearranged to meet the stylistic preferences of different unit administrators.

Recommendations

The recommendations generated by the research are presented as those related to the Planning Guide, as developed, and those related to further study regarding the development of planning documentation for large, public universities. The conclusions reached on the basis of the operations research methodology, applied to the development of a planning guide, contribute to the effectiveness with which future research can be conducted.

Recommendations Related to the Planning Guide

Of great interest is additional knowledge regarding the role of the Planning Guide in increasing institutional effectiveness. As a topic for further research, this is also an area for the user-oriented refinement of the Guide. The recommended next step is the integration of the written guide with the needs of a particular department or college, or of particular kinds of administrators (i.e., chairpersons, deans, or newly appointed administrators).

The development of a manual-like set of instructions related to each reporting requirement is recommended. It is further recommended

that specific training exercises be developed to stimulate the strategic thinking of practicing administrators. Yet to be developed for Michigan State University are the identified manuals of specific instructions related to the completion of required reporting formats. The Planning Guide builds the framework within which that may now occur and sets the stage for ongoing, continuous thinking related to long-range strategic planning.

The actual adaptation of the Planning Guide as a model document at large, public universities other than MSU is recommended. The recommendation is based on the assumption that other universities also have developed the major conceptual guiding documents for which the planning framework can be articulated.

Recommendations for Further Study

Since the design of this particular operations research project precluded personal interactions, it would be of interest to compare the product of this process with the product from a research design using an interpersonal dynamic review-team structure.

While this research identified similarities in administrative perspective, identification of the differences in those perspectives and needs between major levels of administrative responsibility is an area to which this research contributed minimally. Implied in differing responsibilities related to authority and accountability are different institutional expectations. The guidelines generated out of those expectations should include knowledge of the differences.

The clarification and resolution of the institutional issues raised during the review cycles stand as an ambitious arena of issues to be undertaken in further study. It is an area of study that illustrates the benefits of the operations research methodology for problem solving. Resolution of specific planning issues portends progress toward effective institutional planning as well as toward the evolution of the written guidelines that communicate, educate, and inform participants within the framework for planning.

BIBLIOGRAPHY

BIBLIOGRAPHY

Planning

Abell, Derek, and Hammond, John. Strategic Market Planning: Problems and Analytical Approaches. Englewood Cliffs, N.J.: Prentice-Hall, 1979.

Ansoff, Igor. Corporate Strategy. New York: McGraw-Hill Book Co., 1965.

Arns, Robert, and Curran, Fred. "Information Systems Requirements for Strategic Planning and Strategic Implementation." Cause/Effect 6 (1983): 22-26.

Arth, Maurice. "Planning and Budgeting in a Period of Resource Constraint: The New Climate." Planning for Higher Education 12 (Spring 1984): 1-8.

Balderston, Frederick. "Dynamics of Planning: Strategic Approaches for Higher Education." New Directions for Higher Education. Management Science Applications to Academic Administration 35 (September 1981): 51-61.

Benoliel, Peter. "Long Term Planning." In American Management Associations Handbooks. Edited by William Fallon. New York: AMA, 1983.

Brinkman, Paul, and Krakower, Jack. Comparative Data for Administrators in Higher Education. Boulder, Col.: National Center for Higher Education Management Systems, 1983.

Casasco, Juan. Planning Techniques for University Management. Washington, D.C.: American Council on Education, 1970.

Chaffee, Ellen. Rational Decision Making in Higher Education. Boulder, Col.: National Center for Higher Education Management Systems, 1983.

Cleland, David, and King, William. "Developing a Planning Culture for More Effective Strategic Planning." Long Range Planning 7 (June 1974): 16-32.

Cohen, Michael, and March, James. Leadership and Ambiguity: The American College President. New York: McGraw-Hill, 1974.

Cohen, Michael; March, James; and Olsen, John. "A Garbage Can Model of Organizational Choice." Administrative Science Quarterly 17 (March 1972): 1-25.

Cope, Robert. Strategic Planning, Management, and Decision Making. AAHE-ERIC/Higher Education Research Report No. 9. 1981.

Doyle, P., and Lynch, J. E. "A Strategic Model for University Planning." Journal of the Operations Research Society (July 1979): 603-609.

Drucker, Peter. Management: Tasks, Responsibilities, and Practices. New York: Harper and Row Publishers, 1974.

Egerton, Henry C., and Brown, James K. Planning and the Chief Executive. New York: The Conference Board, 1972.

Elia, Irene. "Strategic Planning in an Independent Institution of Higher Education." Ph.D. dissertation, State University of New York at Buffalo, 1981.

Enarson, H. "The Art of Planning." Educational Record (Summer 1975): 170-74.

Ewing, David. The Human Side of Planning. New York: Macmillan, 1969.

_____. The Practice of Planning. New York: Harper and Row Publishers, 1968.

Fattu, Nicholas. "On the Process of Planning for Higher Education in Illinois." Ph.D. dissertation, Indiana University, 1971.

Freeman, Jack. "Comprehensive Planning in Selected Research Universities." Ph.D. dissertation, University of Pittsburgh, 1977.

Freiman, David. "Strategic Planning." In American Management Association Handbook. Edited by William Fallon. New York: AMA, 1983.

Fuller, Bruce. "A Framework for Academic Planning." Journal of Higher Education (January 1976): 65-77.

Gil, Efraim Gugel. "Institutional Planning at Public Universities: An Analysis of the Governor's State Planning Process." Ph.D. dissertation, University of Illinois at Chicago, 1982.

Gonyea, Meredith. "A Study of the Planning Systems Used in Administrative Decision Making by Selected Universities." Ph.D. dissertation, The University of Michigan, 1971.

Goode, John. "Merging Programs, Budget and Facilities Planning." Planning for Higher Education 12 (Spring 1984): 18-21.

Hoenack, Stephen; Meagher, Patrick; Weiler, William; and Zillgit, Ronald. "University Planning, Decentralization and Resource Association." Socio-Economic Planning Services 8 (October 1974): 257-72.

Holloway, Clark, and King, William. "Evaluating Alternative Approaches to Strategic Planning." Long Range Planning 12 (August 1979): 74-78.

Hopkins, David, and Massy, William. Planning Models for Colleges and Universities. Palo Alto, Calif.: Stanford University Press, 1981.

Huff, Anne. "Planning to Plan." In New Perspectives on Planning in Educational Organizations. Edited by David Clark, Sue McKibbin, and Mark Malkas. San Francisco: Far West Laboratory, 1981.

Hunsicker, J. Quincy. "The Malaise of Strategic Planning." Management Review 10 (March 1980): 8-14.

Johnson, Jerry W. "An Examination of Management and Planning Concepts in Higher Education." Ph.D. dissertation, University of Arkansas, 1975.

Jones, Jesse. "Planning Documents of Selected Universities: An Analysis of the Achievement of Planned Outcomes." Ph.D. dissertation, University of Pittsburgh, 1982.

Keller, George. Academic Strategy: The Management Revolution in American Higher Education. Baltimore, Md.: The Johns Hopkins University Press, 1983.

Kieft, R. N.; Armigo, F.; and Bucklew, N. A Handbook for Institutions: Academic and Program Planning. Boulder, Col.: National Center for Higher Education Management Systems, 1978.

Koenig, Herman; Keeney, Glenn; and Zemach, Rita. A Systems Model for Management, Planning, and Resource Allocations in Institutions of Higher Education. Final Report of Project C-518, National Science Foundation: Division of Engineering Research. East Lansing: Michigan State University, September 1968.

Koontz, Harold. "Making Strategic Planning Work." Business Horizons 19 (April 1976): 34-47.

Kotler, Phillip, and Murphy, Patrick. "Strategic Planning for Higher Education." Journal of Higher Education 52 (September-October 1981): 470-89.

Lahr, Leland. "A Comparative Study of Long Range Planning at Selected Independent Colleges in the State of Michigan." Ph.D. dissertation, Michigan State University, 1981.

Lockwood, Geoffrey. "Planning in a University." Higher Education (November 1972): 409-34.

Lotto, Linda; Clark, David; and Carroll, Mary. "Understanding Planning in Educational Organizations: Generative Concepts and Key Variables." In New Perspectives on Planning in Educational Organizations. Edited by David Clark, Sue McKibbin, and Mark Malkis. San Francisco: Far West Laboratory, 1980.

Mayhew, Louis. Surviving the Eighties. San Francisco: Jossey-Bass, 1979.

McNeill, Barbara. "A Critique of Uses of the Rational Model in Educational Planning and Decision Making." Ph.D. dissertation, Columbia University, 1973.

Millett, John D. "Higher Education Management Versus Business Management." Educational Record (Fall 1975): 221-25.

Minahan, John. "Decision Models for Academe." Planning for Higher Education 5 (December 1976): 2-5.

Neghandi, A. R., and Reinmann, B. C. "The Task Environment, Decentralization and Organizational Effectiveness." Human Relations 26 (February 1973): 203-14.

Norris, Donald. A Guide for New Planners. Ann Arbor: The Society for College and University Planning, 1984.

O'Connor, Rochelle. Corporate Guides to Long Range Planning. New York: The Conference Board, 1976.

Palola, Ernest; Lehmann, Timothy; and Blischke, William. "The Reluctant Planner: Faculty in Institutional Planning." Journal of Higher Education (October 1971): 587-602.

Paul, Ronald; Donavon, Neil; and Taylor, James. "The Reality Gap in Strategic Planning." Harvard Business Review 56 (May-June 1978): 124-30.

Peterson, Marvin. "Analyzing Alternative Approaches to Planning." In Improving Academic Management. Edited by Paul Jedamus, Marvin Peterson, and Associates. San Francisco: Jossey-Bass, 1980.

Poulton, Nick. "Impacts of Planning Activities in Research Universities: A Comparative Analysis of Five Institutional Experiences." Ph.D. dissertation, The University of Michigan, 1979.

_____, ed. Evaluation of Management and Planning Systems. New Directions for Institutional Research, No. 31. San Francisco: Jossey-Bass, September 1981.

_____. "Strategies of Large Universities." In Improving Academic management. Edited by Paul Jedamus, Marvin Peterson, and Associates. San Francisco: Jossey-Bass, 1980.

Quinn, James. "Strategic Goals: Process and Politics." Sloan Management Review 19 (Fall 1977): 21-37.

Reinharth, Leon; Shapiro, H. Jack; and Kallman, Ernest. The Practice of Planning: Strategic, Administrative, and Operational. Cincinnati: Van Nostrand Reinhold Co., 1981.

Shirley, Robert. "Identifying the Levels of Strategy for a College or University." Long Range Planning 16 (June 1983): 92-98.

_____, and Volkwein, J. Fredericks. "Establishing Academic Program Priorities." Journal of Higher Education 49 (1978).

Stansbury, George William. "The Establishment of a Conceptual Framework to Enhance Educators' Understanding of Comprehensive Planning." Ph.D. dissertation, Michigan State University, 1970.

Steiner, George A. "Long-Range Planning Concept and Implementation." Financial Executive (July 1966): 54-61.

_____. "Planning, Strategic, Managerial." In Encyclopedia of Professional Management. Edited by Lester Bittel. St. Louis: McGraw-Hill, 1978.

_____, and Miner, John. Management Policy and Strategy. New York: Macmillan, 1977.

Steinert, William. "Construction of a Model for Educational Long-Range Planning Based on the Study of Long-Range Planning in Business and Industry." Ph.D. dissertation, Marquette University, 1971.

Tack, Marsha, and Peseau, Bruce. "Linking Academic and Financial Planning at the College Level." Planning for Higher Education 11 (Fall 1982): 1-4.

Takeuchi, Stuart. "Planning Support From the Top: An Application of Mile's Law: (Where You Stand Depends on Where You Sit)." Planning for Higher Education 12 (Winter 1984): 1-5.

Toll, John. "Strategic Planning: An Increasing Priority for Colleges and Universities." Change Magazine 14 (May-June 1982): 36-37.

Trotter, William. "Strategic Planning: Theory and Practice." Ph.D. dissertation, Pace University, 1981.

Uehling, Barbara S. "Planning as if People Mattered: Goals for Quality Higher Education." Planning for Higher Education 9 (Spring 1981): 35-39.

Uhl, Norman. "Editor's Introduction: Institutional Research and Strategic Planning." New Directions for Institutional Research 37 (March 1983).

Updegrove, Daniel. "Using Computer-Based Planning Models." New Directions for Institutional Research Evaluation of Management and Planning Systems, No. 31 (September 1891): 61-70.

Vaccaro, Louis. "Planning in Higher Education: Approaches and Problems." College and University 51 (Winter 1976): 153-60.

Waggoner, Michael. "A Strategic Planning Bibliography." Planning for Higher Education 12 (Fall 1983): 48-50.

Yeager, John, and Morrow, Patricia. "Academic Planning in Higher Education." Management Forum 3 (September 1974): 1-4.

Operations Research

Ackoff, Russell L. "An Interactive View of Rationality." Journal of the Operational Research Society 34 (1983): 719-22.

_____. "Some Ideas on Education in the Management Sciences." Management Science 17 (October 1970): B2-B4.

_____, and Sasieni, Maurice. Fundamentals of Operations Research. New York: John Wiley and Sons, 1968.

Argyris, Chris. "Management Information Systems: The Challenge to Rationality and Emotionality." Management Science 17 (February 1971): B275-292.

Bowen, Ken. "An Experiment in Problem Formulation." Journal of the Operational Research Society 34 (1983): 685-94.

Checkland, Peter. "O.R. and the Systems Movement: Mappings and Conflicts." Journal of the Operational Research Society 34 (1983): 661-75.

Churchman, C. West. "Operations Research as a Profession." Management Science 17 (October 1970): B37-B53.

_____; Ackoff, R. L.; and Arnoff, E. An Introduction to Operations Research. New York: John Wiley and Sons.

Foulds, L. R. "The Heuristic Problem-Solving Approach." Journal of the Operational Research Society 34 (1984).

Heyel, Carl. The Encyclopedia of Management. 3rd ed. Cincinnati: Van Nostrand Reinhold Co., 1982.

Hillier, Frederick, and Lieberman, Gerald. Operations Research. San Francisco: Holden-Day, Inc., 1974.

Krajewski, Lee, and Thompson, Howard. Management Science: Quantitative Methods in Context. New York: John Wiley and Sons, 1981.

Moskowitz, Herbert, and Wright, Gordon. Operations Research Techniques for Management. Englewood Cliffs, N.J.: Prentice-Hall, 1979.

Rapley, K. "Problems, Processes and Purposes: The Systems Approach to O.R." Journal of the Operational Research Society 34 (1983): 787-95.

Rivett, Patrick. "A World in Which Nothing Ever Happens Twice." Journal of the Operational Research Society 34 (1983): 677-83.

Thierauf, Robert, and Grosse, Richard. Decision Making Through Operations Research. New York: John Wiley and Sons, 1970.

Tomlinson, Rolfe, and Dyson, Robert. "Some Systems Aspects of Strategic Planning." Journal of the Operational Research Society 34 (1983): 765-78.

Wagner, Harvey. Principles of Operations Research. Englewood Cliffs, N.J.: Prentice-Hall, 1968.

General References

Ammer, Dean S. "The Side Effects of Planning." Harvard Business Review 48 (May-June 1970): 32-44, 164, 168.

Baldridge, J. Victor, and Okimi, Paicial H. "Strategic Planning in Higher Education--New Tool or New Gimmick?" AAHE Bulletin 35 (October 1982).

Bateman, Harold Harris. "The Management Information System and Its Role in Administrative Planning and Decision-Making in Higher Education." Ph.D. dissertation, Arizona State University, 1972.

Borak, Robert J. Program Review in Higher Education: Within and Without. Boulder, Col.: National Center for Higher Education Management Systems, 1982.

Bittel, Lester R., ed. Encyclopedia of Professional Management. St. Louis: McGraw-Hill, 1978.

Brickner, William H., and Cope, Donald M. The Planning Process. Cambridge, Mass.: Winthrop Publishers, 1977.

Brown, James K., and O'Connor, Rochelle. Planning and the Corporate Planning Director. New York: The Conference Board, 1974.

Brown, Stephen Walter. "Planning and Decision Making in the University." Ph.D. dissertation, Arizona State University, 1971.

Camillus, Joan Caius. "Formal Planning Systems: The Control Considerations in Design." Ph.D. dissertation, Harvard University, 1972.

Cartier, Louis F., ed. "Carnegie Grants Fund Study on Academic Planning." University Record, March 8, 1976.

Caruthers, J. Kent. "Strategic Master Plans." In Evaluation of Management and Planning Systems. New Directions for Institutional Research, No. 31. Edited by N. Poulton. (September 1981): 17-27.

Cherin, Ellen, and Armijo, Frank. Supplement to the Handbook for Institutional Academic and Program Planning. Boulder, Col.: National Center for Higher Education Management Systems, 1980.

Christopher, William F. "Marketing Planning That Gets Things Done." Harvard Business Review 48 (September-October 1970): 56-64.

Clark, David. "In Consideration of Goal Free Planning: The Failure of Traditional Planning Systems in Education." New Perspectives on Planning in Educational Organizations. San Francisco: Far West Laboratory, 1980.

Cyert, Richard. "Management Science and University Management." New Directions for Higher Education. Management Science Applications to Academic Administration 35 (September 1981): 27-49.

Day, George S. Strategic Market Planning: The Pursuit of Competitive Advantage. St. Paul, Minn.: West Publishing, 1984.

Dror, Yehezkel. "The Planning Process: A Facet Design." International Review Administrative Science 29 (1963): 46-58.

Eurich, Alvin, and Tickton, Sidney G. Long Range Planning and Budgeting at Colleges and Universities. Washington, D.C.: Academy for Educational Development, 1972.

Fallon, William, ed. American Management Association's Management Handbook. New York: American Management Association, 1983.

Fenske, Robert. "Setting Institutional Goals and Objectives." In Improving Academic Management. Edited by Paul Jedamus and Marvin Peterson. San Francisco: Jossey-Bass Publishers, 1980.

Fincher, Cameron. "Importance of Criteria for Institutional Goals." New Directions for Institutional Research Using Goals in Research and Planning, No. 19 (1978): 1-15.

_____. "Planning Models and Paradigms in Higher Education." Journal of Higher Education (December 1972): 754-67.

Gerstner, Louis. "Can Strategic Planning Pay Off." Business Horizons 15 (December 1972): 5-16.

Giegold, William C. Management By Objectives. New York: McGraw-Hill Book Co., 1978.

Groff, Warren H. "Building Futurism Into the Institution's Strategic Planning and Human Resource Development Model." Paper presented at Practitioners Hall of Fame, Nova University, Summer Institute, 1982.

Heyel, Carl, ed. The Encyclopedia of Management. Cincinnati: Van Nostrand Reinhold Co., 1982.

Hinrichs, John R. "Restructuring the Organization for Tomorrow's News." Personnel (March-April 1974): 8-19.

Jain, Subhash C. Marketing Planning and Strategy. Cincinnati: Smith-Western Publishing Co., 1981.

Kieft, Raymond N. Academic Planning: Four Institutional Case Studies. Boulder, Col.: National Center for Higher Education Management Systems, 1978.

Knorr, Owen, ed. Long Range Planning in Higher Education. Boulder, Col.: Western Interstate Commission for Higher Education, 1965.

Kotler, Philip. Marketing Management Analysis, Planning, and Control. Englewood Cliffs, N.J.: Prentice-Hall, 1980.

_____, and Murphy, Patrick. "Strategic Planning for Higher Education." Journal of Higher Education 52 (September-October 1981): 470-89.

King, William, and Cleland, David. "A New Method for Strategic Systems Planning." Business Horizons 18 (August 1975): 55-64.

Lahr, Leland Allen. "A Comparative Study of Long Range Planning at Selected Independent Colleges in the State of Michigan." Ph.D. dissertation, Michigan State University, 1981.

Linneman, Robert E. Shirt-Sleeve Approach to Long-Range Planning. Englewood Cliffs, N.J.: Prentice-Hall, 1980.

Lockwood, Geoffrey. "Planning in a University." Higher Education (November 1972): 409-34.

Lorange, Peter, and Vancil, Richard. Strategic Planning Systems. Englewood Cliffs, N.J.: Prentice-Hall, 1977.

Lotto, Linda; Clark, David; and Carroll, Mary. "Understanding Planning in Educational Organizations: Generative Concepts and Key Variables." New Perspectives on Planning in Educational Organizations. San Francisco: Far West Laboratory, 1980.

Michigan State University, Office of Institutional Research. "Planning in Higher Education Institutions." Unpublished paper, November 1971.

Miller, James F. "Strategic Planning as Pragmatic Adaptation." Planning for Higher Education 12 (Fall 1983): 41-47.

Minahan, John. "Decision Models for Academe." Planning for Higher Education 5 (December 1976).

Moore, John W. "Pragmatic Considerations in Academic Planning." Planning for Higher Education 5 (December 1976).

Moore, Russell F., ed. A.M.A. Management Handbook. New York: American Management Association, 1970.

Moore, Samuel. "Program Abandonment: Much Ado About the Wrong Thing." Planning and Management Notes, No. 4-18, March 24, 1977.

Nelson, Charles A. "Observations on the Scope of Higher Education Planning in the United States." Paper prepared for the Conference on Planning Universities for Change, International Institute for Educational Planning, July 7-11, 1969.

Neghandi, A. R., and Beimann, B. C. "Task Environment, Decentralization and Organizational Effectiveness." Human Relations 26 (February 1973): 203-14.

O'Connor, Rochelle. Company Planning Meetings. New York: The Conference Board, 1980.

_____. Corporate Guides to Long-Range Planning. New York: The Conference Board, 1976.

_____. Planning Under Uncertainty: Multiple Scenarios and Contingency Planning. New York: The Conference Board, 1978.

Ohio Board of Regents. Planning Universities. Columbus: Ohio Board of Regents, 1974.

Parkeh, Satish B. Long Range Planning. New Rochelle, N.Y.: Change Magazine Press, 1977.

Penrod, James, and Wasileski, John. "Planning in the 80's--Involvement Systems and Communication: The Art of Decision Making." Cause/Effect 3 (November 1980): 4-9.

Peterson, Marvin. "In a Decade of Decline the Seven R's of Planning." Change (May/June 1984): 42, 46.

Rossmeir, Joseph. "Information Resource Management." New Directions for Community Colleges, No. 35 (1981).

Simpson, William, and Sperber, William. "A New Type of Cost Analysis for Planners in Academic Departments." Planning for Higher Education 12 (Spring 1984): 13-17.

Stevenson, Howard. "Defining Corporate Strengths and Weaknesses." Sloan Management Review 17 (Spring 1976): 51-68.

Thompson, Arthur A., and Strickland, A. J. Strategy and Policy: Concepts and Cases. Plano, Texas: Business Publications, 1981.

Tomlinson, William. "An Educational Planning Model to Facilitate the Systematic Interaction of Educational Decision Information." Ph.D. dissertation, University of Tennessee, 1976.

University of Michigan, Office of Academic Affairs. "Evaluation and Planning Project--Phase 1." Ann Arbor: University of Michigan, December 1975.

University of Pittsburgh. The University Plan. Pittsburgh: University of Pittsburgh, September 1976.

_____, Office of the Chancellor. University Long-Range Planning Policies. Institutional Overview and Description of Process. Pittsburgh: University of Pittsburgh, 1985.

University of Virginia. Budget Manual. Richmond: Department of Planning and Budgets, University of Virginia, 1977.

University of Washington. Planning Guide for Fiscal Years 1974-1981. Seattle: University of Washington, 1973.

University of Wisconsin System. "Long Range Academic/Fiscal Planning Papers for 1979-83." Madison: University of Wisconsin, 1978.

Unterman, Israel, and Davis, Richard Hart. "The Strategy Gap in Not For Profits." Harvard Business Review 60 (May-June 1982): 30-36, 40.

Van Ausdle, Steven. "Comprehensive Institutional Planning Systems in Selected Two-Year Colleges." Ph.D. dissertation, Ohio State University, 19800.

Vancil, Richard. "Strategy Formulation in Complex Organizations." Sloan Management Review (Winter 1976): 4-10.

Vogel, Carl William. "An Information System for Academic Departments in Higher Education." Ph.D. dissertation, Northwestern University, 1971.

Warren, E. Kirby. "Long Range Planning in the Decentralized Corporation." Ph.D. dissertation, Columbia University, 1961.

Wheelwright, Steven C. "An Analysis of Strategic Planning as a Creative Problem Solving Process." Ph.D. dissertation, Stanford University, 1970.

Williams, Gareth. "What Educational Planning Is About." Higher Education (November 1972): 381-90.

Zemsky, Robert; Porter, Randall; and Oedel, Laura. "Decentralized Planning." Educational Record 59 (Summer 1978): 229-53.

APPENDICES

APPENDIX A

CORRESPONDENCE RELATED TO REVIEW OF THE

PLANNING GUIDE

13551 Wright Road
Eagle, Michigan 48822
November 4, 1984

Your willingness to participate in my dissertation research effort to develop a long range and strategic Planning Guide applicable to large public universities is very much appreciated. Your assistance with the review process will contribute to the development of a document which is initially based upon the theoretical models and principles found in relevant literature in the fields of education and of business.

Attached you will find the initial draft of the Planning Guide. Please review it as a working draft, making note of inadequacies, inaccuracies, and/or suggesting modifications as you bring to bear on the development of this document your particular experience and perspective. Treat the draft as your working paper, using the extra wide margin space provided for recording your comments.

When your review has been completed, please return the Planning Guide with your comments in the stamped and addressed envelope provided. Return of your draft of the Planning Guide as soon as possible or before December 1, 1984 will be very helpful in completing this research effort as a part of my PhD program.

The Planning Guide will then be modified upon the basis of your efforts and the efforts of the other members of the interdisciplinary review team. A revised Planning Guide will be returned to you for one additional review and a general assessment of the Guide's potential usefulness for long range and strategic planning in a large public university.

All of your comments will be treated with strict confidence and as a member of the interdisciplinary review team, your participation will remain anonymous. A copy of the improved Planning Guide will be made available to you, should you so desire.

Thank you for your participation. If there are any questions relative to this research project, I may be reached through the Michigan State University Office of Planning and Budgets, 355-8082.

Sincerely,

Martha L. Nasse
Graduate Student,
Michigan State University

13551 Wright Road
Eagle, Michigan 48822
November 4, 1984

Your willingness to participate in my dissertation research effort to develop a long range and strategic Planning Guide applicable to large public universities is very much appreciated. Your assistance with the review process will contribute to the development of a document which is initially based upon the theoretical models and principles found in relevant literature in the fields of education and of business.

Attached you will find the initial draft of the Planning Guide. Please review it as a working draft, making note of inadequacies, inaccuracies, and/or suggesting modifications as you bring to bear on the development of this document your particular experience and perspective. Treat the draft as your working paper, using the extra wide margin space provided for recording your comments.

When your review has been completed, please return the Planning Guide with your comments in the stamped and addressed envelope provided. Return of your draft of the Planning Guide as soon as possible or before December 1, 1984 will be very helpful in completing this research effort as a part of my PhD program.

The Planning Guide will then be modified upon the basis of your efforts and the efforts of the other members of the interdisciplinary review team. A revised Planning Guide will be returned to you for one additional review and a general assessment of the Guide's potential usefulness for long range and strategic planning in a large public university.

All of your comments will be treated with strict confidence and as a member of the interdisciplinary review team, your participation will remain anonymous. A copy of the improved Planning Guide will be made available to you, should you so desire.

Thank you for your participation. If there are any questions relative to this research project, I may be reached through the Michigan State University Office of Planning and Budgets, 355-8062.

Sincerely,

Martha L. Hesse
Graduate Student,
Michigan State University

MICHIGAN STATE UNIVERSITY

OFFICE OF PLANNING AND BUDGETS
426 ADMINISTRATION BUILDING

EAST LANSING • MICHIGAN • 48824-1046

December 4, 1984

MEMORANDUM

TO: Participants in the Dissertation Research Effort of Martha L. Hesse

FROM: Robert M. Lockhart, Ph.D.
Director

SUBJECT: Your Review of the Planning Guide

The development of a planning guide for Michigan State University is a project of interest and value to this office, and I anticipate that your review efforts will make a substantial contribution to the development of this planning resource.

I appreciate the investment of time and effort which you are making on behalf of this project. Mrs. Hesse has commented with enthusiasm regarding the contributions which she has been able to review.

If you have not already done so, I would encourage your prompt return of the initial draft to Mrs. Hesse.

Thank you.

RML/j

MSU is an Affirmative Action/Equal Opportunity Institution

13551 Wright Road
Eagle, Michigan 48822
January 8, 1985

Dear :

Your participation in the initial review of a long range and strategic Planning Guide is very much appreciated. On the basis of your comments and the suggestions by other members of the review team, a revised version has been developed. That revision is appended for your consideration as the final phase of your participation in the research effort related to my dissertation and the development of a planning tool for Michigan State University.

The initial draft of the Planning Guide was developed from principles and guidelines suggested in the literature from the fields of business and education. Subsequent to the review in which you participated, a revised draft has been prepared. The revision adds the perspective of interdisciplinary experience to the theoretical basis of the first draft. Appended to this letter, you will find a summary of the changes. Please review the revised Planning Guide, treating it as a working draft, and recording your comments and suggestions directly on the Guide itself.

Additionally, you will find a brief questionnaire attached to the return envelope. Your observations regarding the development of the Guide and its potential usefulness will be your concluding effort related to this research.

When your review has been completed, please return the Planning Guide with your comments in the stamped and addressed envelope provided. Return of your draft as soon as possible or before February 1, 1985 will be very helpful.

Thank you for your participation. If there are any questions relative to this research project, I may be reached through the Michigan State University Office of Planning and Budgets, 355-5062.

Sincerely,

Martha L. Hesse
Graduate Student
Michigan State University

SUMMARY OF REVISIONS MADE IN THE PLANNING GUIDE

All suggestions and comments were carefully considered and reviewed within the criteria developed as a part of the research design.

Numerous wording changes have been made throughout the text. Those changes are primarily of a nature which is intended to increase the precision and clarity with which the guidelines are presented.

Other major changes may be specified as:

--The draft of a sample presidential endorsement with which to begin the Guide.

--The development of a preface, which acknowledges the intangible, often irrational, and diverse human factors as a reality of planning.

--The addition of a Table of Contents, as an annotated outline of the Guide.

--Considerable restructuring of the introduction including increased emphasis on the implementation responsibilities related to planning. The introduction also attempts to more clearly target the Guide toward what every unit administrator needs to know and be able to do to engage in effective long range strategic planning.

--The rearrangement of the notebook sections, to move the Participants section forward in the Guide.

--The inclusion of the Michigan State University documents referenced in the Guide. These are the white pages. As existing or developing central documents, they are not subject to this review. However, some members of the review team may find it helpful to have them included. The samples of these documents are the reason for the increased "growth" in the size of this draft of the Planning Guide.

--An attempt throughout the sections has been made to increasingly specify the hierarchical responsibilities and relationships relative to planning. In that regard, a Budget Request Timetable and a Chronological Flow of academic program planning and review events is included. Additionally, the charts describing the "Planning Structure" and the "Planning Sequence" have been revised.

--The addition of concrete examples (to be added after the first MSU planning cycle) is provided for among the definitions, and a case study is proposed as an appendix.

--The "Products" section is redrafted as a summary of the Guide in terms of both the product and process results.

SUMMARY QUESTIONS

Please comment regarding the following:

--Has the Guide been improved as a result of the interdisciplinary review?

--Is the Guide a potentially useful planning tool for chairpersons/directors and deans or MAU Vice Presidents and Assistant Vice Presidents?

THANK YOU

APPENDIX B

MODIFIED (CYCLE II) PLANNING GUIDE

PLANNING GUIDE

--WHAT EVERY UNIT ADMINISTRATOR AT MICHIGAN STATE UNIVERSITY SHOULD KNOW ABOUT, AND BE ABLE TO DO TO ENGAGE EFFECTIVELY IN LONG RANGE STRATEGIC PLANNING--

NOTE: The Planning Guide, as included in this Appendix is more than twice the size of the one reviewed as a part of the research project. The increased bulk is a result of printing and binding regulations regarding double siding and page spacing. The actual text of the Planning Guide, excluding central planning documents, is less than 50 pages.

REVISED DRAFT
JANUARY 1, 1985

MICHIGAN STATE UNIVERSITY

OFFICE OF PLANNING AND BUDGETS
426 ADMINISTRATION BUILDING

EAST LANSING • MICHIGAN • 48824-1046

TO: The University Community

FROM: The President

Michigan State University believes that planning is necessary for our continued success and status as a premier land-grant and a major AAU institution. Planning is a responsibility shared by trustees, administrators, faculty, staff, and students. All parts of the University must look both outward and inward, to the environment within which the University operates, and to the fundamental purposes toward which the University directs its energies and resources. Long range and strategic planning provides the mechanisms for formulating priorities based upon a common set of commitments to the aims, objectives, and goals essential to Michigan State University and its units.

The institutional framework for long range strategic planning is set forth in the form of a Planning Guide. The Guide is an extension of the Statement on Long Range Strategic Planning at Michigan State University, and is a tool to be used by administrators, faculty, staff, and students as they engage in their planning responsibilities.

Newly appointed administrators will find the Guide of particular value, as will faculty and currently serving administrators who are interested in increasing their effectiveness as planners. As a frontispiece for long range strategic planning at Michigan State University, the Planning Guide is a resource document which describes the planning framework and provides examples of specific central planning documents and reporting formats.

I urge each member of our University community to join with me in planning for the continuing development of the quality and effectiveness of this great institution. The Planning Guide serves as a major resource for understanding our mutual roles and responsibilities.

SAMPLE DRAFT

MSU is an Affirmative Action/Equal Opportunity Institution

It must be considered that there is nothing more difficult to carry out, nor more doubtful of success, nor more dangerous to handle, than to initiate a new order of things. For the former has enemies in all those who would profit by the old order, and only lukewarm defenders in all those who would profit by the new order, this lukewarmness arising partly from fear of their adversaries, who have the laws in their favour; and partly from the incredulity of mankind, who do not truly believe in anything new until they have had actual experience of it.

--Machiavelli, The Prince

PREFACE

TO UNIT ADMINISTRATORS: A CAUTION AND A CHALLENGE

As a practicing unit administrator at Michigan State University, you are being given a Planning Guide. The Guide lays out the conceptual basis for long range and strategic planning. It also includes examples of the formats which are part of your formal reporting requirements, and copies of the central documents with which you are expected to be familiar.

The Guide is a tool designed to help implement the first phases of long range and strategic planning in a mode far more comprehensive than that which MSU has previously experienced. Thus, it is largely a descriptive instrument. It describes what one does, or at least ought to do, in laying out a logically sequential and rational series of activities when engaged in long range strategic planning. It is expected that the Planning Guide itself will evolve as our institutional experience with planning grows.

Candidly, the Guide rests on an ideal set of circumstances where everyone involved reaches rational conclusions largely based upon supportable data and information. Finally it assumes that there is a general unanimity concerning what Michigan State University is all about. It rests upon an idealized version of the academic community where all place the well being of MSU as a whole as their number one priority.

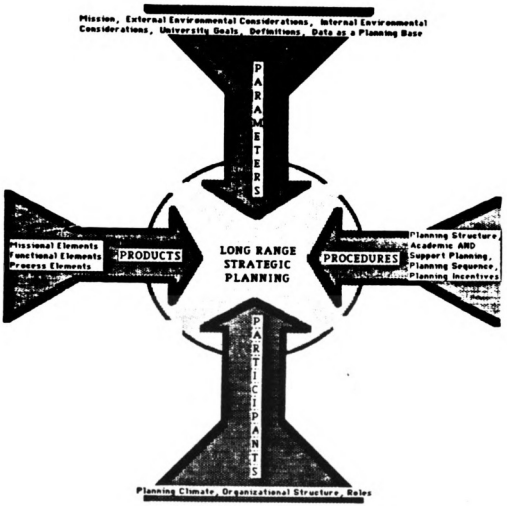
These assumptions are risky, and reveal some of the difficulties you will face as you engage in your planning responsibilities. Thus, a word of caution: The great diversity of value orientations that permeate the MSU environment makes compatible decisions regarding goals, objectives, and aims difficult. The mere existence of the Mission or of the Goals Statements does not erase the diversity nor yield uniform understanding and support of the Mission and Goals. Nor should one assume that absence of opposition to statements of goals, objectives, and aims is equivalent to their common acceptance, understanding, and support. The needd for recognition of the more intangible "people factors" is the basis for a word of caution and should be acknowledged as one of the greatest challenges to be faced in planning.

As a practicing unit administrator, you will feel most keenly the tension between a planning process which is strongly systematic and rational, and the realities of the more intangible people factors and diverse value orientations. Therein lies your challenge: If MSU is to be more than a collection of different spheres of influence whose only commonality is that the individuals involved draw their pay from a common source, your leadership is essential. As an academic or support service unit leader, you can at least minimize the impact of the tension between your unit and the whole of MSU.

Combined with your leadership, the planning process can give energy and inspiration to faculty and staff to "reach for the moon" in a manner that is reasonably compatible with University Mission and Goals, and with the diversity of value orientations held by the MSU faculty and staff.

To assist you in meeting that challenge, the Planning Guide will serve as an informative document, one to be shared with other administrators and faculty and staff with whom you work. Following a brief introduction to planning in general, four sections answer the "who" (Planning Participants), the "how and when" (Planning Parameters and Planning Procedures), and the "what" (Planning Products) of planning at MSU.

These four elements of long range strategic planning are illustrated on the following page. A Table of Contents follows that illustration and will assist you and increase your understanding of long range and strategic planning through the use of this Planning Guide.



Long Range Strategic Planning Elements

TABLE OF CONTENTS

PAGE

I. INTRODUCTION

An overview of general planning concepts pertinent to MSU

A. PLANNING CONCEPTS
A synthesis of "long range" and "strategic" planning provides the conceptual underpinnings for planning at MSU. 8

B. MICHIGAN STATE UNIVERSITY
The four essential elements of planning participants, parameters, procedures, and products are framed in concert with the historical tradition and present realities of MSU. 10

C. STATEMENT ON LONG RANGE STRATEGIC PLANNING
The June 14, 1983 document for Michigan State University. 14.2

II. PLANNING PARTICIPANTS

The organizational climate, administrative structure, and roles of the participants guide their planning relationship with the whole of MSU.

A. PLANNING CLIMATE
The prevailing institutional atmoshpere, if conducive to effective planning, must not only stimulate options and new ideas but also provide mechanisms for choosing between them. 15

B. ORGANIZATIONAL STRUCTURE
The responsibility, authority, and accountability for planning is rooted in the organizational structure of MSU. 16

--Administrative Organization
The organizational chart for the University plus a detailed outline of the academic structure. 17.1

C. ROLES
The roles of planning participants are related to the formal decision making process at MSU. 18

III. PLANNING PARAMETERS

The characteristic factors of planning are generated from a series of critical events. These parameters, at the institutional level, provide the macro boundary for the long range strategic planning of the units.

A. UNIVERSITY MISSION
A definition of the broadest boundaries within which MSU functions is provided by an articulation of Mission. 22

--University Mission
The Board of Trustees approved a Mission Statement, 1982. 23.1

PAGE

B. EXTERNAL ENVIRONMENTAL CONSIDERATIONS
Variables outside of the control of Michigan State University bear upon both the institution and the individual units. These external forces are evaluated as a part of the planning process. 24

--Environmental Assumptions
May 1984 - Profile of institutional level assumptions 25.1

C. INTERNAL ENVIRONMENTAL CONSIDERATIONS
The full range of human and material resources internally available to MSU, the values of the incumbent leadership, and University policies bear upon both the institution and each unit in a manner similar to the external environment. 26

--Principles of Academic Programming
April 4, 1983 Draft guidelines for programming, curriculum, student services, research, and public service. 28.1

D. UNIVERSITY GOALS
A common institutional direction for the great diversity of academic and support units is provided by University Goals. 29

--University Goals
October, 1984 30.1

E. DEFINITIONS
In a planning process which extends beyond the bounds of a specific unit, shared understanding of a core of terminology is essential. 31

F. DATA AS A PLANNING BASE
The use of unit-level data and information as a foundation for planning builds a basis upon which alternative courses of action may be rationally considered. 35

--Unit Profile
Academic Program Unit Profile--drafts of two phases of a developing document. 36.1

IV. PLANNING PROCEDURES
The particular way in which Michigan State University's plans are derived forms a decision making process which broadly covers the academic and support services program missions of the University.

A. STRUCTURE FOR PLANNING
An increasingly specific structure for the articulation of future intentions and current commitments guides both academic and support services program planning. 37

PAGE

B. ACADEMIC AND SUPPORT SERVICES PROGRAM PLANNING
The relationship between academic and support services program planning occurs within a programmatic basis. 39

--Academic Programs: Michigan State University
1983 statement from the Office of the Provost 41.1

--Support Services Programs: Michigan State University
1984 statement from the Office of the Vice President for Finance and Operations and Treasurer 41.22

C. SEQUENCE AND RECURRENCE OF PLANNING ACTIVITIES
The sequence of major planning events is a bi-directional flow of advisory and initiative responsibilities and responses that are structured through a set of planning questions to be answered. 42

--Academic Program Planning and Review Document
The 1984-85 Document as distributed to the units in October, 1984. 46.1

--Support Services Program Planning and Review Document
The developing draft, not yet distributed to the units. 46.36

D. PLANNING INCENTIVES AND LINKAGES
A data based approach to long range strategic planning provides a powerful data and information base for student, program, personnel, financial and facility related options available to decision makers. These options may be tied to budget cycles. 47

--Current Budget Cycle Documents
The draft of the Budget Request Timetables. 48.1

V. PLANNING PRODUCTS

Expectations of what is produced by long range strategic planning are found in the relative balance of the mission elements (instruction, research, and public service); in the operational requirements relating to students, programs, personnel, finances, and facilities in the evaluation of the planning process itself.

A. BALANCE OF MISSION ELEMENTS
Long range strategic planning targets the University Mission as the unit's role and purpose, derived from that Mission, are continually related to instruction, research, and public service. 49

B. FUNCTION REQUIREMENTS
A comprehensive planning product clearly specifies resource requirements in the functional decision areas related to students, personnel, programs, facilities, and finance. 51

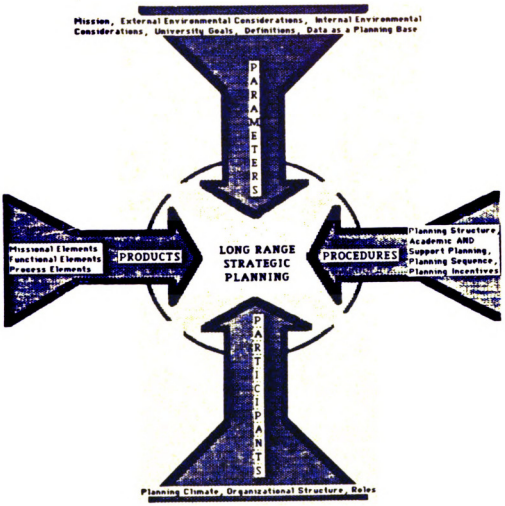
C. PLANNING PROCESS EVALUATION
The assessment of the planning process is related to the essential elements that are a part of the process. These elements actually become products as planning is implemented. 52

--Process and Product Audit--a check list of essential process 53

INTRODUCTION

SECTION ONE

INTRODUCTION



Long Range Strategic Planning Elements

PAGE

Introduction to the Planning Guide..... 7

Introduction to Planning Concepts..... 8

Michigan State University: Past and Present..... 14.1

The Statement on Long Range Strategic Planning at Michigan State University..... 14.2

Planning is so basic to Michigan State University that it cannot be considered a separate administrative function. Planning involves the whole of MSU, faculty and staff and students. It looks at the University from the point of view of the students, other clients, and the society which it serves.

INTRODUCTION TO PLANNING AT MICHIGAN STATE UNIVERSITY

About the Planning Guide:

The Planning Guide gives an overview of the entire long range strategic planning process at Michigan State University. It is a comprehensive process which includes planning for both academic programs and support services. It is also a process which provides that plans must be executed. The Planning Guide identifies how long range strategic planning will be carried out at three organizational levels common to support and academic units: the divisions/departments/schools, the college/Major Administrative Units (MAU), and University levels.

A number of points of departure underlie the guidelines which make up long range and strategic planning. It is of primary importance that administrators, faculty, and staff be familiar with the following:

--The Mission and Goals of Michigan State University must be supported by good planning practices that are both strategic and long range.

--All units within the University, regardless of size or diversity of purpose, must plan for their own unique futures, and thereby contribute to the WHOLE of the University.

--Faculty and staff, Chairpersons and Directors, Deans and central administrators must have a clear understanding of who is responsible for what in the operation of the university, and that planning guidelines tend to facilitate active participation in planning.

The purpose of the Planning Guide, in the narrowest sense, is to outline University expectations of the principal individuals responsible for planning. These expectations relate to the understanding of the general planning framework. The

reporting requirements and formats included in the Guide, as the white pages, are the documents which help implement this framework. Each contains instructions relating to the specific exercise. However, general knowledge regarding the MSU planning process will help immeasurably in the completion of the required reporting formats. That general knowledge is the main thrust of this Planning Guide. In a broader sense, this Planning Guide will:

--Describe the basic approach to planning, and outline the key activities that are a series of logical, sequential steps which are to be carried out in an ongoing fashion.

--Support and stimulate creative and entrepreneurial thinking. The Guide is a deliberate attempt to divert faculty and administrators' focus from day-to-day activities to the longer range view of their responsibilities and to raise their sights from the annual budget to strategic considerations for the future of the unit.

--Support and stimulate the contributions of departments/schools, colleges, and support units toward cohesive University goals.

--Support administrators in their understanding of the University planning process and in their use of data and information as a planning base. Long range strategic planning is a developing process likely to undergo revision as needs change and experience suggests areas of improvement. The Guide supports administrators as they improve their understanding of the process, and introduces newly appointed administrators to a process in which they are to participate.

--Support and serve as a communication tool as continuing dialogues are established between and among unit-level administrators and University-level administrators.

--Develop a uniform understanding among academic and support administrators of the major planning activities for which they are responsible, and how these elements fit together in a comprehensive University process.

--Assist administrators in their role to educate and motivate the individual planning participants for whom they are responsible.

About Planning:

The conceptual underpinnings for comprehensive planning at Michigan State University may be identified as a synthesis of the "planning", "long range," and "strategic" concepts. Each concept ascribes a significant meaning of its own to the process described by Michigan State University as "long range strategic planning".

Planning is a major component of administrative decision making. It deals with both intentions and accomplishments. It is a concept directly related to the generation of courses of action intended to achieve specifically chosen accomplishments. Planning is also a concept with political, social, and personal value orientations. The understanding of planning includes at least four different dimensions.

First, the horizontal dimension of time. Planning provides a basis for making current decisions that optimize current and anticipated opportunities and strengths, and minimizes threats and weaknesses. Planning also assumes a cause and effect relationship in that decisions made today will affect tomorrow.

Second, the vertical dimensions of process and the hierarchical structure. It meshes the development and accomplishment of goals, objectives, and aims with the administrative structure for deciding what, when, how, and who is responsible.

Third, the dynamic philosophical dimension. It is a management style in which decision making which continually evaluates opportunities and threats, and matches those evaluations with the expectations of the major external and internal interests. It is also an administrative attitude which is value oriented, politically, and socially based.

Fourth, the static dimension in a formal structure of plans. Articulated goals, objectives, and aims are integrated as a coordinated set of plans which are confirmed or revised on a systematic basis.

About Long Range Planning:

The specification of a future time horizon by which certain conditions and characteristics will have been accomplished through the planning process is essential to the concept of "long range." For Michigan State University, that horizon is at least a three-to-five-year time reference. A five-to-nine-year time horizon will be more realistic for planning relative to physical plant changes, expansion, and renewal. The long range process focuses on a blueprint for achieving institutional and unit goals. Additional characteristics of long range planning are:

--Strong internal analysis within which plans are developed on the basis of past practice, historical data, and forecasts.

--Quantitative specifications for efficient resource allocation.

--Development of a rational set of goals toward which to aspire.

--Production of written plans containing substantial data and detail about programs, and available for other units to utilize in their planning.

--Centralization of planning authority.

About Strategic Planning:

The integration of information from dynamic or changing external environments into the internal institution reflects the process emphasis of strategic planning. With attention to values, social politics, intuition, and a broad base of participation, the attributes of strategic planning include:

--Great emphasis on external conditions and the matching of organizational capabilities to those conditions. "External" has a dual meaning: outside of a particular unit but within the university, and outside of the University.

--Iteration of a continuing process for planning.

--Identification of the core of special competence found within a particular unit, and an understanding of what the future intentions are relative to that competence.

--Decentralized participation in planning activities, as planning becomes a part of the ongoing leadership activities within a unit.

--Production of a shared understanding of the Mission, Roles, and Purposes and how resources will be allocated toward them.

--Execution of the planned priorities.

About the Synthesis of Long Range Planning and Strategic Planning:

To actually plan in a long range and strategic mode, the institution must have a plan-for-planning which includes the following operational requirements:

--The goals, objectives, and aims of each component unit are reviewed in a continuing and systematic manner.

--Internal data and information regarding operational strengths and weaknesses are gathered.

--External data and information regarding environmental threats and opportunities are gathered.

--The Mission, goals, objectives, and aims are matched with University, College/MAU, and department/school/division strengths in a manner which develops opportunities and identifies alternatives, and which keeps options open.

--Choices between alternatives are articulated as plans of action that are consistent with institutional values, financially justifiable, realistic, and socio-politically attainable within at least a three to five year time horizon.

About Long Range Strategic Planning at Michigan State University:

The conceptual components of "planning," "long range planning," and "strategic planning" have been synthesized into "long range strategic planning." This synthesis is expressed in broad terms which include the stages and components of planning in a "Statement on Long Range Strategic Planning at Michigan State University." That statement is included in this section of the Guide for reference. Additionally, excerpts from that statement are included throughout this Guide as the basic approach to planning is described and the key activities are outlined. In summary:

"MSU is engaged in a Long Range Planning process that will help the University carry out its mission efficiently and effectively and demonstrate its readiness to change and improve. To be useful in a complex institution such as Michigan State, long range planning should facilitate innovation; it must be flexible and progressive; and it must also involve consultation with faculty, staff, students, and administrators through existing University governance and administrative structures. The process will lead to a dynamic plan which will be, in effect, a design for a continuing process of planning that will lead to changes in programs and commitments." (Statement on Long Range Strategic Planning at Michigan State University).

Long range strategic planning is a comprehensive process relating to University Mission, administrative structure, and functional areas of operations. Planning views the Mission as a holistic balance of instruction, research, and public service.

It includes each level of the administrative structure in a coherent system of institutional decision making. Additionally, the comprehensive process of long range strategic planning fits together the functional parts of planning decisions related to:

--Students
--Programs
--Personnel
--Finances
--Facilities

The traditional autonomy of the academic department in higher education suggests that for the purpose of planning, the "strategic view" of the comprehensive University is initiated within individual departments. As major contributors to the University Mission, the academic departments and support divisions plan comprehensively for, or for the support of: instruction, research, and public service.

As the framework through which department plans are coordinated at the college level, major administrative units fulfill their role in the same areas of students, program, personnel, finances, and facilities.

Within the synthesis on long range and strategic planning, the meanings of several broadly used terms are defined. Other, more specific, definitions may be found on pages 31-34 of this Guide.

—Aim: Activities and outcomes which enable departments/schools/divisions to fulfill their purpose and contribute to College/Major Administrative Unit objectives. For example: (note: *the specific examples will be added as actual examples of the aims used by units at MSU and submitted during the 1984/85 planning cycle*).

—Goal: The intermediate definition of the University's mission. Goals interpret and delineate the Mission and identify directions and intentions that apply to the University as a whole. They guide the activities of the institution for the shorter term and help establish priorities. For example: (note: *the specific examples will be added as real examples of goals used by the University during the 1984/85 planning cycle*). Additional details may be found in this Guide on pages: 29-30.

—Mission: The statement of enduring principles and responsibilities of Michigan State University. Additional details may be found in this Guide on page 22, including the Mission Statement for Michigan State University.

--Objective : The definable accomplishments which describe performances derived from goals. Objectives may be assessed at a specific time with appropriate instrumentation. As the means by which College/Major Administrative Unit role and University goals are realized, objectives are hierarchical, discrete, finite, measurable increments or steps that are taken in the process of fulfilling the intended role. Objectives should be consistent and realistic with other objectives and with the major directions and intentions that apply to the University as a whole. For example: (note: *specific examples will be added from the actual objectives used by units during the 1984/85 planning cycle).*

--Purpose : The basic aspirations and responsibilities of a department/school/division as it exists within the role of the Major Administrative Unit of which it is a part. For example: (note: *specific examples will be added from the actual statements of purpose used by units during the 1984/85 planning cycle).*

--Role : The basic aspirations, intentions and responsibilities of a Major Administrative Unit as it relates to the University Mission. For example: (note: *specific examples will be added from the actual role statements used by units during the 1984/85 planning cycle*).

As the frontispiece for the implemention of long range strategic planning, the Guide draws together the centrally developed statements and the unit planning formats. Thus, the Guide may be illustrated as shown on the following page.

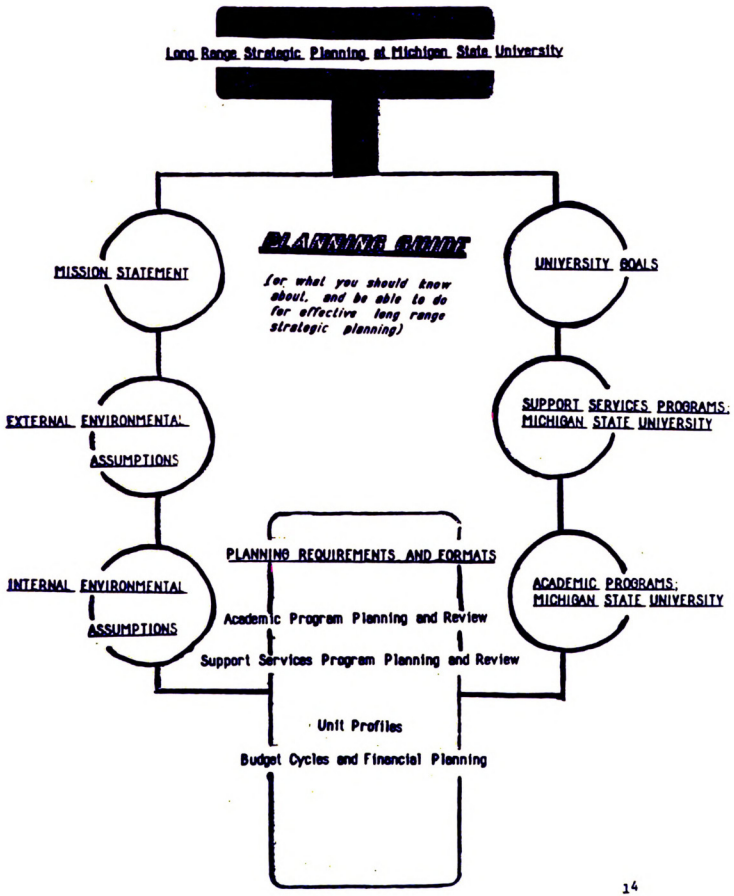
About the History of Michigan State University :

Historical knowledge provides the framework for consideration of the future. Long range strategic planning considers the past when looking at the present and toward the future. A brief history, a statement of the present, and current facts about Michigan State University are included in this section of the Guide . For those who want more detail, John Hannah's A Memoir (1980, MSU Press), Madison Kuhn's Michigan State The First One Hundred Years (1955, MSU Press), Walter Adams' The Test (1971, The Macmillian Company) are among the excellent resources.

IT IS EXPECTED THAT A HISTORICAL PERSPECTIVE INFLUENCES UNIT PLANNING ALSO. UNIT-SPECIFIC SUMMARIES PROVIDE AN IMPORTANT UNDERSTANDING ESSENTIAL TO PROGRAM PLANNING AND ARE A VITAL COMPONENT TO ANY UNIT PROFILE THAT IS USED AS A BASIS FOR PLANNING.

THE PLANNING GUIDE

A FRONTISPIECE FOR THE IMPLEMENTATION OF LONG RANGE STRATEGIC PLANNING



Mich. State Univ.:
Past and Present

History

When Michigan State University—then the Agricultural College of the State of Michigan—opened its doors in 1857, two years after its establishment by the Michigan legislature February 12, 1855, six professors and 60 students were present. Only a few buildings stood in stump-filled clearings, and the library contained fewer than 1,000 volumes; but here the first institution in the nation was founded to incorporate science and practice in the education of farmers and workers in education and industry. Michigan State University is the pioneer land-grant institution. As similar agricultural colleges were generated in other states by the Morrill Act of 1862, they drew upon the graduates of the College and educational innovations developed at East Lansing.

As students preparing for occupations other than agriculture sought the advantages of college training, the institution adapted to their needs. Curricula in engineering (1885), in home economics (1896), in veterinary medicine (1909), and in business administration (1925) were only the beginning. Established in 1922 and 1924 respectively, the divisions of applied science and liberal arts—which were combined in 1946—opened further fields of inquiry.

During this early period of rapid growth, specialization accelerated and general education lost its emphasis in the curriculum. To counter this trend, the Basic College, later named University College, was organized in 1944 to provide a general education thrust for the curriculum. In 1979 the decision was made to maintain these general education functions by redistributing the University College departments among the Colleges of Arts and Letters, Social Science and Natural Science.

Following World War II, the University grew dramatically from an enrollment of 3,880 in 1944 to 17,184 as it celebrated its centennial in 1955. The Colleges of Education (1952) and Communications Arts and Sciences (1955) were established in this period. In 1956, a Dean of International Studies was named and in 1962 the Colleges of Natural Science, Social Science and Arts and Letters were organized as separate academic units and replaced the College of Science and Arts.

The undergraduate academic program was strengthened in 1957 with the establishment of the Honors College and in 1965 with the formation of the first residential semi-autonomous unit, Justin Morrill College. (In 1989 this college became Justin Morrill Inter-College Programs and a constituent unit of the Colleges of Arts and Letters, Natural Sciences and Social Science.) Two other small residential colleges within the larger University, Lyman Briggs and James Madison, were established in 1967. That year the total MSU enrollment reached 42,050.

The College of Human Medicine admitted its first students to a two-year program in 1966 and became a four-year program in 1969. The College of Osteopathic Medicine began its first class in 1971-72 and was the first state-supported medical college of this type.

The most recent additions to the University's organization were the College of Urban Development in 1973 and the College of Nursing in 1988. In 1978, to meet the needs of non-traditional students, a Dean of Lifelong Education Programs was appointed as the University began reorganization of its continuing education programs.

The Present

Today, anticipating the general decline in traditional college-age population, the University faces new challenges. Among these are the extension of the University and its academic programs to larger numbers of people in the state, nation and world. It has established a Center for Urban Affairs to develop academic, research and action programs relevant to the problems of urban communities, and Equal Opportunity Programs to make the University an equal opportunity/affirmative action institution. An Antidiscrimination Judicial Board implements the University's antidiscrimination policy. The University's commitment to increase women and minority enrollments in both undergraduate and graduate levels continues.

Michigan State University has a selective admissions policy. Seventy-five percent of its freshmen come from the top thirty percent of their high school graduating classes. The University has a Developmental Admissions Program to provide opportunity for disadvantaged students. Students come to Michigan State University from every section of Michigan, every state in the nation, and 84 foreign countries. Among the faculty are distinguished scholars and educators whose names and scholarly activities are known throughout the world.

From its beginnings as a land-grant college, Michigan State has grown in stature and size to its present respected role in American higher education as a modern graduate and research institution. Throughout its history the University has dedicated itself to the dual goals of service to the people of Michigan and the world in the land-grant tradition and to academic excellence in teaching and research.

In 1988, Michigan State University has the largest undergraduate student body in the state, is a premier land-grant institution, and is a member of the Association of American Universities (AAU).

Brief Facts About MSU

Founded. In 1855 as the nation's first agricultural college; served as a model for America's Land-Grant Colleges established under the Morrill Act of 1862.

Member. Association of American Universities; American Council on Education; National Association of Colleges and Secondary Schools; National Association of State Universities and Land-Grant Colleges.

Accreditation. The University is accredited by the recognized regional association, the North Central Association of Colleges and Secondary Schools. Individual colleges, schools and programs are recognized by the various accrediting agencies in their respective fields.

Enrollment. 44,940 on the East Lansing Campus and 2,396 in Regional Centers and off-campus extension credit programs (Fall 1988). MSU ranks among the nation's largest institutions of higher education in full-time enrollments.

Faculty and Staff. 3,432 total faculty and other academic staff, 1,112 administrative-professionals, 265 supervisory, 2,310 clerical-technical employees, 1,707 labor and other employees (Fall 1988).

Plant, Equipment and Campus. The University property at East Lansing totals approximately 5,100 acres, of which some 2,000 acres are in existing or planned campus development. The remaining 3,100 acres of cleared and forested lands are devoted to research uses and include four tracts designated as natural areas: Sanford, Red Cedar, Bear Lake, and Sycamore Creek. Buildings and structures number 383 on campus and housing areas: 113 in the academic area, 27 residence halls, 219 apartment buildings, and 24 multi-purpose temporary buildings.

Long Range Strategic
Planning Statement:
Michigan State University

STATEMENT ON LONG RANGE STRATEGIC PLANNING AT MICHIGAN STATE UNIVERSITY

Summary

MSU is engaged in a Long Range Planning process that will help the University carry out its mission efficiently and effectively and demonstrates its readiness to change and improve. To be useful in a complex institution such as Michigan State, long range planning should facilitate innovation; it must be flexible and progressive; and it must also involve consultation with faculty, staff, students, and administrators through existing University governance and administrative structures. This is a dynamic plan which is, in effect, a design for a continuing process of planning that will lead to changes in programs and commitments. At this point, the design of the Long Range Strategic Planning process is virtually complete, and academic and support service units have begun specific program analysis and planning. The implementation of the entire process, however--that is, making long range planning an integral part of University operations--will require another year.

6/14/83
Revised 5/22/84

Long Range Planning

Long range and strategic planning involves the systematic, continuing examination of MSU's mission, goals, and programs so that the University may function as effectively and efficiently as possible while it encourages improvement and accommodates frequent change. Long range planning will help the University clarify and communicate its values and goals; identify rational and realistic ways to sustain the University's purpose, major functions, and quality; provide a fuller understanding throughout the University of its purposes and programs, plans and goals, assumptions and expectations; foster greater communication and exchange of information among academic and administrative units; provide the context for decisions about programs, budgets, personnel, and facilities; and institute a process for reaching more informed and expeditious decisions.*

Michigan State University is a large, complex, decentralized, public institution which is not subject to rigorously formal or highly technical planning procedures. Because of the University's dynamic nature, its planning process must be flexible, responsive, and continuing. Accordingly, MSU'S long range plan is actually a design for a process of planning. It is at once static (a plan) and dynamic (a process). Long range planning takes place in successive stages of definition of components, process, and product. (See Figure 1.) The products of one stage function in turn as the components of succeeding stages. To some extent, each stage depends on decisions made earlier, and so each evolves in detail as the process continues. Successive stages may even require the modification of previous definitions or procedures. Specific unit plans, the integration of various plans, the primary emphasis for each step in the process, and implementation of a continuing process for the University are also being worked out as planning proceeds.

Long range planning at MSU is a three to five-year "rolling" or cyclical process that in addition to the University's mission, takes into account the complexity of MSU and the internal and external changes that affect the University.

The Provost and the Vice President for Finance and Operations have primary responsibility for the design, implementation, and monitoring of long range planning. They consult widely with other vice presidents and executive officers, with Academic Governance, the Council of Deans, and with other representative constituencies across the campus, including executive management appointees, union leaders, and support staff. During the formulation of the general plan, their offices have been directly and frequently involved. At later stages, planning and analysis will take place mainly in departments, schools, colleges, and equivalent support units, where the principle of extensive consultation, both within the units and with appropriate administrators, will also prevail.

---

*The literature on long range planning is relatively extensive, although few universities have instituted comprehensive, effective processes. Effective long range planning is very difficult to achieve. It requires considerable thought, time, and effort. Wherever possible and practical, MSU will draw on the general literature and adapt the practices of successful planning programs at similar universities.

The fundamental conception and the basic purposes and directions of long range strategic planning have been developed centrally, but only after extensive consultation. From this point on, program analysis and planning will be interactive, as well as progressive, with considerable discussion and evaluation of plans between administrators and faculty or staff within units, between Deans and departments and schools, assistant vice presidents and their units, and between these administrators and their respective vice presidents. This kind of interaction will occur annually within the context of a 3-5 year planning cycle. As a rule, the annual reviews will be conducted through the Academic Program Planning and Review and the Support Services Planning and Review processes which require projections over several years as well as detailed annual plans. These processes will integrate long range and short term planning. For some units, the annual reviews will be minimal and require little change in the 3-5 year plans. For others, the reviews and modifications will be considerable, especially if circumstances, policies, or goals have changed. Plans will be evaluated and coordinated by the appropriate administrative officer and, finally, after reasonable consultation, by the Provost and the Vice President for Finance and Operations.

Long range strategic planning at MSU is fundamentally programmatic. Plans are now being formulated and programs identified in terms of the University's instruction, research, public service, and support service missions. They will be evaluated according to their quality and contribution to the University's mission and their place in University and unit priorities. Besides these criteria, program evaluation will also consider other basic factors such as enrollment potential and capacity, recruitment and retention of students, educational opportunities, external support for research, accreditation, quality of student life, and equal opportunity and affirmative action.

The Stages of Long Range Planning

The planning process has begun in the middle of things. The University already exists. It has an historical mission. There have been policies guiding its operations and external circumstances constraining and supporting its work since it was established. And, MSU has certainly analyzed, evaluated, and planned for many years. With this new era of strategic planning, however, the University is engaging in a coherent, coordinated, and cooperative process that is especially necessary and appropriate for the 1980s and beyond, and it must begin as if long range planning were, in fact, new to Michigan State.

In past years, planning has been carried out at Michigan State in many ways. In the 1950s, the University experienced a major reorientation. Its comprehensive mission and new directions were articulated by the Committee on the Future of the University in 1959. Planning and change have also been incremental. Course requirements and curricula, for example, are regularly reviewed and changed through the curriculum process. Research activities and public service programs are also modified as faculty, needs, and opportunities change. In 1972-73, the Annual Evaluation and Report, which evolved into the All Funds Program and Budget Planning, was introduced for academic and academic

support units. It involved a somewhat more systematic mode of planning. In 1980-81, academic and support units defined their missions, identified programs, established priorities, analyzed and proposed budgets, and planned for the future. Over the years, the University has planned both in the context of expanding resources and under conditions of shrinking resources. All of MSU's recent planning has been a necessary and important prelude to the current long range planning process.

The Components of Long Range Planning

I. The components of the first stage broadly define the boundaries within which University planning occurs.

A. Mission

The Mission Statement outlines the enduring purposes and responsibilities of Michigan State University. The mission expresses the idea of MSU and thereby guides, in a basic way, the entire planning process. It is a philosophic statement, based on the University's history and traditions, that should not require frequent revision. Prepared by the administration, after consultation with the Board of Trustees, with Academic Governance, and with college and support unit administrators, the mission statement reflects a consensus vision of the University. Along with other basic factors, the Mission will influence long range planning at every stage.

B. Environmental Assumptions

The environmental assumptions express the University's best sense of how external conditions, over which the University has no direct decision making authority and sometimes little or no control, but which in some cases it can influence, will constrain or augment the University's programs. The statement of assumptions will not only assist the University with internal program and financial planning, it will also help determine where and how MSU might try to influence certain external conditions. Because it is not practical, even if it were possible, to include all the relevant external conditions, the statement of environmental assumptions will identify the major external circumstances which will probably influence the University during the planning period. Given the rate of external change, the University will review environmental assumptions annually--or even more frequently.

Assumptions have been formulated about environmental factors such as economic, social, demographic, political-legal, technological and educational circumstances which the University must take into account during the next three to five years. These assumptions will influence planning for the University as a whole and for its academic and nonacademic units, as well.

In some cases, units will need to identify and consider particular external circumstances that apply specifically to those units but not necessarily to the University as a whole. These unit-specific planning assumptions may not, therefore, be included among the University's environmental assumptions, but normally they should be compatible with them. Units will also need to consider, as planning assumptions, certain programming and organizational principles, as well as institutional circumstances.

The environmental assumptions for the University have been developed through consultation with Academic Governance, the Council of Deans, other administrators, and the Board of Trustees. Unit planning assumptions are also being developed through appropriate consultation.

C. University Policies

The Board of Trustees is the constitutionally established governing board of the University. The Board establishes University-wide policies and gives direction to the University. Its policies state principles or define circumstances which guide planning and decisions by the University's administration and faculty. There are also University policies, such as those which emerge through academic governance, which are not Board policies as such but which came into being as a result of authority delegated by the Board of Trustees. At this point in its history, MSU is guided by already existing policies--such as those set forth in the Board of Trustees Policy Manual or in the MSU Faculty Handbook. In one sense, University policies are the basic internal "assumptions" or factors which influence planning. However, the planning process may indicate that certain policies should be considered for revision, that longstanding University practices be formalized as policy, or that altogether new policies are necessary. In such cases, policies would be in whole or in part, the products of planning. In other cases, new or revised policies might function as components which influence further planning by the University or by units. In this process, even basic policy becomes subject to review and discussion within the University.

As they must with environmental assumptions, administrative units must take University policies into account as they develop unit plans. There may also be unit-specific policies (applicable, e.g., to an entire vice presidential area or to a single department) which must be recognized and considered. These may not be University policies in a formal sense but might become institutional policy based on initiatives from units. For example, the establishment of the Medical Staff Bylaws has organized certain faculty of the Colleges of Human Medicine and Osteopathic Medicine differently from others.

Other college bylaws set policies or practices that differ from one another and necessarily influence planning. At the department or school level, units operate according to specific "policies" regarding teaching models and class sizes, admissions requirements for graduate students, professional standards for majors, and the specific criteria for judging faculty performance--all of which influence planning.

II. In addition to the University mission, environmental assumptions, and University policies, a list of University goals and statements about Academic Programs and Support Services Programs provide the framework for detailed college and other major administrative unit planning. All of these factors function, in effect, as components of planning.

A. Academic Programs

The Academic Programs statement describes, from a comprehensive University perspective, the undergraduate, advanced study, research, and public service programs of MSU. Besides describing the University's academic programs, the statement also enunciates general goals and objectives for academic programs. Formulated with the advice of the Council of Deans, Academic Governance, and the Board of Trustees, the statement is intended to guide departments, schools, colleges, and other units in delineating their roles, objectives, programs, and plans for the future. At the unit level, the complementary statements will be the statements of roles and objectives and program plans.

B. Support Services Programs

Support Services comprise, from a comprehensive University perspective, academic support services such as admissions, libraries, computer laboratory, laboratory for animal care, instructional media, broadcasting services; and student services such as counseling center, placement, financial aid, programs for handicapper students, and recreation. Also included are the major administrative functions of the University, such as finance, personnel, placement, data processing, safety, maintenance, health, public relations, development, and alumni relations.

Organized according to major support functions, the Support Services Program statement includes brief descriptive accounts of major university services and enunciates overall goals and criteria against which these services are reviewed. Prepared by the responsible administrative officers with the advice of representative academic and nonacademic administration and staff, the Council of Deans, Academic Governance, and the Board of Trustees, the Support Services Program statement provides a context in which planning can be coordinated, and it guides support units in defining their roles, objectives, programs, and plans for the future.

C. University Goals

The goals of the University, provide an intermediate definition of the University's purpose. Goals interpret and delineate the mission so that academic and support units can define their own roles and objectives and plan programs which are consistent with the Mission of MSU. University goals do not, however, simply restate the mission or express general values. Instead, goals derive or flow from the mission and identify directions and intentions that broadly apply to the University as a whole. They guide the activities and the efforts of an institution for the shorter term and help establish priorities. Goals may not be so enduring as the University's mission, but they should require only occasional revision. The principle of extensive consultation with faculty, staff, and students will also apply to the development of goals.

III. Within the framework of general University planning, outlined in I and II, major academic and support units have begun detailed planning.

A. Roles and Objectives

Units will develop conceptual statements of their roles and responsibilities--the equivalent of the University mission, and then where appropriate, define specific objectives that particularize the unit's role. Program and financial planning by units takes place within the framework of unit roles, responsibilities, and objectives, as well as within the more general University planning context.

B. Program Planning

In broad terms, a program is an organized activity or operation (or a coherent set of activities or operations) conducted by an administrative unit (or in certain cases by more than one); defined by specific purposes or objectives; staffed by persons explicitly associated with it; and supported by an identifiable (but not necessarily separate) budget or budgets. A program can exist at any of several levels of the University. A program may be small and specific or large and comprehensive. Depending on the frame of reference, an academic program might be a group of courses, a particular degree program, a research program, an interdisciplinary program of instruction or research, a curriculum, a public service activity, or the entire academic program of a department or even a college. (The Academic Programs Statement, e.g., uses "program" in its more comprehensive senses.) Similarly, a support service program might be construed as a general support function, such as financial services, or a particular program within a specific unit--such as Automotive Services within Physical Plant.

The concept of "program" is difficult. At a university as large, complicated, and decentralized as MSU, "program" will be interpreted and applied in many different but meaningful ways. Although it is a complex term, it is nevertheless fundamental to the planning process. "Program" must be given meaning by the units through the process itself.

Program planning will include the definition of objectives and the means for achieving them, the analysis and evaluation of the program's effectiveness, the assessment of alternatives for making improvements, and a projection of future plans for unit programs. These should be consistent with the role, purpose, and priorities of the college and of the unit itself, as well as with the mission and goals of the University. Program planning should also be based on realistic long-range budget, enrollment, and facility projections and other appropriate planning assumptions.

University planning cannot be neatly separated into academic planning as distinct from support services planning. Planning in the support services must carefully consider the demands of academic program plans and decisions. Therefore, planning in many of the support areas closely follows academic planning. Certain other support activities, however, do not depend so directly on academic planning. Therefore, in areas such as the quality and character of plant maintenance, utility systems, the efficiency and effectiveness of the personnel office, and the public relations programs, planning takes place somewhat independently of academic programs.

C. Budget and Financial Planning

Long range budget planning projects the University's budget over a three to five year period. It is based on the current Environmental Assumptions and other available financial and political information; it is guided by the University's mission and goals; and it is closely coordinated with long range program planning. By projecting several expenditure and revenue combinations and formulating possible budgets based on these and then by planning with these in mind, the University should be able to counter the kinds of fluctuations experienced during the last five years and make long range program planning more informed and reliable, as well.

Michigan State is currently working, for example, on a three-year budget plan that will, through planned budget reductions, stabilize the budget over the next several years and may, under certain revenue assumptions, bring the annual budget into balance and thereby eliminate the University's dependence on cash management.

The University prepares its annual budget within the context established by long range program and financial planning. The annual budget process follows a precise procedure, calendar, and format, dictated in large part by external agencies, and it involves extensive consultation within the administration and with the Council of Deans, as well as with representatives of the faculty and staff.

PARTICIPANTS

SECTION TWO

PLANNING PARTICIPANTS

Planning in a large, complex, public, decentralized University is a shared responsibility. Trustees, administrators, faculty/staff, and students have a planning relationship with the whole of Michigan State University through the long range and strategic process. The more definitive relationships of those planning participants are guided by:

--An organizational climate conducive to long range strategic planning .
--The administrative structure.
--The roles of the participants.

	PAGE
Planning Climate.....	15
Organizational Structure.....	16
Roles.....	18

Climate

Make no little plans; they have no magic to stir men's blood and probably themselves will not be realized. Make big plans; aim high in hope and work, remembering that a noble, logical diagram once recorded will never die, but long after we are gone will be a living thing, asserting itself with ever-growing insistency.

--Daniel H. Burnham

PLANNING CLIMATE

Long range strategic planning is affected by and affects the institutional atmosphere. Strategies for impacting this environment are a part of the pervasive planning process.

Critical to the support of long range strategic planning is a prevailing institutional atmosphere of leadership stability, decision making predictability, and confidence. Essential to the viability of the University is an environment conducive to the stimulation of new ideas and the interchange of those ideas inside and outside of the University. Simultaneously, such an environment must not only promote the generation of ideas, but stimulate the mechanisms for evaluating alternatives, choosing among them, and reaching decisions about the current and future allocation of institutional resources. The environmental features conducive to a climate which facilitates such decisions include:

--Clear organizational and incumbent leader values and vision which serve as criteria for planning decisions.

--Clear goals, objectives, and aims which connect values to the planning decision and thus promote predictability.

--Consistency on the part of decision makers within the understood values and goals, objectives, and aims.

--An institution-wide perspective of what problems or opportunities exist and the nature of those problems or opportunities.

--The opportunity for units to plan in the absence of an immediate crisis and with top administrative support and involvement -- including the resource capacity and planning expertise.

--Sharing of information, data, and planning documents among and between the units.

--Trust within the unit and within the institution.

Organizational Structure

Plans are nothing; planning is everything.

--Dwight D. Eisenhower

ORGANIZATIONAL STRUCTURE

The responsibility, authority, and accountability for planning are rooted in the organizational structure. An outline of this structure for Michigan State University is included in this section of the Guide for reference.

When the planning structure of Mission, Goals, Role, Objectives, Purpose and Aims is meshed with the organizational structure, the following steps in the participatory process emerge:

Mission. Developed by central administration and approved by the Board of Trustees.

> Even though the implementation of the Mission rests with all University employees, the President or his/her representative has the authroity and responsibility and is held accountable for:
>
> -- Development of University Goals, which
> -- Interpret the Mission statement, and
> -- Emphasize selected portions of the Mission.

College/MAU Role and Objectives. Development is the responsibility of the Dean/MAU Administrator who is responsible for progress toward and attainment of the role and objectives.

> The President or his/her representative has the authority and responsibility and is held accountable for the analysis, evaluation, modification, or approval of college/MAU role and objectives.

Department/School/Division Purpose and Aims. Development is the responsibility of the chairperson or director who shall be responsible for progress toward and attainment of that purpose and those aims.

The Dean/MAU Administrator has the authority and responsibility and is held accountable for the analysis, evaluation, modification, or approval of department/school/division purpose and aims.

Career Plan. The individual faculty member is responsible for the development of personal career objectives as related to department/school/division obligations for instruction, research, public service, as well as the obligation to the discipline.

MICHIGAN STATE UNIVERSITY LIBRARIES
3 1293 10646 6828

THESIS
Ph.D

LIBRARY
Michigan State
University

MSU
LIBRARIES

RETURNING MATERIALS:
Place in book drop to remove this checkout from your record. FINES will be charged if book is returned after the date stamped below.

FEB25'87

Y-070.

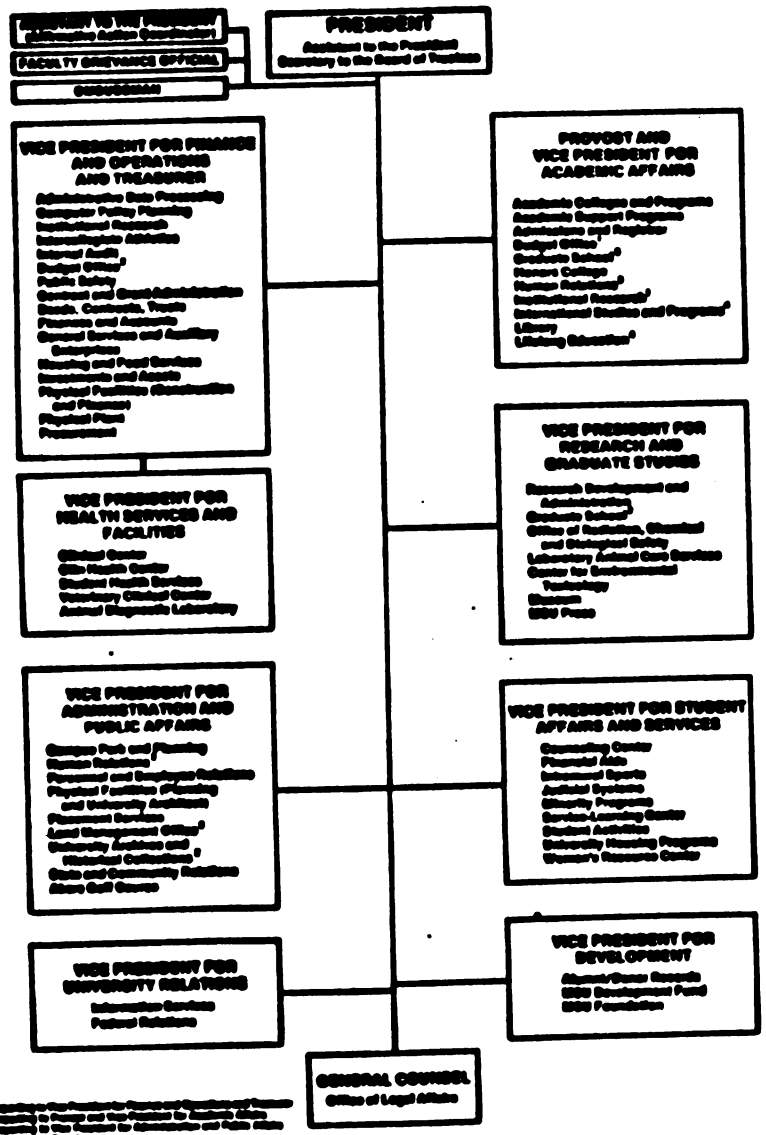
400 A04

341

SEP 2 7 1991

FEB 0 8

Administrative
Structure: MSU



Academic Organization

OFFICE OF THE PROVOST AND VICE PRESIDENT FOR ACADEMIC AFFAIRS

PROVOST STAFF

1. Associate Provost
   a. Computer Center
   b. Educational Development Program
   c. Honors College
   d. Instructional Media Center
   e. Office of Institutional Research
   f. Summer Programs
2. Assistant Provost for Undergraduate Education
   a. Office of Programs for Handicapper Students
   b. Supportive Students
   c. Upward Bound
   d. Undergraduate Admissions
   e. Undergraduate University Division
3. Assistant Provost for General Academic Administration
   a. Aerospace Studies
   b. Commencement
   c. Faculty Seminars
   d. Learning and Evaluation Services
   e. Military Science
   f. Manager for Performing Arts
   g. Registrar
   h. Secretary for Academic Governance
4. Assistant Provost for Health Programs
5. Assistant Provost for Academic Personnel Administration
6. Department of Human Relations (jointly with Vice President for Administration and Public Affairs)
7. National Superconducting Cyclotron Laboratory

A. College of Agriculture and Natural Resources
1. Department of Agricultural Economics
2. Department of Agricultural Engineering
3. Department of Animal Sciences
4. Department of Biochemistry (jointly with Colleges of Human Medicine, Natural Science, and Osteopathic Medicine)
5. Department of Botany and Plant Pathology (jointly with College of Natural Science)
6. Department of Crop and Soil Sciences
7. Department of Dairy Science
8. Department of Entomology (jointly with College of Natural Science)
9. Department of Fisheries and Wildlife
10. Department of Food Science and Human Nutrition (jointly with College of Human Ecology)
11. Department of Forestry
12. Department of Horticulture
13. School of Packaging
14. Department of Park and Recreation Resources
15. Department of Resource Development
16. MSU-DOE Plant Research Laboratory (jointly with College of Natural Science)
17. Agriculture and Natural Resources Education Institute
18. Institute of Agricultural Technology
19. Institute of International Agriculture (jointly with International Studies and Programs)
20. Kellogg Biological Station (jointly with College of Natural Science)
21. Land Management Office (jointly with Vice President for Administration and Public Affairs)
22. Pesticide Research Center (jointly with College of Natural Science)
23. Institute for Water Research (jointly with College of Natural Science)

B. College of Arts and Letters
1. Department of American Thought and Language
2. Department of Art
   a. Kresge Art Gallery
3. Department of English
4. Department of German and Russian
5. Department of History
6. Department of Humanities

7. Department of Linguistics and Oriental and African Languages
8. Department of Music
9. Department of Philosophy
10. Department of Religious Studies
11. Department of Romance and Classical Languages
12. Department of Theatre
13. Justin Morrill Inter-College Programs (jointly with Colleges of Natural Science and Social Science)
14. Centennial Review
15. English Language Center
16. Humanities Research Center
17. Canadian-American Studies Committee (jointly with International Studies)
18. Russian and East European Studies Program (jointly with International Studies and Programs)
19. Lecture-Concert Series

C. College of Business and Graduate School of Business Administration
1. Department of Accounting and Financial Administration
2. Department of Business Law and Office Administration
3. Department of Economics
4. Department of Management
5. Department of Marketing and Transportation Administration
6. School of Hotel, Restaurant, and Institutional Management
7. Advanced Management Program
8. Executive Development Programs
9. Division of Research
   a. Bureau of Business and Economic Research
   b. Institute of Public Utilities

D. College of Communication Arts and Sciences
1. Department of Advertising
2. Department of Audiology and Speech Sciences
3. Department of Communication
4. Department of Telecommunication
5. School of Journalism

E. College of Education
1. Department of Administration and Higher Education
2. Department of Counseling and Educational Psychology
3. Department of Elementary and Special Education

4. Department of Health, Physical Education and Recreation
5. Department of Secondary Education and Curriculum
6. School of Advanced Studies in Education
7. School of Teacher Education
   a. Division of Student Teaching and Professional Development
8. Institute for International Studies in Education (jointly with International Studies and Programs)
9. Institute for Research on Teaching
10. Science and Mathematics Teaching Center (jointly with College of Natural Science)
11. University Center for International Rehabilitation (jointly with the College of Osteopathic Medicine)

F. College of Engineering
1. Division of Engineering Research
2. Department of Chemical Engineering
3. Department of Civil and Sanitary Engineering
4. Department of Computer Science
5. Department of Electrical Engineering and Systems Science
6. Department of Mechanical Engineering
7. Department of Metallurgy, Mechanics, and Materials Science

G. College of Human Ecology
1. Department of Family and Child Ecology
2. Department of Food Science and Human Nutrition (jointly with College of Agriculture and Natural Resources)
3. Department of Human Environment and Design
4. Institute for Family and Child Study

H. College of Human Medicine
1. Department of Anatomy (jointly with Colleges of Osteopathic Medicine and Veterinary Medicine)
2. Department of Anthropology (jointly with Colleges of Osteopathic Medicine and Social Science)
3. Department of Biochemistry (jointly with Colleges of Agriculture and Natural Resources, Natural Science and Osteopathic Medicine)
4. Department of Biophysics (jointly with Colleges of Natural Science and Osteopathic Medicine)
5. Department of Community Health Science (jointly with College of Osteopathic Medicine)
6. Department of Family Practice
7. Department of Medicine
8. Department of Microbiology and Public Health (jointly with Colleges of Natural Science, Osteopathic Medicine, and Veterinary Medicine)
9. Department of Obstetrics, Gynecology and Reproductive Biology
10. Department of Pathology (jointly with Colleges of Osteopathic Medicine and Veterinary Medicine)
11. Department of Pediatrics and Human Development
12. Department of Pharmacology and Toxicology (jointly with Colleges of Osteopathic Medicine and Veterinary Medicine)
13. Department of Physiology (jointly with Colleges of Natural Science, Osteopathic Medicine and Veterinary Medicine)
14. Department of Psychiatry (jointly with College of Osteopathic Medicine)
15. Department of Psychology (jointly with Colleges of Osteopathic Medicine and Social Science)
16. Department of Radiology (jointly with College of Osteopathic Medicine)
17. Department of Sociology (jointly with Colleges of Osteopathic Medicine and Social Science)
18. Department of Surgery
19. Department of Zoology (jointly with Colleges of Natural Science and Osteopathic Medicine)
20. School of Medical Technology (jointly with College of Osteopathic Medicine)
21. Office of Medical Education Research and Development (jointly with College of Osteopathic Medicine)

I. James Madison College

J. Lyman Briggs College

K. College of Natural Science
1. Department of Astronomy and Astrophysics
2. Department of Biochemistry (jointly with Colleges of Agriculture and Natural Resources, Human Medicine, and Osteopathic Medicine)
3. Department of Biophysics (jointly with Colleges of Human Medicine and Osteopathic Medicine)
4. Department of Botany and Plant Pathology (jointly with College of Agriculture and Natural Resources)
5. Department of Chemistry

6. Department of Entomology (jointly with College of Agriculture and Natural Resources)
7. Department of Geology
8. Department of Mathematics
9. Department of Microbiology and Public Health (jointly with Colleges of Human Medicine, Osteopathic Medicine and Veterinary Medicine)
10. Department of Natural Science
11. Department of Physics
12. Department of Physiology (jointly with Colleges of Human Medicine, Osteopathic Medicine, and Veterinary Medicine)
13. Department of Statistics and Probability
14. Department of Zoology (jointly with Colleges of Human Medicine and Osteopathic Medicine)
15. Abrams Planetarium
16. Biological Science Program
17. Justin Morrill Inter-College Programs (jointly with Colleges of Arts and Letters and Social Sciences)
18. Biology Research Center
19. Kellogg Biological Station (jointly with College of Agriculture and Natural Resources)
20. MSU-DOE Plant Research Laboratory (jointly with College of Agriculture and Natural Resources)
21. Pesticide Research Center (jointly with the College of Agriculture and Natural Resources)
22. Science and Mathematics Teaching Center (jointly with College of Education)
23. Institute for Water Research (jointly with College of Agriculture and Natural Resources)

L. College of Nursing

M. College of Osteopathic Medicine
1. Department of Anatomy (jointly with Colleges of Human Medicine and Veterinary Medicine)
2. Department of Anthropology (jointly with Colleges of Human Medicine and Social Science)
3. Department of Biochemistry (jointly with Colleges of Agriculture and Natural Resources, Human Medicine, and Natural Science)
4. Department of Biomechanics
5. Department of Biophysics (jointly with Colleges of Human Medicine and Natural Science)

6. Department of Community Health Science (jointly with College of Human Medicine)
7. Department of Family Medicine
8. Department of Internal Medicine
9. Department of Microbiology and Public Health (jointly with Colleges of Human Medicine, Natural Science, and Veterinary Medicine)
10. Department of Osteopathic Medicine
11. Department of Pathology (jointly with Colleges of Medicine and Veterinary Medicine)
12. Department of Pediatrics
13. Department of Pharmacology and Toxicology (jointly with Colleges of Human Medicine and Veterinary Medicine)
14. Department of Physiology (jointly with Colleges of Human Medicine and Veterinary Medicine, and Natural Science)
15. Department of Psychiatry (jointly with College of Human Medicine)
16. Department of Psychology (jointly with Colleges of Human Medicine and Social Science)
17. Department of Radiology (jointly with College of Human Medicine)
18. Department of Sociology (jointly with Colleges of Human Medicine and Social Science)
19. Department of Zoology (jointly with Colleges of Human Medicine and Natural Science)
20. School of Medical Technology (jointly with College of Human Medicine)
21. Office of Medical Education Research and Development (jointly with College of Human Medicine)
22. University Center for International Rehabilitation (jointly with the College of Education

N. College of Social Science
1. Department of Anthropology (jointly with Colleges of Human Medicine and Osteopathic Medicine)
2. Department of Geography
3. Department of Political Science
4. Department of Psychology (jointly with Colleges of Human Medicine and Osteopathic Medicine)
5. Department of Racial and Ethnic Studies (jointly with College of Urban Development)
6. Department of Social Science

7. Department of Sociology (jointly with Colleges of Human Medicine and Osteopathic Medicine)
8. School of Criminal Justice
9. School of Labor and Industrial Relations
10. School of Social Work
11. School of Urban Planning and Landscape Architecture
12. Justin Morrill Inter-College Programs (jointly with Colleges of Arts and Letters and Natural Science)
13. Multidisciplinary Major Programs
14. Social Science Research Bureau

O. College of Urban Development
1. Department of Racial and Ethnic Studies (jointly with College of Social Science)
2. Department of Urban and Metropolitan Studies
3. Center for Urban Affairs

P. College of Veterinary Medicine
1. Department of Anatomy (jointly with Colleges of Human Medicine and Osteopathic Medicine)
2. Department of Microbiology and Public Health (jointly with Colleges of Human Medicine, Osteopathic Medicine and Natural Science)
3. Department of Pathology (jointly with Colleges of Human Medicine and Osteopathic Medicine)
4. Department of Pharmacology and Toxicology (jointly with College of Human Medicine and Osteopathic Medicine)
5. Department of Physiology (jointly with Colleges of Human Medicine, Osteopathic Medicine and Natural Science)
6. Department of Large Animal Surgery and Medicine
7. Department of Small Animal Surgery and Medicine
8. Animal Health Diagnostic Laboratory
9. Veterinary Clinical Center

Q. The Graduate School (jointly with Vice President for Research and Graduate Studies)

R. Lifelong Education Programs (jointly with the Office of the President)
1. Evening College
2. Institute for Community Development
3. Office of International Education
   a. Office of Overseas Study
   b. Graduate Education Overseas
   c. World Affairs Citizen Education
4. Office of University Conferences and Institutes
5. Office of External Courses and Programs
   a. University of the Air
   b. Powerbic Pottery
6. Instructional and Public Television
7. Radio Broadcasting
8. Highway Traffic Safety Center
9. Special Programs
   a. Insurance Education Programs
   b. Nursing Home Administration Programs
   c. Supervisory Management in Water/Wastewater Field
   d. Graduate Assistants and Interns
10. Regional Centers
   a. East
   b. North
   c. South-Central
   d. Southeast
   e. Southwest
   f. Upper Peninsula
   g. West
11. Office of Operations Research and Analytical Studies
12. Business Services
   a. Business Offices
   b. Departmental Services
   c. Cashier and Registration
13. Office of Information Services

S. International Studies and Programs (jointly with the Office of the President)
1. Foreign Students/Scholars Office
2. Institute for Comparative and Area Studies
   a. African Studies Center
   b. Asian Studies Center
   c. Canadian-American Studies Committee (jointly with the College of Arts and Letters)
   d. Latin American Studies Center
   e. Middle East Studies Committee
   f. Russian and East European Studies Program (jointly with the College of Arts and Letters)
3. Institute of International Agriculture (jointly with the College of Agriculture and Natural Resources)
4. Institute for International Studies in Education (jointly with the College of Education)

T. Libraries
1. University Archives and Historical Collections

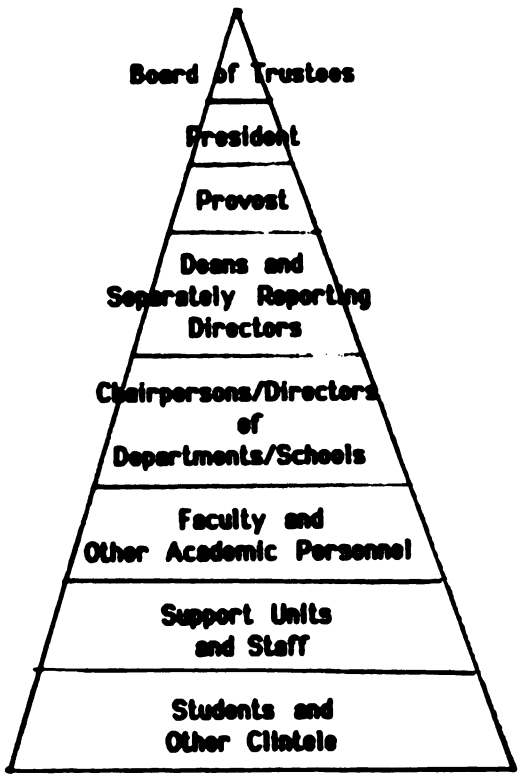
Roles

The test of a first-rate intelligence is the ability to hold two opposed ideas in mind at the same time and still retain the ability to function.

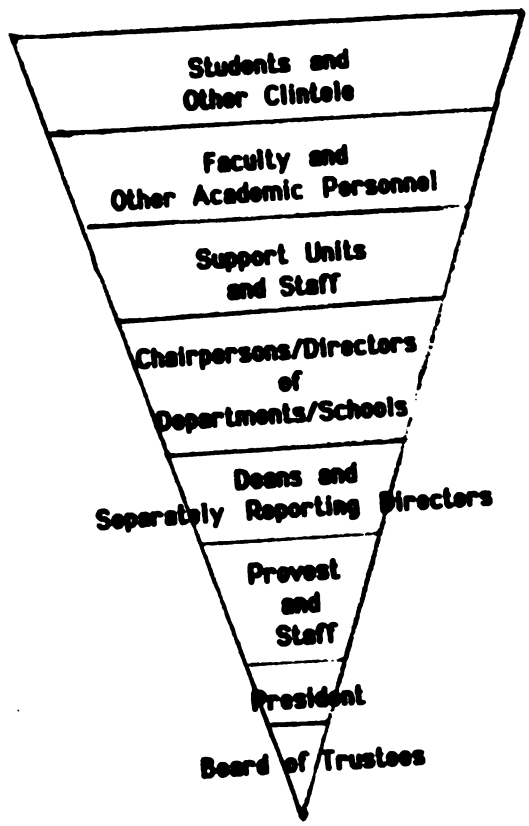
--F. Scott Fitzgerald

ROLES

The planning process recognizes the inherent paradox of University planning in terms of the management hierarchy, and University functioning in terms of the services and facilitation hierarchy. That paradox is illustrated as two conceptual pyamids below.



MANAGEMENT HIERARCHY



SERVICE/FACILITATION HIERARCHY

The paradox, previously illustrated, is mediated through the broad participation of individuals within the University. These participants include the central administrators, deans, chairpersons, directors, and faculty/staff; as well as governance and advisory bodies which exist as a part of the formal decision making process. At Michigan State University, there are no planning participants external to the administrative/governance structures.

At Michigan State University,

> "The Provost and the Vice President for Finance and Operations shall have primary responsibility for the design, implementation and monitoring of long range planning. They will consult widely with other Vice Presidents and executive officers, with Academic Governance, the Council of Deans, and with other representative constituencies across the campus, including executive management appointees, union leaders, and support staff. During the formulation of the general plan, their offices will be directly and frequently involved. At later stages, and in fact during most of the process, planning will take place in departments, school, colleges, and equivalent support units, where the principle of extensive consultation, both within the units and with appropriate administrators, should prevail.
>
> The fundamental conception and the basic purposes and directions of long range strategic planning will be determined centrally, but only after consultation." (Statement of Long Range Strategic Planning)

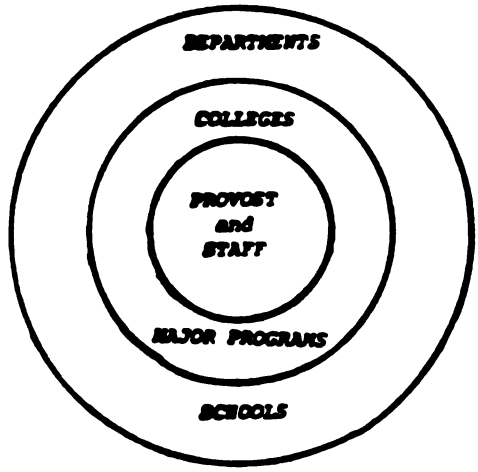
More specifically, the roles of the Provost and the Vice President for Finance and Operations continue in the ongoing planning process as plans are evaluated and coordinated.

"Plans will be evaluated and coordinated by the appropriate administrative officer and, finally, after reasonable consultation, by the Provost and the Vice President for Finance and Operations. They will be evaluated according to their quality and contribution to the University's Mission and their place in University and unit priorities. Besides these criteria, program evaluation must also consider other basic factors such as enrollment potential and capacity, recruitment and retention of students, educational opportunities, external support for research, accreditation, quality of student life, and equal opportunity and affirmative action." (Statement of Long Range Strategic Planning)

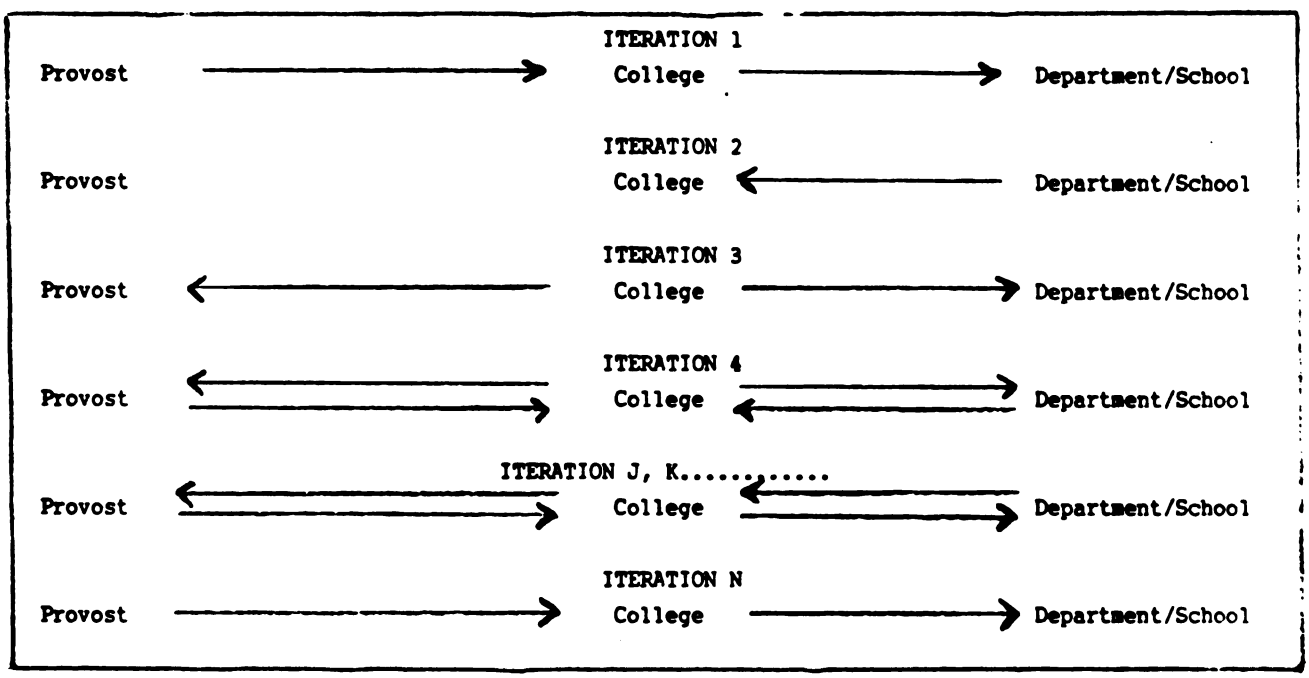
Unit administrators are expected to be key participants in the planning process, not just reporters of circumstances. A major way in which faculty and staff members contribute to planning is through their participation in deliberations at the department/school/division and college/MAU levels. University level participation in academic governance is another major role for faculty in planning.

The Academic Program Planning and Review document and the Support Services Program Planning and Review document specify the responsible actions necessary for centralized planning rooted in the constituent units. These documents specify the actions relative to role, objectives, purpose, and aims to which administrators and faculty/staff must attend. How these actions are attended to is a matter of administrative and professional leadership.

Academic program planning is a progressive and interactive process as illustrated by the diagram following the "Statement on Long Range Strategic Planning at MSU." Planning is initiated centrally with communication from the Provost to the colleges and other major academic units and then to departments and schools. At the same time, the process involves considerable discussion and feedback. It is also participatory. The mode of discussion and consultation followed during the development of the central and guiding documents (e.g., the University's Mission and Goals and the statement "Academic Programs : Michigan State University") will continue. The Michigan State planning process must capitalize fully on the University's decentralized mode of operation and is designed to utilize as fully as possible the special competencies and strengths of the departments, schools, colleges, and other academic units. The domains of discussion and recommendation are represented as a set of concentric circles.



Academic program planning in its complete form is a holistic effort which engages the University in a coherent and coordinated process that is informed by and utilizes fully the best efforts of the departments, schools, colleges and other units. Planning is conducted in an iterative and transactional manner which has a specified annual cycle with a beginning and an end. The planning process features an accordian-like capacity to contract and expand as circumstances mandate. There will be a series of discussions for each college involving (a) the Provost and the Dean and (b) the Dean and department Chairpersons or school Directors, as illustrated by the diagram of the annual planning dialectic shown below:



All participants in the Academic program and support services program planning process (faculty/staff, students, and administrators) are expected to know and understand the content of the following central documents:

- Statement on Long Range Strategic Planning at Michigan State University
- Mission Statement
- Environmental Assumptions
- University Goals
- Academic Programs Statement: Michigan State University
- Support Services Programs Statement: Michigan State University

It is through these documents that the role of each participant is developed.

PARAMETERS

SECTION THREE

PLANNING PARAMETERS

A series of critical factors form the framework for planning within the Mission of the University, institutional internal and external environmental considerations, University Goals, common definitions of critical terminology, and the use of program data as a planning base. Each factor represents a strategic process rather than a single occassion. However, it is expected that these institutional-level factors provide the optimum foundation from which unit planning can proceed.

	PAGE
University Mission.....	22
External Environmental Considerations.....	24
Internal Environmental Considerations.....	26
University Goals.....	29
Definitions.....	31
Data As a Planning Base.....	35

Mission
Statement: MSU

MISSION STATEMENT

Michigan State University holds a unique position in the state's educational system. As a respected research and teaching university, it is committed to intellectual leadership, and to excellence in both developing new knowledge and conveying that knowledge to its students and to the public. And as a pioneer land-grant institution, Michigan State University strives to discover practical uses for theoretical knowledge, and to speed the diffusion of information to residents of the state, the nation, and the world. In fostering both research and it application, this university will continue to be a catalyst for positive intellectual, social, and technological change.

Founded in 1855 as an autonomous public institution of higher learning by and for the citizens of Michigan, this institution was in 1863 designated the beneficiary of the Morrill Act endowment. It became one of the earliest land-grant institutions in the United States. Since 1863, Michigan State has evolved into an internationally-esteemed university, offering a comprehensive spectrum of programs and attracting gifted professors, staff members, and students. The university seeks excellence in all programs and activities, and this challenge for high achievement creates a dynamic atmosphere. At Michigan State University, instruction, research, and public service are integrated to make the institution an innovative, responsive public resource.

As the only land-grant institution in the state, Michigan State University is committed to providing equal educational opportunity to all qualified applicants; to extending knowledge to all people in the state; to melding professional and technical instruction with quality liberal education; to expanding knowledge as an end in itself as well as on behalf of society; to emphasizing the applications of information; and to contributing to the understanding and the solution of significant societal problems. Michigan State University's adherence to academic freedom and open scholarly inquiry supports these essential academic functions.

The university's land-grant and service mission first originated in the areas of agriculture and the mechanic arts. While these emphases remain essential to the purpose of Michigan State, the land-grant commitment now encompasses fields such as health, human relations, business, communication, education, and government, and extends to urban and international settings. The evolution of this mission reflects the increasing complexity and cultural diversity of society, the world's greater interdependence, changes in both state and national economy, and the explosive growth of knowledge, technology, and communications. Just as the focus on agriculture and the mechanic arts was appropriate when Michigan State University was founded, the wide range of instructional, research, and public service commitments that now characterize this university is essential today.

By 1964, the instruction, research, and public service activities at Michigan State University had achieved the high level of excellence necessary for membership in the Association of American Universities (AAU). Innovation and leadership in these three crucial areas, and in the extension of knowledge to the state, the nation, and the world, are the hallmarks of this university. An excellent and diverse faculty insures the superior quality of academic programs, and contributes to the expansion of knowledge and its application in the public interest.

Research and scholarship help preserve and enrich cultural and creative traditions, as well as contribute to the formulation of new knowledge. Graduate programs draw upon and support faculty research, extend the benefits of research, and educate students for professional careers. The established national and international reputation of the university is based upon the quality and distinctiveness of the research and scholarly activity of its faculty and students.

Research and public service are mutually enriching activities for both faculty and students, and contribute significantly to the high quality of both undergraduate and graduate instructional programs. Through research, faculty members enhance the scope and effectiveness of their teaching. Through public service, faculty validate past research findings and identify the need for new research and for modifications of curricula. Participating with faculty in research and service projects provides students with unique learning opportunities, and consequently improves the quality of both graduate and undergraduate education.

At the undergraduate level, the university offers strong, comprehensive programs in the liberal arts and sciences and in major professional areas which include a significant general education component. Michigan State University provides opportunities for students of varying interests, abilities, backgrounds, and expectations. Underlying all educational programs is the belief that an educated person is one who becomes an effective and productive citizen. Such a person contributes to society intellectually, through analytical abilities and in the insightful use of knowledge; economically, through productive application of skills; socially, through an understanding and appreciation of the world and for individual and group beliefs and traditions; ethically, through sensitivity and faithfulness to examined values; and politically, through the use of reason in affairs of state. Mindful of such purposes, Michigan State University is committed to graduating educated men and women with diverse backgrounds who are active learners, ready to assume the responsibilities of leadership wherever opportunities arise.

Michigan State University fulfills the fundamental purposes of all major institutions of higher education: to seek, to teach, and to preserve knowledge. As a land-grant institution, this university meets these objectives in all its formal and informal educational programs, in basic and applied research, and in public service. As an AAU institution, this university meets these commitments through its instructional and research programs. Through the excellence of its academic programs, the strength of its support services, and the range of its student activities, the university provides opportunities for the fullest possible development of the potential of each student and each citizen served, and enhances the quality of life and the economic viability of Michigan. Education of its citizens is the state's best investment in its future. Michigan State University has honored, and will continue to honor, this public trust.

Approved MSU Board of Trustees
June 24-25, 1982

There are three types of organizations. Those who make things happen. Those who watch things happen. Those who wonder what happened.

--Anonymous

UNIVERSITY MISSION

The Mission broadly defines the boundaries within which the University functions. For the purposes of planning, the Mission must take into account elements related to:

--History of Michigan State University.

--Current performances and vision of the leadership.

--Macro environmental considerations.

--Distinctive competencies.

Once understood and agreed upon, the Mission becomes the focus of institutional energy for the immediate future and the subsequent decade. The more rapid the rate of environmental change, the more often the Mission will require review. For Michigan State University:

"The Mission Statement broadly outlines the enduring purposes and responsibilities of Michigan State University. The mission expresses the idea of MSU and thereby guides, in a basic way, the entire planning process. It is a philosophic statement, based on the University's history and traditions, that should not require frequent revision. Prepared by the administration, after consultation with the Board of Trustees, with Academic Governance, and with college and support unit administrators, the Mission statement reflects a consensus vision of the University. Along with other basic factors, the mission will influence long range planning at every stage." (Long Range Strategic Planning Statement)

The Mission Slate of Michigan State University is included in this Guide for reference. The Mission Statement will be interpreted at an institutional level as University Goals. Those goals specify the directions and intentions of the University as a whole.

AT THE UNIT LEVEL, IT IS FROM THE STATEMENT OF UNIVERSITY MISSION THAT THE COLLEGES AND OTHER MAJOR ADMINISTRATIVE UNITS ARE EXPECTED TO DERIVE THEIR MAJOR ASPIRATIONS AND RESPONSIBILITIES. THESE ARE DESCRIBED AS STATEMENTS OF COLLEGE/MAU ROLE.

External
Environment

Art is long, life-short; judgement difficult,
opportunity transient.
--Goethe

We are all continually faced with a series of great
opportunities brilliantly disguised as insoluble problems.
--John W. Gardner

EXTERNAL ENVIRONMENTAL CONSIDERATIONS

A major key to an institution's success is its ability to make appropriate adjustments to environmental forces that may be threats or opportunities. Environmental forces may be either external or internal to the institution and its units. External forces include factors that may be identified as:

--Economic
--Social
--Political
-- Legal
--Technological
--Demographic
--Competitive
--Reputation

An environmental assessment begins with an evaluation of the main trends, opportunities, and threats facing higher education in general and specifically, Michigan State University. Additionally, expectations regarding these major factors are analyzed.

For planning purposes, the environmental analysis is expressed as a profile of assumptions, concerning both expectations and evaluations. This analysis serves as the parameters for unit-level and institutional-level planning. At Michigan State University:

"Environmental assumptions express the University's best sense of how external conditions, over which the University has no direct decision making authority and sometimes little or no control, but which in some cases it can influennce, will constrain or augment the University's programs. The statement of assumptions will not only assist the University with internal program and financial planning; it will also help determine where and how MSU might try to influence certain external conditions. Because it is not practical, even if it were possible, to include all the relevent external conditions, the statement of environmental assumptions will identify the major external circumstances which will probably influence the University during the planning period. Given the rate of external change, the University will review environmental assumptions annually--or even more frequently."

"Assumptions will be formulated about environmental factors such as economic, social, demographic, political-legal, technological and educational circumstances which the University must take into account during the next three to five years. These assumptions will influence planning for the University as a whole and for its academic and non-academic units, as well."

"The environmental assumptions for the University have been developed through consultation with Academic Governance, the Council of Deans, other administrators, and the Board of Trustees. Unit planning assumptions will also be developed through appropriate consultation." (Statement on Long Range Strategic Planning)

The institutional environmental assumptions for Michigan State University are included in this Guide for reference.

"In some cases, units will need to identify and consider particular external circumstances that apply specifically to those units but not necessarily to the University as a whole. These unit-specific planning assumptions may not, therefore, be included among the University"s environmental assumptions, but normally they should be compatible with them." (Statement on Long Range Strategic Planning)

PLANNERS WILL FIND IT NECESSARY TO INTERPRET THE IMPLICATIONS OF INSTITUTIONAL LEVEL ASSUMPTIONS AS THEY DERIVE THEIR UNIT OBJECTIVES AND AIMS. ADDITIONALLY, EXTERNAL ENVIRONMENTAL ASSUMPTIONS THAT ARE UNIT-SPECIFIC PROVIDE AN ARENA FOR CHAIRPERSON/DIRECTOR AND DEAN PLANNING DISCUSSIONS, AS WELL AS PROVOST/DEAN DISCUSSIONS.

Environmental
Assumptions: MSU

ENVIRONMENTAL ASSUMPTIONS

The environmental assumptions express the University's best sense of how external conditions, over which the University has no direct decision making authority and sometimes little or no control, but which in some cases it can influence, will constrain or augment the University's programs. The statement of assumptions will not only assist the University with internal program and financial planning, it will also help determine where and how MSU might try to influence certain external conditions. Because it is not practical, even if it were possible, to include all the relevant external conditions, the statement of environmental assumptions will identify the major external circumstances which will probably influence the University during the planning period. Given the rate of external change, the University will review environmental assumptions annually--or even more frequently. ("Statement on Long Range Planning at MSU," May 22, 1984, p.4.)

11/6/84

I. ECONOMIC CONDITIONS.

1. National economy.*

1.1 The national economy will grow at a slower rate in late 1984 and through 1985.

1.1.1 Inflation will remain relatively low, increasing from an annual rate of 3.3 at the end of 1984 to 5.2 percent in 1985.

1.1.2 There will be little further decline in unemployment. It will average 7.3 percent at the end of 1984.

1.1.3 The Gross National Product will be growing at an annual rate of 4.0 at the end of 1984; in 1985 it will grow at an annual rate of approximately 4.5.

1.1.4 Federal deficits will be large.

1.1.5 Interest rates will remain relatively high, although short-term interest rates will be declining by the end of 1984.

1.1.6 After a 9.3 percent growth, real disposable income will increase at a slower rate.

1.1.7 Other nations will continue to make trade inroads, competing favorably in U. S. markets.

2. State economy.**

2.1 The Michigan economy will recover more slowly than the national economy, even though rates of growth in certain economic indicators (such as consumer purchasing power) might be somewhat higher than the national rates.

2.1.1 Wage and salary employment (the number of jobs in manufacturing, private non-manufacturing, and government), e.g., will grow fairly rapidly in 1984, but will not return to 1979 levels even by the end of 1985.

2.1.2 Consumer purchasing power (real disposable income based on 1972 dollars) will increase at annual rates of 6.6 (1984) and 5.4 (1985) percent; however, the 1985 level of real disposable income will exceed the peak value of 1978 only slightly (1 percent).

*These are short term, two-year or less projections based on RSQE Forecasts, August 15, 1984.

**These are short term, two-year or less projections based on RSQE Forecasts. RSQE will issue a report on the Michigan economy in November, 1984.

2.1.3 Total employment will continue to grow, increasing at an annual rate of 5.1 percent in 1985.

2.1.4 Unemployment will decrease, but will remain relatively high compared to national figures--in an average annual range of 11.7 (1984) to 9.6 (1985) percent.

2.1.5 Inflation in Michigan will remain relatively low and closely parallel the National rate.

2.1.6 The diversity of business, industry, and the service sectors will increase slowly.

2.1.7 The dominance of major manufacturing firms will decline, but slowly.

3. Funding for higher education.

3.1 State Appropriations.

3.1.1 State tax revenues (GFGP tax revenue) will increase significantly in 1984 (by 15.7 percent) and then decline sharply in 1985 (to 5.5 percent). Because not all of the revenue will be available for current expenditures, there will be a no growth budget in 1985 and, probably, for several years thereafter.

3.1.2 State appropriations for higher education (General Fund expenditures adjusted for inflation) will not return to 1978 levels for several years.[1]

3.1.3 State appropriations for higher education as a percent of the state budget will increase slightly.

3.1.4 Michigan State University's annual appropriations will increase in a range of 5-10 percent.

3.1.5 The State will not repay the $11 million lost to executive orders for at least 3-4 years.

3.1.6 Michigan State University's share of the state appropriation for higher education will increase modestly.

3.1.7 Most of the real increases in state appropriations will be for programs and projects supporting economic development and diversification in Michigan.

3.2 Tuition. Tuition will increase at a slower rate than it has in recent years (12.4 percent annually statewide).[2]

1 Public Sector Consultants, Inc., Monograph #5, January, 1984, p.14.
2 Public Sector Consultants, Inc., Monograph #5, January, 1984, pp. 11-13.

3.3 Private support for Michigan State University.

3.3.1 The potential for private support is at least double the present level ($26.3 million) and will increase at approximately the rate of inflation.

3.3.2 The growth in percentage of potential private support received, although somewhat dependent upon the economy of the state and nation, will increase significantly.

3.4 Funding for research and development.

3.4.1 Overall research and development should continue to show modest real growth.

3.4.1.1 Basic research will show a major increase in federal funding, with the physical sciences and engineering showing the largest growth, followed by the life sciences and plant sciences, then by animal and human sciences.

3.4.1.2 Funding for research in education will increase.

3.4.1.3 Funding for the social and behavioral sciences will show very modest growth.

3.4.1.4 Arts and humanities will continue at present levels but shift modestly from government to private sources.

3.4.1.5 Applied research support will show modest real growth with large shifts in the mix among federal, state, and industry sources.

3.4.2 Other Michigan universities, principally the UM, MTU, and WSU, will continue to expand economic development activities and compete aggressively for funding from all sources.

3.4.3 Complex relationships with other universities, state funded institutes, and industries working cooperatively will emerge.

3.4.3.1 Government, business, and industry will significantly increase their use of university expertise: larger firms will draw on country-wide expertise; smaller firms will depend on Michigan expertise. Private and public consulting firms will expand their economic development activities and will also draw on university expertise.

3.4.3.2 University-industry relations will become more diverse but more formalized as new procedures and relationships emerge from experience.

3.4.4 The state funded institutes--such as MBI--will increase their economic development activities and become competitors for funding.

3.4.5 Federal and state programs fostering university-industry economic development activities will grow modestly.

3.4.6 The extension function of the university will encounter growing competition from the private sector and other universities.

3.5 Funding for capital construction, renovation, and deferred maintenance.

3.5.1 The state's commitment to fund capital construction, renovation of facilities, and deferred maintenance will be very limited.

3.5.2 Other funding--special bonding, institutional funds, private sources--will not be sufficient to meet current needs.

3.6 Funding for equipment replacement and repair. The State will modify its traditional practice--funding equipment only through capital outlay--and begin to finance new and replacement equipment costs but not at a level that will meet current statewide higher education needs.

3.7 Availability of financial aid.

3.7.1 State and federal financial aid programs will be more restrictive, providing assistance to fewer students and fewer real dollars per student.

3.7.1.1 Private sector sources will become increasingly important.

3.7.1.2 More students will become dependent on part-time employment to finance their education.

3.7.1.3 More students, particularly graduate, medical and non-resident students, will find it necessary to incur significant amounts of loan debt in order to complete their degrees.

3.7.1.4 The institution will face increased demand for creative financing plans, particularly from so-called middle income families whose children do not qualify for traditional need-based financial aid.

3.7.2 More students will declare independent status and qualify for financial aid.

3.7.2.1 Rules for declaring independency for aid purposes will become more stringent.

3.8 Health care financing.

3.8.1 Reimbursement strategies, designed to encourage health care providers to accept an increasing level of financial risk, will gain in popularity in order to control the growth of health care costs.

3.8.2 Competition among health care providers and professionals will increase.

3.8.2.1 Contracts between third party carriers and preferred providers will significantly increase competitive pressures.

3.8.2.2 More large employers and unions will arrange for direct health care services for their employees and members.

3.8.2.3 Voucher systems instituted for Medicare and Medicaid will significantly increase competition.

3.8.3 HMO's, IPA's, "emergency clinics," and similar organizations, specifically adapted to the efficient management of health care delivery, will proliferate and will enjoy a significant advantage in a more competitive market.

4. Energy.

4.1 Oil and coal supply will exceed demand, with little change in costs.

5. Compensation.

5.1 Only modest compensation improvements in excess of inflation will be attainable.

5.2 Fringe benefit costs will increase at a somewhat lower rate than they have in the last five years.

6. University's role in economic development.

6.1 The University's role in economic development activities will continue to grow and diversify.

6.1.1 Business and industry will seek greater access to university expertise.

6.1.2 The technology for delivering university expertise will become more sophisticated.

6.1.3 Faculty involvement in companies based upon knowledge from their research will continue to produce potential conflicts of interest.

6.1.4 Problems with industry and faculty over proprietary research and patient ownership will continue.

II. SOCIAL-VOCATIONAL.

1. Social and economic changes will lead to significant career and job changes.

2. Increasing numbers of women will participate as employees in the job economy and for longer periods of time.

2.1 More women will complete their undergraduate education without interruption.

2.2 More women will return to complete their undergraduate education or pursue graduate degrees or additional specialization.

2.3 More women will be involved in full-time careers.

2.4 More adults will become course, knowledge, and information oriented rather than degree oriented.

3. Increasing numbers of students will head single parent families and require child care and changes in current financial aid arrangements.

4. Enrollments will increase in lifelong education courses and in evening and weekend programs and courses.

5. Individuals will continue to be interested in developing skills and interests which they can utilize to improve their livelihood.

6. Alumni will make greater use of University instructional programs.

7. Alumni will become increasingly more important to MSU in the areas of student recruitment and retention, development, career placement, professional expertise, and legislative advocacy.

III. DEMOGRAPHIC.

1. Factors affecting enrollment.

1.1 Michigan's population will increase very little.

1.2 Geographic shifts of population within Michigan will not significantly affect the enrollment level at Michigan State University.

1.3 The size of Michigan secondary school graduating classes will decline at an average rate of 4 to 6 percent per year through 1990, except for 1987 and 1988, when the average rate will increase 2 percent.

1.4 The proportion of minority college age persons will rise, with the largest increases in the number of Hispanics and Blacks.

1.5 The college-going rate will either not change or will increase slightly.

1.6 The location of MSU limits the rate at which nontraditional students will increase.

1.7 MSU's enrollments will decline more slowly than demographic trends indicate.

2. Composition of the student body.

2.1 The MSU student body will become more diverse; the proportions (and in most cases the numbers) of nontraditional students, minority students, out-of-state, foreign students, and part-time students will increase gradually. There will be a corresponding decline in the number and proportion of 18-22 year olds within the student population.

2.2 Students will continue to shift to fields of study in which they are interested and from which they believe the greatest economic benefit can be derived.

2.3 Public policy will emphasize research and education in science, technology, agriculture, and other economic development fields.

2.4 Public policy will continue to speak highly of the liberal arts but enrollments in liberal arts programs will not change appreciably.

2.5 Public policy will emphasize research and education for elementary and secondary school personnel, as the demographics of teacher supply and student demand continue to change. Public school faculty, and administrator retirements, a reduced supply of qualified replacements and increasing K-12 population will create a new market demand for highly qualified public school teachers and administrators.

IV. POLITICAL-LEGAL.

1. Statewide coordination and control.

1.2 The Michigan public four-year state colleges and universities will retain their current level of independence with increased coordination in specific program areas that are high in cost.

1.2.1 Statewide centralized coordination of higher education will not be implemented, although greater self regulation and inter-institutional collaboration and coordination of program offerings will be encouraged.

1.2.2 Coordination by regions (a system that would not directly affect MSU) may be implemented, but it is unlikely.

1.2.3 State appropriations will reflect a greater degree of legislative intent to apportion funds for specific programs.

2. Education as a public policy priority.

2.1 Education will continue to be a high public policy priority both at the federal and state levels, even if funding to support the policy priorities is insufficient.

2.1.1 Pressure will mount to target additional federal student financial aid to students whose academic performance is outstanding and to students whose fields of study are deemed to be critical in meeting national objectives.

2.1.2 More students will be compelled to make choices about academic major, specialization within a major, and ultimate career fields based upon aid availability and anticipated ability to repay loans.

2.2 Public policy will continue to support an appropriate balance between public and private education.

2.2.1 Federal and state policies regarding private institutions will not change significantly, but economic and demographic conditions will adversely affect many private institutions.

2.2.2 With a reduction of federal financial support, public universities will have to rely more on state appropriations, tuition and fees, and gift sources.

3. Governmental regulations affecting operations.

3.1 Federal and state agencies will continue to exercise regulatory authority that will affect university operations.

3.2 The state and federal court system and other systems for adjudicating complaints will play an increasing role in resolving internal issues and conflicts.

4. Affirmative action.

4.1 Federal and state government will continue to assert affirmative action, equal opportunity, and nondiscrimination as public policy. However, the principles for implementation will change and regulations will become less demanding.

5. Policy changes in labor-management relations.

   5.1 Federal and state policies relating to labor-management relations will not be significantly altered.

V. TECHNOLOGICAL CHANGE.

1. Advances in computer and communications technologies will add to the existing arsenal of delivery systems for both on-campus and off-campus programs and services and will increase the sophistication and complexity of the tasks that can be done.

2. The numbers of University faculty, staff, and students who will use computing technology as part of their daily work or study will expand rapidly.

3. This increased diversification of delivery system alternatives will increase local, national, and international access to the programs and services of Michigan State University and the University's access to programs and services elsewhere.

4. Due to the increasing integration of these technologies into the workplace and the home, Michigan State University graduates will require a higher level of technological literacy in order to compete favorably in the market place.

5. User demand will require a rapid expansion of communications technologies to disseminate information and deliver instruction to geographically dispersed individuals and small groups.

   5.1 Home access to public information centers will increase.

   5.2 The technological development and pricing of hardware will cease to be significant barriers to personal use and broadened access.

   5.3 Use of personal computers for home and office will expand rapidly and necessitate access to University information sources.

6. Research equipment technology.

   6.1 Research equipment will continue to become more complex and more costly to purchase.

      6.1.1 Increased federal equipment funding will be available.

      6.1.2 Because of the cost of super computers, inter-university networking arrangements will increase.

      6.1.3 Growing relations with industry will bring new sources for equipment funding and equipment through gifts and opportunities for joint acquisition.

VI. INSTITUTIONAL COMPETITIVE ADVANTAGES AND DISADVANTAGES.

1. The quality of MSU and its role and mission.

   1.1 The combination of quality undergraduate instruction and AAU graduate and research programs, with MSU's land-grant function, gives MSU a competitive advantage over most other universities in Michigan in recruiting and retaining students, faculty, and staff, in attracting research support for a variety of sources, and in maintaining public acceptance and support.

2. Relative cost of education at MSU.

   2.1 The relative cost of attending MSU will continue to be high.

3. Competition for excellent faculty.

   3.1 Competition for excellent faculty will continue to be intense in most disciplines and professions.

      3.1.1 Most university graduates will continue to enter business and industry as opposed to university and government service.

      3.1.2 In certain growth fields such as computer science, engineering, accounting, and molecular biology, universities generally will continue to have difficulty in recruiting enough top ranked researchers and scholars to maintain excellence in graduate and research programs, as well as in undergraduate programs.

      3.1.3 The economic and political situation in Michigan and the history of declining financial support for higher education will limit the University's ability to recruit and retain faculty.

4. Intercollegiate athletics.

   4.1 Michigan State University's intercollegiate athletics program will continue to generate interest, affiliation, and commitment from alumni and friends and the general public.

5. Geographic factors.

   5.1 Michigan as a location provides no competitive advantage over other geographic areas with major public universities in recruitment of faculty, staff, and students.

   5.2 The MSU campus and the surrounding area will continue to be an advantage in the retention of faculty, staff, and students.

6. Perceptions of the university.

6.1 Public attitudes and public perceptions of the university will have a significant effect on the ability of the university to attract faculty, students, and financial support.

6.1.1 The public will think of MSU as the major undergraduate institution in the state.

6.1.2 Public attitudes about the research and advancement of knowledge missions of the university will continue to be positive.

6.1.3 The public will continue to look to the university for significant involvement in the state's economic development and diversification.

6.1.4 Public concern over the curtailment and elimination of programs and activities will be much less severe than at the time of the Modified Coordinated Proposal.

6.1.5 Confidence in and commitment to the new Michigan State University Alumni Association will continue to increase.

6.1.6 MSU will continue to be viewed as an institution which attracts and enrolls large numbers of academically-talented students and which provides opportunities and programs for nontraditional and for disadvantaged students.

Internal
Environment

Small opportunities are often the beginning of great enterprises.

--Demosthenes

INTERNAL ENVIRONMENTAL CONSIDERATIONS

"Units will also need to consider, as planning assumptions, certain programming and organizational principles, as well as institutional circumstances." (Long Range Strategic Planning Statement)

The analysis of internal environmental considerations includes those major resources, values, and University policies which influence planning. Assessments of internal resources include factors related to:

--Students

--Programs

--Personnel

--Finances

--Facilities

--Climate

Planning decisions are necessarily connected to values which are derived from culture, discipline, or role. The values of both the institution and of the leaders within it underpin the planning structure and serve as criteria for planning decisions. For the purposes of planning, each major internal resource is analyzed relative to the values of the institution and the values of the incumbent leadership. Additionally:

"In one sense, University policies are the basic internal "assumptions" or factors which influence planning. However, the planning process may indicate that certain policies should be considered for revision, that longstanding University practices be formalized as policy, or that altogether new policies are necessary. In such cases, policies would be in whole or in part, the products of planning. In other cases, new or revised policies might function as components which influence further planning by the University or by units. In this process, even basic policy becomes subject to review and discussion within the University."

"As they must with environmental assumptions, administrative units must take University policies into account as they develop unit plans. There may also be unit-specific policies (applicable, e.g., to an entire vice presidential area or to a single department) which must be recognized and considered. These may not be University polities in a formal sense but might become institutional policy based on initiative from units. For example, the establishment of the Medical Staff Bylaws has organized certain faculty of the Colleges of Human Medicine and Osteopathic Medicine differently from others."

"Other college bylaws set policies or practices that differ from one another and necessarily influence planning. At the department or school level, units operate according to specific "policies" regarding teaching models and class sizes, admissions requirements for graduate students, professional standards for majors, and the specific crriteria for judging faculty performance--all of which influence planning." (Statement on Long Range Strategic Planning)

At Michigan State University, administrators consider the following planning parameters which flow from University Goals and Environmental Assumptions.

--The University is committed to securing sufficient resources and to using them wisely to achieve high quality in academic and support services programs.

-- During the current planning horizon, the University will operate under essentially the same financial resources as are currently available, i.e., severely limited resources.

--In addition to the expansion/elimination of positions, there are a variety of options to consider in the instructional, research, and public service models to reorder priorities and emphasis, e.g., reallocation of time and effort of current personnel.

--The University is committed to a strong, effective tenure system that protects academic freedom and enhances academic excellence and responsibility.

--Each faculty and staff member has the obligation to strive to contribute fully to the Mission and goals of the University.

--The University is committed to equal opportunity, non-discrimination and affirmative action.

--Program development is and will remain a matter primarily initiated by the faculty and departments/schools and colleges.

Included in this section of the Guide, for reference, are certain principles of academic programming by which academic program units are expected to operate. Additionally:

"The Board of Trustees is the constitutionally established governing board of the University. The Board establishes University-wide policies and gives direction to the University. Its policies state principles or define circumstances which guide planning and decisions by the University's administration and faculty. There are also University policies, such as those which emerge through academic governance, which are not Board policies as such but which came into being as a result of authority delegated by the Board of Trustees. At this point in its history, MSU is guided by already existing policies--such as those set forth in the Board of Trustees Policy Manual or in the MSU Faculty Handbook." (Statement on Long Range Strategic Planning)

IT IS EXPECTED THAT THE UNIVERSITY LEVEL INTERNAL ENVIRONMENTAL ASSUMPTIONS HAVE UNIT-SPECIFIC IMPLICATIONS THAT MUST BE IDENTIFIED AND RESPONDED TO AS A PART OF THE PLANNING PROCESS. THOSE IMPLICATIONS PLUS ADDITIONAL UNIT-SPECIFIC ENVIRONMENTAL EVALUATIONS FORMULATE AN ELEMENT ESSENTIAL FOR LONG RANGE STRATEGIC PROGRAM PLANNING. THOSE UNIT-SPECIFIC INTERNAL ENVIRONMENTAL ASSUMPTIONS PROVIDE AN ARENA FOR PLANNING DISCUSSIONS BETWEEN CHAIRPERSONS/DIRECTORS AND DEANS, AS WELL AS BETWEEN THE DEANS AND THE PROVOST.

Internal
Assumptions: MSU

D R A F T
8-8-83

- **Principles of Academic Programming**

Notes: (a) These principles seem to be more "fleshed out" than are items in the draft "Outline of Topics for University Goals" (academic), dated 2-16 83.
(b) There should be a single statement on University principles or goals.
(c) Assuming such a single statement, a reordered list is provided.

(1) .. Academic units must plan programs so as to maintain the MSU commitment to the land-grant philosophy.

(2) .. Comprehensive high-quality undergraduate programs and programs which maintain the MSU commitment to high quality liberal and general education must be provided.

(3) .. Selected academic units must maintain a strong commitment to graduate and research activities.

(4) .. Strong disciplinary programs are fundamental and essential components of a strong university.

(5) .. Professional programs must be appropriate to the mission of MSU and of high academic quality.

(6) .. Interdisciplinary programs should complement disciplinary and/or professional programs to facilitate problem and issue oriented teaching and research.

(7) .. All programs, however distinguished, must be congruent with and contribute to the University's mission.

(8) .. The triad of interrelated functions--instruction, research, and public service--must be sustained in selected areas where there is a strong interaction among these elements.

(9) .. Academic and other support services necessary to maintain high academic quality must be sustained.

(10).. Support and extracurricular programs for students must facilitate learning and the quality of life of students.

(11).. MSU programs that are both essential and unique in the State should be sustained.

(12).. MSU will maintain special research and public service programs of recognized national and international quality that are congruent with the mission of MSU; especially those funded predominantly by grants and contracts.

Organizational Principles (continued)

.... Facilitate consolidation, growth and flexible deployment of resources of all types, e.g. space, equipment, support personnel, priority use of special facilities and research laboratories.

.... Increase cost-effectiveness in operation of the University by minimizing administrative overhead.

.... Foster functional program linkages, rather than new organizational units, in responding to future opportunities and academic challenges.

Curriculum (Undergraduate, Graduate)

Student freedom of choice among major programs and courses for which prerequisites have been met. Enrollment limitations permitted only in response to resource limitations which threaten program quality.

Instructional models tailored to enhance learning, insure efficiency and reduce excessive faculty contact hours per credit.

Elimination of course duplication by merger or deletion, following consultation with involved units.

Greater reliance on common core courses to preserve broad array of undergraduate programs, along with maintenance of specially-tailored learning experiences for honors students and those in developmental courses.

Scheduling constraint considerations include reduction of the number and/or timing/frequency of optional courses within major programs; courses with a history of below-minimum enrollments; and courses with limited major or service enrollments.

Student Services/Quality of Life (Undergraduate, Graduate)

.Units and major professors share responsibility for providing resources for graduate student research and in optimizing placement possibilities.

Research/Research Administration

.Competitive research and scholarly output expected as recognized element of all faculty workload, with multidisciplinary research projects and programs encouraged.

.Research planning related to institutional mission emphases in public and educational services to domestic and international arenas and in economic diversification in Michigan.

.Faculty and administrators work through ADP, MASULSC and other appropriate state or federal groups to improve government-University relations; improve national and state research support systems; reduce reporting requirements; and facilitate full indirect cost recoveries from all federal and state agencies.

.University cost-sharing for research projects contingent on resources and institutional interest in and commitment to the research area.

.Faculty research pursuits compatible with available University facilities and other programs and in compliance with federal and state regulations and Board policies, including those governing research safety, protection of human and animal subjects and those relating to conflicts of interest and patenting procedures. Research results developed in University facilities made widely accessible through open publication.

.University encouragement of research efforts through prudently limited allocation of research space, provision of contingency funds for problem solving, maintenance of internal research initiation and international travel grant programs, sponsorship of competitive visiting research scholars program and affirmative action postdoctoral programs.

Public Service

.Access to public service programs for citizens of Michigan to the extent that resources permit, with citizen demand a necessary but not sufficient condition for offering or expanding program.

.An array of off- and on-campus high quality educational activities including credit and non-credit courses and workshops, responsive to priority needs, the needs of non-traditional clients, the continuing education needs of professionals, and requests for expertise.

.Direct services, including patient care, in connection with clinical instruction.

.Coordination of delivery systems, timing, and media approaches to multiply effectiveness of public service programs and maximize cost-effectiveness.

.Use of a variety of instructional formats and designs and experimentation with innovative educational models to broaden access to learning and to ensure efficiency and effectiveness.

Goals

Having lost sight of our goal, we redoubled our efforts.

--An Old Adage

UNIVERSITY GOALS

Goals are the major components of planning which provide the institutional framework for a great diversity of academic and support units to move in reasonable concert toward common aims.

For the purpose of planning, the goals must take into account:

--The University Mission.

--The evaluations of the internal and the external environments.

--The expectations relative to the internal and the external environments.

As a planning element, goals:

--Adress identified needs in a broad statement of intent.

--Articulate what will be done to meet a need.

--Indicate a general direction.

--Are global in nature and are not bound by a specific time frame.

For Michigan State Universsity:

"The goals of the University, which will be articulated during the (planning) process, provide an intermediate definition of the University's purpose. Goals interpret and delineate the Mission so that academic and support units can define their own roles and objectives and plan programs which are consistent with the Mission of MSU. University goals do not, however, simply restate the Mission or express general values. Instead, goals derive or flow from the

mission and identify directions and intentions that broadly apply to the University as a whole. They guide the activities and the efforts of an institution for the shorter term and help establish priorities. Goals may not be so enduring as the University's mission, but they should require only occasional revision. The principle of extensive consultation with faculty, staff, and students will also apply to the development of goals." (Statement on Long Range Strategic Planning)

The Statement of University goals is included in this Guide for reference. The major areas covered in those goals are: academic programming, faculty excellence and development, research, support services, affirmative action, public service, long-range planning, and funding and development.

AS SANCTIONED DIRECTIONS AND INTENTIONS, UNIVERSITY GOALS ARE UTILIZED BY COLLEGES AND OTHER MAJOR ADMINISTRATIVE UNITS AS THEY PLAN FOR THE PARTICULAR ACHIEVEMENTS OF THE UNIT.

Goals
Statement: MSU

UNIVERSITY GOALS*

1. Academic Goals.

   1.1 Provide comprehensive undergraduate programs, with a strong component of general and liberal education, and provide selected, high quality, graduate and graduate-professional degree programs consistent with the mission of MSU.

   1.2 Recruit and retain outstanding, nationally competitive faculty in the professions and disciplines.

   1.3 Promote and facilitate faculty research and other creative activities at a level consistent with the university's status as an internationally recognized research institution and its role as a premier land-grant university.

   1.4 Apply consistently the highest academic and professional standards in the recruitment, retention, and reward of faculty members.

   1.5 Promote faculty strength and interests by providing opportunities for professional development, providing avenues for the development of interdisciplinary programs and joint research projects, attracting concentrations of nationally competitive faculty in critical areas, and increasing faculty salaries to levels competitive with other public Big Ten and AAU universities.

   1.6 Support and promote selected areas of academic excellence that have national and international stature.

   1.7 Insure that academic programs in fields which are consistent with MSU's contemporary land-grant mission and status as an AAU institution meet professional certification and accreditation requirements.

   1.8 Support and promote excellent interdisciplinary programs consistent with the mission of MSU.

   1.9 Support and promote economic development in the state and nation by cooperating with public and private enterprise and by recruiting and retaining nationally competitive research faculty in areas critical to economic development.

---

*Consultation on University Goals will continue during 1984-85. Based on these discussions, a revision will be completed early in the 1985-86 academic year.

Academic goals have been placed first--and thereby given priority. Beyond that, there is no intention to rank categories or to rank goals within them. Questions of priority will be discussed during 1984-85.

1.10 Explore new models for bringing university expertise into service in support of Michigan's economic development and diversification.

1.11 Support and expand MSU's role as an international university through such means as grants, contracts, and agreements with other universities, exchanges and overseas academic programs, and the inclusion of international and cross-cultural subject matter within the undergraduate program.

1.12 Provide effective public service and lifelong education to the people of the community, the region, and the state and establish for all units of the university a responsibility to engage in academically sound public service.

1.13 Support an effective tenure system that protects academic freedom and enhances academic excellence and responsibility.

1.14 Preserve an intellectual and professional climate in which academic freedom can flourish.

1.15 Provide library facilities, services, and holdings that will serve well the University's teaching, learning, research, and public service activities.

1.16 Provide computer facilities and services to serve the University's teaching and research needs; promote and support the acquisition and use of up-to-date instructional technology; and promote the development of communications technology to serve the University's teaching, research, and service programs.

1.17 Promote and support the development of modern and technologically sophisticated teaching and research facilities and institute a system for the flexible deployment of space, equipment, labs, and support personnel.

1.18 Sustain and enrich the artistic, innovative, and creative environment of the campus and community.

2. Academic Support Goals.

2.1 Provide effective academic and career advising, counseling, financial aid, recreational, housing, and other student development and service programs which help students achieve their academic and personal goals and which enhance the quality of student life.

2.2 Sustain current levels of enrollment through effective in-state recruitment and increased out-of-state recruitment, with special attention at both the graduate and undergraduate levels to high achieving students, minority students, and (within the capacity of the University) foreign students.

2.3 Maintain levels of undergraduate financial aid sufficient to provide access to MSU for all qualified applicants who demonstrate need. Improve graduate financial support in order to remain nationally and internationally competitive in attracting outstanding graduate students.

2.4 Promote effective systems of campus governance that provide meaningful and cost effective faculty and student involvement in administrative decisions.

2.5 Provide the support services necessary to recruit and retain qualified faculty, students, and staff and contribute to learning, living, and working at Michigan State University.

2.6 Recruit and retain a talented staff of professionals and administrators and attract and retain competent personnel throughout the support services by providing a challenging and quality work environment and a compensation structure commensurate with qualifications and responsibilities.

2.7 Maintain financial, auditing, records, safety, and other support services that provide policy, procedural, and legal accountability and assure the academic and financial integrity and reliability of the institution.

2.8 Provide computer and communication capability and information services to meet the administrative and operational needs of the institution.

2.9 Maintain the properties, physical plant, grounds, and utilities systems of the university at a level of development, reliability, and efficiency that enables the University to fulfill its mission and goals in a cost effective manner.

2.10 Increase the fund raising capability and activities of the University consistent with MSU's mission and program priorities.

2.11 Interpret the nature, purposes, work, circumstances, and needs of the University to the public and its legislative representatives.

2.12 Develop a comprehensive alumni program that reflects the academic, cultural, professional, and athletic interests of MSU alumni and friends and that generates alumni support and commitment for MSU.

3. Cultural and Athletic Goals.

3.1 Support an intercollegiate athletic program which is consistently competitive in the Big Ten, which upholds the University's commitment to student athletes, and which generates interest, affiliation, and commitment from MSU faculty, students, alumni, and friends.

3.2 Provide sophisticated cultural and arts programming to serve the interests and needs of the university community and of mid-Michigan, as well.

4. Planning Goals.

4.1 Institute throughout the University strategic long range planning and operations analyses that will improve program quality and cost effectiveness and promote acceptance of the systematic evaluation of university programs as an established institutional practice.

4.2 Undertake a continuing assessment of the relationship between the University's financial resources and its expenditures; review and modify, as necessary, plans for bringing resources and expenditures into balance.

4.3 Advocate and support action by the state executive office and the legislature to establish an equitable, rational, and stable funding plan for higher education that would permit effective long range planning by public colleges and universities.

4.4 Assess planned program changes and evaluate the effectiveness of goal directed performance by all units of the University.

Definitions

Everything should be made as simple as possible but no simpler.

--Albert Einstein

DEFINITIONS

Shared understandings of a critical core of planning terminology is essential to a planning process which extends beyond the plans of a specific unit. Administrators and planning participants are asked to use the following definitions:

Activities: Tasks derived from college objectives, University goals or department/school/division that consume human resources and materials in the accomplishment of those goals, objectives, or aims.

Aims: Activities and outcomes which enable departments/schools to fulfill their purpose and contribute to College/MAU objectives.

Assessment: The determination of a valuation based upon specified criteria.

Assessment Criteria: Quantitative or qualitative data or information that are acknowledged to be evidence for the accomplishment of outcomes, objectives, or goals.

Assumption: The supposition that certain conditions or circumstances are true.

Criteria: The standards upon which a statement or decision is founded.

Data: The factual measurements or statistics used as a basis for reasoning, discussion, and decision making.

Department: The basic academic unit of the University below the college in the organizational structure which has its own budget and has authorization to conduct instructional, research, and public service activities.

Direct Cost: Any costs that can be specifically identified with a particular activity. Generally included are compensation, and supplies and services.

Discipline: A subject or field of teaching, learning, training, study, or research generally recognized by major universities. A profession may be defined in a manner similar to that of a discipline for the purposes of planning.

Division: The support unit of the University below the major administrative unit in the organizational structure which has its own budget and has authorization to conduct activities in support of the academic mission.

Environment: The circumstances, objects, social and cultural conditions by which Michigan State University is surrounded and which influence the existence of the institution or its units.

Full Time Equivalent Faculty/Staff and Students (FTE): The equivalent of one student (or faculty/staff) who is deemed to be carrying a full load in accordance with an institutionally agreed upon convention for converting numbers of specific students/faculty to an equivalent number of full time students/faculty. For support service units this may be specified as an annual, nominal forty hour work week appointment.

Functions: Specific responsibilities which are assigned to the major administrative unit (MAU). Major functional categories for support services are as follows:

Environmental and Facilities Service (including space/grounds/lands, construction/maintenance/operations, safety and risk management, on campus housing, and health services).

Financial Services (including operations, and private fund raising).

Logistical and Material Services (including proper administration of University policy and procedures, University receiving and distribution, affirmative action in procurement, programs, printing operations, and campus mail).

Information Services (including information resource and technology, communications and publications, telecommunications, research development and patent and copyright management, student information, and alumni services).

Individual Services (including cultural services, support service and personnel administration, academic personnel administration, student personnel, intramural sports and recreative programs, intercollegiate athletics, and legal and judicial services).

Goals: The intermediate definition of the University's Mission. Goals interpret and delineate the Mission and identify directions and intentions that apply to the University as a whole. They guide the activities of the institution for the shorter term and help establish priorities.

Headcount: The actual number of students or employees participating at Michigan State University without regard to their "fulltime" status.

Information: The knowledge obtained from investigation, study, facts, or data.

Instruction: Activities carried out for the express purpose of eliciting some measure of educational change in a learner or group of learners.

Major Administrative Unit (MAU): For the purposes of planning, Major Administrative Units are primary academic and support service budgetary units. Included are the colleges, Urban Affairs Programs, National Superconducting Cyclotron Laboratory, Provost-Vice President for Academic Affairs, Lifelong Education Programs, the Vice President for Health Services and Facilities, Vice President for Research and Graduate Studies, Vice President for Administrative and Public Affairs, Vice President for University Development, Vice President for Finance and Operations and Treasurer, Assistant Vice President for Business and Finance--Physical Plant, Assistant Vice President for Business and Finance--Financial Operations, MSU Alumni Association, and the President.

Mission: The statement of enduring principles and responsibilities of Michigan State University.

Objectives: The definable accomplishments which describe performances derived from goals. Objectives may be assessed at a specific time with appropriate instrumentation. The means by which College/MAU roles and University goals are realized. Objectives identify hierarchical, discrete, finite, measurable increments or steps that a College/MAU plans to take in the process of fulfilling its intended role. Objectives should be consistent and realistic.

Opportunity: A favorable chance for progress.

Outcomes: Specific accomplishments which will enable departments/schools/divisions to reflect achievement of objectives and purposes. Accomplishments may be of a quantitative or a qualitative nature.

Profile: An outline or set of data portraying the significant features of a program or unit. A planning profile implies that the notion of comparative data or norms be matched with the aims and purposes of departments/schools/divisions and the roles and objectives of the College/MAU.

Program: An academic program is defined as an organized instructional, research, and/or public service activity (or a coherent set of activities) conducted on or off-campus by an administrative unit (or in certain cases by more than one); defined by specific purposes or objectives; staffed by persons explicitly associated with it; and supported by an identifiable (but not necessarily separate) budget or budgets.

Critical Core of Specialties: Those distinctive components that are essential to the accomplishment of instruction, research or public service within a particular academic program. These may be distinguished as a course or set of courses that must be offered or as areas of faculty research or public service expertise.

Data Elements: Those facts related to students, facilities, faculty/staff, finances, and programs.

Support Services Program: Those activities or operations that support or provide service to the instruction, research, and public service activities of departments or schools/colleges and the overall mission of the University.

Public Service: The extension of knowledge or information through all available media for well-being and development of society and the people. Public service activities of faculty and staff are assigned responsibilities that contribute to the purpose of the department/school.

Purpose: A statement of responsibilities and aspirations of a department/school/division as it exists within College/MAU roles and University Mission.

Research: Fundamental contributions to the creation, organization, application, validation of knowledge; to the solution of problems; and to the improvement of the quality of life.

Role: The basic aspirations, intentions, and responsibilities of a Major Administrative Unit as it relates to the University Mission.

School: At Michigan State University, a school is at the same organizational level as a department.

Student: An individual who is admitted to or enrolled in the University.

Student Credit Hours: The credit hour value of a course or courses, multiplied by the number of students enrolled.

Threat: An indication of an impending condition or circumstance which will damage a program or unit.

Data:
Planning Base

To manage and lead an organization well is to manage its future; and to manage its future is to manage information.

--Marion Harper, Jr.

DATA AS A PLANNING BASE

The use of data and information as a foundation for planning builds a basis on which alternative courses of action may be rationally considered.

At Michigan State University, the data and information base approach to planning is consistent with the Mission and with the manner in which the University is administratively organized. It is based upon data and information relating to Mission, roles, and purposes. Planning data will focus on the major instruction, research, and public service missions of the University.

University administrators are faced with academic program decisions that can be categorized into five groups:

--Students
--Programs
--Personnel
--Finances
--Facilities.

Support service program decisions can be categorized into three groups:

--Academic support services
--Student services
--Administrative services

The categories are not discrete; however, planning is more manageable if the categories are analyzed separately and then aggregated in multiple ways to provide the profiles necessary for planning.

Data are collected at the lowest common denominator among the units, the academic department/school or support division. As data base profiles of administrative units are developed, the material requires only an annual update to keep the future horizon extended to a "rolling" or cyclical process that takes into account experiences or anticipated changes in the environments

The draft of the quantitative component of the academic program unit profile is included in this section of the Guide for reference. The qualitative components and the companion support services program profile structure is yet to be developed at Michigan State University.

IT IS NECESSARY FOR PLANNERS TO TRANSLATE DATA INTO THE INFORMATION ESSENTIAL FOR PLANNING.

Unit Profile:
MSU

RECOMMENDED REVISION OF THE OHIO STATE FORMAT

DATA PROFILE FOR THE DEPARTMENT OF _____

Line No.	Description	Historical Years 79-80	80-81	81-82	82-83	83-84	Current Year 84-85	Future Projections 85-86	86-87	87-88
1.0	Undergrad SCH - lower division (FY)									
2.0	- upper division									
3.0	Graduate SCH									
4.0	Graduate-Professional SCH									
5.0	Ranked Faculty FTE									
6.0	Grad Asst. FTE									
7.0	Other Instructional Staff FTE									
8.0	Total Instructional Staff FTE									
9.0	A-P Staff FTE									
10.0	C-T Staff /fte									
11.0	Other Support Staff FTE									
12.0	Total Support Staff FTE									
	Total Staff FTE									
14.0	Tenured Faculty/Ranked Faculty									
15.0	Tenured Faculty/(Ranked Faculty + Other Instructional Staff)									
16.0	Grad Asst/Ranked Faculty									
17.0	Support Staff/Total Staff									
18.0	Other Instructional Staff/Total Instructional Staff									
19.0	General Fund Budget (11 Account)									
20.0	Auxiliary Ast. Fund (21 Account)									
21.0	Designated Fund (31 Account)									
22.0	General Ledger Account (51 Account)									
23.0	Expendable Restricted Fund (71 Account) - Federal									
24.0	- Non-Federal									
25.0	Agricultural Experiment Station Funds									
26.0	Cooperative Extension Funds									
27.0	Total									

Phase One

DEVELOPING DRAFT

DATA PROFILE FOR THE DEPARTMENT OF _____
Continued

Row No.	Description	Historical Years 79-80	80-81	81-82	82-83	83-84	Year 84-85	Future Projections 85-86	86-87	87-88
28.0	FY SCH/FTE Ranked Faculty									
29.0	FY SCH/Instructional Staff FTE									
30.0	GF Budget/FY SCH									
31.0	Wt. Average Section Size									
32.0	Org. Class Hours/FTE Instructional Staff									
33.0	FY Degrees Awarded - bachelors									
34.0	- masters									
35.0	- doctoral									
36.0	- grad-professional									
37.0	Fall Term Majors - lower division									
38.0	- upper division									
39.0	- masters									
40.0	- doctoral									
41.0	- grad-professional									
42.0	Professional Accomplishments - published output									
43.0	- refereed papers									
44.0	- books									
45.0	- delivered papers									
46.0	- major accomplishments									
47.0	- administrative activities									
48.0	- proposals									
49.0	- evidence of merit									
50.0	Minority Ranked Faculty									
51.0	" Other Instructional Staff									
52.	" Support Staff									
53.0										
54.0	Female Ranked Faculty									
55.0	" Other Instructional Staff									
56.0	" Support Staff									
57.0										
58.0	Minority Student Majors									
59.0	Female Student Majors									

DATA PROFILE FOR THE DEPARTMENT OF _____

I. STUDENT TRENDS

A. Fall Term Majors

Student Level	Historical Data 1980-1	1981-2	1982-83	1983-4	Current Year 1984-5	Future Projections 1985-6	1986-7	1987-8
LD								
UD								
UG Total								
Master								
Doctoral								
Grad Total								

B. FY Degrees Awarded

Student Level								
LD								
UD								
UG Total								
Master								
Doctoral								
Grad Total								

C. FY SCH

Student Level								
LD								
UD								
UG Tota								
Master								
Doctoral								
Grad Total								
Percent of Total SCH from Enroll. outside the Coll.								

Phase Two

DEVELOPING DRAFT

Course Level								
0-299								
300-499								
Total UG								
500-699								
800-899								
900-999								
Grad Total								
Total								

D. Graduate Admissions

Master Degree Prog.								
Applicants								
Accepted								
Newly Enrolled								

Doctoral/C-P Deg. Prog.								
Applicants								
Accepted								
Newly Enrolled								

I. Student Trends (continued)

E. Flow of Majors

Cohort: First Time Freshmen Entering During:	Number of Majors as of Start of 1st yr	2nd yr	3rd yr	4th yr	5th yr	6th yr	7th yr	8th yr
1976-77								
1977-78								
1978-79								
1979-80								
1980-81								
1981-82								
1982-83								
1983-84								

F. Persistence

Cohort: First Time Freshmen Entering During:	Persistence Percentage (Enrolled + Graduated) After 1st yr	2nd yr	3rd yr	4th yr	5th yr	6th yr	7th yr	8th yr
1976-77 orig. majors								
current (last majors)								
1977-78 orig. majors								
current (last majors)								
1978-79 orig. majors								
current (last majors)								
1979-80 orig. majors								
current (last majors)								
1980-81 orig. majors								
current (last majors)								
1981-82 orig. majors								
current (last majors)								
1982-83 orig. majors								
current (last majors)								
1983-84 orig. majors								
current (last majors)								

		Historical Data			Current Year	Future Projections	
		1980-1 1981-2	1982-83	1983-4	1984-5	1985-6	1986-7 1987-8
General Funds FTE							
Instructional Staff	Tenured Faculty						
	Non-Ten., Ten. Sys. Fac.						
	Other Ranked Faculty						
	Total Instr'l Staff						
	Grad Asst						
	Total Instr'l Staff						
Support Staff	Non-Instr'l Board Appt.						
	AP						
	CT						
	Other						
	Total Support Staff						
All Funds FTE							
Instructional Staff	Tenured Faculty						
	Non-Ten., Ten. Sys. Fac.						
	Other Ranked Faculty						
	Total Instr'l Staff						
	Grad Asst						
	Total Instr'l Staff						
Support Staff	Non-Instr'l Board Appt.						
	AP						
	CT						
	Other						
	Total Support Staff						
Staffing Ratios (in percents)							
General Funds							
	Ten Fac/Ten sys fac						
	Ten fac/total ranked fac						
	Total ranked fac/total instr'l staff						
	Total ranked fac/total instr'l staff						
	CA/total ranked fac						
	support staff/total dept staff						
All Funds							
	Ten Fac/Ten sys fac						
	Ten fac/total ranked fac						
	Total ranked fac/total instr'l staff						
	CA/total ranked fac						
	support staff/total dept staff						

Ranked Faculty Age Profile

≤30	31-35	36-40	41-45	46-50	51-55	56-60	61	62	63	64	≥65

III. FUNDING TRENDS

	Historical Data 1980-1	1981-2	1982-83	1983-4	Current Year 1984-5	Future Projections 1985-6	1986-7	1987-8
A. All Funds Distribution								
General Fund (11 acct)								
Aux. Activities Fund (21 acct)								
Designated Fund (31 acct)								
Expendable Restricted Fund (71 acct)								
- federal								
- non-federal								
Cooperative Ext. Service Funds								
Agric. Exp. Station Funds								
Total								
ratios: GF/Total								
71 acct/GF								
(71 acct+AES)/GF								
B. General Fund Expenditures								
Percent Distribution								
academic salaries								
support staff salaries								
labor								
supplies & services								
equipment								
Ratios:								
total GF/FY SCH								
SAS/GF Total Staff FTE								
Equip/ranked fac FTE								

IV. Workloads and Outputs

A. Professional Accomplishments								
Published output								
Refereed papers								
books								
Delivered papers								
Major prof. accompl.								
Admin. activities								
Advising								
Proposals								
Evidences of merit								
Patient care								
B. All Funds Effort Distribution in FTE								
Scheduled instr.								
Advising/counseling								
Other instr.								
Total Instruction								
Research								
Public Service								
Administration								

tion IV (continued)

C. Section Size Distribution

Course Level	Enrollment	Historical Data 1980-1	1981-2	1982-83	1983-4	Current Year 1984-5	Future Projections 1985-6	1986-7	1987-8
Undergrad	1-10								
	11-20								
	21-35								
	36-50								
	51-100								
	101-200								
	200								
Graduate	1-10								
	11-20								
	21-35								
	36-50								
	51-100								
	101-200								
	200								

D. Workload Measures

	Historical Data 1980-1	1981-2	1982-83	1983-4	Current Year 1984-5	Future Projections 1985-6	1986-7	1987-8
Weighted Avg.Sect.Size-Undergrad								
-Grad								
SCH/Instr'l FTE								
Org. Class hrs/Instr'l FTE								
Total Class hrs/Instr'l FTE								

E. Distribution of Class Hours for
OF Ranked Faculty AY FTE

Contact Hrs/AY	Historical Data 1980-1	1981-2	1982-83	1983-4	Current Year 1984-5	Future Projections 1985-6	1986-7	1987-8
0								
.01 - 3.99								
4.00 - 7.99								
8.00 - 11.99								
12.00 - 15.99								
16.00 - 19.99								
20.00 - 23.99								
24.00								
Total								

PROCEDURES

SECTION FOUR

PLANNING PROCEDURES

The procedures, or the particular ways of planning at Michigan State University, are derived from a structure for planning that is a comprehensive institutional decision making process. The planning structure broadly covers the academic program and support services program Mission of the University. That planning structure is extended to include:

--Relationships between academic program and support services program planning.

--Sequence of planning activities.

--Mechanisms of recurrence between planning participants.

	PAGE
Planning Structure.....	37
Academic and Support Planning.....	38
Planning Sequence and Recurrence.....	42
Planning Incentives and Linkages.....	47

Success is a product of unrelenting attention to purpose.

--Benjamin Disraeli

PLANNING STRUCTURE

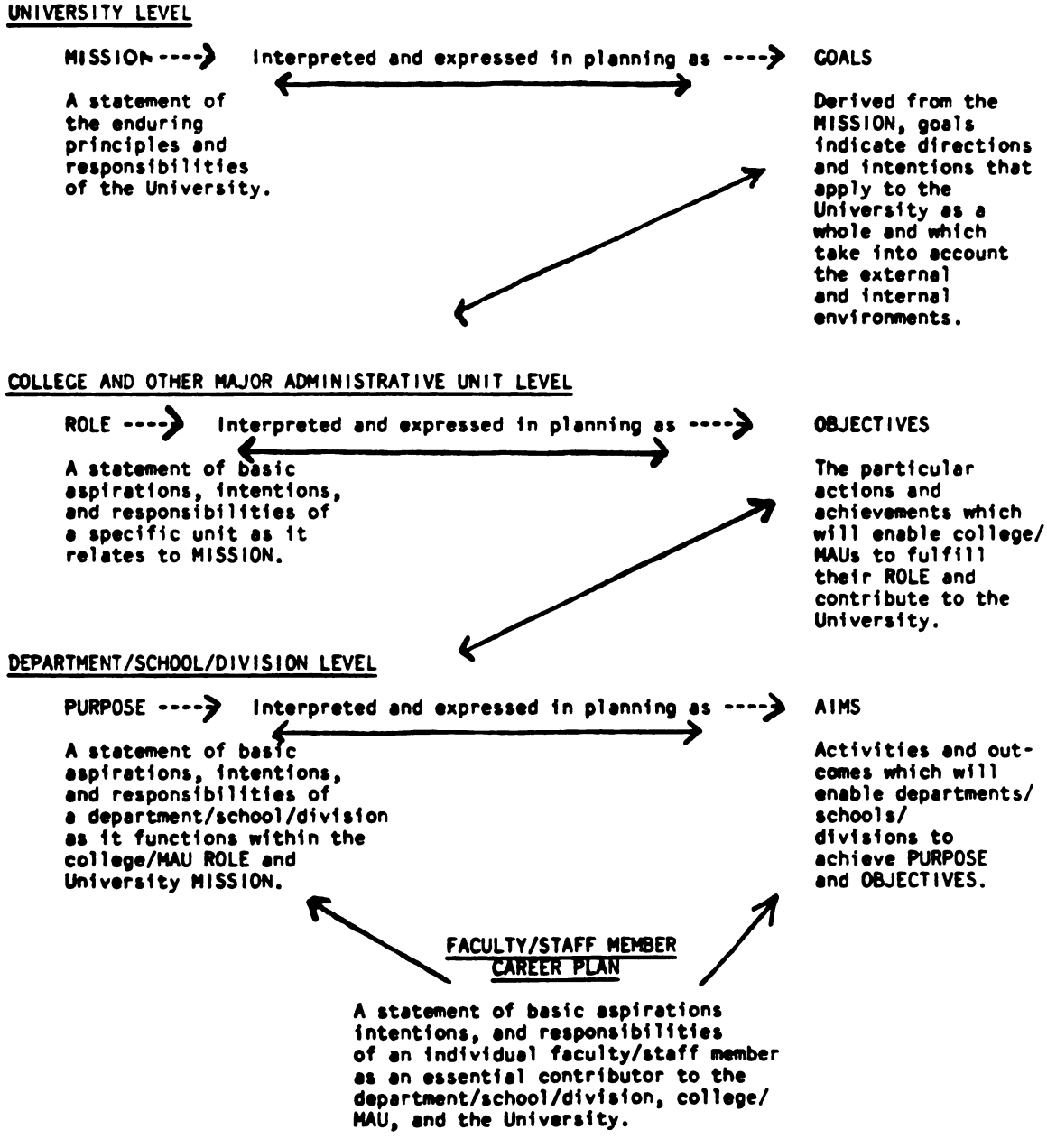
The success of Michigan State University relies upon the strengths of the units as individual departments/schools/divisions, as well as contributors to the Mission of the University. Likewise, the success of each unit is dependent upon both the overall strength of the University, and its independent status within each discipline or profession. A centralized planning structure, rooted in the academic and support service units, can optimize that synergistic relationship.

The planning structure illustrates the increasing specificity of articulated aims and responsibilities from the general University Mission to the more specific department/school/division purpose. The development of those aims and responsibilities is a fully bi-directional process as the unique strengths and disciplines of the units potentially impact the focus of the entire University.

The differences within the purposes of academic and support units illustrate the great diversity of a large, complex, decentralized, public university. One unit's purpose may be vastly different from that of another unit. However, the structure for developing and reaching an understanding of the different units' purposes follow parallel paths. Each department/school/division clearly relates its purpose to the college/MAU roles that have been derived from the University Mission. Likewise, the department/school/division aims relate to the college/MAU objectives and University goals. At Michigan State University, planning has a centralized thrust that recognizes the great strength of unit diversity while accepting the necessity for insititution-wide decision making.

Beyond traditional reporting requirements, hierarchical communication up and down the administrative structure is necessary to provide the user of planning documents with the information needed for decision making at the three major administrative levels.

At Michigan State University, planning components for academic program units and support service units are related to the administrative structure and utilize a common planning terminology. The planning structure for academic program planning and for support services planning is illustrated on the following page:



THE PLANNING STRUCTURE FOR ACADEMIC PROGRAM AND SUPPORT SERVICES PROGRAM PLANNING

Integrated
Academic and
Support Planning

Quality is never an accident. It is always the result of intelligent effort. There must be the will to produce a superior thing.

--John Ruskin

It is not enough to have great qualities; we should also have the management of them.

--La Rochefoucauld

RELATIONSHIP BEETWEEN ACADEMIC PROGRAM AND SUPPORT SERVICES PROGRAM PLANNING

Major academic program and support service units plan within the framework of comprehensive University planning.

"Plans are formulated and programs identified in terms of the University's instruction, research, public service, and support service missions." Units "develop conceptual statements of their roles and responsibilities--the equivalent of the University Mission, and then where appropriate, define specific objectives that particularize the unit's role. Program and financial planning by units takes place within the framework of unit roles, responsibilities, and objectives, as well as within the more general University planning context." (Statement of Long Range Strategic Planning)

At Michigan State University, both academic and support service units plan on a programmatic basis.

"The concept of the program is difficult. At a university as large, complicated, and decentralized as MSU, "program" will be interpreted and applied in many different but meaningful ways. Although it is a complex term, it is nevertheless fundamental to the planning process. "Program" must be given meaning by the units through the process itself." (Statement on Long Range Strategic Planning)

"Program planning will include the definition of objectives and the means for achieving them, the analysis and evaluation of the program's effectiveness, assessment of alternatives for making improvements, a projection of future plans for unit programs. These should be consistent with the role, responsibilities, and priorities of the college and of the unit itself, as well as with the Mission and goals of the University. Program planning should also be based on realistic long-range budget, enrollment, and facility projections and other appropriate planning assumptions." (Statement on Long Range Strategic Planning)

"University planning cannot be neatly separated into academic planning as distinct from support service planning. Planning in the support services must carefully consider the demands of academic program plans and decisions. Therefore, planning in many of the support areas will closely follow the academic planning. Certain other support activities, however, do not depend so directly on academic planning. Therefore, in areas such as the quality and character of plant maintenance, utility systems, the efficiency and effectiveness of personnel, and the public relations programs, planning may take place somewhat independently of such academic programs." (Statement on Long Range Strategic Planning)

More specifically, two program statements delineate the scope of academic programs and support services programs.

Academic Programs . The Academic Programs Statement describes, from a comprehensive University perspective, the undergraduate, advanced study, research, and public service programs of Michigan State University. Besides describing the University's academic programs, the statement also enunciates general goals and objectives for academic programs. Formulated with the advice of the Council of Deans, Academic Governance, and the Board of Trustees, the statement is intended to guide departments, schools, colleges, and other units in delineating their roles, objectives, programs, and plans for the future. At the unit level, the complementary statements will be the statements of roles and objectives and program plans. (Statement of Long Range Strategic Planning)

Academic Programs: Michigan State University is included in this Guide for reference.

Support Services Programs. Support services comprise, from a comprehensive University perspective, academic support services such as admissions, libraries, computer laboratory, laboratory for animal care, instructional media, broadcasting services; and student services such as counseling center, placement, financial aid, programs for handicapped students, and recreation. Also included are the major administrative functions of the University, such as finance, personnel, placement, data processing, safety, maintenance, health, public relations, development, and alumni relations. (Statement on Long Range Strategic Planning)

University support services operate to facilitate and enhance the institutional missions of instruction, research, and public service. Some of the support service areas share with academic program administration the responsibility for insuring policy and procedural accountability. Such services are responsible for insuring an environment conducive to effective living, working, teaching, learning, and scholarship. (Statement on Long Range Strategic Planning)

Organized according to major support functions, the Support Services Program statement includes brief descriptive accounts of major university services and enunciates overall goals and criteria against which these services are reviewed. Prepared by the responsible administrative officers with the advice of representative academic and non-academic administration and staff, the Council of Deans, Academic Governance, and the Board of Trustees, the Support Services Program statement provides a context in which planning can be coordinated and guides support units in defining their roles, objectives, programs, and plans for the future. (Statement on Long Range Strategic Planning)

Support Services Programs: Michigan State University is included for reference in this Guide.

MICHIGAN STATE UNIVERSITY

Office of the Provost
May 27, 1983

ACADEMIC PROGRAMS: MICHIGAN STATE UNIVERSITY

Michigan State University carries out its mission* as a major public academic institution by discharging three primary responsibilities: instruction, research, and public service. Academic excellence is a fundamental goal, a goal achieved through the combined efforts of faculty, students, staff, and administrators throughout the institution. With the faculty and the academic administrators lies the primary responsibility for achieving and maintaining academic excellence. The history of Michigan State University has been characterized by increases in the scope and quality of instruction, research and public service programs. The University's ability to enhance cultural institutions and the economy is dependent on sufficient resources to support innovations, to sustain quality, and to capitalize on new opportunities. The public interest would be served by increases in resources available to Michigan State University from public and private sources to permit this tradition of enhancement of scope and quality to continue.

In discharging the responsibilities of instruction, research, and public service, the departments, schools, and colleges have varying roles and program objectives. These differentiated roles must be acknowledged, but they must also be viewed in the context of the University's overall mission and goals. The quality, effectiveness, and efficiency of units and their programs are assessed by the faculty and academic administrators, including the deans and the Office of the Provost.

Maintaining academic excellence in the midst of changing financial conditions demands constant attention to the University's mission and goals, and requires a continuous process of University-wide strategic planning. This paper on Academic Programs is one aspect of the planning process. It reflects the thinking of many of the University's faculty and academic administrators, and is intended to guide departments, schools, colleges, and other units in delineating their goals, objectives, programs, and plans for the future.

Although this paper focuses sequentially upon undergraduate education, advanced studies, research and creative activity, and public service, there are essential synergistic relationships among these components. Thus, any division of the total enterprise of Michigan State University is somewhat artificial and is largely to make analysis, review, and planning more manageable. Faculty in many units teach both undergraduate and graduate students and engage in research and public service. The complex relationships among kinds of activity--research, teaching, and public service--are rich and lead to unpredictable benefits. For example, one faculty member discovers the need for a research project because of insight gained through a public service activity. Another creates a new course, important to undergraduate students, because of discoveries in a research project and a related seminar developed for graduate students. A graduate assistant finds that a method of teaching courses is so innovative that a dissertation project results.

*The Mission Statement of Michigan State University, as approved by the Board of Trustees on June 25, 1982, is attached (see Appendix A).

Quality Considerations

A university gains national and international standing because of the high academic quality of its faculty and programs. Also crucial in any attempt to achieve excellence are the caliber of the students, the quality of the teaching-learning process, and the total institutional environment. At Michigan State University, excellence in program development is combined with recruitment and retention of the strongest possible faculty in the disciplines and professions in order to achieve superior results in teaching, research, and public service.

Michigan State University aspires to high quality programs through which students can achieve both academic excellence and the ability to use their knowledge practically within the context of their personal and professional goals. In keeping with its land-grant philosophy, this institution maintains continuity between its original programs and the changing needs of students, the community, the state, the nation, and the world. The history of the educational programs here reveals a pattern of meaningful changes, leading to innovative and solidly based opportunities for study and advancement in a wide range of disciplines and professions.

The heart of academic excellence lies in the quality of the faculty and the academic programs. Academic programs are developed by the faculty, and are supported and facilitated by the administration and by various support units. The many support services provided at Michigan State have as their purpose and justification their usefulness to the academic enterprise. The quality of support units must be measured by effectiveness and efficiency in meeting this objective.

Judging the quality of an institution and its academic programs is a complex process. Although quantitative considerations are important, evaluations of academic quality must rest primarily on the assessments of qualified peers, both internal and external to the University, on the satisfaction and accomplishments of students as they work toward degrees, on the institution's record of placing its graduates, on research and creative contributions that increase knowledge, on public service that brings knowledge to the analysis and solution of problems, and on consideration of such elements as the following:

- Faculty members who are fully qualified and prepared for their responsibilities; who are consistently strong in professional performance; who are committed and effective teachers; who engage in research and publish scholarly contributions that win respect in the national and international community of scholars; who are active and effective in public service by disseminating knowledge; who participate in activities that promote the excellence of the University; and who gain recognition among peers who serve at other major universities.

- Students who are well-qualified and prepared for university study, or who show the potential for that study; who are highly motivated and accept the responsibility for participating in the educational process; who make good academic progress; who attain competence in their chosen programs; who are placed in positions that enable them to become useful members of society; and who give continuing evidence of both intellectual and personal development.

- Curricula that provide students with the best possible preparation in major fields, as well as a strong liberal and general education; that balance required courses with enough elective and cognate choices to permit students to build individual competencies; that offer both breadth and depth in a coherent and fully integrated format; that foster intellectual curiosity; and that are dynamic so that students receive the most current knowledge available.

- A teaching-learning process characterized by excellent preparation and presentation by instructors; by various modes of delivery including independent learning opportunities; by faculty support for student learning; and by fair evaluations of the academic achievements of students.

- A reciprocity among instruction, research, and public service activities that enriches all students' education, both directly and indirectly.

- A process of monitoring, deliberating, and recommending policies and procedures at the unit, college, and University levels in order to assure high quality instruction, research, and public service programs. Important in this process is the role of various faculty and student committees, particularly the Faculty Council, Academic Council, Student Council, and the standing committees of Academic Council.

- A supportive environment which includes superior facilities (library, laboratories, computer and other learning resources); expert advising and career development, as well as counseling, health, and placement services; a rich intellectual, cultural, social and recreational environment; numerous community-based learning and developmental opportunities; and the avenues to develop stimulating academic relationships among faculty members and students.

If academic quality is to be sustained and enhanced, adequate funding of the University is absolutely necessary. Inadequate financial support of ongoing and new academic activities will ensure outcomes that will not be at a level of quality that serves the public well. Michigan State University seeks adequate resources to support all of the academic and support programs appropriate to its mission.

Undergraduate Programs

Undergraduate education at Michigan State University has evolved to its present size and comprehensiveness in answer to both the University's land-grant responsibility and the expanded public need for educational opportunity. In all, over two hundred twenty baccalaureate degree programs are offered. The overall quality of the undergraduate programs is superior. Attention has long been focused on the quality of the faculty, the curricula, the teaching-learning process, the learning environment, and the students themselves. A primary and fundamental purpose of undergraduate education is to expand each student's awareness of the many dimensions of humanity's intellectual and creative achievements. Superior education also challenges each student to understand that acquisition of knowledge enriches the quality of life.

Student Recruitment and Admission

In concert with its stated educational philosophy, Michigan State University actively seeks a diverse and well qualified student body. It provides educational opportunities to students from various academic preparations and locations--students who have different aptitudes, interests, and educational goals. This University adheres to the policy that educating students from varying backgrounds and with varied educational objectives is in the best public interest.

One major objective of the University's recruitment efforts is to increase enrollment from underrepresented groups, while ensuring that traditional students continue to be attracted. Michigan State University provides outstanding educational opportunities for especially talented students. It recruits those students actively, and maintains programs specifically for their full and wide-ranging development. But the University also stresses its commitment to non-traditional students who bring important new perspectives and needs to the educational process.

Michigan State University regularly serves students from all parts of Michigan, including both rural and urban areas, from other states, and from many foreign countries. Increasing the number of foreign undergraduate students, within available program capacity, enhances the cosmopolitan character of the University. Not only do Michigan and other domestic students benefit greatly from knowing students from other countries, they also have an opportunity to understand the values, characteristics, and ambitions of foreign students. Such understanding will serve all Michigan citizens well in international business and commerce, international relations, and world affairs. Increasing the number of undergraduate foreign students is also consistent with this society's tradition of assistance to other countries. The University can provide educational opportunities, not otherwise available, to citizens of developing countries.

Admission policies at Michigan State University are designed to identify students who can complete the academic programs successfully. Students are admitted on the basis of their academic qualifications or on the basis of their demonstrated potential for academic achievement. Admission policies are established in consultation with the faculty. Changes in academic standards for such purposes as to reverse declining enrollment levels would not be appropriate.

At Michigan State University, undergraduate students are admitted to the University, not to specific programs. Student interests change, often frequently. Indeed, the very exposure to different fields which is implicit in the process of education causes many students to discover new interests and to shift direction. Enrollment in the University itself, then, makes the process of finding the right major and career both efficient and positive.

Curricula and Course Offerings

To serve its varied student body, Michigan State University offers a comprehensive undergraduate program with teaching-learning opportunities based on faculty expertise, student characteristics, and valuable subject matter. It offers a wide choice of majors in a large number of academic units. Additionally, within many of these majors are options for different tracks, specializations, or sub-specializations which can be constructed by choosing among alternative required courses or numerous electives. This array of

programs and courses developed over the past several decades as the University responded to changes in knowledge, student interests, faculty interests, and the nature and needs of constituencies throughout Michigan, the nation, and the world.

Michigan State University welcomes the student who is not yet ready to choose a major. The "no-preference" student is given ample opportunity to experience many educational possibilities during the first year, or two years, of enrollment. Careful advising by the University's faculty and advising specialists enhances the student's ability to make meaningful personal decisions about academic options and major fields.

This University has a long-standing commitment to general, liberal instruction for all its undergraduates. In 1972, and again in 1980, the faculty reaffirmed its commitment to general education, and adopted the policy that responsibility for general, liberal education instruction should be extended to a larger number of departments. After careful review by faculty, general education grouping proposals were implemented in the fall of 1982. By action of the faculty, the responsibility for general education extends to twenty-one departments, with the potential for that number to increase in future years. An expert command of subject matter, coherence, and integration are essential for a quality general education program which is required of all undergraduate students.

There are pervasive interdependencies among academic units involved in undergraduate education. The creation and support of University-wide disciplinary departments (e.g., chemistry, economics, languages, mathematics, psychology) which have basic instructional responsibilities for the total undergraduate student body attest to this commitment, as does the University's commitment to general, liberal education and its adherence to the principle of students' freedom of choice in selecting programs and courses for which they are qualified. This organization, built as it is on these interdependencies, strengthens the quality of undergraduate education while also permitting the efficient use of resources and the development of strong graduate, research, and public service programs.

Most Michigan State University students, regardless of their majors, take courses in many departments and schools, and in several colleges. Consequently, academic units have a special responsibility in both curriculum development and teaching to assure that learning experiences are relevant to students from varied backgrounds, and that students have access to that array of disciplinary and professional instruction needed in strong undergraduate programs. All colleges with undergraduate majors have a basic vested interest in the quality of service courses offered across the University. The Office of the Provost and University academic governance groups share the responsibility for monitoring standards of quality. The administrators and faculty of individual departments, schools, and colleges must understand and act responsibly to meet University-wide needs.

To maintain diversity and strength in major programs, and consequently to maintain the quality of undergraduate education, reviews of the undergraduate curricula must include a careful assessment of the programmatic contributions of each course to the core of major and University programs, the overlap of subject matter or applications of subject matter within existing courses, and the contributions made to general and liberal and professional education. Undergraduate programs can be strong academically even during periods of limited resources, so long as the interdependencies and commonalities among the

academic programs of various departments, schools, and colleges are fully utilized. A continuous assessment of the pattern of undergraduate programs and course offerings is necessary to ensure high quality, as well as breadth, depth, and timeliness, within resources currently available.

Michigan State University will continue its tradition of offering outstanding undergraduate programs with a special concern for the needs and interests of its diverse undergraduate student body.

Instruction and Academic Support Systems

At Michigan State University, nearly all faculty teach undergraduate students. The most esteemed scholar, the most active writer, the internationally known researcher--all contribute to the quality of the undergraduate program by encouraging students to share in exciting results of research and scholarship.

Faculty involvement in undergraduate instruction that is designed to promote the understanding of a discipline and its applications by students from across the University tends to abate the tendency toward a narrow focus that can arise when the faculty member is primarily or exclusively occupied with research and advanced study programs.

The University takes pride in the many faculty members, both junior and senior, who have studied at a variety of prestigious institutions and have been honored and recognized by their peers and their professional organizations nationally and internationally. The cultural diversity of the faculty contributes to the breadth of undergraduate education by exposing students to various role models, and by providing broad perspectives on subject matter, as well as on the educational experience itself. This diverse and expert faculty creates a challenging matrix of ideas, and provides opportunities for the intellectual, social, and personal growth of the undergraduate students.

In addition to selecting academic programs and instructors, students at Michigan State University are also given the opportunity during their course of study to learn through various delivery modes, e.g. lectures, a combination of large lectures and small-group discussions, workshops, tutorials, field study, independent projects, group projects, and other variations on traditional models. Some classes at this University may also involve video- and audio-taped instruction; televised and filmed instruction; programmed self-help or instructional sessions; and computerized learning programs. Because a range of delivery modes does exist, students are often able to select courses which are compatible with their personal learning styles. At Michigan State University, delivery modes attempt to satisfy, within available resources, the demands and needs of students, instructors, and the content of various courses.

Students also have a range of residential programs and living options. Some students prefer to live and study with other students of similar interests or majors; such living option programs are offered for students interested in international studies and by the Honors College. James Madison College and Lyman Briggs School offer residential program options which fuse curricular and co-curricular life. Other students prefer to live amid a diversity of students in residence halls or in off-campus housing. Some commute from within the Lansing area as well as beyond.

Educational opportunities are not limited to Michigan State's home campus and regional centers. The Office of Overseas Study offers term, summer, and year-long programs in many countries of eastern and western Europe, Asia, and Latin America.

Important corollaries to a diverse instructional program are the University's advising system and its total student support program. Academic units have the primary responsibility for providing academic advice to students. Faculty and specialists advise and counsel students in many departments, schools, and colleges, as well as in the Undergraduate University Division, residence halls and the Counseling Center. The latter facility provides personal-social adjustment counseling and offers a full range of interest, aptitude, and personality tests. Special services for disadvantaged, minority, and handicapper students are provided by the Office of Supportive Services and the Office of Programs for Handicapper Students. The University provides such services as the Student Employment Office, the Olin Health Center, the Office of Financial Aids, the Career Information Center, the Placement Service, the Office of International Students and Scholars, and a variety of student activities offices (governing groups, student publications, student affairs, and numerous leisure-time organizations). Also available to any interested student is the Service-Learning Center, where well-trained personnel help students increase their capacity to benefit from formal course presentations.

This University considers these student support services essential, because one of its primary commitments is to help students complete their education. One principle of education extends the University's responsibility for learning even beyond excellence in classroom instruction, to a tangible concern with the student's learning out of class, well-being and progress toward a degree. In countless ways, faculty and staff are supportive of students. Similarly, curricula and programs, as well as support structures, are designed to enhance student motivation and total development in addition to providing information. Continuing attention to such factors encourages students to select Michigan State University and to persist to graduation.

As part of its responsibility to students, Michigan State University offers a number of avenues for recognizing academic achievement. The Honors College provides high achieving undergraduate students opportunities to develop especially challenging programs of study. Membership as a student in the Honors College is recognition of excellent academic performance. Academic achievement is recognized through honorary and professional organizations such as Phi Beta Kappa, programs for high-achieving freshmen, Deans' Honors Lists, countless unit and field awards, prizes and honors, and graduation honors. Michigan State University also places emphasis on its Developmental Admissions Program for educationally disadvantaged students who have academic potential. The University has long been interested in working with high school students; many younger students come to campus during summers for special programs, and students take courses at Michigan State under the High Achieving High School Student program.

Financial Aid

As part of its land-grant mission, Michigan State University helps qualified students with need find financial aid for their education. A combination of federal, state, and University General Fund dollars has historically provided adequate financial support for needy students. Changes in public policy as now reflected in proposed federal and state budgets will reduce funds available for student financial assistance. Such reductions will cause problems for this University because it has neither a large endowment nor a substantial private giving program to commit to financial aid. Rather than rely on limited General Fund dollars to make up decreases in funding, the University plans to seek increases in private giving for student financial aid to maintain access to educational opportunity.

Administration of and Resources for Undergraduate Education

Responsibility for the education of each undergraduate student lies primarily with the faculty members who teach the courses. Others responsible include chairpersons of departments, directors of schools, academic deans, and the Provost. General administrative responsibility and authority for undergraduate education has been delegated to the Provost by the Board of Trustees and the President of Michigan State University. In a large sense, however, undergraduate education is substantially decentralized; each department, school, and college plans suitable curricula and instruction for its majors, as well as for those students taking service, elective, and cognate courses. Undergraduate education benefits from the specialization and quality made possible by curricular and personnel decisions of departments, schools, and colleges. These units provide essential guidance and counseling to students. Undergraduate education benefits as well from the careful and conscientious overview of the Office of the Provost, and of respective University committees (see Bylaws for Academic Governance, 1978).

The primary resources for undergraduate instruction are University General Funds. General Fund allocations to academic units are to support instruction for a variety of students, not just for majors or for students within the college. The students and the University benefit from special grants for designated programs (Vetward Bound and Upward Bound students, biomedical students, handicapper student services, and supportive services for disadvantaged and minority students, among others).

Advanced Studies Programs

Programs of advanced study are the graduate, graduate-professional, postdoctoral, and residency programs. Any sharp separation of these from undergraduate instruction, research, and public service could be misleading, however, because in a land-grant university which is also a member of the Association of American Universities (AAU), these elements interlace. Graduate students not only learn highly specialized fields; they also provide valuable undergraduate instruction, research, and public service as they gain from exposure to and participation in the University's varied academic programs and functions that address many needs of people and society.

Michigan State University's national and international reputation as one of the small number of strong graduate and research institutions that make up the AAU is tied very closely to the quality of the faculty involved in graduate education, together with the international competitiveness of the graduates of the University's many advanced study programs. Michigan State University must continue to recruit and retain superior faculty members to sustain excellence commensurate with AAU status.

This University's programs of advanced study provide significant contributions to the economy and to the well-being of the people of Michigan, as well as many beyond this State's borders, through instruction, research, service, and the professional work of those who are graduates of these programs.

Diversity of Advanced Study Programs

Michigan State University offers more than one hundred seventy advanced degree programs including seven different doctoral degrees, twelve different master's degrees, the Diploma for Advanced Graduate Study, and the Educational

Administration of and Resources for Undergraduate Education

Responsibility for the education of each undergraduate student lies primarily with the faculty members who teach the courses. Others responsible include chairpersons of departments, directors of schools, academic deans, and the Provost. General administrative responsibility and authority for undergraduate education has been delegated to the Provost by the Board of Trustees and the President of Michigan State University. In a large sense, however, undergraduate education is substantially decentralized; each department, school, and college plans suitable curricula and instruction for its majors, as well as for those students taking service, elective, and cognate courses. Undergraduate education benefits from the specialization and quality made possible by curricular and personnel decisions of departments, schools, and colleges. These units provide essential guidance and counseling to students. Undergraduate education benefits as well from the careful and conscientious overview of the Office of the Provost, and of respective University committees (see Bylaws for Academic Governance, 1978).

The primary resources for undergraduate instruction are University General Funds. General Fund allocations to academic units are to support instruction for a variety of students, not just for majors or for students within the college. The students and the University benefit from special grants for designated programs (Vetward Bound and Upward Bound students, biomedical students, handicapper student services, and supportive services for disadvantaged and minority students, among others).

Advanced Studies Programs

Programs of advanced study are the graduate, graduate-professional, postdoctoral, and residency programs. Any sharp separation of these from undergraduate instruction, research, and public service could be misleading, however, because in a land-grant university which is also a member of the Association of American Universities (AAU), these elements interlace. Graduate students not only learn highly specialized fields; they also provide valuable undergraduate instruction, research, and public service as they gain from exposure to and participation in the University's varied academic programs and functions that address many needs of people and society.

Michigan State University's national and international reputation as one of the small number of strong graduate and research institutions that make up the AAU is tied very closely to the quality of the faculty involved in graduate education, together with the international competitiveness of the graduates of the University's many advanced study programs. Michigan State University must continue to recruit and retain superior faculty members to sustain excellence commensurate with AAU status.

This University's programs of advanced study provide significant contributions to the economy and to the well-being of the people of Michigan, as well as many beyond this State's borders, through instruction, research, service, and the professional work of those who are graduates of these programs.

Diversity of Advanced Study Programs

Michigan State University offers more than one hundred seventy advanced degree programs including seven different doctoral degrees, twelve different master's degrees, the Diploma for Advanced Graduate Study, and the Educational

Specialist degree. These degrees are offered in thirteen colleges and cover most of the basic disciplines and many professional fields.

Interdisciplinary degree programs and jointly-sponsored programs are a traditional area of strength at Michigan State University. Many advanced degree programs draw courses, faculty advisory committee members, and special support facilities from several colleges and departments.

Postdoctoral and residency programs are the most advanced levels of programs offered. Postdoctoral programs are available primarily in the natural sciences, and residency programs are available in specialties in the medical colleges and affiliated hospitals. Residents provide substantial instructional services for medical students; postdoctoral fellows provide both research and instructional services.

As diverse as this institution's advanced study programs are, they are not and cannot be all-inclusive. The planning challenge for Michigan State University and its community of scholars is to identify those areas of advanced study which should have continuing support, in addition to choosing new areas of advanced study which will most effectively contribute to excellence and to the achievement of the University's mission in the 1980s and 1990s. The essential issue is to decide, in a time of extremely scarce resources, on the necessary trade-off between sustaining current advanced study programs and reallocating resources to ensure the quality of those programs that are continued. This is a complex and demanding task to be resolved through the planning which now receives continuing attention at Michigan State University.

Curricula, Courses and Instructional Models

Graduate programs range from those which are comparatively rigidly designed, as in medical programs, to those which are highly individualized, as in Ph.D. programs in the basic disciplines. The graduate-professional programs and a number of other programs require supervised clinical or field experiences. All Ph.D and many master's degree programs require a substantial thesis presenting a work of original scholarly research, produced independently by the candidate, under faculty supervision.

Because graduate programs must teach state-of-the-art knowledge and skills, many courses are highly specialized and consequently have small enrollments. Independent study is also a major component of graduate study. In some advanced study programs, some courses are taken outside the major department. Care to preserve the complex array of resources necessary for advanced study and instruction is especially necessary in times of financial stringency.

Ph.D. programs in the basic disciplines and some of the professional colleges are directed toward the development of researchers and scholars. Upon graduation, many of these students join university, industry, government or other research groups where they add to humanity's store of knowledge. Other graduates enter careers in which professional contributions other than research and scholarship will be their central function.

The graduate-professional programs lead to M.D., D.O., or D.V.M. degrees which are professional degrees in clinical fields. Most graduates, after further specialty training, enter the practice of medicine or participate in the health care system in other ways.

Learning by doing under supervision is a key part of advanced study programs. In the Ph.D. programs, students are required to conduct independent research and scholarship, the successful writing about and defense of which meet the thesis requirement for that degree. For graduate-professional students and a series of clinically focused professional degree programs (e.g. audiology, clinical psychology, dietetics, and nursing), working professionally but under close faculty and other professional supervision is crucial to developing independent expertise. In all advanced study programs, faculty members work closely with students. This sponsorship and mentoring of individual students is a primary method of instruction. It is also valuable to the student's placement and later professional development.

In many professions, the qualifying graduate degree is at the master's level. Some areas of study such as audiology and speech sciences, business, education, labor and industrial relations, nursing, social work, urban planning, and the teaching of writing require one or two years of study beyond the baccalaureate degree; and generally include a multidisciplinary perspective and a skills component. These programs are offered by faculty who are fully qualified members of the profession, or who are specialists in supporting disciplines.

Within the arts, the Master of Fine Arts degree (M.F.A.) signifies a special blend of disciplinary knowledge and creative skills in such areas as voice, painting, sculpture, design, acting, and directing. Graduates of these programs demonstrate exceptional levels of talent and creativity, and are qualified to hold faculty positions at the university level.

Another aspect of master's level education is that found in the many disciplinary departments that offer Master of Arts or Master of Science degrees. Some students seek such degrees for personal satisfaction or work-related interest; others complete these degrees as a step to a doctorate. The common characteristic of all such programs is a strong emphasis on the acquisition of knowledge of the principles and modes of inquiry basic to the discipline studied.

Admission, Enrollment, and Placement of Advanced Studies Graduates

Michigan State University attracts top applicants from around the world to some of its advanced degree programs. In other fields, either because of severe enrollment limitations or because of availability of a number of similar programs in other universities, the applicant pool tends to be largely U.S. nationals and Michigan residents. Generally, this University should be more aggressive in recruitment so that high caliber students may be identified and attracted in the maximum possible numbers that can be accommodated. Recruitment efforts must place high emphasis on increasing the number of racial minorities and women in the advanced programs where such individuals are under-represented.

Acceptance of individuals into postdoctoral and residency programs is largely resource limited. When stipends are available, good applicants can be found. Again, emphasis on recruitment of minority students must continue and, in several areas, must be increased.

Placement of graduates from advanced programs is largely a departmental, school, and program function. The Office of Placement Services provides another resource. The two approaches must be effectively coordinated to maximize the benefit for Michigan State University's graduate students. As is

traditional, members of guidance committees should continue to take a major role in the placement of those students who earn the Ph.D.

Administration of and Resources for Advanced Study Programs

Under the supervision of the Provost and the Vice President for Research and Graduate Studies and Dean of the Graduate School, graduate, postgraduate, and residency programs are administered in a decentralized fashion. Major responsibility for effective administration of advanced study programs rests with the departments, schools, and colleges. Decentralization is necessary because faculty who are expert in specific academic areas must be responsible for the design and content of the individual advanced student's academic program. Faculty expertise is fundamental in student recruitment and advising, acquisition of resources, disciplinary and interdisciplinary research planning and execution, and placement of graduates.

The primary resources for advanced study programs are University General Funds. Grants, contracts, and other sources of funds are also essential to the support of a significant number of advanced study programs. There are close budgetary and functional interrelationships between undergraduate and graduate programs in units where teaching assistantships simultaneously provide undergraduate instruction and graduate student financial aid. Similar relationships exist between departmental research and service programs and research assistantships and equipment funding.

Outside funding is an essential part of the total support for advanced study programs. For example, the Agricultural Experiment Station appropriation provides research funds which support Ph.D. study for many students, as well as assisting in acquisition of equipment and facilities which have shared use. Federal and state agencies provide substantial funding for sponsored research and education projects, and programs that simultaneously support graduate and undergraduate students. Private fund raising is increasingly important for special capital projects, equipment and operating costs, and the endowed chairs or faculty salary supplements necessary to allow this University to remain competitive for superior faculty among the nation's major institutions of higher education.

Special needs-based and merit-based graduate student scholarship and fellowship funding is critical to maintain viable graduate programs. Very few graduate students can continue their studies without scholarships or fellowships or appointments as graduate assistants. Michigan State University needs to devote more effort to raising graduate student aid in all three areas--assistantships, and both needs-based and merit-based scholarships and fellowships.

Research and Creative Activity

Research is an essential activity of every great university. Through research, the nation's scholars make fundamental contributions to knowledge, to its application, to the solution of problems, and to improvement of the quality of life. Because of its value to all parts of society, research must be supported through public funds. Research scholars at Michigan State University must be keenly aware of their responsibility to discover new knowledge and of their duty to disseminate that knowledge as effectively as possible, and in a timely manner. Active research scholars, excited by the quest for knowledge, are very often also truly outstanding teachers. If the nation is to support and sustain its staff of great scholar-teachers, it must provide the facilities, time, and

incentives necessary for research and for its application and dissemination. The national and international academic reputation of every university rests heavily upon the quality and distinctiveness of the research and creative activity of its faculty and students. Research and scholarship are indispensable within the total academic enterprise.*

As a premier land-grant university that has earned AAU status, Michigan State University's research goals are (1) to advance knowledge as an end in itself, and (2) to advance knowledge and applications of knowledge to facilitate and assist people and society in solving problems. Not only are these functions complementary, they are reinforcing. Applications help validate research findings which lead to enhanced effectiveness in research design and subsequent new research and application.

Michigan State University is one of the world's leading research universities. Its faculty members are selected from the limited number of scholars who are effective in advancing knowledge. Original research and creative activity is extremely demanding, intensive work that requires unusual talent, motivation, and commitment. Efforts must be increased to promote the understanding of this fact by the public, by the support staff of the University, and by students.

The research and creative contributions of Michigan State University's faculty are reviewed critically by their peers throughout the world, and these assessments form the major basis for judgments about the academic stature of this institution. A scholar's publications, inventions, patents, compositions and other creative works represent his or her effort to press into the unknown, at the fringes of recorded knowledge and creativity. These rigorous creative activities permit the faculty member to bring to teaching the intellectual authority that only such scholarship provides. Beyond the intrinsic value of new discoveries and insights and the enhancement of teaching, research makes significant contributions to quality and productivity in areas such as agriculture, communication, cultural and historical understanding, education, entertainment, human and animal health care, human relations, management, manufacturing, public policy formulation, and urban affairs.

In the United States, land-grant universities dominate research in such fields as agriculture, natural resources, and human ecology. Michigan State University receives the legislative appropriation for the Agricultural Experiment Station with the explicit obligation to meet research needs of agriculture, natural resources, and human ecology for the State of Michigan.

Diversity of Research and Creative Activity

Research and creative endeavors at a large land-grant university of AAU stature vary in scope, modes of inquiry, project organization, sponsorship, location, and disciplinary foci. For example, projects range from fundamental studies of the nature of the smallest subatomic particles, funded by national and international basic research funding agencies, to research which seeks to cope with a disease outbreak in Michigan's bean crop, funded by grants from the Michigan Bean Growers Association. Important research can be done by a single scholar working alone in the library, research laboratory, or studio, with

*Adapted from the Report of the Committee on the Future of the University, 1959.

little access to research funds; as well as by a large multidisciplinary group of faculty, visiting scholars, graduate students, and postdoctoral fellows supported by a complex staff of technicians working in an internationally competitive facility with state-of-the-art equipment, sustained by long-term commitments of national and international funding. The research effort may be highly localized, as when a management professor and one graduate student study a single, small Michigan manufacturing firm. It may be international, as when a team of researchers undertakes the study of higher education, research, and extension systems of an entire developing country.

At all major institutions, projects of individual faculty members are the core of research activity. Involvement in adding to the store of knowledge for its own sake not only keeps faculty aware of developments in their respective fields; it also keeps them qualified to direct graduate study, research, and public service. So important is scholarly effort that Congress funds the U.S. National Science Foundation, charging it to maintain the strength of basic science and engineering research in this country; and funds the National Endowment for the Arts and the Humanities, to support scholarship and creative activities in the arts and humanities.

Many types of research require special collections--artifacts; specimens of plants, animals, microbes; manuscripts; art collections; historical records and other printed materials. Curating these collections and assuring access for scholars is part of a university's research obligation. These same collections enrich undergraduate and graduate instruction.

Most disciplines and professions in the University have applied research potential. Applied research represents investigative effort aimed at resolving a particular problem or at making problem solving more effective. In addition to the Agricultural Experiment Station and its research in crop, animal, and forest production, as well as marketing, processing, human nutrition and other related matters, Michigan State University also supports applied research in such areas as criminal justice, design, economics, education, engineering, human behavior, human health, international development, labor relations, materials science, social services, and urban affairs.

At Michigan State University, team research involving individuals from two or more disciplines is a frequent model. Most societal problems are multidisciplinary in nature; solving them requires the application of knowledge from several disciplines. Multidisciplinary and transdisciplinary research projects are often more difficult to arrange and execute because the objectives and needs of different departments must be met simultaneously. Michigan State University has a long-standing, strong national reputation for being an institution in which such research is both respected and supported.

International research, too, is well established at this institution. Michigan State has been a world leader in significant basic and applied research projects in many countries. An important benefit of engaging in such research has been the building of networks of international scholars who interact cooperatively in a non-political sphere.

Research on instructional problems in higher education is another Michigan State University tradition. Faculty members here were pioneers in exploring ways in which a university can share information through an extension system, in using instructional media of various types, and in developing measures of learning effectiveness.

Administration of and Resources for Research and Creative Activities

As diverse as this institution's research and scholarly activities are, they are not and cannot be all-inclusive. The planning challenge for Michigan State University and its community of scholars is to identify areas of research which should have continuing support, in addition to choosing new research directions which make the most significant contributions to the University's mission. Such choices are not simple because all faculty at Michigan State should engage in research and creative activity. The institution's responsibility, then, is to support these pervasive efforts while giving special attention to priority areas of research that are most important to the institution's mission and through which Michigan State makes a unique contribution to the State.

Administration of various aspects of the University's research activity is complex. A statement of basic policies for sponsored research was approved by the University Graduate Council in 1967 and by the Board of Trustees in 1970. Other related policies governing conflict of interest issues, patents, copyrights, and other matters have been developed over the years (see Sponsored University Programs for Research and Education, 1971).

During the annual program evaluation and planning process, academic units, colleges, and central administration consider the total array of research projects. Additionally, department, school, college, and University oversight occurs on a project-by-project basis as proposals for funding are reviewed. Such reviews ensure that proposed activities are in keeping with the University's mission and goals; are congruent with the objectives of the departments, schools, and colleges; conform to institutional policies; meet federal and state regulations and guidelines; and are not detrimental to or in conflict with other units.

Because the choice of research projects is normally at the faculty member's discretion, the academic direction of each project must lie with the faculty member. However, because University resources are committed to the support of such projects, the responsibility of ensuring appropriate utilization of resources rests with the department, school, college, and University administration. The faculty member, the academic unit, and the University are accountable for the appropriateness of expenditures, the allocation of faculty time, and the use of facilities and equipment.

There are, also, regulatory aspects to ensuring safe, humane procedures. Such matters as protection of human or animal subjects and insurance against exposure to chemical, radiation, or biological hazards require accurate statements of the research plan and peer screening of projects involving these concerns. Oversight of research by the University is required in order to protect the faculty's right to publish and thereby share research results with their peers worldwide, and also to protect the University's right to patents coming from the research.

Through the General Fund, the University usually provides the faculty member's time, which is the key ingredient for research. In some cases the costs of faculty time may be charged to the research grant. Other direct costs of the project may be borne by either the University or a sponsor of the project, or a combination. Federal, state, and local government agencies remain the primary source of Michigan State University's funding support. The legislature, through the Agricultural Experiment Station appropriation, ranks second. Private foundations, business, industry, and private gifts are all sources of research support.

Universities are now beginning to explore ways of tapping venture capital to fund lines of research that have substantial economic potential. Michigan State University has developed policies and procedures so that if the faculty members are agreeable, patentable inventions and other licensable information can be transferred to the MSU Foundation. The Foundation, in turn, can transfer this property to appropriate corporations established to raise venture capital. Faculty members involved can be given an equity holding in the corporation and thereby participate both in the further development of technology and in whatever financial rewards might accrue.

In moving toward research in which industry and the University share interest, both parties must recognize that their interests will not be identical. Protection of proprietary information is crucial to effective competition among industries, while the free flow of information among scientists and the ability to publish are essential to the academic community. It seems likely, therefore, that certain kinds of research will be more appropriately carried out in non-university settings, with faculty participating as consultants. The possible conflicts of interest which might result as faculty move between these two research settings must be dealt with through reasonable guidelines and adherence to applicable standards of professional ethics.

Public Service

As the land-grant university of the State of Michigan and the model for land-grant institutions throughout the nation, Michigan State University is committed to public service based on knowledge as an integral part of its mission. The preamble to the Bylaws of the Board of Trustees states that the University must "be ever responsive to the increasing needs of a dynamic and complex society, by developing and carrying on programs of public service," and that one important University function is "to diffuse through all available media the knowledge and information that will contribute to the well-being and development of the people of our state, our nation, and the world."

Experience proves that involvement in public service increases faculty members' knowledge of subject areas, of timely concerns for research, and of alternative delivery methods for instructional purposes. Faculty who are engaged in and are cognizant of public service activities enhance the quality of undergraduate education, advanced study programs, and research and creative activities in which they participate.

The University recognizes its obligation to respond to the needs of the public, individually and collectively, as resources permit. In providing public service, the University utilizes available personnel and other resources, and cooperates with many public and private organizations in addressing significant problems for the benefit of society. Public service may include identification of issues, analysis of problems, and validation of ideas, as well as communication of knowledge and demonstration of applications of knowledge to improve educational and service delivery processes and to solve problems. Because services to the public derive from and contribute to the programmatic objectives of academic units, those services which draw upon academic strengths are most appropriate for this University.

All sectors of the University should aspire to participate in academically sound public service programs; indeed, this commitment is an institutional priority. Finite resources, however, force the institution to provide public

service selectively. The major criteria for selection are the significance of need, the ability to respond effectively, and the project's compatibility with the objectives of academic units and the overall commitments of the University. At any given time, the needs of the public may tax one or more units heavily, while requiring little of others. It is assumed, however, that all units, at one time or another, will engage in public service. For those units prepared to deal with contemporary societal problems, Michigan State University encourages their commitment to public service. The University pledges resources, human and material, to strengthen the state's economy, and to promote the general human welfare.

Diversity of Public Service Programs and Activities

Michigan State University provides a wide variety of public services. In aggregate, they represent an enormous effort and affect the lives of countless people in the state, the nation, and other countries. Major organizational components are the Cooperative Extension Service (CES), Lifelong Education Programs (LEP), International Studies and Programs (ISP), and Urban Affairs Programs (UAP). CES, LEP, ISP, and UAP are active throughout the state and serve individuals of all ages.

The University serves rural and urban residents, employees of local and county governments, radio and television audiences with hearing and visual characteristics, pre-school through secondary school teachers, safety officers, providers of health care, members of labor unions, business and corporate personnel, and other publics. Individual members of the faculty and staff as well as groups of faculty provide services to specific clientele. For example, under a contract with the University, a group of physicians may provide health care services to persons incarcerated in a state prison. Public services may also be provided on a continuing basis, as in the Michigan Sea Grant user services program.

Over the years, public service at this premier land-grant University has developed into a complex array of activities, funded from University sources and "in-kind" services, user fees, and gifts, grants, and contracts from many public and private sources. So numerous are requests for assistance and service that neither individual faculty nor units can respond to every one. It is essential, therefore, to establish priorities that complement research and instructional programs, are congruent with faculty competencies and interests, and are feasible within available funding.

Individual faculty members must distinguish between service that interests them personally and service that is related to academic program objectives of the unit(s) in which they are appointed. Priority must be given to the latter. The University's responsibility in fulfilling its public service mission is to make the expertise of the faculty accessible for the good of society, including the vitality of the state's economy, insofar as resources permit and in programs congruent with its mission, goals and priorities.

Delivery Modes, Support Systems, and Clientele

The University uses a variety of instructional models in addition to personal consultation to reach its diverse public service clientele. Delivery modes include workshops, special lectures, field trips, seminars, demonstrations, radio and television broadcasts, problem-solving sessions, and formal and informal courses. Michigan State University develops and uses such media and methods as written materials, audiovisual materials, computer simulations, and teleconferences.

Important to the University's approach is a willingness to adapt support and administrative services to accommodate the needs of communities and citizen and professional groups. Locations and schedules of instructional programs are planned for convenience for clients, as much as is possible. The University provides media-assisted formats to enhance learning in home, factory, and farm.

Because many people have sought the assistance of the University, they are self-identified clientele. Others are invited to participate in programs designed by units of the University to serve identified groups. Established professional and social networks are another important source of information about public service clientele.

Administration of and Resources for Public Service Programs

Planning at all levels within the University is required to assure the allocation of resources to high priority areas where services are likely to yield significant societal returns. Identifying ways to gain maximum results from limited human resources is a mandatory public trust.

Public service links the University to outside groups and organizations. Administrative and funding patterns which result from such linkages may differ from those on campus. When support comes from diverse sources and when services are delivered to clientele at many different locations, administrative arrangements, patterns of consultation, and program assessments may be complex.

The Cooperative Extension Service (CES) is funded by a combination of the line item state appropriation, University General Fund in-kind support, local and county government appropriations and in-kind support, state agency contracts and transfers, federal contracts and grants, and other sources. Off-campus, the CES maintains county extension and regional offices throughout Michigan. In addition to offices, the CES maintains extension agents who furnish services throughout the state through direct contacts and the full range of media.

Lifelong Education Programs (LEP) is another major link between the University and outside groups and organizations. In cooperation with departments, schools, and colleges, it facilitates access to the University's diverse academic programs. Some credit courses are taught in the seven regional centers which provide University-wide services. The faculty and staff of LEP give consultative, analytical, and technical assistance to state residents. The broadcast television and radio stations--WKAR-TV, WKAR-AM, and WKAR-FM--are useful resources for the dissemination of information, news, entertainment, cultural enrichment, and educational programming.

International Studies and Programs (ISP) provides the primary link between public service activities in other countries and the University. International public service projects focus on such areas as agriculture, education, and public health. Michigan State University cooperates with other institutions, both United States and foreign, to provide international public service, particularly in developing nations and areas. ISP facilitates and supports international education within Michigan State University and in the State.

Urban Affairs Programs (UAP) engages in public service through the Center for Urban Affairs. The fundamental purpose of UAP's public service effort is to improve the quality of life for urban residents. These activities contribute to the scope and quality of the interdepartmental urban studies graduate program. Faculty and staff members have been consultants to school boards, law

enforcement agencies, health facilities, and government agencies at the local, state, and national levels. UAP's extensive applied research activities include studies in education, employment, housing, and other aspects of urban life. Particular attention has been given to service activities affecting members of racial minority groups and the poor.

A number of other units administer formally organized public service activities--the Colleges of Human Medicine, Osteopathic Medicine, Veterinary Medicine, and Nursing; the School of Social Work; and the departments of Audiology and Speech Sciences, Food Science and Human Nutrition, Music, and Psychology. Services to patients are provided in such sites as the Clinical Center, the Veterinary Clinical Center, other campus clinics, off-campus hospitals and clinics, and other agencies. The Animal Health Diagnostic Laboratory serves to protect human and animal health by monitoring and controlling animal disease and toxic contamination in the state. Other formally organized public services include the Labor Program Service, Personnel Management Program Service, Center for Environmental Toxicology, University Museum, Kresge Art Gallery, Abrams Planetarium, Public Utilities Institute, Lecture-Concert Series, Early Childhood Laboratories, University Center for International Rehabilitation, and Executive Development Programs.

Equal Opportunity, Non-Discrimination, and Affirmative Action

The many enterprises and activities carried on by Michigan State University are all bound by the University's commitment to the principles of equal opportunity, non-discrimination, and affirmative action. University programs, activities, and facilities are available to all without regard to race, color, sex, religion, creed, national origin, political persuasion, sexual preference, marital status, handicap, or age. The University is guided by applicable federal and state laws and regulations, and by policies adopted by the Board of Trustees.

The University supports its affirmative action commitment through positive and timely actions and appropriate administrative structures. It maintains an internal judicial system for handling complaints of discrimination, and seeks actively to employ handicappers and both disabled veterans and veterans of the Vietnam era. It also maintains the Department of Human Relations with its Divisions of Women's and Minority Programs, as well as the Office of Programs for Handicapper Students.

Michigan State University embraces and seeks to benefit from cultural plurality and the participation of minority students, faculty, and staff. Diversity of perspectives is essential to the quality, scope, and depth of intellectual inquiry that members of the University strive to achieve.

Planning

Guided by the mission of the University, all academic and support units must engage in coherent, coordinated and cooperative planning that promotes greater and surer academic quality. The planning must have a long-range perspective and must take into account realistic assumptions regarding the environment in which the institution functions and obtains resources. The University's

planning process for the 1980s, therefore, must be aimed toward making the best possible use of available resources.

Goals and objectives must be formulated after thoughtful review and consultation with the units of the institution and the governance system. Programs must be initiated, evaluated, redesigned, expanded or contracted, fostered or discontinued to implement effectively the overall mission and goals of Michigan State University.

Planning in this mode is an institutional imperative during this era of scarce resources and rapid social change. Annual review of plans can ensure a dynamic University. The long-range perspective will enhance the clarity of purpose that is essential to the quality and effectiveness of Michigan State University.

MISSION STATEMENT

Michigan State University holds a unique position in the state's educational system. As a respected research and teaching university, it is committed to intellectual leadership, and to excellence in both developing new knowledge and conveying that knowledge to its students and to the public. And as a pioneer land-grant institution, Michigan State University strives to discover practical uses for theoretical knowledge, and to speed the diffusion of information to residents of the state, the nation, and the world. In fostering both research and it application, this university will continue to be a catalyst for positive intellectual, social, and technological change.

Founded in 1855 as an autonomous public institution of higher learning by and for the citizens of Michigan, this institution was in 1863 designated the beneficiary of the Morrill Act endowment. It became one of the earliest land-grant institutions in the United States. Since 1863, Michigan State has evolved into an internationally-esteemed university, offering a comprehensive spectrum of programs and attracting gifted professors, staff members, and students. The university seeks excellence in all programs and activities, and this challenge for high achievement creates a dynamic atmosphere. At Michigan State University, instruction, research, and public service are integrated to make the institution an innovative, responsive public resource.

As the only land-grant institution in the state, Michigan State University is committed to providing equal educational opportunity to all qualified applicants; to extending knowledge to all people in the state; to melding professional and technical instruction with quality liberal education; to expanding knowledge as an end in itself as well as on behalf of society; to emphasizing the applications of information; and to contributing to the understanding and the solution of significant societal problems. Michigan State University's adherence to academic freedom and open scholarly inquiry supports these essential academic functions.

The university's land-grant and service mission first originated in the areas of agriculture and the mechanic arts. While these emphases remain essential to the purpose of Michigan State, the land-grant commitment now encompasses fields such as health, human relations, business, communication, education, and government, and extends to urban and international settings. The evolution of this mission reflects the increasing complexity and cultural diversity of society, the world's greater interdependence, changes in both state and national economy, and the explosive growth of knowledge, technology, and communications. Just as the focus on agriculture and the mechanic arts was appropriate when Michigan State University was founded, the wide range of instructional, research, and public service commitments that now characterize this university is essential today.

By 1964, the instruction, research, and public service activities at Michigan State University had achieved the high level of excellence necessary for membership in the Association of American Universities (AAU). Innovation and leadership in these three crucial areas, and in the extension of knowledge to the state, the nation, and the world, are the hallmarks of this university. An excellent and diverse faculty insures the superior quality of academic programs, and contributes to the expansion of knowledge and its application in the public interest.

Research and scholarship help preserve and enrich cultural and creative traditions, as well as contribute to the formulation of new knowledge. Graduate programs draw upon and support faculty research, extend the benefits of research, and educate students for professional careers. The established national and international reputation of the university is based upon the quality and distinctiveness of the research and scholarly activity of its faculty and students.

Research and public service are mutually enriching activities for both faculty and students, and contribute significantly to the high quality of both undergraduate and graduate instructional programs. Through research, faculty members enhance the scope and effectiveness of their teaching. Through public service, faculty validate past research findings and identify the need for new research and for modifications of curricula. Participating with faculty in research and service projects provides students with unique learning opportunities, and consequently improves the quality of both graduate and undergraduate education.

At the undergraduate level, the university offers strong, comprehensive programs in the liberal arts and sciences and in major professional areas which include a significant general education component. Michigan State University provides opportunities for students of varying interests, abilities, backgrounds, and expectations. Underlying all educational programs is the belief that an educated person is one who becomes an effective and productive citizen. Such a person contributes to society intellectually, through analytical abilities and in the insightful use of knowledge; economically, through productive application of skills; socially, through an understanding and appreciation of the world and for individual and group beliefs and traditions; ethically, through sensitivity and faithfulness to examined values; and politically, through the use of reason in affairs of state. Mindful of such purposes, Michigan State University is committed to graduating educated men and women with diverse backgrounds who are active learners, ready to assume the responsibilities of leadership wherever opportunities arise.

Michigan State University fulfills the fundamental purposes of all major institutions of higher education: to seek, to teach, and to preserve knowledge. As a land-grant institution, this university meets these objectives in all its formal and informal educational programs, in basic and applied research, and in public service. As an AAU institution, this university meets these commitments through its instructional and research programs. Through the excellence of its academic programs, the strength of its support services, and the range of its student activities, the university provides opportunities for the fullest possible development of the potential of each student and each citizen served, and enhances the quality of life and the economic viability of Michigan. Education of its citizens is the state's best investment in its future. Michigan State University has honored, and will continue to honor, this public trust.

Approved MSU Board of Trustees
June 24-25, 1982

Support Service
Programs: MSU

MICHIGAN STATE UNIVERSITY

Office of the Vice President for Finance
and Operations and Treasurer
May 23, 1984

SUPPORT SERVICES: MICHIGAN STATE UNIVERSITY

Introduction

Michigan State University carries out its mission as a major public academic institution by discharging three primary responsibilities: instruction, research, and public service. Excellence in all of its programs and activities is a fundamental goal, a goal achieved through the combined efforts of faculty, students, staff, and administrators throughout the institution. The history of Michigan State University has been characterized by changes in the scope and improvements in the quality of instruction, research and public service programs. The University's ability to enhance the economy and cultural institutions is dependent on sufficient resources to support innovations, to sustain quality, and to capitalize on new opportunities. The public interest would be served by increases in resources available to Michigan State University from public and private sources to permit this tradition of enhancement of scope and quality to continue.

Maintaining support service excellence in the midst of changing financial conditions demands constant attention to the University's mission and goals, and requires a continuous process of University-wide strategic planning. This paper on Support Service Programs is one aspect of the planning process. It is intended to guide support service units in delineating their goals, objectives, programs, and plans for the future.

Role of Support Services

The University support services operate to facilitate and promote the institutional missions of instruction, research, and public service. Students and other public clientele are the direct consumers and benefactors of most of the support services' resources, with the remainder directly supporting academic programs and support service areas. Some of the support service areas share with academic program administration the responsibility for insuring policy, procedural and fiscal accountability. All service units are responsible for contributing to an environment which attracts and retains outstanding faculty, staff, and students; for providing an atmosphere of equal opportunity, affirmative action, and nondiscrimination; and for providing an environment which is conducive to effective learning, living, and working.

The support services are responsible for providing to academic programs the highest quality environment possible, commensurate with the resources available. While most of the services provided to faculty and staff are in direct support of their university employment responsibilities, some personal services are also available.

The support services provided to students are generally broader in nature than those necessary to support their education. While many such services support student learning and working experiences, a significant portion of support services is directed at the quality of student life outside their classroom and work environment. Such needs as housing, food, recreation, medical care, part time employment, service opportunities, and counseling in future employment opportunities play a major role in attracting and retaining a bright, vigorous student population.

Each university has a unique mix of support services that reflects the institution's mission, program needs and priorities, organizational philosophy, history, and geographical location. Because Michigan State University is the state's land-grant university, it has comprehensive basic and applied research and public service responsibilities in the field of agriculture and natural resources as well as state-wide outreach responsibilities in other areas. This special mission requires a campus with outdoor laboratories to support teaching, research, demonstration and observation, large research farms and forests, outlying research field stations, and Cooperative Extension Services available in every county in the state, and Lifelong Education Programs with regional centers throughout Michigan.

The University provides educational opportunities for a large, traditional undergraduate student population that comes mainly from homes throughout the state. Such a population requires a wide range of on-campus services including residence halls, food services, public safety, public transportation, large power and heating capacity, student recreation, counseling and cocurricular activities. Given Michigan State University's large enrollment, located in a relatively small population center, the support services are a critical element in providing financial support through part time employment to students.

As one of the nation's fifty major graduate and research institutions, Michigan State University also requires modern, well equipped research laboratories, libraries, computer and other technical equipment as well as sophisticated purchasing, maintenance and utilities, laboratory safety and related services.

Quality Considerations

The cornerstone of support service excellence is found in the quality of the staff and the service delivery systems. A quality support service staff is composed of people possessing excellent professional skills and a strong sense of dedication to the University's mission and all forms of excellence. The quality of support services is largely dependent upon (1) the quality of long range academic program planning, (2) the ability to foresee future social trends, (3) the ability to predict the effects of world, national and local economic trends on Michigan State University, (4) the ability to reflect these factors in a long range plan for support services, and (5) the ability to communicate and implement the plan.

The measurement of quality in support services is, at best, complex. Although some services are amenable to quantitative measurement, evaluations of quality must rest in large part on the evaulations of users - faculty, staff, students, citizens - qualified peers, and internal and external individuals and agencies responsible for such assessments. Such evaluations must consider the extent to which these services meet the needs and objectives of users in the context of available resources.

A variety of techniques is used in assessing the quality of support service goods and services. One such means is through user surveys. Another means is through peer review by support service professionals from other land-grant and AAU institutions. Support service unit directors, many of the vice presidents, the deans, and the University Committee on Academic Environment (UCAE) work diligently together developing a better sense of service priorities. The deans contribute information on the support needs of the academic programs and evaluations of the extent to which these needs are satisfied. The UCAE members contribute a faculty perspective on priority needs gleaned from daily interactions with their peers. In much the same way many support service units interact regularly with various student organizations and committees to gain their perspective.

Meetings with deans, chairpersons/directors, faculty members, committees and other bodies of Academic Governance, students and other service users are a fundamental and essential source of feedback on service quality. One such committee is the Support Service Policy Advisory Committee. This group is comprised of senior policy advisers and managers of support services. The committee facilitates the development and coordination of policy recommendations.

An important indicator of the quality of support services is the recognition the leaders and providers of such services receive from peers in the national higher education community. Michigan State University is very well represented among the top leadership of the professional societies and national educational organizations of support personnel. Michigan State University support service personnel hold positions of leadership - president, vice president, treasurer or director - in most of their professional societies or associations. The university is also well represented on the faculties of the educational programs and teaching institutes operated by these organizations. A somewhat disconcerting, but no less meaningful indicator of quality is the high rate at which our staff are sought for positions at the level of vice president or director of support service areas by other major universities and the private sector.

Some of the national professional and educational organizations give annual recognition to outstanding achievement in the areas of research and service. Michigan State University has received national recognition for its campus development and is one of very few universities in the United States to have received four or more National Association of College and University Business Officers/U.S. Steel Cost Reduction Incentive Awards. These accomplishments are especially noteworthy because of the many millions of dollars our energy conservation program

has made available to our academic programs, and the broad use of the arboretum-park campus by academic programs and the public.

The resources committed to such service areas provide another measure of the breadth and quality of support services. One such measure of this resource commitment at Michigan State University is a comparison of the percentage of total budget represented by support services in the Big Ten institutions. Because research institutions must meet federally mandated cost reporting standards, as well as standards established by certain national boards, many differences in organizational structure largely disappear when the analysis is done for an entire university. Of the nine public Big Ten universities, all but one spend a larger percent of their budget for support services than does Michigan State University (Appendix II). Further, in the important area of physical plant, all spend more per square foot of facility than does Michigan State University (Appendix III).

Cost and Pricing Considerations

The pricing of support service goods and services is closely related to quality. Academic and support service programs of excellence must have high quality services in order to remain excellent. Likewise, our enrollment is positively affected by the provision of high quality housing, food and other services. Our ability to sustain our annual appropriation is in part dependent upon our accurate accounting for resource use and portrayal of needs to the legislature and citizens of Michigan.

Support services have generally lived by the same principle of quality which Michigan State University has established for all of its programs and activities. If its users require a program or service, support services are committed to a quality response. This standard of high quality may have higher direct costs than most of the alternatives, and such costs may be reflected in pricing decisions ranging from tuition to fees for some goods and services. Fortunately, Michigan State University, by virtue of its size, enjoys some economies of scale which keep the prices of many of our goods and services very competitive in the local and national marketplace.

Support service pricing is more complex in some areas than in others. Among the complications of making cost and price comparisons on services such as physical plant projects with other Big Ten universities are the problems of the a) current level of resource commitment, and b) current facility quality. These factors contribute to extreme cost variances for laboratory renovations on our campus.

As a case in point, the University has renovated a number of labs in Giltner Hall during the past several years. It is quite possible that the next major lab renovation in Giltner will cost 8-10 times the historical average. This represents the cost of the lab renovation as well as the cost of renovating the building infrastructure to support another lab upgrade. This factor substantially increases the "cost" of lab renovations in Giltner Hall. More importantly, the primary factor at work is the current quality level of the facility. Giltner is not a modern lab

building undergoing its 10 year upgrading. It is a building constructed to support activities during a period when there was little, if any, recognition of the current electrical, plumbing, chemical waste disposal, exhaust/air movement and other infrastructure demands.

Unfortunately, in light of Legislative Appropriations, the many years during which Michigan State University has comparatively (Big Ten) underfunded its physical plant function have brought us to a point where the University must now solve facility related problems which are more severe than at many of the other Big Ten universities.

Given our support service funding at the bottom of the Big Ten, and the 10-15 year effect of this underfunding on our facilities and services, the University is left with both budgets and facility quality lagging our peer institutions. Whether the faculty's experience with such services is with MSU twenty years ago, or with one of our peer institutions, it is unlikely that the level of MSU support services in general will be considered adequate. While MSU is underfunded in general, with the budget more heavily proportioned to our academic programs, those programs frequently have found it necessary to expend a portion of their budgets to pay for some services which the support services historically provided during a period when they were allocated proportionately more adequate budgets.

Planning

University planning must assure excellence in the institution's three primary responsibilities, instruction, research, and public service. Planning, as a collaborative task, cannot be separated into academic planning as distinct from support service planning; a comprehensive planning effort is required to achieve the University's objectives. Long-range planning in the support services area must carefully address the needs expressed in the long-range academic program plan. Academic program plans must address support activities needed by quality academic programs of the types projected. Therefore, planning of many support service activities must interact closely with academic program planning and the service needs expressed in that process. While convenience, traditional patterns of management and decision-making and cost effectiveness may dictate a University structured along academic program and support service lines, support service units must necessarily plan and cooperate with precision and accountability to fulfill the mission of the University. Cognizance of these complex relationships is a fundamental part of the long-range planning process.

It is essential to assess support services in terms of their efficacy in accomplishing the institution's overall missions. These services are provided directly by University support units or through contracting with outside providers. In deciding which alternative to choose, consideration is given to such matters as: quality of the service; centrality to the University's mission; responsiveness, flexibility and development potential; complexity of interface with other University activities, programs, and services; unique requirements of the service related to the campus environment; requirements of current labor contracts and cost/benefit analyses. Such decisions are reviewed and evaluated to take

cognizance of rapid changes in technologies, shifting institutional priorities, current economic constraints and opportunities, and the need to compete effectively for faculty, students, state-funding, and private support.

Support service units must increasingly emphasize planning with a long-range perspective which is guided by the mission of the University. Academic program needs and future social and economic trends must be carefully assessed in the planning process. Support service units will continue to develop goals and objectives in support of the mission of the University and its expression in academic program planning. New programs and services must be initiated. Current programs must be evaluated and modified and, in some instances, discontinued in an effort to maintain overall quality.

The interrelatedness of the programs and activities of Michigan State University should be more evident as a result of the long-range planning process. This improved clarity of direction and purpose should enhance the quality of Michigan State University. This Support Services paper, taken in concert with the Academic Programs paper, provides a reasonably comprehensive interpretation of the mission statements of Michigan State University.

One way to enhance understanding of the interrelatedness of the support services to the University mission is to group these services in the following five functional categories (Appendix I).

Environmental and Facilities Services

Financial Services

Logistical and Material Services

Information Services

Individual Services

No particular order or organizational structure is implied by these categories. The clustering within each category is intended to accent similarity of functions, and does not incorporate priority of service or funding source. The support services at Michigan State University have an all funds budget of approximately $125 million. Of this budget only 42% ($52 million) is budgeted in the general fund.

APPENDIX I

ENVIRONMENTAL AND FACILITIES SERVICES

Space, Grounds, and Lands

The main campus at Michigan State University consists of approximately 5,317 acres of lawns, parks, gardens, athletic fields, golf courses, roads, sidewalks, and parking lots, as well as extensive agricultural and forest lands. The attractive grounds, beautiful gardens and plantings, road networks, and extensive parking system make the campus one of the most beautiful in the nation and create an exceptionally pleasant environment for faculty, students, staff, alumni, and guests of the University. In order to preserve the campus park and its buildings, the University must continually plan, construct, maintain, and improve its grounds and facilities.

The planning functions are extensive. The Division of Campus Park and Planning is responsible for developing and keeping current the campus master plan and administering the zoning ordinance while the University Architect's office coordinates and directs planning for new buildings and facilities. The campus park and planning office is responsible for developing site plans, site construction documents and landscape planting plans for new buildings and the campus generally, and designs extensions and modifications in the road and parking system. Once buildings are open and in use, the facilities planning and space management operation assumes planning responsibilities for the use, alteration, and improvement of the facilities that directly support the University's academic programs.

The construction of new buildings, roads and parking facilities and many alterations and renovation projects are executed by outside contractors. The University, however, oversees construction of new buildings, alterations and renovations through the Physical Plant's Office of Engineering Services and administers alterations and improvement projects through the Office of Facilities Planning and Space Management. Site construction, road and parking work, and campus grounds improvements are developed and coordinated by the Division of Campus Park and Planning while landscape construction is carried out by grounds maintenance personnel. The latter division is also responsible for the development and maintenance of the Beal Botanical Garden, outdoor athletic and intramural areas, housing areas and the 36 hole golf course.

Once site improvements and landscape projects are complete, the Grounds Maintenance Department assumes responsibility for maintaining horticultural materials, lawns, roads, bridges, walks, terraces, ornamental pools and traffic and informational signs. Parking policy and development is under the direction of the Division of Campus Park and Planning while the operations and maintenance of the parking system is the responsibility of the Parking Facilities System in the Grounds Maintenance Department. The grounds department is also responsible for snow removal and ice control, and the removal and safe disposal of solid waste

from campus buildings and experimental farms plus fly ash from the Power Plant.

The off-campus properties owned by Michigan State University total 15,562 acres in thirty-two different locations in the state. The land management office is responsible for managing the University's agricultural and natural resource properties. Its responsibilities include budget development, operational personnel, improvement and maintenance of physical facilities, program coordination, community relations, planning and evaluation, documentation and reports of all University lands and associated facilities, and semiannual inspection. Besides managing off-campus properties, the office also manages the University's farms, maintains all roadsides and land not assigned to other departments, and assigns and oversees land use of University farmland south of Mount Hope Road. The office also has the responsibility for the maintenance and improvement of Agricultural Experiment Station property. The Division of Campus Park and Planning is responsible for the development and maintenance of Hidden Lake Gardens at Tipton, Michigan, and serves as planning and landscape architectural consultants for the experimental farms and off-campus properties.

Construction, Maintenance and Operations

The East Lansing campus has 528 buildings containing 17,500,339 square feet of space. Serving these buildings is a utility system composed of 310 miles of sewers, water pipes, steam mains, coaxial communications cables, and high voltage electrical cables. The buildings and utilities have a current replacement value of $1.4 billion. These facilities must be maintained, operated, and renovated in compliance with numerous federal, state and local laws, codes, and regulations.

Maintenance includes repair of buildings, structures, certain fixed equipment, and utility distribution systems, including normal recurring repairs and preventive maintenance. This service is provided by appropriately licensed and certified personnel.

Approximately 6,000 work orders are processed annually from campus customers requesting additional service ranging from equipment repair to building alterations necessitated by changes in program or space needs. Since no budget is provided to physical plant operations for these projects, they are done on a customer-pay basis. During the past year this work totaled $5.3 million, nearly $2.5 million of which was completed by outside contractors who were selected by competitive bid.

The Office of Engineering Services' primary mission is to provide professional engineering and architectural expertise to the physical plant operation in areas of planning, analysis, review of major construction project design, and maintenance of all permanent records of the facilities on the East Lansing campus. The physical plant operation is charged with the responsibility for conceptually designing and estimating proposed projects, developing specifications, and contracting the construction of approved projects as well as providing daily inspection of all building construction.

The custodial or housekeeping function includes routine duties to keep the interiors of the buildings in a presentable condition and assure compliance with health and safety standards. In addition to maintaining floors and rest rooms, custodians replace light bulbs, wash windows, walls, and venetian blinds, and service swimming pools. This group unlocks and relocks campus buildings daily and serves as a labor pool to provide assistance in moving and setup for special events held on campus.

Michigan State University has 814 vehicles that are licensed to travel on public roads and highways and must be kept in safe and reliable operating condition. The central motor pool leases 130 of these units to various campus users. Nineteen large capacity (45 to 51 passengers) urban and intercity coaches provide a user supported bus service to the campus community.

Michigan State University's main campus is supplied steam for heating and cooling buildings and electricity from its own central co-generation power plant. Its water is pumped from on campus deep-rock wells. These year-round services operate twenty-four hours a day, seven days a week. The coal-fired Power Plant 65, which employs the co-generation principle, affords the campus an economy of operation approaching $6 million a year over utility systems more commonly in use.

In addition to the efficiency of the co-generation power plant, the University vigorously has pursued an energy management program. The program identifies potential efficiencies in energy use and their potential savings to the University, and it monitors and evaluates any changes. The University has installed a central monitoring computer system and has made numerous adjustments to electrical and mechanical systems. As funds have become available, buildings have been placed on the energy monitoring network. Awareness and careful use of energy by all members of the University community is an integral goal of the energy management plan. Cost containment is a responsibility of every university user of heat, electricity, water, and air conditioning. It is estimated that the energy management program has resulted in an annual cost avoidance of approximately $6.1 million. This annual cost avoidance, when added to the nearly $6 million annual energy savings from co-generation, is worth approximately $12 million annually.

The Telecommunication Systems Office manages the University's telephone and broadband co-axial cable systems. Activities include coordination with carriers and equipment suppliers such as Michigan Bell, analysis of communication needs for campus units, evaluation and optimization of the University toll network, and technical guidance for installation of communication equipment. Electronic intracampus communication may be accomplished over the Michigan State University coaxial broadband cable network, which connects eighty buildings (seventy-five percent of campus space) via thirty-three miles of cable. This system forms the basis of our growing communication network supporting computer users, ITV, security systems, utility systems, and others.

Central telephone directory information service is provided for the entire University community, off-campus agencies, and the general public twenty-four hours a day, seven days a week. This office responds to over

1,800,000 requests each year and maintains 66,000 listings for students, faculty, staff, affiliated personnel, departments, and organizations. In addition, night and weekend communication assistance for emergency calls and teletype service for the hearing impaired are provided.

Safety and Risk Management

A totally risk-free University environment is virtually unattainable and prohibitively expensive. On the other hand, aggressive risk management is required by law and is both cost effective and a responsible institutional policy. Michigan State University is responsible for providing a safe environment for students, faculty, staff, and for visitors and other citizens affected by University operations. In order for the University to meet its safety responsibilities, however, every University employee and student must accept responsibility for becoming cognizant of and reporting or correcting potential risks and performing their duties and functions in a safe manner. Visitors must act in a prudent manner in whatever area of the campus they elect to utilize.

To facilitate safety at Michigan State University two units explicitly are charged to provide safety services. These are the Department of Public Safety (DPS) and the Office of Radiation, Chemical and Biological Safety (ORCBS). These units perform their tasks in a coordinated fashion.

DPS has responsibility for providing the campus community with general police protection and traffic, fire, food, and general worker safety services. ORCBS has responsibility for providing specialized safety services with regard to the use of hazardous chemicals, radioactive materials, radiation emitting equipment and facilities, and potentially hazardous biological materials and organisms.

Both organizations operate from the presumption that each student, employee supervisor, and administrator assumes responsibility for operating safely. Safety and risk management require that safety procedures be developed, promulgated, and periodically reviewed. It also requires that students and employees be informed through training sessions and appropriate notices about potential risks and recommended safety procedures. It requires that all accidents and potentially hazardous incidents be reported to the appropriate safety service office. These offices conduct safety inspections, handle safe disposals of potentially hazardous materials, maintain necessary safety records and equipment, and respond to accidents, pollution incidents and emergencies and provide governmental regulatory agencies with mandated reports.

Safety is not an entirely internal University matter. There are local, county, state, and federal regulations governing safety in a wide range of University activities, and the University is subject to periodic external inspections and license renewals. All employees are expected to be aware of and to comply with relevant regulations. From time to time the University's procedures for insuring such awareness and compliance are reviewed and reissued to all units and to key individuals.

Both DPS and ORCBS have advisory structures that facilitate the setting of appropriate standards, enhance broad campus awareness of safety issues, and help motivate cooperation in maintaining operational safety.

The process of effective risk management extends beyond assuring the safest possible environment. As noted above, a totally risk-free environment is virtually unattainable and prohibitively expensive. Once the safest possible environment is attained, effective risk management demands that methods be devised to finance the risks that remain.

This responsibility falls upon the Office of Insurance and Risk Management. This office monitors relative costs of financing risk and seeks to maintain the most cost-effective balance between purchase of insurance and internal funding of risks. In order to facilitate the activities of this office, close working relationships have been developed with DPS, ORCBS, the General Counsel, and appropriate staff in health services.

On-Campus Housing

Michigan State University is located in the heartland of Michigan and is removed from the large metropolitan areas of the state. Unlike the two other major research universities in Michigan whose student bodies largely are housed off campus, Michigan State University has developed as, and remains, a residential campus, housing nearly forty-five percent of its student population. With few exceptions, all freshmen are required to reside in the residence halls. These facilities offer a wide variety of lifestyle options.

The housing system provides a variety of popular living and learning opportunities that contribute to student self-confidence, development and well being, while supporting the educational mission of the University. In addition, food services offer a range of dining alternatives to meet individual tastes. In on-campus housing, students experience different lifestyles, cultures, and personalities while learning to accept, appreciate, and work with these differences in developing mature, interpersonal relationships. Students also are encouraged to exercise individual rights while assuming individual responsibility. The on-campus living experience is designed to enhance self-discipline and self-respect and provide students with a broad view of issues. Because learning is a continuous process, the housing system promotes programming related to academic, personal, mental, physical, and emotional growth.

The Kellogg Center is the world's first center for professional and adult continuing education, funded in part by the W. K. Kellogg Foundation. This MSU center houses academic programs of Lifelong Education Programs (previously the Continuing Education Service), conducted cooperatively with the 14 colleges of MSU, and other major academic units. The Kellogg Center provides office space, instructional facilities, and food service and lodging support for an array of LEP's academic programs and adult assistances--including conferences and institutes, Evening College courses, off-campus credit courses, graduate education overseas, undergraduate education overseas, and assistances to communities and local, regional and state governments and public groups. In addition, the Kellogg Center serves as the campus hotel, quality restaurant, and

in-house catering facility, as well as a teaching laboratory for the School of Hotel, Restaurant and Institutional Management.

The MSU Union serves as a community center for the University. The Union provides services, conveniences, and amenities for all members of the University community. Through its various boards, committees, and staff, it provides cultural, social, and recreational programs designed to further personal and intellectual development. This center also supports regular academic programs with classroom space and facilitates the Lifelong Education Program mission as a location for conference activity.

The MSU Bookstore serves the University community most effectively in providing books, periodicals, supplies, equipment and emblematic goods. The MSU Bookstore collects information from academic departments on class sizes and required books each term and the information is shared with local bookstores. A quick and efficient used book buy-back system not only insures students the highest price for used books, but provides a ready source of economical used books.

Concessions, Golf Course, Fee Hall and Clinical Center food services, Crossroads Cafeteria and the Canoe Shelter each provide the community and public with specialized services tailored to their needs. This may range from refreshments for staff meetings and receptions to concession operations for 80,000 football fans at Spartan Stadium.

Supporting these operations are the MSU Food Stores, Laundry and Central Bakery. These support units fulfill the specialized procurement needs for the Division of Housing and Food Services as well as many academic and non-academic units on campus.

Health Services

The health services and facilities located on the Michigan State University campus provide support for the clinical academic programs of the medical colleges and provide certain necessary health care services to students, employees, and the people of the state.

Through their service program offerings, the clinical facilities attract and maintain a substantial patient volume that enables medical students to learn the skills of their profession through practice in an active clinical setting and allows faculty members the opportunity to maintain and extend their clinical skills through patient care. The clinical patients also provide the casework basis for clinical research. Finally, clinical activities generate a certain amount of income that is essential to further the programmatic interest of the faculty and colleges.

Two facilities, the Animal Health Diagnostic Laboratory and the Olin Health Center, are principally service oriented. The Clinical Center and Veterinary Clinical Center primarily support the clinical academic programs of the medical colleges.

The Animal Health Diagnostic Laboratory uses modern technology in the area of animal pathology to identify animal health problems and to

promote efficient food production and a safer food supply and environment. The laboratory works toward these goals through the examination and analysis of animals, animal tissue, and related environmental samples referred to it by veterinarians, state inspectors, or concerned producers throughout the state. The results of these examinations are correlated with the clinical findings and observations of referring veterinarians in order to provide timely and accurate disease diagnoses. Through the mechanism of providing an active patient population, the laboratory contributes to the teaching, research, and service activities of the faculty in veterinary pathology and the Department of Large Animal Clinical Sciences. Extension activities are a part of this service commitment.

The Olin Health Center provides a broad range of health services for Michigan State University students and employees. Direct medical services are provided in order to maintain students' physical and emotional health, so that they may effectively pursue their education. A wide variety of general, specialty, and subspecialty services are available. In addition, the center educates students and others about health maintenance and the use of the often complex and expensive modern medical technology. While the service provided by the Olin Health Center is aimed principally at the University student population, there is some opportunity provided for involvement in the service programs by members of the faculties of the colleges of medicine.

The Clinical Center and the Veterinary Clinical Center primarily are committed to provide direct support to the Colleges of Human and Osteopathic Medicine and the College of Veterinary Medicine, respectively. The Clinical Center supports the educational, research, and service programs of the Colleges of Human Medicine and Osteopathic Medicine. The Veterinary Clinical Center, Michigan's only veterinary teaching, service, and research hospital, provides a wide diversity of cases necessary for comprehensive clinical training, which includes a significant lifelong education commitment and for the clinical research of the College of Veterinary Medicine.

In addition to on-campus clinical facilities, the Colleges of Human and Osteopathic Medicine maintain extensive teaching, research, and/or public service programs in community hospitals and other agencies throughout the state.

FINANCIAL SERVICES

Operations

The operating units in the financial services group perform a dual role. The more obvious role is to provide essential financial services to all sectors of the University community. Less obvious, but equally important, is the maintenance of appropriate levels of fiscal and procedural internal control to assure that the University's assets are properly protected and utilized in accordance with approved University policies and plans and state and federal regulations.

The Bylaws of the Board of Trustees charge the Vice President for Finance and Operations and Treasurer with responsibility for exercising general control over the regular accounting services, collecting all monies due the University, paying all the University's obligations, and preparing appropriate reports outlining the University's financial activities. Each fiscal year begins with the establishment of a budget and culminates with the preparation of a series of legally required financial statements that are audited by the Board of Trustees' external auditors. Except for these external audits, these functions are carried out by the operating units in the financial services group.

Central accounting records are maintained by the accounting and payables section of the Office of the Controller. This office also has responsibility for all disbursements, including accounts payable, payrolls, and travel vouchers.

The Office of Contract and Grant Administration provides assistance to units operating programs sponsored by external agencies. Services include fiscal review of proposals, negotiation of contracts, review of expenditures for compliance with contract terms and appropriate federal or other regulations, and preparation of all required financial reports. Additionally, administration of all major construction projects and of stipend programs for fellowships are performed by this office.

Students receive a number of direct services. In addition to the payroll and fellowship activities noted above, the Financial Aids Office reviews all financial aid applications and authorizes aid packages for qualified students and short term loans for needy students. The student financial services section of the controller's office disburses all grants, scholarships and loans to students. This unit also collects all fees and housing and loan payments from students, operates the business services part of the registration process, issues student and staff ID cards, and receives incoming cash.

Upon receipt, all available cash is invested by the investment and trust section, which also monitors externally managed long term investments owned by the University and administers all debt agreements. The Office of Insurance and Risk Management has responsibility for protecting the University against accidental loss of all sorts using risk controls and various forms of insurance.

The Office of Planning and Budgets prepares the University budget after an extensive planning process that involves the establishment of goals, evaluation of performance toward those goals, and review of budget performance of all operating units on a regular basis. Many personnel transactions, budget adjustments, and other budget maintenance transactions are processed daily by this operation. Annual as well as longer-range planning processes and special studies also are supported here.

An additional important responsibility of this office is data resource administration, which encompasses the establishment and maintenance of University data standards, definition of data elements in forms accessible to data users, and rules of user access.

All University units, including the financial services, are subject to audit by the internal audit department. In addition to assuring that appropriate controls are in place and operating, units are reviewed to assure that operations are being conducted in a cost-effective manner. All sources and uses of funds are reviewed carefully during an audit.

Fund Raising from the Private Sector

All fund raising activities of Michigan State University are coordinated through the development program. The objective of this program is to develop fully the potential for support through gifts and grants from private sources. The program is conducted through the Development Fund, a University organization, and the Michigan State University Foundation, a separate not-for-profit corporation of the state of Michigan. The Vice President for Development serves as the chief executive officer of both the Development Fund and the Michigan State University Foundation.

The Development Fund operates under the advice and direction of a thirty-six-member board of directors, representative of donors, alumni, and friends of the University. The program includes the annual appeals to alumni and friends, faculty and staff, and athletic donors. Corporate and foundation funding programs also are administered through this program. Capital and special-purpose campaigns are conducted from time to time. The program includes the activities of the Student Foundation, a fund raising organization operated by students.

The Michigan State University Foundation is governed by a board of directors of eighteen members, representative of donors and the University. The program, including asset management, land acquisition, planned or deferred gifts, and special-purpose appeals, is an integral part of the total development program. The Foundation charter limits the program to fund raising activities in behalf of Michigan State University, and funds received may not be used for any purpose other than support of the University.

Assistance in identification of needs and planning and executing fund raising programs to meet them is provided to any requesting department. No fund raising activity is undertaken without the approval of the Office of University Development.

LOGISTICAL AND MATERIAL SERVICES

Logistical and material services fall into two main categories: those that primarily support teaching, research, and public service, and those that primarily support students.

A major responsibility of these operations is to insure that policies and procedures of the institution are properly administered, that federal, state and local laws are complied with, and that appropriate licenses are obtained and licensing regulations followed in providing access to controlled substances such as alcohol, carcinogens, radioactive materials, and research animals.

University receiving and distribution centers support purchases in large quantities, assuring the lowest possible cost and efficient handling, storage, and distribution. These operations act as central receiving, distribution, and storage centers to help insure that those commodities and services that are purchased are, in fact, received by the University in an acceptable quantity, quality, and condition and are redistributed to the requisitioning departments as quickly and efficiently as possible. These units also help insure that an appropriate variety of products and service is always available. Textbooks, miscellaneous supplies, office products, scientific equipment, and food stuffs are but a few of the products available through the service centers.

This unit is also responsible for administering the affirmative action in procurement program and is actively involved in the many programs that have brought Michigan State University recognition as a leader in affirmative action commitment.

The printing operation exists to provide the campus community ready access to technical expertise as well as convenience, speed, and competitive costs that are essential to the needs of an academic environment. The centrally located print shop maintains a line of specialized equipment that can best respond to the varied needs of Michigan State University's faculty and staff. Eight copy centers also are dispersed throughout the campus to provide the convenience and service routinely expected by users.

Campus Mail is responsible for the preparation, metering, and presorting of outgoing U.S. mail as well as the pickup and distribution of all on-campus mail.

INFORMATION SERVICES

Information Resource and Technology

The University maintains a large quantity of both current and historical data and reference material which comprise a major information resource. The application of technology to data to provide useful information is supported by Administrative Data Processing and the Computer Laboratory. Changes in information technology have a significant impact on scholarly analysis and communications and on educational processes and must be incorporated into the University planning process. University libraries and archives provide information services relating to reference materials for all aspects of the University's mission.

The Library is concerned with the acquisition, storage, and retrieval of information and is the key unit in providing information to support the instruction, research, curricular, and service needs of the University. Services are provided through the book and serial holdings, and by an increasing number of microforms. Access to bibliographic and information data bases, such as MEDLINE and ERIC, located throughout the country, is an essential component of library services. The members of the University community have immediate access to 2.8 million volumes, to 1.2 million microforms, and to the nations major bibliographic data bases. Access to other materials is provided through an interlibrary loan system. The Library is also in the process of providing on-line access to the MSU card catalog to facilitate searches for relevant information.

Other services that support instruction, research, and service programs include specialized collections, the Voice Library, assigned reading, copying service, and decentralized locations of some collections.

The Administrative Data Processing Department provides data processing and storage service to over 200 campus units. Current student, financial, personnel and other administrative data are maintained in Administrative Data Processing. Services provided include the development of new administrative systems, the enhancement and maintenance of existing operational systems and the processing of the continuing and ad hoc information requirements of the University. Programming, customer training, analytical, consulting and data preparation services are also available. This department's word processing network serves sixty academic and support service units.

Approximately fifty percent of ADP's production activity is in student related work such as admissions, records, registration and financial aid, twenty-five percent is in support of financial applications with the remainder in other support service areas. A dedicated, 250 terminal network provides qualified users with on-line access to data. Data security is also the responsibility of ADP.

Computing and technological assistance to faculty, staff, and students in support of instruction, research, and service activities are provided through the Computer Laboratory. The laboratory's facilities support both batch and on-line service on the CDS Cyber 750 and open access

microcomputer laboratories for faculty and students. The laboratory also provides application programming assistance, seminars, short courses, and publications through the User Information Center, and technical service related to the installation and maintenance of a wide variety of data communications, microcomputers, minicomputers, and other computer-related equipment. The Engineering Services section also provides electronics and computer design, consultation, and fabrication service. Also important to the instructional process is the Scoring Office which provides computer-based course management support for faculty. Through the Merit Network, the Computer Lab is linked to large scale computers and to different software support at the University of Michigan, Wayne State University, and Western Michigan University.

Through the work of the Communications and Computer Systems Advisory Committee, faculty and staff participate in the development of new areas of technological application to instruction and research and in the evaluation and modification of services provided to the academic community. Key committees are related to instructional computing, research computing, operations and finance, broad band coaxial cable, and word processing/text management.

The University must, through the planning process, develop a communications network that will support the flow of information and the utilization of equipment in various locations on campus and throughout the world. The Computer Laboratory and Administrative Data Processing continue to work on the physical specifications and protocol requirements for such networks. Basic elements of MSUNET are installed and in test.

Budget shortages of the past three years have accelerated the application of computer and word processing to many administrative and clerical tasks. As a part of the University's commitment to long-range planning and program assessment, a number of information systems are in varying stages of development and implementation. Limited resources have challenged academic and support service units to find creative, less costly ways to improve services through the application of technology.

Management and preservation of past records and papers of University departments, faculty, and staff that have a continuing historical or legal value or are mandated by state law are the responsibility of University Archives. Special collections of non-University individuals and organizations are maintained in the historical collection section. In addition, a substantial collection of photographs and negatives is maintained in this section.

Communications and Publications

Inherent in the University's mission is the dissemination of information and knowledge to selected publics. While recognizing the role of the Cooperative Extension Service, academic departments and colleges, and other operational units in information services, Michigan State University has charged the coordination and implementation of institutional communication to the Vice President for University Relations.

Various programs and activities are planned, developed, and coordinated by communication specialists in the Office of Public Relations, which includes medical and health information, research information, and sports information, the Office of University Publications, and the News Bureau. Other information units based in some of the colleges and in some vice presidential areas perform tasks coordinated in the university relations office.

Information specialists have responsibility for planning, developing, and implementing communication programs for the public to describe and interpret the policies, programs, and needs of the University; to advance knowledge by appropriate dissemination of information; to build goodwill between the University and its constituencies; and to promote and enhance the University's image and the achievements of its faculty, staff, and students. Informational and historical data and statistics are maintained in order to respond accurately and quickly to media and public inquiries.

In providing a wide range of information services to the University's publics, a wide variety of communication tools and techniques are employed: publications, including news releases and media advisories, personalized letters, brochures, tabloids, catalogues, directories, magazines, and printed programs; audio-visual tools, including films, slide tape products, video and audio tapes, and public service announcements; special events including press conferences and briefings, open houses, public tours, expert speakers and program presenters; and ceremonial and celebratory activities.

A review of the major publics served dramatically illustrates the importance of the communication services. Campus publics include the faculty, staff, and students. At given times, various segments of those publics may be targeted for particular messages as determined by an issue or by the organizational structure or academic or professional discipline. The MSU News-Bulletin is the most recognized medium serving a large portion of the campus population. Major off-campus publics include: MSU alumni; other friends and contributors of private support; local, state, and federal legislators and government officials; parents of current students; the mass media; neighbors in the immediate and surrounding communities; as well as the general public.

The University recognizes the critical role of communication services to local government officials, state and federal legislators, and key opinion leaders in the community by focusing the coordination of legislative relations at the vice presidential level. Programs and activities are implemented to monitor the plans and actions of the Michigan legislature and the Congress; to articulate the institutional position on evolving legislation and regulations; to analyze the impact of legislative actions, appropriations, and programs on the University; and to insure that appropriate government officials are cognizant of the needs, contributions, achievements, programs, and activities of Michigan State University, its faculty, students, and staff.

The University, as a source of expertise, is often able to illuminate critical issues of concern to the general public or local communities.

Presenting an accurate assessment of complex problems in language easily understood is an important University responsibility.

In addition to the centralized coordination of legislative relations, units are represented on a day-to-day basis by deans and other administrators and by individual faculty and staff. These representatives of the colleges, programs, and support units provide expert testimony to various committees, furnish information to legislative members, and develop activities to enhance legislative and public support for their colleges and programs.

Telecommunication

It is the purpose of telecommunication services to provide the technological means by which the instruction, research, and public service missions of the University may be extended and enhanced. Telecommunications offer the faculty, staff, and students opportunities to augment, store, and transmit information and programming through electronic, photographic, and graphic media. They offer Michigan citizens and others beyond the state boundaries access to University resources. These same media offer interactive capacities, bringing communications to the campus as well as delivering them from the campus.

Broadcast radio and television are extended to the mid-Michigan area (sixty mile radius) through the transmitters of the University stations, WKAR-AM-FM-SCA and WKAR-TV, and beyond their coverage areas to the state and nation through the National Public Radio (NPR) and Public Broadcasting Service (PBS) satellite uplink/downlink system. The Radio Talking Book is a special subchannel service for the reading impaired presented fifty hours per week.

Michigan State University extends through its various media services the professional expertise of an experienced design and production staff supported by extensive and professional facilities in film, radio, television, graphic arts, and photography. These services support the training of students, the production of research and teaching materials, and the extension of the University to the public. They include the capacity to produce and record in the field or studio and to accomplish sophisticated editing and animation techniques. The staff's production expertise is supported by instructional materials design specialists for maximum learning effectiveness.

Michigan State University distributes electronic audio, video, data, and control signals to many buildings on campus through its broadband communication distribution system. Through this high-capacity, coaxial cable system, 200 classrooms are interconnected for the distribution of more than 400 instructional television classes per year on five channels daily. The broadband system also feeds selected classes from this schedule to two channels on each of the two cable television systems serving the greater Lansing area. A University information and announcement service is offered on all Instructional and Public Television channels of the broadband system and on two channels of the cable television systems serving the greater Lansing area.

The Instructional Media Center, Instructional and Public Television, radio broadcasting, and the physical plant's engineering division offer a variety of planning, equipment acquisition, and maintenance services to University departments planning for ownership or already owning telecommunications and/or media equipment and facilities. Each provides a specialized set of services with coordination among them.

The Instructional Media Center does analysis of problems in teaching and learning, and design and development of appropriate solutions. This includes planning, production and/or distribution of motion picture films, graphics materials, signs and displays, slide/tape programs, video-tape programs, black and white and color photographic services, audio-tape productions, audiovisual equipment, instructional films, projection services, installation, operation and maintenance of audiovisual equipment, public address, two-way radio and portable television systems, and the promotion and sale of University sponsored instructional materials.

Basic classroom audiovisual services are provided at no charge to faculty for regularly scheduled on campus courses. All other services are provided on a charge basis to both on campus and off campus agencies.

Research Development and Patent and Copyright Management

Support services required for the University's research and creative activities overlap with those required for instructional and public service activities. There are, however, additional special services required to insure that our faculty have an opportunity to remain competitive with their peers in other institutions, to provide adequate access to University expertise for the state's industries, businesses, and public agencies, to insure that University, state, and federal policies and regulations are met, and to protect the intellectual products of research and creative scholarship for the benefit of our faculty, the University, and the nation.

These services include providing information to faculty on sources of funding for research and scholarly projects and coordinating responses to requests for multi-disciplinary and trans-disciplinary research efforts, including response to events in the state involving toxic or hazardous materials. They also include faculty assistance with problem solving on matters of research equipment and facility purchases or repair. Modest start-up grants are provided on a University-wide competitive basis for new research ventures. Services also are required to provide supervision for compliance with federal and state regulations on such matters as use of animals or human subjects in research.

As the state and nation have become more concerned about their relative technological productivity and competitiveness, services to provide more effective access to University expertise by business, industry, and public agencies have been demanded of all land-grant universities.

Patent and copyright management services are provided both to meet the requirements of federal patent laws and to protect faculty inventors',

the University's, and the nation's rights to discoveries and other creative works by faculty, students and staff.

The Michigan State University Press is a small, free-standing organization, the board of which is composed predominately of Michigan State University faculty and administrators. It publishes a modest number of books each year. The press operates on its own revolving account plus a modest subsidy in the form of housing in the University and some services for its two employees.

Student Information

Michigan State University maintains individual student records at the department, school, college, and University levels to document events and actions that are evidence of each student's educational achievement and progress, that provide a basis for decisions about access to opportunities and benefits of the University community, and that form the basis for advising about the achievement of each student's educational goals. The development of student records begins during the recruitment and admission process. In this phase the University collects background information on demographic characteristics, level of achievement/competence, prior educational experience, and career/program aspirations. The Office of Admissions and Scholarships has primary responsibility for the collection and maintenance of this information for all applicants.

After registration, demographic and selected academic data are transferred to the Student Master File, the basic record of each student. In this file information such as major or major preference, class, and degree status is maintained on a term basis. The Registrar has the responsibility for the accuracy, completeness, and integrity of permanent academic records. These records are the basis for the student's transcript and are audited regularly.

The departments, schools, and colleges also keep records of students in programs in their units. These records are similar to those maintained by the registrar. However, these files also may include advising and counseling records, letters of recommendation, disciplinary records, or information about special achievements and awards. The Undergraduate University Division maintains the records for undergraduates who have fewer than eighty five credits with the exception of those students enrolled in James Madison College and Lyman Briggs School.

Other support units maintain information about students in areas such as billing and fee payment, housing, financial aid, student employment, health, and placement. The concept of a student information system encompasses the collection, maintenance, and retrieval of all types of records that document interactions of individuals with various functions at Michigan State University from recruitment through alumni status.

The University currently is undertaking a review of elements, information flows, and basic tasks that make up the comprehensive student information system. This review will provide the basis for development of a system requirements definition and system design alternatives needed for the integration of all student record functions. This end of phase document

will be completed in April, 1984. Supported by Data Processing, the resulting computerized system will provide the framework for records at the unit, college, and University level and will be designed to provide appropriate access to information by students, faculty, and staff. Duplication of data and effort will be reduced significantly and intra university communication will be facilitated.

Access to and use of student information must recognize the constraints imposed by the Federal Family Educational Rights and Privacy Act and by the University's own "Guidelines Governing Privacy and Release of Student Records" and Academic Freedom Report for Students at Michigan State University. These documents contain information information about the rights and responsibilities of faculty, staff, and students in matters concerning student records.

Alumni Services

The alumni office has a dual service responsibility in serving the University's 260,000 alumni worldwide and serving the 25,000-member Michigan State University Alumni Association, a federation that is responsible for alumni programming. The purpose of the alumni office is to develop ways to enable alumni to serve the University and to carry out programs and services that benefit alumni.

The alumni program consists of sixty-five regional clubs and twenty-seven constituent associations affiliated with colleges, departments, and schools within the University. The program encourages and enables alumni to serve their alma mater in a variety of ways, including: student recruitment and retention, career placement, University development, and legislative advocacy. These programs are designed specifically to support the academic mission of the University.

The alumni are provided with a variety of programs and services that are planned, developed, and executed through the alumni office, regional clubs and constituent associations. Programs offered include homecoming, class reunions, alumni weekend, summer alumni university, athletic and cultural events, alumni lifelong education programs in cooperation with Lifelong Education Programs updates in regional areas by the University president or other campus representatives, social events, and educational tours. An active alumni program involving students is conducted by the Student Alumni Association and the Senior Class Council.

Two major publications, the MSU Alumni Magazine and MSU Today, keep the alumni informed concerning important events at their alma mater. Additionally, many constituent associations and regional clubs have their own publications to keep alumni informed.

May 23, 1984

INDIVIDUAL SERVICES

Human Rights/Relations

Michigan State University is committed to equal opportunity, non-discrimination, and affirmative action.

Michigan State University is committed to providing equal opportunity for all members of the University community and to a leadership role in promoting greater equity in our society. The University actively seeks to insure that factors such as race, sex, age, national origin, or physical condition do not restrict access to the University or limit the opportunities available to individual members. Students, faculty, and staff are to be judged solely on the basis of their qualifications and performance.

Coupled with this commitment to equal opportunity and non-discrimination is a responsibility to take positive steps to overcome the effects of past discrimination and exclusion. Affirmative action programs are required to provide opportunities for members of groups that have been discriminated against in order that they can realize their potential and be fully represented within the University community.

The Department of Human Relations has been assigned the responsibility of promoting and monitoring the University's commitment to equal opportunity, non-discrimination, and affirmative action. It has the responsibility for developing programs and services for protected classes, providing consultation to academic and support units, developing recommendations to improve the University's affirmative action programs, collecting information about affirmative action, and monitoring the University's responsibility to affirmative action, Title IX, Sections 503 and 504, and disabled and Vietnam-era veterans. The responsibility for carrying out the University's commitment and policies rests with each officer, manager, and academic administrator. To realize the University's goals for equal opportunity, non-discrimination, and affirmative action, commitment of every unit in the University is essential.

Recruitment, orientation, retention, career exploration, and placement are important program activities for minority students. The Minority Aide Program within the residence halls and the Multi-Ethnic Counseling Center Alliance are examples of programs that provide assistance to many students in their personal adjustment to the campus and in sustaining their cultural and social awareness as they prepare themselves academically.

The University recognizes that it is not enough simply to subscribe to policies of equal opportunity, non-discrimination, and affirmative action. Rather, the institution recognizes that it must commit human and financial resources to meet its responsibilities in these areas. Resources expended to make the physical environment more negotiable for handicappers, to provide special training programs for those who have not had the opportunity to reach their potential, to develop programs to address the needs and interest of minorities and women, to hire and

retain staff who can facilitate inter-cultural communication, reduce barriers, and effectively intervene when problems are identified, and to develop and implement systems to monitor the environment are all types of expenditures that are a part of the University's investment in the future.

Cultural Services

A group of units at Michigan State University serve as important cultural resources for the institution's academic population as well as providing cultural enrichment and entertainment for a broad segment of the Michigan population. These are the Wharton Center for the Performing Arts, the Kresge Art Center, the Museum, and the Planetarium. All of these facilities not only house academic programs but also provide access to cultural programs to students, faculty, staff, visiting scholars, and broad segments of the general public.

Funding for these cultural resources comes from a mix of University general funds, user fees, gifts and grants, and revenue from sale of associated souvenirs and related items. Each unit has a strong organization of University and community supporters who assist with fund raising, special program offerings, donation of volunteer services, and related activities.

The quality of the cultural amenities in the mid-Michigan region and specifically on the campus is an important element in attracting and retaining outstanding faculty, students, and staff. These cultural resources are equally important in providing cultural linkages to alumni, state and community leaders, and individual supporters of the University. Such assets not only provide rich supplemental research and instructional experiences for our faculty and students but they also provide opportunities for shared cultural experiences for groups ranging from primary school children to the aged, from visiting foreign scholars to farmers and their families during MSU's Farmers Week. Experience throughout the nation demonstrates that these assets are also important in attracting and retaining professionals in high technology and other business and industry located in the vicinity of university campuses.

Each unit participates in outreach functions that bring offerings from its research or cultural collections, repertoire, or its professional expertise to serve various publics throughout the state, thus fulfilling part of Michigan State University's land-grant charter.

Support Service Personnel Administration

The employment operation assists in the filling of approximately 2,500 nonacademic, support vacancies annually. This effort involves recruiting candidates, preparing weekly postings, administering tests, checking references, interviewing candidates, screening credentials, counseling departments and employees, interpreting policies and procedures, promoting affirmative action, recording applicant flow data, posting governmental notices and hiring regulations, and processing new employees. The employment staff also is charged with the responsibility of administering the complex lay-off procedures for nonacademic staff.

The classification staff established and maintains the classification systems and compensation schedules for support personnel. The classification operation conducts a variety of wage and salary surveys with Michigan colleges and universities, Big Ten universities, and other selected local and national employers.

The personnel office maintains the central personnel records and attendance systems for all support personnel. In addition, workers compensation and unemployment compensation cases are administered by this office.

The staff benefits office administers a comprehensive benefits package to attract employees, increase employee satisfaction, and reduce turnover. This package includes health, life, dental, accident, and disability insurance plus pension, tax shelter, and educational assistance programs. The effectiveness of current programs is evaluated to insure program objectives are being met within cost parameters. In addition, individual and employee group concerns about existing and proposed benefit programs are evaluated by the staff. Insurance utilization and cost effectiveness are monitored, particularly in the health, dental, and long term disability insurance programs.

In fulfilling its labor relations responsibilities, the employee relations staff seeks to preserve the University's ability to conduct its business through productive utilization of organized employees. Toward this end, the staff negotiates collective bargaining agreements with the several employee groups, administers collective bargaining agreements, provides professional labor relations expertise and counsel to managers, represents the University in third step grievance hearings and grievance arbitrations, represents the University in selected Michigan Employment Relations Commission and Michigan Wage and Hour proceedings (such as unfair labor practice charges, unit clarifications and back pay disputes), and helps develop and maintain a climate of trust, respect, and cooperation between the management and the collective bargaining unit representatives.

The Human Resource Development unit has responsibility for developing and providing support personnel with training designed to improve performance by increasing current skill levels and developing new skills needed by the University in its operations. The unit is also responsible for providing training to managers, in both academic and support areas, which will assist them in more effectively utilizing human resources. The objective of this unit is to assist in making employees more productive by providing effective training programs.

Academic Personnel Administration

The academic personnel system includes the following position categories: ranked faculty (tenure system/National Superconducting Cyclotron Laboratory continuing employment system/temporary), librarians (continuing appointment system/temporary), specialists (job security employment system/temporary), Cooperative Extension Service (continuing employment system/temporary), research associates (temporary) and other positions (continuing/temporary).

The last category includes individuals appointed on a continuing basis in executive management positions as designated by Board of Trustee action. Faculty and academic staff also may be appointed on an adjunct/clinical appointment basis. (Such appointments are temporary and normally on a no-pay basis.)

The academic personnel operation assists academic and support units in the filling of the approximately 600 vacancies that annually occur in various academic personnel system positions. Michigan State University operates a decentralized academic personnel system; therefore, the responsibility for posting, checking references, interviewing candidates, and screening of credentials rests with the appropriate unit. However, the academic personnel records office is responsible for reviewing all postings of academic personnel positions prior to submission for publication in the MSU News Bulletin and to the Michigan State University Placement Service and the Michigan Employment Relations Commission.

With limited exceptions the individuals appointed to academic personnel system positions in support units do not hold ranked faculty appointments within the tenure system. Effective January 1980 all ranked faculty tenure system appointments must be recommended by academic units. In some instances, an academic unit may join with a support unit to recommend an individual for a joint appointment in the tenure system. Such appointments involve a prior understanding that the applicable academic unit accepts the individual as a regular faculty member and is prepared to financially support an appointment within the academic unit in the event that the individual leaves his or her assignment in the support unit.

The academic personnel staff conducts continuing studies and reviews of academic personnel policies, procedures, and practices and counsels deans, other administrators, and individual faculty and academic staff regarding personnel policies and procedures. This staff also is responsible for promoting affirmative action in academic personnel system employment and, in conjunction with the Department of Human Relations, administers the provisions of the fourteen step hiring procedure for faculty and other academic staff. Monitoring affirmative action results and tracking and interpreting various state and federal government affirmative action laws, regulations, policies, and procedures also is a responsibility shared with the Department of Human Relations.

The academic personnel staff also has the responsibility for in-service training programs for unit administrators regarding their responsibilities for the evaluation and professional development of individuals appointed in academic personnel system positions. These training programs are developed and implemented in conjunction with human relations staff. The academic personnel office also cooperates with the planning and budget and legal offices regarding the development of related training programs on implementation of personnel policies and procedures and the legal aspects of the employment relationship.

Academic personnel staff together with the Graduate School and the various academic departments are responsible for the graduate assistants in their role as employees.

Student Personnel

Michigan State University provides students with many opportunities for education and learning that extend beyond the formal classroom settings and academic programs that are offered. The size, diversity, and residential nature of the University also influence the nature and extent of individual services that are required. A campus environment that stimulates inquiry, fosters intellectual growth, promotes social and personal development, and responds to the needs and interests of a diverse student population is an important factor in the University's ability to attract, retain and educate qualified students and to carry out its mission as a land grant institution.

Professional staff throughout the University influence the campus environment and contribute to the educational process for students in a variety of important ways. Whether staff work in a specific unit such as University housing programs, counseling, intramural sports and recreative services, service-learning programs, financial aid, the Union, or any of the many other services to members of the University community, they all share a common commitment to challenge and support students in their educational pursuits, to provide open and effective communication with and among members of the University community, and to foster an environment that is responsive to all members of the community.

The following three areas serve to define ways in which support staff contribute directly to the educational opportunities for students: (1) through the development of educational programs that complement and supplement the formal instructional process; (2) through their roles as counselors and consultants to individual students and student groups; and (3) through the delivery of a broad range of essential individual services to students and others.

In the area of educational programming, student personnel staff have the opportunity and responsibility to identify student interests and needs and to develop corresponding programs to supplement and complement curricular offerings. Programs developed in concert with student experiences, where they live and through the activities in which they engage, provide a context for learning that can enhance understanding, clarify values, and provide opportunities for students to apply their skills and knowledge. Program development, however, is guided not only by the interest and needs identified by students but also by the priorities of the University. The opportunities the University offers and the expectations it holds are communicated through its programs.

The University's placement program plays an active role in guiding students through career decisions and providing employment interview opportunities with a broad range of industries and markets. The placement operation also provides career change counseling and support for alumni.

As advisors, counselors and consultants for individual students and student groups, support services staff and faculty supplement and complement curricular offerings and assist students in developing leadership skills, in gaining a better understanding of themselves and others, in

becoming more aware of issues, in exploring and choosing career directions, and in responding more productively to the opportunities and challenges they encounter.

The delivery of essential individual services to students and others is the third way in which support staff contribute directly to the educational opportunities for students. In the Office of Financial Aids, for example, each of over 20,000 student aid applications is reviewed individually to ensure that unusual and extraordinary family circumstances are taken into account when aid eligibility is determined. In over 100,000 student visits annually to the Office of Financial Aids, students are advised and given information to help them understand the often complex student aid process. The personalized nature of this service can contribute to students' sense of security and comfort at the University, thereby permitting them to focus on the educational opportunities available to them.

Students who invest their time, talent, and money to attend MSU, as well as the citizens of the state who support higher education as an investment in the future, look to this University to educate for leadership and social responsibility.

Intramural Sports and Recreative Programs

Michigan State University maintains two intramural buildings as well as numerous indoor and outdoor facilities that are available to students, faculty, staff, and, in some instances, the general public. Nearly 100 intramural sports programs and student sports clubs thrive on the campus. In addition, a number of organized league sports are available to employees. Among the facilities provided are two golf courses, indoor and outdoor swimming pools, indoor and outdoor running tracks, tennis courts, canoe shelter, and roller rink, to name just a few.

These programs contribute to both the physical and mental well-being of the University community, and, in particular, they promote a spirit of comradery among the many residence hall students organized into competitive teams. The size and geographic diversity of the campus provide abundant recreational opportunities.

Intercollegiate Athletics

Michigan State University is a member of the Big Ten Conference, composed of NCAA Division I teams. The Department of Intercollegiate Athletics operates twenty-four sports, providing competitive opportunities for approximately 700 student athletes annually and providing scholarship support to 350 of them.

The intercollegiate athletic program plays an important role in providing opportunities for students to develop and sharpen leadership skills and skills related to their particular sport. In addition, it provides a linkage to a conference (the Big Ten) that is respected internationally for the quality of its academic and athletic programs. Finally, the intercollegiate athletic program provides a bond to thousands of alumni and friends of this University, a bond that provides financial and other

support to the intercollegiate athletic program and other programs and activities of Michigan State University. These activities of the University attract nearly 1,250,000 spectators as well as additional millions in television audiences each year. The availability of Big Ten athletics is clearly an asset in recruiting faculty and support talent to Michigan State University.

Legal and Judicial Services

Michigan State University provides a wide range of services to faculty, staff, students, administrators, and Board of Trustees members for protecting rights. assuring due process, and for dealing with problems, grievances, complaints, claims, and litigation that arise in the execution of the University's academic and support programs. These services extend from informal advice and resolution of issues (by, among others, the Ombudsman, Faculty Grievance Officer, the Division of Student Affairs and Services, the Department of Human Relations, and the director of Employee Relations), through formal systems within the University (such as union grievance procedures, the Anti-Discrimination Judicial Board, the Interim Faculty Grievance Procedure, and the Student Judicial System, to representation of the University, its officers, faculty, and staff in performance of duties, and of board members, by legal counsel to state and federal agencies and before state and federal courts.

The system of "jurisdictions" within the University include:

Interim Faculty Grievance Procedure
Undergraduate and Graduate Student Judicial System
Anti-Discrimination Judicial Board
Various union procedures
General Procedure for Non-Academic and Non-Union Personnel
Hearing Procedure for Continuing Employment System Employees
Special Procedures for Appeal and Hearings (Medical Staff)
University Committee on Faculty Tenure Hearings

Specifically designated University officials are responsible for operating and administering these board-approved procedures.

The external matters handled by the office of the General Counsel include:

Workers compensation, unemployment, and unfair labor practice matters
State and federal agency regulations (EEOC, DOL, OCR)
Litigation in state and federal courts

The General Counsel is authorized to conduct the legal affairs of the University by the Bylaws: Board of Trustees and its policy on indemnification.

May 23, 1984

APPENDIX II

SUPPORT SERVICES COST STUDY

Although in recent years college and university accounting standards for financial reporting have been developed and generally subscribed to, those standards do not prescribe nor require the disaggregation and redistribution of organizational unit costs except within broadly defined functional categories such as Academic Support, Institutional Support, Student Services, and Operation and Maintenance of Plant. Thus, it is not possible to develop meaningful interinstitutional comparisons of the cost of operation of the payroll function, the cost of snow removal, or the cost of grounds maintenance in general, due to different organizational structures. Attempts by Michigan State University and peer institutions in the past have been unsuccessful except in isolated instances focusing on very narrowly defined activities. Accordingly, the Office of Planning and Budgets has examined the relationship of support services costs to total costs by utilizing the major functional categories included in "The Statement of Current Funds Revenues, Expenditures and Transfers and Changes in Fund Balances" reported in the annual financial reports of public Big Ten institutions.

The study is focused on the functional categories, Student Services, Institutional Support, Operation and Maintenance of Plant, and Auxiliary Services, in comparison to Instruction and Departmental Research, Research, Public Service, and Academic Support. Comparisons focus on all current funds. Following is a summary of the components of the functional categories:*

Student Services

Student services administration, social and cultural development, counseling and career guidance, financial aid administration, student admissions and records.

Institutional Support

Executive management, fiscal operations, general administrative services, logistical services, community relations.

Research

Institutes and centers, individual project research.

Public Service

Community services.

---

*There are no defined component groupings within Operation and Maintenance of Plant, or Instruction and Departmental Research.

Academic Support

Libraries, museums and galleries, audio-visual facilities, computing support, ancilliary support, academic administration and personnel, course and curriculum development.

Auxiliary Activities

Auxiliary fund accounts have revenues and expenditures of revenue producing, substantially self-supporting enterprises that perform a service for, but are not themselves educational and general activities. Examples of auxiliary activities include housing and food systems, student centers and other student facilities, intercollegiate athletics, parking and transportation, hospitals, conference centers and internal service operations, etc.

It should be apparent that these functional categories do not reflect administrative structure, nor is the distinction purely academic/non-academic. For example, for Michigan State University the provost's office is included in institutional support within executive management, and the faculty grievance office is in the same functional category within general administrative services. As noted above, however, different institutional structures preclude isolation and identification at such level of detail.

It should be reemphasized, however, that these categories are explicitly defined in the American Institute of Certified Public Accountants Audit Guide and must be adhered to by institutions required to submit reports to the federal government.

GENERAL NOTES

Current Funds - Expenditures by Function

Current funds consist of funds that are available for current university operations. These include expenditures from the general fund, designated fund, (note that these two funds are often reported in sum as unrestricted) restricted funds, auxiliary activities and hospital or medical operations. Examples of expenditures that are not included in current funds are the plantfund, student loan fund, endowment and agency funds. Total current fund expenditures are generally comparable among institutions. Functional differences do exist in reporting expenditures. For example, Iowa does not report auxiliary activities or hospital operations as a function, as most other institutions do. Therefore, in this case the Iowa data has been reclassified. Such differences exist in terms of functional reporting among institutions, but the institutions themselves represent, in terms of their academic and support programs, a reasonably common basis for comparative analysis.

May 23, 1984

COMPARISON OF BIG TEN EXPENDITURES*

	ILL	IND	MICH	MSU	MINN	OHIO	PUR	WISC	IOWA
CURRENT FUND Admin & Gen Exp. as % of Total	42.6	50.5	50.7	32.6	42.3	42.4	29.9	36.3	56.7

*Scholarships, Financial Aid, and Mandatory Transfers expenditures have been excluded from the analysis.

41.55

INSTITUTIONAL NOTES

1. University of Illinois

    1. Data includes expenditures for their Champaign-Urbana, Medical Center and Chicago Circle campuses.
    2. University Hospital operations are included in total current fund expenditures.
    3. A portion of medical center expenditures are reported as unrestricted general fund. For comparability purposes, this expenditure has been excluded from the unrestricted category.

2. Indiana University

    1. Data includes only the Bloomington campus.
    2. The university hospital operation is reported separately and is located in Indianapolis, therefore, current fund expenditure data does not include their hospital operation.

3. University of Michigan

    1. Data includes the Ann Arbor, Dearborn and Flint campuses.
    2. University hospital operations are included in total current fund expenditures.

4. Michigan State University

    1. Data includes the East Lansing campus as well as the Agricultural Experiment Station and Cooperative Extension Service.
    2. MSU does not have a university hospital.

5. University of Minnesota

    1. Data includes expenditures for the university system.
    2. University hospital operations are included in total current fund expenditures.

6. Ohio State University

    1. University hospital operations are included in total current fund expenditures.

7. Purdue University

    1. Data includes expenditures for the West Lafayette and regional campuses.
    2. Purdue has no university hospital.

8. 1. Data includes expenditures for the Madison campus only.
   2. University hospital operations are included in total current fund expenditures.

9. University of Iowa

   1. Iowa does not report a functional category of auxiliary activities or hospital operations. Expenditures in these funds are reported in the functional categories of instruction, research, public service, etc. For comparability purposes these expenditures were reclassified into an auxiliary activities category.

May 23, 1984

APPENDIX III

PHYSICAL PLANT UNIT COST DATA*
FY 1980-81
BIG TEN UNIVERSITIES
DOLLARS/SQUARE FOOT

SCHOOL	ADMIN.	EGIN.	MAINT.	CUST.	UTIL.	TOTAL
Northwestern		No Data Submitted				
U of M	.083	.032	.665	.621	1.475	2.876
Minnesota	.097	.040	.684	.778	1.126	2.725
Illinois	.051	.017	.651	.555	1.329	2.603
Iowa	.051	---	.534	.559	1.441	2.585
Ohio State	.053	.037	.613	.585	.973	2.261
Wisconsin	.065	---	.287	.748	.873	1.973
Purdue	.037	.057	.438	.522	.905	1.959
Indiana	.037	.027	.397	.543	.789	1.793
MSU	.030	.020	.427	.445	.754	1.676

---

*Source: Comparative Unit Cost and Wage Report
Association of Physical Plant Administrators

SOME SUPPORT SERVICES FACTS AND FIGURES

THE CAMPUS

- 5,320 acres-total campus
  2,000 acres-developed main campus
- 33 miles of roadways, 97 miles of walkways, 11 miles of bicycle paths
- 22,337 parking spaces on campus
- 7,800 varieties of woody plants and 20,000 plantings on campus
- 139,000 megawatt hours of electricity, 1.5 billion gallons of water and 1.77 billion pounds of steam used annually
- 160,000 tons of coal burned annually
- 310 miles of sewers, water pipes, steam mains and high voltage electrical cables on campus
- 528 buildings valued at $1.4 billion with 17.5 million square feet
- 498 classrooms, 1,496 laboratories

PUBLIC SAFETY

- 13,000 student and 14,600 employee motor vehicles registered
- 3,000 bicycle permits
- 161,000 patrol miles annually
- 550 campus emergency runs
- 41,000 physical security inspections of buildings
- 470 laboratory inspections

HEALTH SERVICES

- 77,000 patient visits at Olin Health Center
- 65,000 patient visits at MSU Clinical Center
- 17,560 patient visits at Veterinary Clinical Center
- 6,400 inpatient admissions at Veterinary Clinical Center
- 24,300 individual contacts with Counseling Center
- 16,000 hours of student visits to Counseling Center
- 1,300 contacts made by Sexual Assault and Safety Education Program
- 1,730 farm calls

PUBLIC ATTRACTIONS AND RECREATION

- 1,250,000 spectators at Intercollegiate Athletic Events
- 50,000 visitors to Abrams Planetarium
- 43,000 visitors to MSU Museum
- 29,000 visitors to Kresge Art Gallery
- 36,000 student participation in intramural sports programs
- 143,900 visitors to indoor and outdoor pools
- 3,700 participants in 44 sports clubs
- 60,800 students attended 1378 housing programs office

FINANCIAL SERVICES

. 420,000 checks issued by accounting and payroll
. 919,000 checks received
. 29,000 MSU STUDENTS RECEIVED $76,675,000 in financial aid
  . $7,335,000 Pell Grants
  . $2,851,000 National Direct Student Loans
  . $884,000 Supplemental Educational Opportunity grants
  . $2,609,000 College Work Study
  . $38,152,000 Guaranteed Student Loans
  . $2,829,000 State of Michigan Scholarships
  . $5,520,000 MSU Institutional Scholarships/Grants
  . $13,219,000 campus student employment (non-work study)
  . $3,276,000 all other programs
. 106,000 student visits to Office of Financial Aids

PURCHASING AND STORES

. 22,000 purchase orders issued
. 19,000 purchase order drafts issued
. $54,606,000 total order volume
. 50,000 stockroom requisitions processed
. 7,000 different items stocked
. $3,654,000 total stores sales

CAMPUS MAIL SERVICE

. 6,116,000 U.S. mail pieces processed
. 5,000,000 on-campus mail handled
. $1,298,000 total postage used

COMMUNICATION SERVICES

. 175,000 households view WKAR-TV programs weekly
. 18,000 households contribute to WKAR-TV funding
. 1,500 hours of WKAR-TV programming annually by MSU faculty in courses
. 100 classrooms in 20 buildings use Instructional Television
. 400 courses annually utilize Instructional Television
. 1,075,000 computer sessions valued at $3,700,000 logged at Computer Center
. 570,000 class sessions held at Computer Laboratory
. 510,000 sessions at Computer Center via terminals across campus
. 11,573,000 cards input at Computer Center
. 56,000 research sessions for Michigan government, business and industry
. 1,500 projects by 8,000 users ongoing at Computer Center
. 530 publications for 90 outlets produced by Office of University Publications
. 2,700 separate items of information for 152,000 outlets prepared by Division of University Relations
. 35,000 pieces of mail processed daily

INSTRUCTIONAL MEDIA CENTER

- Processes over 22,000 individual requests per year for audiovisual equipment, projection and film services
- Processes over 5,600 requests per year for specialized technical (public address, audio, video, equipment repair) services
- Over 1,700 requests for specialized graphics services are completed each year
- 12,500 orders for color and black and white photographic services are processed each year
- 425 sets of University sponsored instructional materials (video-tape, computer programs, films, slide/tape programs) were promoted and sold to organizations in this country and in 10 foreign countries

LIBRARIES AND ARCHIVES

- 2,800,000 books, journal volumes, government documents in Library
- 92,000 items added each year to Library collection
- 4,500,000 pieces of microfilm in Library
- 134,000 maps
- 30,000 voices in Voice Library
- 1,000,000 items circulated by Library annually
- 2,500,000 people enter Library annually
- 2,200 photographs processed by Archives

STUDENT SUPPORT SERVICES AND STUDENT RECORDS

- 40,100 enrollment
- 16,100 students housed in residence halls
- 5,600 people housed in University Apartments
- 12,000,000 meals served annually
  - 2,000,000 pounds of meat
  - 415,000 gallons of milk
  - 2,000 bushels of apples
  - 285,000 heads of lettuce
  - 120,000 pounds of flour
  - 25,000 pounds of cabbage
  - 120,000 pounds of tomatoes
- 400,000 hours of community service donated by students
- 1,500 student volunteers assigned to 41 major programs
- 16,000 students employed on campus ($16,200,000 payroll)
- 32,000 campus interviews for students
- 1,500 business recruit at MSU
- 590 student organizations registered with Student Activities Office
- 5,100 classes scheduled in 378 classrooms
- 144,000 student academic transcript requests annually
- 10,000 students cleared annually for graduation
- 90,000 student contacts annually by black aides
- 14,000 student contacts annually by Hispanic and Native American aides
- 200 formal cultural programs annually for blacks, Hispanics and Native Americans
- 1,000 students advised by Ombudsman

We can succeed only by concert.

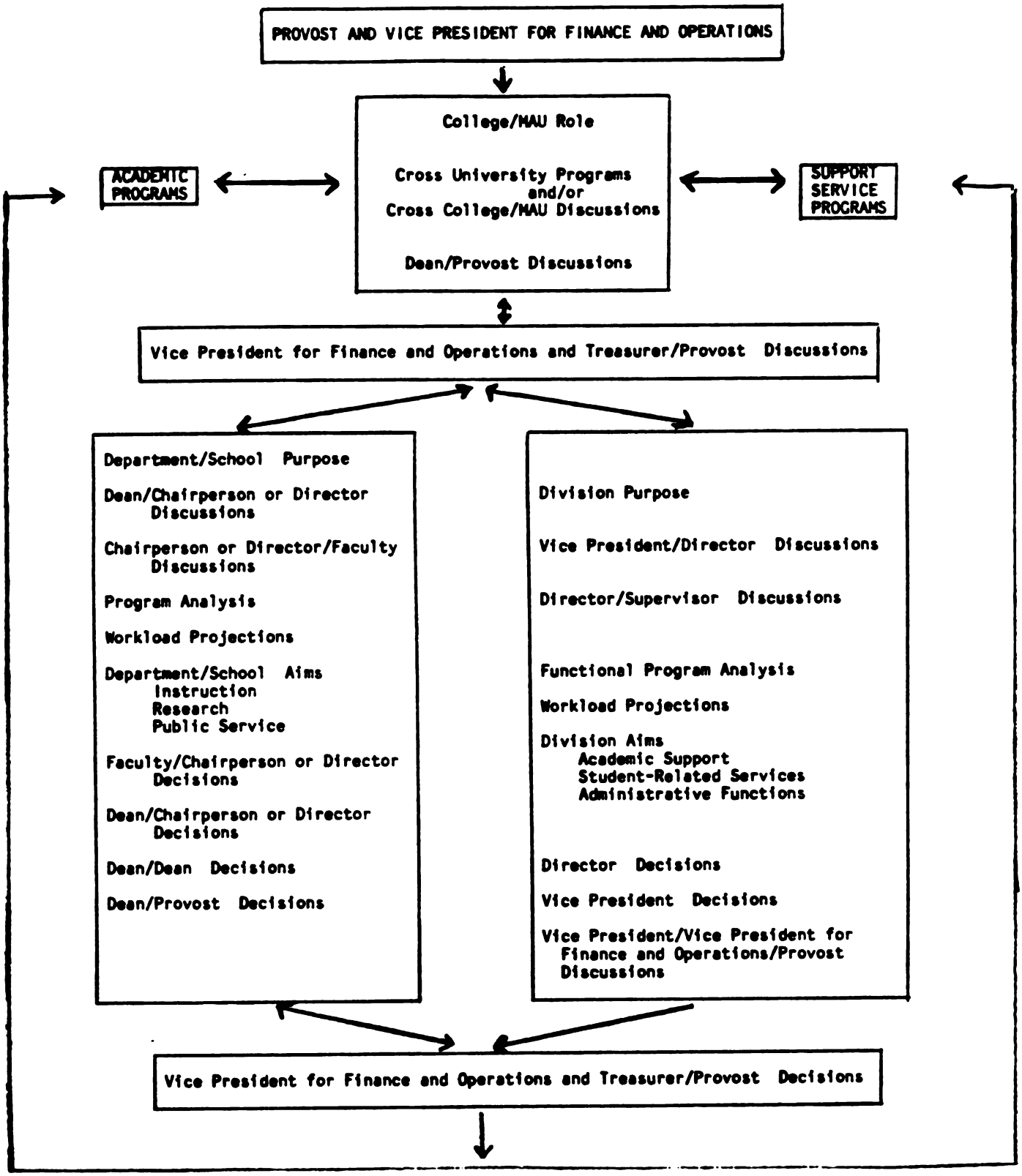
--Abraham Lincoln

SEQUENCE AND RECURRENCE OF PLANNING EVENTS

At Michigan State University, the sequence of planning events (Role, Objectives, Purpose, Aims) is a recurring iteration of advisory initiative responsibilities and responses at each administrative level. Although illustrated as a vertically linear sequence of events, the process is circular and continuous. In general, support service program planning will trail and dove-tail with academic program planning.

"Planning is interactive, as well as progressive, with considerable discussion and evaluation of plans between administrators and faculty or staff within units, between Deans and Departments and schools, Assistant Vice Presidents and their units, and between these administrators and their respective Vice Presidents. This kind of interaction occurs annually within the context of a 3-5 year planning cycle. (Statement on Long Range Strategic Planning.)

The flow of the major academic program and support services planning events may be illustrated as follows:



FLOW OF MAJOR ACADEMIC PROGRAM AND SUPPORT SERVICES PROGRAM PLANNING EVENTS

Mechanisms for the iteration of the long range strategic planning process with the major academic program and support service units is stimulated through a series of planning formats. These formats articulate the dual foci of identification of "where we are" and definition of "where we should be." Specific fiscal year plans reflect the resources required to implement the plan.

At Michigan State University, two developing documents provide the mechanisms and rational substance for the recurring discussions/decisions across administrative boundaries.

> Academic Program Planning and Review . This document addresses program planning at the departmental unit level as well as cross unit or university level. It is intended that "at its most complete, academic program planning will coordinate sstatements of roles and objectives, descriptions of existing programs and alternatives, the identification of priorities, and future plans for program management...." (Statement on Long Range Strategic Planning)
>
> Support Services Program Planning and Review . This document addresses support services program planning at the division level. It is designed to be compatible with the academic program document and provides the initial linkages between academic program and support services planning.

Academic Program and Support Service Program Planning and Review is a procedure which serves as the vehicle for planning, evaluating, and modifying the academic enterprise. The planning formats are the working documents for the staff/chairperson or director, or the dean/dean, and dean/vice president discussions and decisions which are utilized for long range strategic planning at the division or department/school, college/MAU, cross-unit, and University levels.

How these iterative discussions and decisions are structured is a matter of administrative leadership. It is expected that the program planning and review formats will provide documentation from the units that enncourages rational "self-fulfilling" accountability of articulated plans, and will stimulate creative, entrepreneurial attitudes that recognize and develop opportunities for program improvement. In that respect, a series of "Planning Questions"

have been developed as exercises to be completed by divisions or departments/schools, and Colleges/MAUs, and coordinated and synthesized at the College/MAU level. The responses to those questions are essential components of a planning process that strengthens our individual units and the whole of Michigan State University.

A suggested chronological flow of events related to the Academic Program Planning and Review document has been developed into a Planning Calendar. The Planning Calendar, when combined with the timetable for budget requests (included in this Guide on page 48.1) provides a systematic sequence of essential planning activities. The Planning Calendar is described as a planning flow of events and is illustrated on the following page.

The specific planning questions which are answered during the activities related to the Planning Calendar are set forth in two sets of formats and included in this section of the Guide: The Academic Program Planning and Review document and the Support Services Program Planning and Review document.

198 -8 PLANNING FLOW
Academic Program Planning and Review Procedure

WHAT	WHO	WHEN
Academic Program Planning and Review document and supportive information arrives in the Office of the Dean.	O.P.B.	October
Academic Program Planning and Review document distributed to departments/schools along with any additional "college-specific" guidelines relative to: . Development of college Roles and Objectives - P. 9 and 10 . Program Analysis - P. 12, 13, and 14 . Workload Definition - P. 17 . Resource Requirements - P. 17-24	Dean	October 30
Unit Work Session for College-level Budget Personnel	O.P.B.	Prior to November 15
College Roles and Objectives are distributed to departments/schools - P. 9 and 10	Dean	November 30
Cross-College or Cross-University Program Decisions as appropriate . International Studies & Programs - P. 25 . Lifelong Education Programs - P. 26 . Urban Affairs Programs - P. 27 . Libraries - P. 28 . Computer-related Services - P. 29 . Honors College- P. 30	Dean	November 30
Academic Program Planning and Review document returned to the Dean . Purposes - P. 11 . Program Analysis - P. 12, 13 and 14 . Workload Definition - P. 17 . Aims- P. 15 . Resource Requirements - P. 17-24 . Support Services Requirements - P. 23 . Space Analysis - P. 24 . Long Range and Strategic Planning of the Department/School - P. 32	Chairperson or Director	December 15
College Aggregates as appropriate . Program Analysis - P. 12, 13 and 14 . Workload Definition - P. 17 . Resource Requirements - P. 17-24	Dean	January 15
Plan-of-the-College/MAU Page 33	Dean	January 15
Academic Program Planning and Review (total document) returned to the Office of Planning and Budgets	Dean	January 15
Preparation of Unit Profiles	O.P.B.	May 1
Planning Analysis with preliminary Unit data profiles returned to Office of the Dean and the Provost.	O.P.B.	May 1

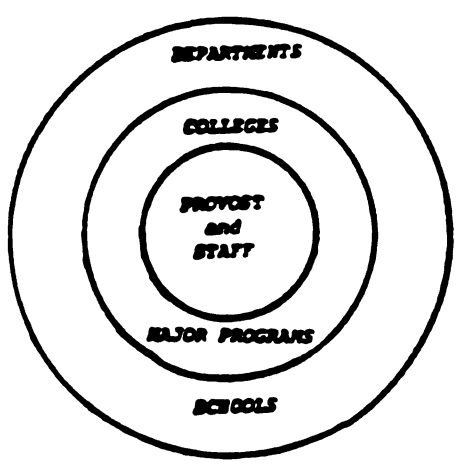
ACADEMIC PROGRAM PLANNING AND REVIEW PROCEDURE
1984-1985

Introduction

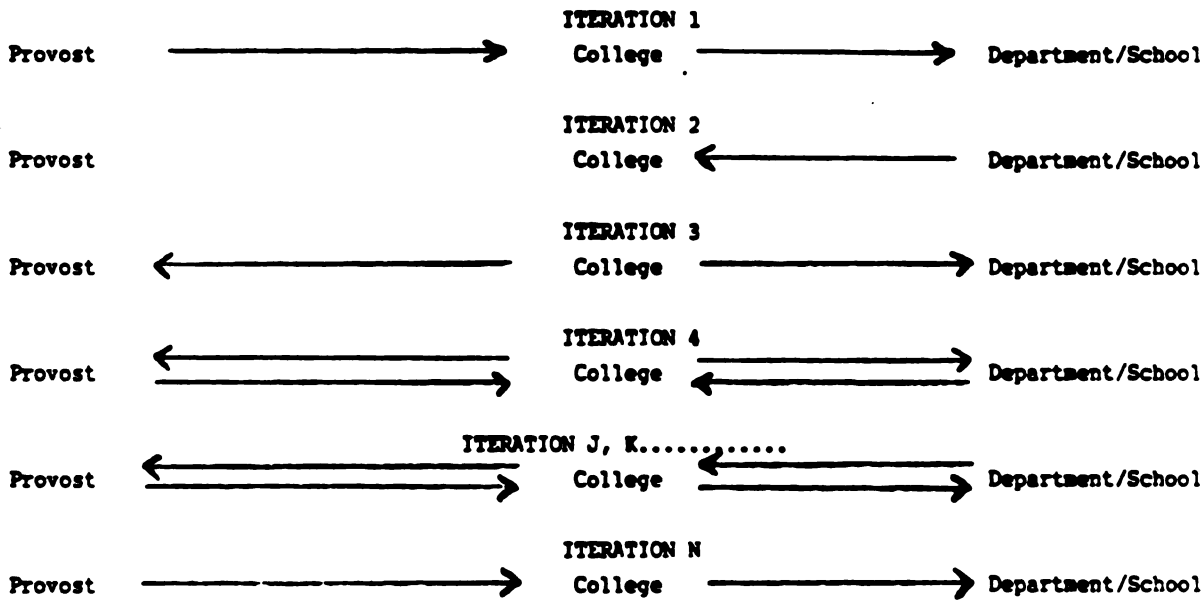
The continued success and viability of Michigan State University as a premier land-grant and AAU institution requires sophisticated and thorough self-analysis and planning which results in prudent allocation and reallocation of resources. Long range and strategic planning will be effective only if the University is considered an integrated whole and not simply as the aggregation of entrepreneurial activities by individual faculty, departments, schools, colleges, or other units. Academic and support programs must be designed and implemented so that units' purposes are balanced appropriately with and contribute to the mission and goals of the Michigan State University.

Academic program planning by colleges, departments, and schools is the core of long range and strategic planning at Michigan State University. It involves the definition of objectives and the means for achieving them, the analysis of programs, the assessment of alternatives for meeting objectives and for sustaining and enhancing quality, and the development of three to five year plans. Program planning should be consistent with the role, purpose, and priorities of the college and of the unit itself, as well as with the mission and goals of the University. Program planning should be realistic and within University policies and environmental conditions and assumptions. However, planning should also be active, opportunistic, and imaginative.

Academic program planning is a progressive and interactive process--as illustrated by the diagram following the "Statement on Long Range Strategic Planning at MSU." Planning is initiated centrally with communication from the Provost to the colleges and other major academic units and then to departments and schools. At the same time, the process involves considerable discussion and feedback. It is also participatory. The mode of discussion and consultation followed during the development of the central and guiding documents (e.g., the University's Mission and Goals and the statement "Academic Programs: Michigan State University") will continue. The Michigan State planning process must capitalize fully on the University's decentralized mode of operation and is designed to utilize as fully as possible the special competencies and strengths of the departments, schools, colleges, and other academic units. The domains of discussion and recommendation are represented as a set of concentric circles.



Academic program planning in its complete form is a holistic effort which engages the University in a coherent and coordinated process that is informed by and utilizes fully the best efforts of the departments, schools, colleges and other units. Planning is conducted in an iterative and transactional manner which has a specified annual cycle with a beginning and an end. The planning process features an accordion-like capacity to contract and expand as circumstances mandate. There will be a series of discussions for each college involving (a) the Provost and the Dean and (b) the Dean and department Chairpersons or school Directors, as illustrated by the diagram of the annual planning dialectic shown below.



All participants in the planning process, faculty, students, and administrators are expected to know and understand the content of the following central documents:

- Statement on Long Range Strategic Planning at Michigan State University
- Mission Statement
- Environmental Assumptions
- University Goals
- Academic Programs Statement
- Support Services Program Statement

The planning components have been related to our administrative structure and are defined as follows

University Level

MISSION ——→ Interpreted and expressed in planning as ——→ GOALS

A statement of the enduring principles and responsibilities of the University.

Derived from the MISSION, goals indicate directions and intentions that apply to the University as a whole and which take into account the external and internal environments.

College and Other MAU Level

ROLE ——→ Interpreted and expressed in planning as ——→ OBJECTIVES

A statement of basic aspirations, intentions and responsibilities of a specific unit as it relates to MISSION.

The particular actions and achievements which will enable colleges/MAUs to fulfill their role and contribute to the goals of the University.

Department/School Level

PURPOSE ——→ Interpreted and expressed in planning as ——→ AIMS

A statement of basic aspirations, intentions and responsibilities of a department/school as it functions within the COLLEGE/MAU ROLE and UNIVERSITY MISSION.

Activities and outcomes which will enable departments and schools to achieve DEPARTMENTAL/SCHOOL PURPOSE and COLLEGE/MAU OBJECTIVES.

FACULTY MEMBER

CAREER PLAN

A statement of basic aspirations, intentions and responsibilities of an individual faculty member as an essential contributor to the department/school, college and University.

This Academic Program Planning and Review Procedure is the primary vehicle for operationalizing the Michigan State University academic program planning process. It is the working document for the planning dialectic of discussion and recommendations. This Academic Program Planning and Review Procedure invites and requires departments/schools and colleges/MAU's to identify their salient characteristics in terms of current responsibilities and programs, including current strengths as well as possibilities for improvement, and to state their intentions for their future in the context of the Mission of Michigan State University. The document also enables units to project the effects of their plans on others and thereby understand more fully the unit's purpose in relation to college role and objectives and the University's Mission and Goals. "At its most complete, academic program planning will coordinate statement of roles and objectives, descriptions of existing programs and alternatives, the identification of priorities, and future plans for program management." (Statement on Long Range Strategic Planning at Michigan State University)

The Academic Program Planning and Review Procedure is intended to encourage accountability based on articulated plans and to stimulate creative, entrepreneurial attitudes that recognize and develop opportunities for program improvement and cost effective operations.

Effective academic program planning requires that each department, school, college, and other unit assess every significant component of its programs and activities and accomplish each aspect of the planning process in a realistic and timely manner. Departments, schools, and colleges/MAU's should define their programs and develop their plans within the context established by the Environmental Assumptions and by University Goals. For example, the following parameters flow from those goals and assumptions and need not be restated as unit-commitments or assumptions:

- The University is committed to excellence in academic programs.
- During the current planning horizons, the University will operate under essentially the same financial resources as are currently available, i.e., severely limited resources.
- In addition to the expansion/elimination of positions, there are a variety of options to consider in instructional, research and public service models to re-order priorities and emphasis, e.g., reallocation of time and effort of current personnel.
- The University is committed to a strong, effective tenure system that protects academic freedom and enhances academic excellence and responsibility.
- Each individual faculty and staff member has the obligation to contribute fully to the mission and goals of the University.
- The University is committed to equal opportunity, non-discrimination, and affirmative action.

- Program development is and will remain a matter primarily initiated by the faculty and department/school and college.

Administrators can expect that data and information submitted will be utilized and retained centrally and returned to their units in subsequent planning cycles. Such data will serve, in subsequent cycles, as a references to previous thinking and planning and as aids in revising, confirming, or extending plans.

North Central Accreditation Review

Michigan State University was scheduled for its regular review by the North Central Association of Colleges and Schools, Commission on Institutions of Higher Education in 1984-85. This review is required at intervals of ten years for fully accredited colleges and universities. To avoid a separate accreditation self-study that would have involved a major expenditure of time by all academic units--departments, schools, colleges and other academic units--Michigan State University has arranged with North Central to use the Long Range and Strategic Planning process as the basis for the accreditation self-study. Aspects of the process are designed to meet this objective. Preparation and review of these materials by colleges/MAUs departments and schools should be guided to an appropriate extent by this intended use.

To permit use of the Michigan State University planning process as the required self-study, the North Central review has been delayed one year. The site visit by the North Central accreditation team is now to occur in 1985-86.

PLANNING QUESTIONS

The specific planning questions to be answered are structured in the series of exercises outlined below. Planning participants should focus upon the the planning questions, attendant guidelines, and notations about who will complete the forms and who will use them. In instances where the specific exercise does not adequately answer the question for the unit, an alternative response format should be made.

		PAGE
I.	Description of College/MAU Role Planning Question: What is the specific role of the College/MAU as it relates to the University Mission and Goals in terms of current responsibilities and future intentions?	9
II.	Description of College/MAU Objectives Planning Question: What are the particular actions to be taken by the College/MAU in order to fulfill its role in the current and projected environments?	10
III.	Description of Department/School Purpose Planning Question: What is the specific purpose of the department/school as it relates to the role and objectives of the College/MAU and to the unique academic area(s) or discipline(s) of the unit?	11
IV.	Program Analysis	
A.	Program Description Planning Question: What are the unit's specific programs and the related faculty and academic staff requirements?	12
B.	Program Quality Planning Question: What is the quality of each program; what are the strengths and weaknesses?	13
C.	Program Improvement Planning Question: What are the changes that need to be made to improve the specific instruction, research and public service programs of the department/school?	14

PAGE

V. Description of Department/School Aims 15
Planning Question: What are the aims of each department/school as it fulfills its purpose?

VI. Resource Requirements 16

A. Workload Definition 17
Planning Question: What are the criteria for productivity expected from a full time equivalent faculty relative to instruction, research, public service, and administration?

B. Faculty/Staff Requirements 18
Planning Question: How are the present and future human resources utilized to accomplish department/school aims or college objectives?

C. Financial Requirements 19
Planning Question: How are the present and future financial resources utilized to accomplish department/school aims or college objectives?

D. Support Services Requirements 23
Planning Question: What are the needed changes in support service areas at the department/school, college, and University level that affect or are affected by program plans?

E. Space Analysis 24
Planning Questions: What are the needed changes in space at the department/school, college, University levels that affect or are affected by program plans?

VII. Cross-University Planning
Planning Question: What are the program commitments and planned changes of cross-university programs which induce faculty load changes on specific colleges?

A. International Studies and Programs 25
B. Lifelong Education Programs 26
C. Urban Affairs Programs 27
D. Libraries 28
E. Computer-Related Services 29
F. Honors College 30

		PAGE
VIII.	Cross-Unit Planning Planning Question: When programs are jointly administered or are interdisciplinary in nature, what are the program commitments and planned changes which will induce a faculty load change on participating colleges or departments/schools?	31
IX.	Long Range and Strategic Plan-of-the-Department/School Planning Question: As department/school aims are synthesized with the analysis of programs, purpose, and resource requirements, what is the plan of the chairperson or director?	32
X.	Long Range and Strategic Plan-of-the-College/MAU Planning Question: As College/MAU objectives are analyzed and synthesized with the aims of the departments/schools, the unit plan of each chairperson or director, and role, what is the plan of the dean?	33

COLLEGE/MAU ROLE

Planning Question: What is the specific role of the college/MAU as it relates to the University Mission and Goals in terms of current responsibilities and future intentions?

Guidelines:

- Please state the basic aspirations, intentions, and responsibilites of your College or MAU in relation to the University Mission and its goals.
- Your role statement should provide a specific framework for guiding and coordinating the planning of your departments/schools for the next 3 - 5 years.
- Relatively brief, succinct, unit-specific statements will be most effective.
- Please review the goals submitted by your college during the 1982-83 planning process as a guide or point of reference. They are enclosed under separate cover.

COLLEGE/MAU: _____

DATE: _____

DEAN: _____

TO BE COMPLETED BY: The office of the appropriate Dean AND DISTRIBUTED TO DEPARTMENTS/SCHOOLS WITH THEIR PLANNING MATERIALS.

TO BE UTILIZED BY: The Office of the Provost, in combination with "College/MAU Objectives," to coordinate and support the College/MAU contribution to the University Mission; Other Deans, as cross-unit programs are engaged; Chairpersons and Directors, as purposes are developed and maintained; Dean, as the guide for selection and expression of college planning efforts as objectives; Faculty, as a framework for directing individual contributions to the college.

COLLEGE/MAU OBJECTIVES

Planning Question: What are the particular actions to be taken by the College/MAU in order to fulfill its role in the current and projected environments?

Guidelines:

- Please list the college objectives in priority order.
- Priorities may be numerically ranked or described as "critical" or "important" or "desirable".
- Objectives should be derived from College/MAU role and should direct College/MAU planning for the next 3 - 5 years.
- Objectives that relate to future changes in instruction, research, or public service should be highlighted.
- Objectives should be stated so that the resources required to accomplish each one can be identified and so that each can be evaluated in relation to the role.

COLLEGE/MAU _____
DATE _____
DEAN _____

Description of Objective: Including Relevance to College/MAU Role and Priority	Assessment Criteria: The quantitative or qualitative data or information that are acknowledged to be evidence for accomplishment including anticipated fiscal year of accomplishment

TO BE COMPLETED BY: The office of the appropriate Dean and DISTRIBUTED TO DEPARTMENTS/SCHOOLS WITH THEIR PLANNING MATERIALS.
TO BE UTILIZED BY: The Office of the Provost, in combination with "College/MAU Role" to coordinate and support the College/MAU contributions to the University Mission and Goals. Other Deans: As cross-unit programs are engaged. Chairpersons and Directors: As purposes are developed and maintained. Dean: As a tool for evaluating the effectiveness of college planning efforts. Faculty: As a framework for directing individual contributions to the college.

DEPARTMENT/SCHOOLS PURPOSE

Planning Question: What is the specific purpose of each department/school as it relates to the role and objectives of the college/MAU, and to the unique academic area(s) or discipline(s) of the unit?

Guidelines:

- Please describe the basic aspirations, intentions, and responsibilities of the department/school in relation to the college/MAU role and University Mission and Goals.
- Your statement of purpose should provide a specific framework for guiding and coordinating the planning of your department/school for the next three-five years.
- Statement should be specific. A general statement of purpose about teaching, research and public service in, for example, the field of psychology would not be appropriate. However, a statement from a psychology department about focusing on social and industrial psychology through mathematical modeling would be acceptable.
- Your description should include statements describing the unusual or notable aspects of the academic areas(s) or discipline(s) found in the department/school.

Department/School_____
Date _____
Chairperson/Director_____

TO BE COMPLETED BY: Chairpersons/Directors
TO BE UTILIZED BY: Deans: As department/school contributions to the college role are coordinated and supported. Faculty: As individual contributions to the department are planned and proposed. A College Chairperson/Director: As cross-departmental programs are engaged. Chairperson: As the guide for the selection and expression of departmental planning efforts or activities.

PROGRAM ANALYSIS

The analysis of programs is fundamental to long range and strategic planning on a programmatic basis. The program analysis is divided into three components, each with its own planning question to be answered. Those components relate to a description of programs, statements articulating current program quality, and directions or intentions for program improvement.

A program may be identified as an organized instructional, research, and/or public service activity (or a coherent set of activities) conducted by an administrative unit (or in certain cases by more than one); defined by specific purposes or objectives; staffed by persons explicitly associated with it; and supported by an identifiable (but not necessarily separate) budget or budgets.

PROGRAM DESCRIPTION

Planning Question: What are the unit's specific programs and the related faculty and academic staff requirements?

Guidelines:

- Please identify the instruction, research, and public service programs in your unit (department/school or College/MAU) and, as applicable, the degree level of each. The number of faculty positions (in Full Time Equivalent) assigned to each level should also be listed. For example, the identification of an instructional program includes coded majors, specialization, areas of emphasis, etc.
- Please provide on a separate page, if necessary, brief definitions or descriptions of each program. The critical core of specialties that are essential to the program should be specified. A critical core of specialties may be described as those distinctive components that are essential to the accomplishment of instruction, research, or public service within a particular program. These may be distinguished as a set of courses that must be offered or as areas of faculty expertise.
- Usually, programs should be analyzed or defined at the department/school level, as well as the college level. However, in certain instances programs are college wide and can, therefore, be identified only at the college level. The Dean should determine the level of analysis required. A college aggregate should be provided.

Unit _____

Date _____

Program	Critical Core of Specialties	# Tenure Line FTE Positions	# Temporary FTE Positions	Total FTE

TO BE COMPLETED BY: Chairpersons/Directors or Deans, depending on how programs can best be described at the lowest possible administrative level directly responsible for the program.

TO BE UTILIZED BY: Chairpersons/Directors, Deans: As a basic tool for planning at a programmatic level.

PROGRAM QUALITY

Planning Question: What is the quality of each program; what are the strengths and weaknesses?

Guidelines:

- Please rate your programs in terms of quality. Program Quality is derived from faculty quality as determined by teaching, research, and public service; adequacy of facilities and resources (classrooms, laboratories, offices, other facilities, equipment, printed and non-printed media, etc.), quality of and support by related disciplines; quality of library holdings and other relevant support units and services.
- Program quality is also related to traditional identifiable outcomes of instruction, research, and public service activities.
- Reference groups utilized in your quality considerations should be identified and the evidence for the qualitative rating specified.
- Units have certain characteristics (strengths) which make them uniquely capable of carrying out the purpose. Conversely, they have other features (weaknesses) which inhibit their ability to fulfill their purpose. Quality should also assess environmental opportunities for program development or maintenance and the capacity (strength or weakness) of the unit to respond to that opportunity.
- As you examine the strengths of your programs, please provide documentation which gives an assessment of current strength. Such a statement of current strength is necessary for our North Central evaluation. It may not be included in future planning exercises.

Unit _____

Date _____

Program	Quality Rating Including Reference Group Evidence	Opportunities	Strengths/Weaknesses

TO BE COMPLETED BY: Chairpersons/Directors

TO BE UTILIZED BY: Chairpersons/Directors and Deans as programs are re-defined and developed.

PROGRAM IMPROVEMENT

Planning Question: What are the changes that need to be made to improve the specific instruction, research, and public service programs of the department/school?

Guidelines:

- Please identify your planned program changes.
- When there is more than one identifiable program within a department/school, consider the relative quality of those programs for planned change.
- Unit administrators should predict the impact of anticipated changes on other programs and administrative units.
- It is possible that the current programs meet the stated purpose, but if they do not, it is in this section that you should indicate what changes are necessary. This may include combining or modifying programs, adding new programs, and/or deleting some current programs.
- Please highlight program changes which add to or subtract from current program commitments.

Unit _____

Date _____

Program	Within the constraints of available resources, identify what changes you plan to make to improve your program, or to respond to circumstances which suggest change.	Impact of change on other programs or administrative units.	Fiscal Year improvement to be attained and/or maintained.

TO BE COMPLETED BY: Chairpersons/Directors.

TO BE UTILIZED BY: Chairpersons/Directors and faculty, who are thoroughly knowledgeable about the program being reviewed, as a tool to sustain and improve unit quality through attention to the relative relationships between programs that exist within the department. In subsequent planning cycles, "Quality and Areas of Improvement" exercises will be sequentially expanded to the college and University levels. Dean to note and coordinate shifts and changes in unit programs.

DEPARTMENT/SCHOOL AIMS

Planning Question: What are the aims of each department/school as it fulfills its purpose?

Guidelines:

- Please describe the specific activities and outcomes which will enable the department/school to achieve College/MAU objectives and department/school purpose.
- Aims should be ranked in priority order or grouped one-third in each of the categories of "critical," "important," "desirable."
- Aims should be stated in terms that are specific, precise and are easily translated into resource requirements.
- Aims should be accompanied by the criteria to be used as evidence for accomplishment.
- Aims should be achievable within a three to five year planning horizon.
- Aims should consider those accomplishments necessary to continue the current nature of the department/school as well as those that are related to improvement.

Dept/School _____

Date _____

Chairperson/Director _____

Priority	Description of Outcome	Assessment Criteria (The Quantitative and/or Qualitative Data and/or Information that are acknowledged to be evidence for the accomplishment of the described outcome including the anticipated fiscal year of achievement)

TO BE COMPLETED BY: Chairpersons/Directors

TO BE UTILIZED BY: Chairpersons: In assessing congruence between department/school purposes and how the unit actually utilizes its human and material resources. Deans: As department/school contributions to the college objectives are coordinated and supported. Faculty: As the individuals who know the department/school most thoroughly, this information is essential as faculty contribute to the current college objectives and department/school purpose as well as contribute to the future shaping of these objectives and purpose.

RESOURCE REQUIREMENTS

Guidelines:

- Please project the current resource request along a three year planning horizon. These projections should be made for lowest possible administrative level, i.e., each dean should decide whether these projections should be made at the college or department/school level for the units for which they are responsible.
- A college aggregate should be provided.
- You should consider the resource projections in relationship to department/school aims.
- Department/school resources are consumed by activities related to instruction, research, public service, and administration.
- Data profiles available in the University Data Book relating to faculty/staff, students, programs, finances, and support services should be considered as significant changes are noted.
- In addition to the data profiles available to you through the University Data Book, two additional data displays are included (under separate cover) for your use. These displays are related to the course characteristics of your courses, and provide historical data from the 1983/84 academic year. This will be valuable in matching your resource requirements with your planned aims and projected revenues.
- Significant changes in budget categories created by the program revisions that reconcile resources and aims should be noted.
- Please use the Resource Requirement Formats on the following pages (page 17 through 22). They will help you identify how the present and future resources are utilized to accomplish department/school aims or college objectives. Units should make note of specific assumptions regarding the data which are unique to their department/school, i.e., assumptions regarding enrollments, contract/grant support, etc.
- It is essential that the priorities developed as aims and objectives are reflected as resource requirements. These priorities are the link to planning at a variety of funding levels.

PROJECTIONS TO BE COMPLETED BY: The appropriate dean or chairperson/director.
TO BE UTILIZED BY: The Office of the Dean or Chairperson/Director as a tool to examine present and future activities as they relate to outcomes. Deans: As a source for a college profile with a common denominator of the departments/schools. The college aggregate becomes a major working document for Dean/Provost discussions and decisions.

WORKLOAD DEFINITION

Planning Question:

What are the criteria for productivity expected from a full time equivalent faculty relative to instruction, research, public service, and administration?

Guidelines:

- Workloads may be defined at the college or department/school level according to the discretion of the dean.
- Workloads may be defined as individual faculty productivity criteria or as unit criteria related to full time equivalent faculty according to the discretion of the dean.
- Please identify the administrative level for which this workload definition is applicable.

College/MAU_____

or

Dept/School _____

WORKLOAD DEFINITIONS

TO BE COMPLETED BY: The appropriate dean or chairperson/director.
TO BE UTILIZED BY: Chairpersons/directors as data about course characteristics and academic programs are projected as a planning resource.

Department _____

College _____

Date _____

FACULTY AND STAFF REQUIREMENTS

POSITIONS		Present HDCT	Present FTE	1985-86 HDCT	1985-86 FTE	1986-87 HDCT	1986-87 FTE	1987-88 HDCT	1987-88 FTE	Description of Significant Shifts
Continuing Tenure System Faculty	Instruction									
	Research									
	Public Ser.									
	Adminis.									
	TOTAL									
Continuing Job Security System,i.e., Specialists, Librarians, Coop. Exten	Instruction									
	Research									
	Public Ser.									
	Adminis.									
	TOTAL									
Continuing Admin-Prof Staff										
Continuing Clerical-Technical										
Other Continuing _____ _____										
Temporary Ranked Fac & Acad Staff	Instruction									
	Research									
	Public Ser.									
	Adminis.									
	TOTAL									
Other Temp: Grad Assts	Instruction									
	Research									
	Public Ser.									
Other:	Adminis.									
	TOTAL									

Assumptions and Notations:

HDCT refers to actual Headcount

FTE refers to Full Time Equivalent as defined by the workload statements

FINANCIAL REQUIREMENTS

Please use 1984-85 salary rates.
(October 1, 1984 salary rate adjusted to reflect percent employment)

Department/Unit _____

FY 1984/85

Account Type	Salaries (in $1000's)												Operating Costs (in $1000's)							
	Continuing						Temporary				Total "Open" Salaries	Total Salaries	Special	Supp Serv.	Labor	Equip.	Total Oper. Costs	TOTAL	Revenue	Diff +or-
	Ten. Sys.	Job Sec.Sys	A-P	Cler-Tech.	Other	Total	Ranked Fac. & Acad.Staff	GA	Other	Total										
Gen.Fund (11 Acct) $																				
Aux.Acct.(21 Acct) $																				
Desig.Funds (31 Acct) $																				
Exp. Res.(71 Acct) $																				
Ag. Exp. Station $																				
Coop. Ext.Serv. $																				
Other (Specify) $																				
TOTAL $																				

Assumptions and Notations:
Funding levels from the General Fund will remain at the 1984/85 level for colleges. This is on "actual dollar" figure and should take into account the base budget reductions for 1984/85.

19

OPBO6: Formats
Revised October 15, 1984

FINANCIAL REQUIREMENTS

Please use 1984-85 salary rates.
(October 1, 1984 salary rate adjusted to reflect percent employment)

Department/Unit _____

FY 1985/86

Projected Changes from 1984/85 Salaries (in $1000's)

Account Type		Continuing						Temporary				Total "Open" Salaries	Total Salaries	Operating Costs (in $1000's)				Total Oper. Costs	TOTAL	Revenue	Diff +or-
		Ten. Sys.	Job Sec.Sys.	A-P	Cler-Tech.	Other	Total	Ranked Fac. & Acad.Staff	GA	Other	Total			Special	Supp Serv.	Labor	Equip.				
Gen.Fund (1) Acct)	$																				
Aux.Acct.(2) Acct)	$																				
Desig.Funds (3) Acct)	$																				
Exp. Fees.(7) Acct)	$																				
Ag. Exp. Station	$																				
Coop. Ext.Serv.	$																				
Other (Specify)	$																				
TOTAL	$																				

Assumptions and Notations:
Funding levels from the General Fund will remain at the 1984/85 level for colleges. This is an "actual dollar" figure and should take into account the base budget reductions for 1984/85. Note changes from 1984/85.

OPRDs: Formats
Revised October 15, 1984

FINANCIAL REQUIREMENTS

Please use 1984-85 salary rates.
(October 1, 1984 salary rate adjusted to reflect percent employment)

Department/Unit _____

FY 1986/87

Projected Changes from 1984/85 Salaries (in $1000's)

Account Type	Continuing: Teach. Sys.	Job Sec.Sys.	A-P	Cler-Tech.	Other	Total	Temporary: Ranked Fac. & Acad.Staff	GA	Other	Total	Total "Open" Salaries	Total Salaries	Operating Costs (in $1000's): Special	Supp Serv.	Labor	Equip.	Total Oper. Costs	TOTAL	Revenue	Diff +or-
Gen.Fund (11 Acct) $																				
Aux.Acct.(21 Acct) $																				
Desig.Funds (31 Acct) $																				
Exp. Res.(71 Acct) $																				
Ag. Exp. Station $																				
Coop. Ext.Serv. $																				
Other (Specify) $																				
TOTAL $																				

Assumptions and Notations:
Funding levels from the General Fund will remain at the 1984/85 level for colleges. This is an "actual dollar" figure and should take into account the base budget reductions for 1984/85. Note changes from 1984/85.

OPBUG: Formats
Revised October 15, 1984

FINANCIAL REQUIREMENTS

Please use 1984-85 salary rates.
(October 1, 1984 salary rate adjusted to reflect percent employment)

Department/Unit _____

FY 1987/88

		Projected Changes from 1984/85 Salaries (in $1000's)												Operating Costs (in $1000's)							
		Continuing						Temporary				Total "Upon" Salaries	Total Salaries					Total Oper. Costs	TOTAL	Revenue	Diff +or-
Account Type		Ten. Sys.	Job Sec.Sys.	A-P	Cler-Tech.	Other	Total	Ranked Fac. & Acad.Staff	GA	Other	Total			Special	Supp Serv.	Labor	Equip.				
Gen.Fund (11 Acct)	$																				
Aux.Acct.(21 Acct)	$																				
Desig.Funds (31 Acct)	$																				
Exp. Res.(71 Acct)	$																				
Ag. Exp. Station	$																				
Coop. Ext.Serv.	$																				
Other (Specify)	$																				
TOTAL	$																				

Assumptions and Notations:
Funding levels from the General Fund will remain at the 1984/85 level for colleges. This is an "actual dollar" figure and should take into account the base budget reductions for 1984/85. Note changes from 1984/85.

01806: Formats
Revised October 15, 1984

SUPPORT SERVICE REQUIREMENTS

Planning Question: What are the needed changes in support service areas at the department/school, college and University level that affect or are affected by your program plans?

Guidelines:

- Please describe support services that are within the unit (e.g., specialized instrumentation facilities, computer lab., etc.).
- Please specify any services that are inadequate relative to existing requirements, expected future deviations from existing services as a result of program changes, or any suggestions that would improve your program.
- Notation should be made relative to the service and your instruction, research, or public service activities.
- The level of support service program change should be noted. For example, a support service such as a specialized instrumentation facility should be identified at the unit level, while requirements or suggestions relating to college or university policy should be specified at that respective level.
- Use a three-five year time horizon.

Department/School _____

	Description of Support Services Within Your Unit	Description of Change: (Including Notation of Level of Impact)
Hi-Tech/ Computer Services		
Library		
Student Services (Including Financial Aid)		
Other (Including Purchasing, Alumni, Development Fund)		

TO BE COMPLETED BY: Chairpersons/Directors
TO BE UTILIZED BY: Support Service Administrators

SPACE ANALYSIS

Planning Question: What are the needed changes in space at the department/school, college, and University level that affect or are affected by program plans?

Guidelines:

- Please specify excess space now allocated to the unit, if any.
- Please specify the amount of additional space, if any, needed for current programs.
- Please specify space currently assigned that is inadequate relative to existing requirements, expected future developments in existing programs as a result of program changes, or any suggestions that would improve your program.
- Please describe specialized space now assigned to the unit.
- Please specify the amount of space now used for storage that would be adequate for program functions if alternative storage were available.
- Please describe any specialized space projected as essential for the future--when needed, amount and characteristics.
- Use a three-five year time horizon.

Department/School _____

Description of Space and Amount

Amount of Space Needed or Current Excess	
Current Specialized Space	
Storage Space That Could Be Used for Program	
Specialized Space Needed for the Future	
Other: Be Specific as to Topic	

TO BE COMPLETED BY: Chairpersons/Directors
TO BE UTILIZED BY: Support Service Administrators

CROSS-UNIVERSITY PLANNING - INTERNATIONAL STUDIES AND PROGRAMS

Planning Question: What are the program commitments and planned changes of cross-university programs which induce faculty load changes on specific colleges?

Guidelines:

- Please identify your cross-university program commitments.
- Please specify the college and the extent of the impact of your planned program changes.
- Use a three-five year time horizon.

Planned International Studies Program Effort	Resources Required (Identified by College)	Extent of Impact (e.g., # FTE Faculty- How Long Needed, including Fiscal Year(s) of Impact)

TO BE COMPLETED: Jointly by the Dean of International Studies and Programs and the appropriate college dean early in the planning sequence.

TO BE UTILIZED BY: The appropriate Dean as cross-University programs are planned and as a mechanism for keeping account of the college efforts contributed to All-University programs.

CROSS-UNIVERSITY PLANNING - LIFELONG EDUCATION PROGRAMS

Planning Question: What are the program commitments and planned changes of cross-university programs which induce faculty load changes on specific colleges?

Guidelines:

- Please identify your cross-university program commitments.
- Please specify the college and the extent of the impact of your planned program changes.
- Use a three-five year time horizon.

Planned LEP Program Effort	Resources Required (Identified by College)	Extent of Impact (e.g., # FTE Faculty- How Long Needed, including Fiscal Year(s) of Impact)

TO BE COMPLETED: Jointly by the Dean of Lifelong Education Programs and the appropriate college dean early in the planning sequence.

TO BE UTILIZED BY: The appropriate Dean as cross-University programs are planned and as a mechanism for ke account of the college efforts contributed to All-University programs.

CROSS-UNIVERSITY PLANNING - URBAN AFFAIRS PROGRAMS

Planning Question: What are the program commitments and planned changes of cross-university programs which induce faculty load changes on specific colleges?

Guidelines:

- Please identify your cross-university program commitments.
- Please specify the college and the extent of the impact of your planned program changes.
- Use a three-five year time horizon.

Planned Urban Affairs Program Effort	Resources Required (Identified by College)	Extent of Impact (e.g., # FTE Faculty- How Long Needed, including Fiscal Year(s) of Impact)

TO BE COMPLETED: Jointly by the Dean of Urban Affairs Programs and the appropriate college dean early in the planning sequence.

TO BE UTILIZED BY: The appropriate Dean as cross-University programs are planned and as a mechanism for keeping account of the college efforts contributed to All-University programs.

CROSS-UNIVERSITY PLANNING - LIBRARY

Planning Question: What are the program commitments and planned changes of cross-university programs which induce faculty load changes on specific colleges?

Guidelines:

- Please identify your cross-university program commitments.
- Please specify the college and the extent of the impact of your planned program changes.
- Use a three-five year time horizon.

Planned Library Program Effort	Resources Required (Identified by College)	Extent of Impact (e.g., # FTE Faculty- How Long Needed, including Fiscal Year(s) of Impact)

TO BE COMPLETED: Jointly by the Director of the Libraries and the appropriate college dean early in the planning sequence.

TO BE UTILIZED BY: The appropriate Dean as cross-University programs are planned and as a mechanism for keeping account of the college efforts contributed to All-University programs.

CROSS-UNIVERSITY PLANNING
COMPUTER-RELATED SERVICES

Planning Question: What are the program commitments and planned changes of cross-university programs which induce faculty load changes on specific colleges?

Guidelines:

- Please identify your cross-university program commitments.
- Please specify the college and the extent of the impact of your planned program changes.
- Use a three-five year time horizon.

Planned Computer-Related Program Effort	Resources Required (Identified by College)	Extent of Impact (e.g., # FTE Faculty-How Long Needed, including Fiscal Year(s) of Impact)

TO BE COMPLETED: Jointly by the Director and the appropriate college dean early in the planning sequence.

TO BE UTILIZED BY: The appropriate Dean as cross-University programs are planned and as a mechanism for keeping account of the college efforts contributed to All-University programs.

CROSS-UNIVERSITY PLANNING - HONORS COLLEGE

Planning Question: What are the program commitments and planned changes of cross-university programs which induce faculty lead changes on specific colleges?

Guidelines:

- Please identify your cross-university program commitments.
- Please specify the college and the extent of the impact of your planned program changes.
- Use a three-five year time horizon.

Planned Honors College Program Effort	Resources Required (Identified by College)	Extent of Impact (e.g., # FTE Faculty-How Long Needed, including Fiscal Year(s) of Impact)

TO BE COMPLETED: Jointly by the Director of the Honors College and the appropriate college dean early in the planning sequence.

TO BE UTILIZED BY: The appropriate Dean as cross-University programs are planned and as a mechanism for keeping account of the college efforts contributed to All-University programs.

CROSS-UNIT PLANNING (OTHER)

(Examples of cross-unit planning are planning for the jointly administered departments and planning for interdisciplinary areas such as general education or molecular biology.)

Planning Question: When programs are jointly administered or are interdisciplinary in nature, what are the program commitments and planned changes which will induce a faculty load change on participating colleges or departments/schools?

Guidelines:

- Please identify your joint program commitments.
- Please specify the impact of your planned program changes on the participating departments/schools.
- Use a three-five year time horizon.

Unit _____

Planned Cross-Unit Program Effort	List Units Involved	Resources Required (Indicate Unit and Fiscal Years

TO BE COMPLETED jointly by the administrators of the units involved in program efforts which extend beyond the administrative structure of a single college.

TO BE UTILIZED BY: Chairpersons of departments which are jointly administered as joint programs are planned and Deans as a mechanism for keeping account of college efforts contributed to a joint program.

LONG RANGE AND STRATEGIC PLAN-OF-THE-DEPARTMENT/SCHOOL

Planning Question: As department/school aims are synthesized with the analysis of programs, purpose, and resource requirements, what is the plan-of-the-chairperson or director?

Guidelines:

- Consider the prioritized aims of your department/school.
- Consider the resource requirements of these programs within your department/school, and utilize the actual funding level from the 1984/85 General Fund as a continuing assumption.
- Anticipated accomplishments should be ranked in priority order.
- Below the broken line, rank in priority order the objectives to be accomplished with additional funds from the General Fund Budget.

Department/School _____

Chairperson/Director _____

Date: _____

Statement of Plan Including Fiscal Year of Accomplishment	Summary of Rationale Including Any Significant Changes in Budget Categories, i.e., Internal Reallocations, New Program Allocations, etc.

TO BE COMPLETED BY: Chairpersons/directors
TO BE UTILIZED BY: Deans, as plans from departments/schools are coordinated and for Dean/Chairperson or Director discussions and decisions.

LONG RANGE AND STRATEGIC PLAN-OF-THE-COLLEGE/MAU

Planning Question: As college/MAU objectives are analyzed and synthesized with the aims of the departments/schools, the unit plan of each chairperson or director, and role, what is the college/MAU plan of the Dean?

Guidelines:

- Consider the priorities of each department/school and their program revision plans.
- Consider the prioritized objectives of your college/MAU.
- Consider the resource requirements of the programs within your college/MAU, and utilize the actual funding level from the 1984/85 General Fund as a continuing assumption.
- Anticipated accomplishments should be ranked in priority order.
- Below the broken line, rank in priority order the objectives to be accomplished with additional funds made available to your college/MAU beyond the 1984/85 Budget levels.

College/MAU _____

Date _____

Dean _____

Statement of Plan (Including Fiscal Year of Accomplishment)	Summary of Rationale - Including Any Changes in Budget Categories, i.e., Specify Internal Reallocations New Program Allocations, etc.

TO BE COMPLETED BY: The appropriate Dean.

TO BE UTILIZED BY: The Dean during chairperson or director/dean discussions and the Provost during dean/Provost discussion and decisions.

APPENDIX

DEFINITIONS

Shared understanding of a core of critical planning terminology is essential to a planning process which extends beyond the plans of a specific unit. Administrators and planning participants are asked to use the following definitions.

Activities: Tasks derived from college objectives, University goals or department/school aims that consume human resources and materials in the accomplishment of those goals, objectives, or aims.

Aims: Activities and outcomes which enable departments/schools to fulfill their purpose and contribute to College/MAU objectives.

Assessment: The determination of a valuation based upon specified criteria.

Assessment Criteria: Quantitative or qualitative data or information that are acknowledged to be evidence for the accomplishment of outcomes, objectives, or goals.

Assumption: The supposition that certain conditions or circumstances are true.

Criteria: The standards upon which a statement or decision is founded.

Data: The factual measurements or statistics used as a basis for reasoning, discussion, and decision making.

Department: The basic academic unit of the University below the college in the organizational structure which has its own budget and has authorization to conduct instructional, research, and public service activities.

Direct Cost: Any costs that can be specifically identified with a particular activity. Generally included are compensation, and supplies and services.

Discipline: A subject or field of teaching, learning, training, study, or research generally recognized by major universities.

Division: The support unit of the University below the major administrative unit in the organizational structure which has its own budget and has authorization to conduct activities in support of the academic mission.

Environment: The circumstances, objects, social and cultural conditions by which Michigan State University is surrounded and which influence the existence of the institution or its units.

Faculty/Staff and Students (FTE): The equivalent of one student (or faculty/staff) who is deemed to be carrying a full load in accordance with an institutionally agreed upon convention for converting numbers of specific students/faculty to an equivalent number of fulltime students/faculty.

Functions: Specific responsibilities which are assigned to the major administrative unit (MAU). Major functional categories for support services are as follows:

Environmental and Facilities Service (including space/grounds/lands, construction/maintenance/operations, safety and risk management, on campus housing, and health services).

Financial Services (including operations, and private fund raising).

Logistical and Material Services

Information Services (including information resource and technology, communications and publications, telecommunications, research development and patent and copyright management, student information, and alumni services).

Individual Services (including cultural services, support service and personnel administration, academic personnel administration, student personnel, intra-mural sports and recreative programs, inter-collegiate athletics, and legal and judicial services).

Goals: The intermediate definition of the University's purpose. Goals interpret and delineate the Mission and identify directions and intentions that apply to the University as a whole. They guide the activities of the institution for the shorter term and help establish priorities.

Headcount: The actual number of students or employees participating at Michigan State University without regard to their "fulltime" status.

Information: The knowledge obtained from investigation, study, facts, or data.

Instruction: Activities carried out for the express purpose of eliciting some measure of educational change in a learner or group of learners.

Mission: The statement of enduring principles and responsibilities of Michigan State University.

Objectives: The definable accomplishments which describe performances derived from goals. Objectives may be assessed at a specific time with appropriate instrumentation. The means by which College/MAU roles and University goals are realized. Objectives identify hierarchical, discrete, finite, measurable increments or steps that a College/MAU plans to take in the process of fulfilling its intended role. Objectives should be consistent and realistic.

Opportunity: A favorable chance for progress.

Outcomes: Specific accomplishments which will enable departments/schools/divisions to achieve objectives and purposes.

Profile: An outline or set of data portraying the significant features of a program or unit.

Program: An academic program is defined as an organized instructional, research, and/or public service activity (or a coherent set of activities) conducted on or off-campus by an administrative unit (or in certain cases by more than one); defined by specific purposes or objectives; staffed by persons explicitly associated with it; and supported by an identifiable (but not necessarily separate) budget or budgets.

Critical Core of Specialties: Those distinctive components that are essential to the accomplishment of instruction, research or public service within a particular academic program. These may be distinguished as a course or set of courses that must be offered or as areas of faculty research or public service expertise.

Data Elements: Those facts related to students, facilities, faculty/staff, finances, and programs.

Support Services Program: Those activities or operations that support or provide service to the instruction, research, and public service activities of departments or schools/colleges and the overall mission of the University.

Public Service: The extension of knowledge or information through all available media for well-being and development of society and the people. Public service activities of faculty and staff are assigned responsibilities that contribute to the purpose of the department/school.

Purpose: A statement of responsibilities and aspirations of a department/division as it exists within College/MAU roles and University Mission.

Research: Fundamental contributions to the creation, organization, application, validation of knowledge; to the solution of problems; and to the improvement of the quality of life.

Role: The basic aspirations, intentions, and responsibilities of a Major Administrative Unit as it relates to the University Mission.

School: At Michigan State University, a school is at the same organizational level as a department.

Student: An individual who is admitted to or enrolled in the University.

Student Credit Hours: The credit hour value of a course or courses, multiplied by the number of students enrolled.

Threat: An indication of an impending condition or circumstance which will damage a program or unit.

Program Planning
and Review: MSU

DRAFT

SUPPORT SERVICE PROGRAM PLANNING AND REVIEW PROCEDURE
1984-1985

Introduction

Support service programs are vital to the mission of Michigan State University as they directly support the academic programs of instruction, research, and public service. All support service units are "responsible for contributing to an environment which attracts and retains outstanding faculty, staff, and students; for providing an atmosphere of equal opportunity, affirmative action, and nondiscrimination; and for providing an environment which is conducive to effective learning, living, and working" (Support Services: Michigan State University, p. 1).

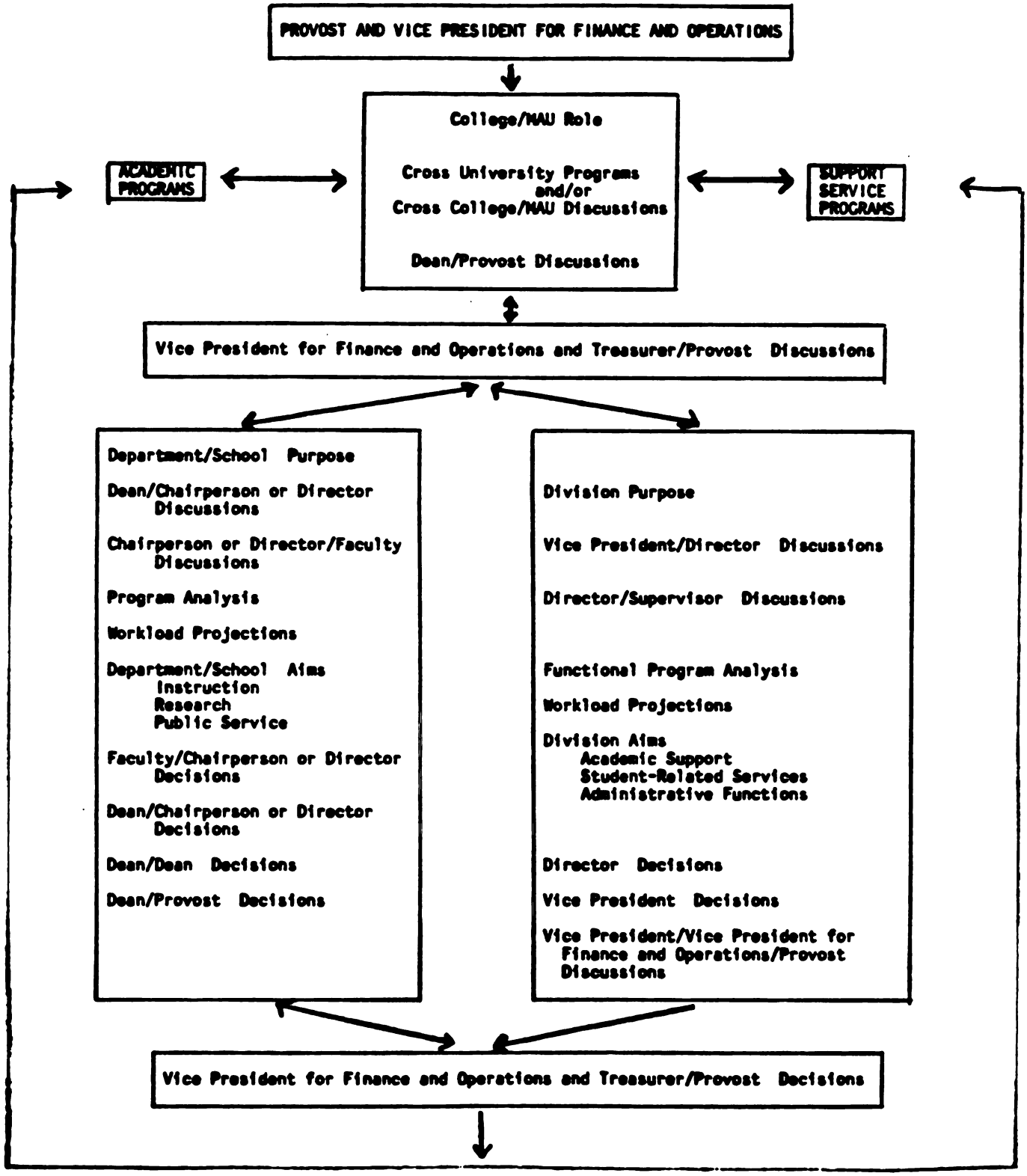
Although the academic program is the core of long range and strategic planning at Michigan State University, the functions of support service units are essential to the success of all academic programs. Thus, planning must pervasively include the support service units as full contributors to the academic mission and goals of the University.

As a vital part of the University, support service program units will plan in a mode similar to that of the academic program units. It involves the definition of objectives and the means for achieving them, the analysis of funding, the assessment of alternatives for meeting objectives and for sustaining and enhancing quality, and the development of at least three to five year plans.

Planning is initiated centrally with communication from the Provost and the Vice President for Finance and Operations to the colleges, other major academic units, and the Major Administrative Units (MAU). Although the academic and support planning cycles implied in the diagram below are shown as parallel operations, the support planning process really begins after an understanding is reached relative to the priorities given to the University Mission. Yet, the following diagram is an attempt to show the relationship between the academic and support planning processes.

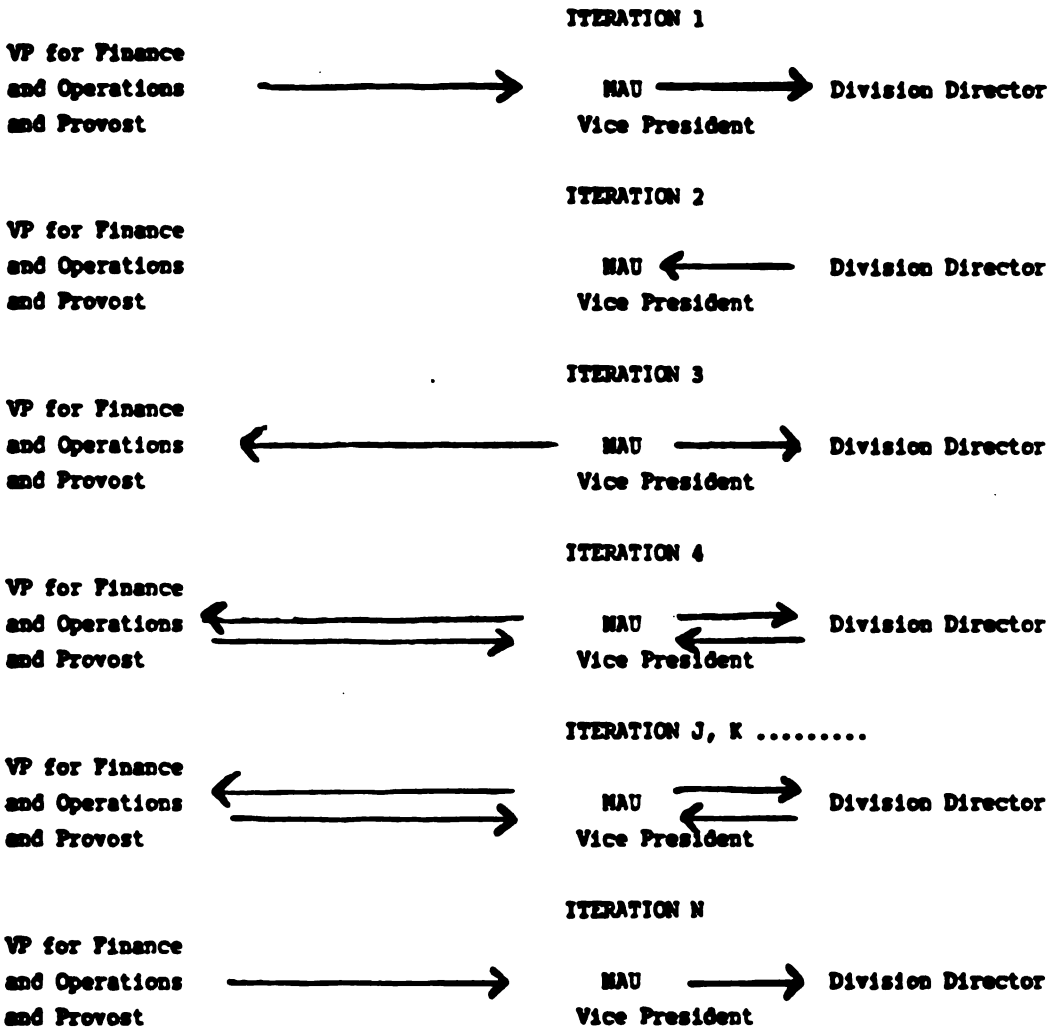
DEVELOPING DRAFT

OPB-RML/RLP/MLH
12-7-84
Revised 12-18-84



OPB-RML/RLF/MLH
12-7-84
Revised 12-18-84

The Support Service Program Planning and Review Procedure is intended to encourage accountability based on articulated plans and to stimulate the recognition and development of opportunities for functional program improvement and cost effective operations. An annual planning dialectic of discussions and decisions is illustrated as a communication process involving the major administrative levels. That process is described below.



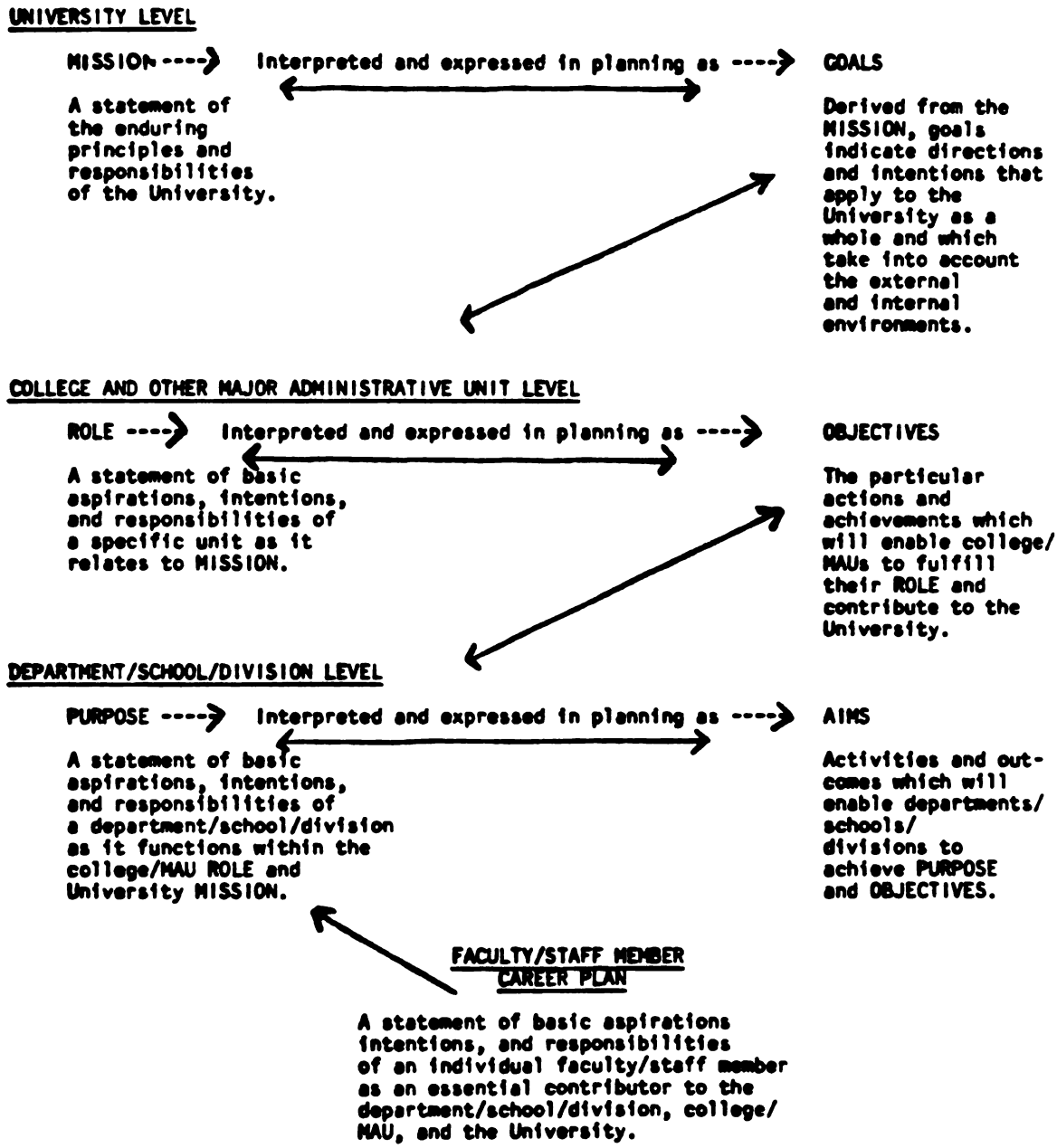
Support service administrators will define the role of their unit as it relates to the support of the academic mission, their responsibilities for the university environment, and the basic operational functions for which their unit is responsible.

All participants in the planning process, staff, faculty, students, and administrators are expected to know and understand the content of the following central documents:

- Statement on Long Range Strategic Planning at Michigan State University
- Mission Statement
- Environmental Assumptions
- University Goals
- Academic Programs Statement
- Support Services Program Statement

OPB-RML/RLP/MLH
12-7-84
Revised 12-18-84

At Michigan State University planning components for academic program units and support service units are related to the administrative structure and utilize a common planning terminology. Academic program planning is designed to utilize as fully as possible the special competencies and strengths of the departments/schools and individual faculty members. On the other hand, support services program planning must be a more one-directional process as functional operations are derived from the needs of the academic programs. The planning structure for academic program planning and support services planning is illustrated as follows:



THE PLANNING STRUCTURE FOR ACADEMIC PROGRAM AND SUPPORT SERVICES PROGRAM PLANNING

OPB-RML/RLF/MLH
12-7-84
Revised 12-18-84

Effective support service program planning requires that each division, MAU, and other unit assess every significant component of its functional programs and activities. Divisions and Major Administrative Units should define their functions and develop their plans within the context established by the Provost and the Vice President for Finance and Operations, by the Environmental Assumptions, and by University Goals. For example, the following parameters flow from those goals and assumptions and need not be restated as unit commitments or assumptions:

- The University is committed to excellence in academic programs; and to standards of high quality low cost, and responsive support services.

- During the current planning horizons, the University will operate under essentially the same financial resources as are currently available, i.e., severely limited resources.

- In addition to the expansion/elimination of positions, there are a variety of options to consider in academic support, student related services, and administrative functions, and physical plant operations models to re-order priorities and emphasis, e.g., reallocation of time and effort of current personnel.

- The University is committed to a strong, effective tenure and job security systems that protect academic freedom and enhance academic excellence and support service program responsibility.

- Each individual faculty and staff member has the obligation to contribute fully to the mission and goals of the University.

- The University is committed to equal opportunity, nondiscrimination, and affirmative action.

Administrators can expect that data and information submitted as an "output" of the Support Services Program Planning and Review procedure, will be utilized and retained centrally and returned to their units in subsequent planning cycles. Such data will serve, in subsequent cycles, as a references to previous thinking and planning and as aids in revising, confirming, or extending plans.

PLANNING QUESTIONS

Because among the support service units there is little standardization of either basic operational functions or of administrative structure, the role of each MAU Vice President is critical in the direction and coordination of planning for their unit. A series of questions to be answered has been formulated to guide planning. It may be necessary for the MAU Vice President to adapt the structure of the planning questions to the way in which the MAU is organized.

The specific planning questions to be answered are structured in the series of exercises outlined below. Planning participants should focus upon the planning questions, attendant guidelines, and suggestions about who should complete the forms and who will use them. In instances where the specific exercise does not adequately answer the question for the unit, an alternative response format should be made. Units may find it necessary to expand the amount of space provided in a specific format.

		PAGE
I.	Description of Major Administrative Unit Roles Planning Question: What are the major roles of the MAU as it relates to the support of the University Mission and Goals in terms of current responsibilities and future intentions?	8
II.	Description of Major Administrative Unit Objectives Planning Question: What are the particular actions to be taken by the MAU in order to fulfill its roles in the current and projected environments?	9
III.	Description of Division Purpose Planning Question: What are the specific purposes of the division as it relates to the roles and objectives of the MAU and to the unique functional programs of the unit?	10
IV.	Functional Program Analysis	11
	A. Functional Program Description Planning Question: What are the unit's specific functional programs and the related staff requirements?	
	B. Functional Program Quality Planning Question: What is the quality of each functional program; what are the strengths and weaknesses?	12
	C. Functional Program Improvement Planning Question: What are the changes that need to be made to improve the specific functional programs of the division?	13
		14
V.	Description of Division Aims Planning Question: What are the aims of each division as it fulfills its purpose?	

		PAGE
VI. Resource Requirements		
A. Staff Requirements		
Planning Question:	How are the present and future human resources utilized to accomplish division aims or Major Administrative Unit objectives?	16
B. Financial Requirements		
Planning Question:	How are the present and future financial resources utilized to accomplish division aims or Major Administrative Unit objectives?	17
C. Space Analysis		
Planning Question:	What are the needed changes in space at the division, MAU, and University level that affect or are affected by support service program plans?	21
VII. Cross-University Planning		
Planning Question:	What are the functional commitments and planned changes of cross-university support functions which induce staff load changes on specific Major Administrative Units?	22
VIII. Long Range and Strategic Plan-of-the-Division		
Planning Question:	As division aims are synthesized with the analysis of functional programs, purpose, and resource requirements, what is the plan of the director?	23
IX. Long Range and Strategic Plan-of-the-Major Administrative Unit		
Planning Question:	As MAU objectives are analyzed and synthesized with the aims of the divisions, the unit plan of each or director, and role, what is the plan of the Vice-President?	24

MAJOR ADMINISTRATIVE UNIT ROLES

Planning Question: What is the major role of the Major Administrative Unit as it relates to the support of the University Mission and Goals in terms of current responsibilities and future intentions?

Guidelines:

- Please state the basic aspirations, intentions, and responsibilities of your MAU.
- Your role statement should provide a specific framework for guiding and coordinating the planning of your divisions for at least the next three to five years.
- Relatively brief, succinct, unit-specific statements will be most effective.

MAU _____

DATE _____

VICE PRESIDENT _____

TO BE COMPLETED BY: The office of the appropriate Vice President AND DISTRIBUTED TO DIVISIONS THEIR PLANNING MATERIALS.

TO BE UTILIZED BY: The Office of the Provost and the Vice President for Finance and Operations, in combination with "MAU Objectives", to coordinate and support the MAU contribution to the University Mission; Other Vice Presidents, as cross-unit functions are engaged; Division Directors, as purposes are developed and maintained; the MAU Vice President, as the guide for selection and expression of MAU planning efforts as objectives; staff, as a framework for directing individual contributions to the MAU.

OPB-RHL/RLF/MLH
12-7-84
Revised 12-18-84

MAJOR ADMINISTRATIVE UNIT OBJECTIVES

Planning Question: What are the particular actions to be taken by the MAU in order to fulfill its roles in the current and projected environments?

Guidelines:

- Please list the MAU objectives in priority order.
- Priorities may be numerically ranked or described as "critical" or "important" or "desirable".
- Objectives should be derived from MAU roles and should direct MAU planning for at least the next three to five years.
- Objectives that relate to future changes in function should be highlighted.
- Objectives should be stated so that the resources required to accomplish each one can be identified and so that each can be evaluated in relation to the roles.

MAU _____

DATE _____

VICE PRESIDENT _____

Description of Objective: Including Relevance to MAU Roles and Priority	Assessment Criteria: The quantitative or qualitative data or information that are acknowledged to be evidence for accomplishment including anticipated fiscal year of accomplishment

TO BE COMPLETED BY: The office of the appropriate Vice President and DISTRIBUTED TO DIVISIONS WITH THEIR PLANNING MATERIALS.

TO BE UTILIZED BY: The Office of the Provost and the Vice President for Finance and Operations, in combination with "MAU Roles" to coordinate and support the MAU contributions to the University Mission and Goals. Other Vice Presidents: As cross-unit functions are engaged. Division Directors: As purposes are developed and maintained. The MAU Vice President: As a tool for evaluating the effectiveness of MAU planning efforts. Staff: As a framework for directing individual contributions to the MAU.

OPB-P /RLF/MLH
12-7
Revised 18-84

DIVISION PURPOSES

Planning Question: What are the major purposes of each division as it relates to the role and objectives of the MAU, and to the unique support area(s) or functions of the unit?

Guidelines:

- Please describe the basic aspirations, intentions, and responsibilities of the division.
- Your statement of purpose should provide a framework for guiding and coordinating the planning of your division for at least the next three-five years.
- Statements should be specific and should describe the unusual or notable aspects of the support areas(s) or function(s) found in the division.

Division_____
Date _____
Director_____

TO BE COMPLETED BY: Division Directors
TO BE UTILIZED BY: Vice Presidents: As division contributions to the MAU are coordinated and supported. Division Director: As the guide for the selection and expression of division planning efforts or activities.

OPB-RML/RLF/MLH
12-7-84
Revised 12-18-84

FUNCTIONAL PROGRAM ANALYSIS

The analysis of support service program functions is fundamental to long range and strategic planning. The functional program analysis is divided into three components, each with its own planning question to be answered. Those components relate to a description of function, statements articulating current functional program quality, and directions or intentions for improvement.

A functional program may be identified as an organized support service activity (or a coherent set of activities) conducted by an administrative unit (or in certain cases by more than one); defined by specific purposes or objectives; staffed by persons explicitly associated with it; and supported by an identifiable (but not necessarily separate) budget or budgets. Major categories of support services functions are: Environmental and Facilities Services, Financial Services, Logistical and Material Services, Information Services, and Individual Services.

FUNCTIONAL PROGRAM DESCRIPTION

Planning Question: What are the unit's specific functional programs and the related staff requirements?

Guidelines:

- Please identify the support service program functions in your unit (division or MAU). The number of staff positions (in Full Time Equivalent) assigned to each function should also be listed.
- Please provide on a separate page, if necessary, brief definitions or descriptions of each functional program. The critical job specialties that are essential to the functional program should be specified.
- Usually, functions should be analyzed or defined at the division level, as well as the MAU level. However, in certain instances functions are MAU-wide and can, therefore, be identified only at the MAU level. The Vice President should determine the level of analysis required. An MAU aggregate should be provided.

Unit _____

Date _____

Functional Program	Critical Job Specialties	Number of Continuing Security FTE Positions	Number of Temporary FTE Positions	Total FTE

TO BE COMPLETED BY: Division Directors or Vice Presidents, depending on how functional programs can best be described at the lowest possible administrative level directly responsible for the program.

TO BE UTILIZED BY: Division Directors, Vice Presidents: As a basic tool for planning at a functional and programmatic level.

OPB-P RLF/MLH
12-7-..
Revised 18-84

FUNCTIONAL PROGRAM QUALITY

Planning Question: What is the quality of each functional program; what are the strengths and weaknesses?

Guidelines:

- Please rate your functional programs in terms of quality. Quality is derived from the support service need (as indicated by clientele interest from the academic program units, duplication with other service units, centrality to the academic mission of instruction, research and public service); support service costs and benefits (projected demands for service, present service demand, economies of scale, staff productivity, facility and equipment status, staff quality, funding sources); accrediting requirements; facility code requirements; efficiency of service delivery.
- Reference groups utilized in your quality considerations should be identified and the evidence for the qualitative rating specified.
- Units have certain characteristics (strengths) which make them uniquely capable of carrying out the purpose. Conversely, they have other features (weaknesses) which inhibit their ability to fulfill their purpose. Quality should also assess environmental opportunities for functional program development or maintenance, and the capacity (strength or weakness) of the unit to respond to that opportunity.
- As you examine the strengths of your functional programs, please provide documentation which gives an assessment of current strength.

Unit _____

Date _____

Functional Program	Quality Rating Including Reference Group Evidence	Opportunities	Strengths/Weaknesses

TO BE COMPLETED BY: Division Directors

TO BE UTILIZED BY: Division Directors and Vice Presidents as functional programs are redefined and developed.

OPB-RML/RLF/MLH
12-7-84
Revised 12-18-84

FUNCTIONAL PROGRAM IMPROVEMENT

Planning Question: What are the changes that need to be made to improve the specific functional programs of the division.

Guidelines:

- Please identify your planned functional program changes.
- When there is more than one identifiable functional program within a division, consider the relative quality of those services for planned change.
- Unit administrators should predict the impact of anticipated changes on other programs and administrative units.
- It is possible that the current programs meet the stated purpose, but if they do not, it is in this section that you should indicate what changes are necessary. This may include combining or modifying service, adding new service, and/or deleting some current services.
- Please highlight program changes which add to or subtract from current service commitments.

Unit _____

Date _____

Functional Program	Within the constraints of available resources, identify what changes you plan to make to improve your services or to respond to circumstances which suggest change.	Impact of change on other services or administrative units.	Fiscal Year improvement is to be attained and/or maintained.

TO BE COMPLETED BY: Division Directors.

TO BE UTILIZED BY: Division Directors and staff, who are thoroughly knowledgeable about the services being reviewed, as a tool to sustain and improve unit quality through attention to the relative relationships between services that exist within the division.

OPB-RML/RLF/MLH
12-7-84
Rev 12-18-84

DIVISION AIMS

Planning Question: What are the aims of each division as it fulfills its purpose?

Guidelines:

- Please describe the specific activities and outcomes which will enable the division to achieve MAU objectives and division purposes.
- Aims should be ranked in priority order or grouped one-third in each of the categories of "critical", "important", "desirable".
- Aims should be stated in terms that are specific, precise and are easily translated into resource requirements.
- Aims should be accompanied by the criteria to be used as evidence for accomplishment.
- Aims should be achievable within at least a three to five year planning horizon.
- Aims should consider those accomplishments necessary to continue the current nature of the division as well as those that are related to improvement.

Division _____

Date _____

Director _____

Priority	Description of Outcome	Assessment Criteria (The Quantitative and/or Qualitative Data and/or information that are acknowledged to be evidence for the accomplishment of the described outcome including the anticipated fiscal year of achievement)

TO BE COMPLETED BY: Directors

TO BE UTILIZED BY: Directors: In assessing congruence between division purposes and how the unit actually utilizes its human and material resources. MAU Vice President: Division contributions to the MAU objectives are coordinated and supported.

RESOURCE REQUIREMENTS

Guidelines:

- Please project the current resource request along a three year planning horizon. These projections should be made for lowest possible administrative level, i.e., each vice president should decide whether these projections should be made at the MAU or division level for the units for which they are responsible.
- An MAU aggregate should be provided.
- You should consider the resource projections in relationship to division aims.
- Significant changes in budget categories created by the program revisions that reconcile resources and aims should be noted.
- Please use the Resource Requirement Formats on the following pages (page __ through __). They will help you identify how the present and future resources are utilized to accomplish division aims or MAU objectives. Units should make note of specific assumptions regarding the data which are unique to their division, i.e., assumptions regarding service, demand, etc.
- It is essential that the priorities developed as aims and objectives are reflected as resource requirements. These priorities are the link to planning at a variety of funding levels.
- Please note that the tables on pages ___ and ___ relate to functional programs whereas the tables on pages ___ and ___ relate to aims. The distinction between aims and programs is crucial. Aims, i.e., "activities and outcomes which enable departments/schools/divisions to fulfill their purpose and contribute to college/MAU objectives," are to be ranked in priority order or grouped one-third in each of the categories "critical", "important", "desirable". This Support Services Program Planning and Review procedure does not ask divisions to prioritize entire functional programs.

PROJECTIONS TO BE COMPLETED BY: The appropriate vice president or division director.
TO BE UTILIZED BY: The Office of the Vice President or Division Director as a tool to examine present and future activities as they relate to outcomes. Vice President: As a source for an MAU profile with a common denominator of the departments/schools. The MAU aggregate becomes a major working document for Vice President/Vice President for Finance & Operations discussions and decisions.

Division _____

MAU _____

Date _____

STAFF AND FACULTY REQUIREMENTS

POSITIONS	Present HDCT	Present FTE	1985-86 HDCT	1985-86 FTE	1986-87 HDCT	1986-87 FTE	1987-88 HDCT	1987-88 FTE	Description of Significant Shifts
Continuing Admin-Prof Staff									
Continuing Clerical-Technical									
Continuing Job Security System, i.e., Specialists, Librarians, Coop. Exten									
Continuing Tenure System Faculty									
Other Continuing _____									
_____									
_____									
_____									
Temporary Ranked Fac & Acad Staff									
Grad Assts									
Other Temp:									
TOTAL									

Assumptions and Notations:
HDCT refers to actual Headcount
FTE refers to Full Time Equivalent as defined by the workload statements
OPB-RML/RLF/MLH
12-7-84
Revised 12-18-84

Please use 1984-85 salary rates.
(October 1, 1984 salary rate adjusted to reflect percent employment)

Division/Unit _____

FY 1984/85

Account Type	Salaries (in $1000's)												Operating Costs (in $1000's)							
	Continuing						Temporary				Total "Oper" Salaries	Total Salaries					Total Oper. Costs	TOTAL	Percent	Diff. +or-
	Tax. Exh.	Job Exp.Rep.	A-P	Cler-Tech.	Other	Total	Ranked Fac. & Acad.Staff	GA	Other	Total			Special	Supp Serv.	Labor	Equip.				
Gen.Fund (FI Amt)	0																			
Aux.Amt. (FI Amt)	0																			
Restg.Funds (FI Amt)	0																			
Sum. Ses.(FI Amt)	0																			
Au. Ses. Student	0																			
Cont. Ed.Serv.	0																			
Other (Specify)	0																			
TOTAL	0																			

Assumptions and Explanations

Funding levels from the General Fund will remain at the 1984/85 level for MAU. This is an "actual dollar" figure Exclusive of cash management plans and base budget reductions for 1984/85.

OFFICE: Provosts
Revised October 25, 1984

Note: For the purpose of review, this 11X14 format has been reduced in size.

FINANCIAL REQUIREMENTS

Please use 1984-85 salary rates.
(October 1, 1984 salary rate adjusted to reflect current employment)

Division/Unit: _____

FY 1985/86

Projected Changes from 1984/85 Salaries (in $000's)

Account Name	Continuing: Tem. Pos.	Continuing: Sub Tem.Pos.	Continuing: A-P	Continuing: Cler-Tech.	Continuing: Other	Continuing: Total	Temporary: Ramied Pos. & Acad.Staff	Temporary: OT	Temporary: Other	Temporary: Total	Total "Open" Salaries	Total Salaries	Operation Costs (in $000's): Special	Oper. Costs: Supp Serv.	Oper. Costs: Labor	Oper. Costs: Equip.	Total Oper. Costs	FTE'S	Percent	Diff cur.
Gen.Fund (1) Amt	0																			
Spec.Rev.(2) Amt	0																			
Enterp.Funds (3) Amt	0																			
Int. Svc.(4) Amt	0																			
Ag. Ext. District	0																			
Comm. Ed.Serv.	0																			
Other (Specify)	0																			
TOTAL	0																			

Assumptions and Explanations:
Funding levels from the General Fund will remain at the 1984/85 level for MAU. This is an "actual dollar" figure exclusive of cash management plans and base budget reductions for 1984/85.
Note changes from 1984/85.

Note: For the purpose of review, this 11X14 format has been reduced in size.

OPBDR: Formats
Revised October 15, 1984

PERSONNEL REQUIREMENTS

Please use 1984-85 salary rates.
(October 1, 1984 salary rate adjusted to reflect present employment)

Division/Unit _____

FY 1984/85

Projected Changes from 1984/85 Salaries (in $1000's)

Account Type	Continuing: Tem. Ury.	Job Per.Ury.	A-P	Cler-Tech.	Other	Total	Temporary: Ranked Fac. & Acad.Staff	GA	Other	Total	Total "Open" Salaries	Total Salaries	Operating Costs (in $1000's): Special	Supp Serv.	Labor	Equip.	Total Oper. Costs	FTEMA	Revenue	Diff cge-
Gen.Fund (11 Acct)	0																			
Aux.Fund.(21 Acct)	0																			
Dunig.Funds (31 Acct)	0																			
Rem. Fac.(71 Acct)	0																			
Ag. Exp. Station	0																			
Coop. Ext.Serv.	0																			
Other Specify:	0																			
TOTAL	0																			

Assumptions and Rationale:
Funding levels from the General Fund will remain at the 1984/85 level for MAU.
Note changes from 1984/85.

This is an "actual dollar" figure exclusive of cash management, plans and base budget reductions for 1984/85.

Note: For the purpose of review, this 11X14 format has been reduced in size.

OPERS: Formats
Revised October 15, 1984

Please use 1984-85 salary rates.
(October 1, 1984 salary rate adjusted to reflect percent employed)

Division/Unit _____

FY 1987/88

Projected Changes from 1984/85 Salaries (in $1000's)

Account Type	Continuing: Tem. Hrs.	Job Sec.Hrs.	S-P	Cler-Tech.	Other	Total	Temporary: Ranked Fac. & Acad.Staff	GA	Other	Total	Total "Cont" Salaries	Total Salaries	Operating Costs (in $1000's): Special	Supp Serv.	Labor	Equip.	Total Oper. Costs	TOTAL	Revenue	Diff +or-
Gen.Fund (1) Acct)	0																			
Spc.Acct.(2) Acct)	0																			
Restp.Funds (3) Acct)	0																			
Enc. Fnd.(7) Acct)	0																			
Ad. Enp. Station	0																			
Coop. Ext.Serv.	0																			
Other (Specify)	0																			
TOTAL	0																			

Assumptions and Notations:
Funding levels from the General Fund will remain at the 1984/85 level for MAU. This is an "actual dollar" figure exclusive of cash management plans and base budget reductions for 1984/85.
Note changes from 1984/85.

OPBUS: Formats
Revised October 15, 1986

Note: For the purpose of review, this 11X14 format has been reduced in size.

SPACE ANALYSIS

Planning Question: What are the needed changes in space at the division, MAU, and University level that affect or are affected by support service program plans?

Guidelines:

- Please specify excess space now allocated to the unit, if any.
- Please specify the amount of additional space, if any, needed for current services.
- Please specify space currently assigned that is inadequate relative to existing requirements, expected future developments in existing services as a result of functional program changes, or any suggestions that would improve your services.
- Please describe specialized space now assigned to the unit.
- Please specify the amount of space now used for storage that would be adequate for program functions if alternative storage were available.
- Please describe any specialized space projected as essential for the future--when needed, amount and characteristics.
- Use a three-five year time horizon.

Division _____

Description of Space and Amount

Amount of Space
Needed or
Current Excess

Current
Specialized
Space

Storage Space
That Could Be
Used for
Program

Specialized
Space Needed
for the
Future

Other: Be
Specific as
to Topic

TO BE COMPLETED BY: Division Directors
TO BE UTILIZED BY: Support Service Administrators

OPB-RML/RLF/MLH
12-7-84
Revised 12-18-84

CROSS-UNIVERSITY PLANNING

(Examples of Cross-University planning are planning for any jointly administered divisions and planning for areas such as Computer-Related Services.)

Planning Question: What are the functional commitments and planned changes of cross-university support service functions which induce staff load changes on specific Major Administrative Units or academic programs?

Guidelines:

- Please identify your cross-university support service program commitments.
- Please specify the MAU and the extent of the impact of your planned functional program changes.
- Use at least a three-five year time horizon.

Planned Computer-Related Program Effort	Resources Required (Identified by MAU)	Extent of Impact (e.g., # FTE Staff - How Long Needed, including Fiscal Year(s) of Impact)

Other Planned Cross-Unit Support Service Program Effort

TO BE COMPLETED: Jointly by the Director and the appropriate Vice President early in the planning sequence.

TO BE UTILIZED BY: The appropriate Vice President as cross-University programs are planned.

Planning Question: As division aims are synthesized with the analysis of functional programs, purpose, and resource requirements, what is the plan-of-the-director?

Guidelines:

- Consider the prioritized aims of your division.
- Consider the resource requirements of these functions within your division, and utilize the actual funding level from the 1984/85 General Fund as a continuing assumption.
- Anticipated accomplishments should be ranked as a continuum of priorities related to the aims and functional programs of the division.
- Below the broken line, rank in priority order the aims to be accomplished with additional funds from the General Fund Budget. It is quite possible for a current activity to be of sufficiently low priority that it would appear below the line, thus indicating its discontinuance in the absence of additional funds. Likewise, a new initiative may have sufficiently high priority to be listed above the broken line.

Division _____

Director _____

Date: _____

Statement of Plan Including Fiscal Year of Accomplishment	Summary of Rationale Including Any Significant Changes in Budget Categories, i.e., Internal Reallocations, New Functional Program Allocations, etc.

TO BE COMPLETED BY: Division Directors

TO BE UTILIZED BY: Vice Presidents, as plans from divisions are coordinated; and for Vice President/Director discussions and decisions.

OPB-RML/RLF/MLH
12-7-84
Revi 12-18-84

Planning Question: As college/MAU objectives are analyzed and synthesized with the aims of the divisions, the unit plan of each director, and role, what is the MAU plan of the Vice President?

Guidelines:

- Consider the priorities of each division and their functional program revision plans.
- Consider the prioritized objectives of your MAU.
- Consider the resource requirements of the programs within your college/MAU, and utilize the actual funding level from the 1984/85 General Fund as a continuing assumption.
- Anticipated accomplishments should be ranked as a continuum of priorities related to MAU objectives and functional programs.
- Below the broken line, rank in priority order the objectives to be accomplished with additional funds made available to your MAU beyond the 1984/85 Budget levels. It is quite possible for a current activity to be of sufficiently low priority that it appears below the line, thus indicating its discontinuance in the absence of additional funds. Likewise, a new initiative may have sufficiently high priority to be listed above the broken line.

MAU _____

Date _____

Vice President _____

Statement of Plan (Including Fiscal Year of Accomplishment)	Summary of Rationale - Including Any Significant Changes in Budget Categories, i.e., Specify Internal Reallocations New Functional Program Allocations, etc.

TO BE COMPLETED BY: The appropriate Vice President.

TO BE UTILIZED BY: The Vice President during Director/Vice President discussions and the Vice President during MAU Vice President/Vice President for Finance and Operations/Provost discussions and decisions.

OPB-RML/RLF/MLH
12-7-84
Revised 12-18-84

Incentives

My interest is in the future because I am going to spend the rest of my life there.

--Charles Kettering

PLANNING INCENTIVES AND LINKAGES

Increasing the real levels of funds to the unit or institution, or the better utilization of existing funds, has been an incentive for planning which ties annual budget cycles to planning cycles. The same kind of incentive appears to be powerful as resource levels are maintained, or levels of change are negotiated. The effective allocation of human and material resources exists beyond the annual budget cycle or longer range financial planning.

Financial planning, including the more immediate budget cycle, exists as one of at least four other major planning components. Those other components relate to planning for students, programs, personnel, and facilities. All components are highly interactive as options are specified as planning alternatives.

The allocation of the resources available to the University includes, but is not limited to, the budget cycle. The relationship of external and internal environmental factors is especially crucial in long range strategic planning. More specifically, Michigan State University must recognize that the external agencies have certain degrees of control over the institution's resources, particularly through the political structures. Knowledge about what the final financial allocation is to be comes after the time when budget planning takes place.

The linkages between long range strategic planning and financial planning are found in the alternatives which are set forth as academic program or support service options. These options may then be tied to the immediate or future budget cycles.

An outline of the annual budget process is included with this Guide for reference. At Michigan State University,

"Budget planning is a cyclical, technical, analytic process that is guided by program planning and that functions primarily to support the University's Mission, goals, and programs. While program and budget planning necessarily interact, they are quite different and distinct processes which can proceed separately for much of their developemnt. The annual budget process follows a precise procedure, calendar, and format, dictated in large part by external agencies, and it addresses very specific matters. At critical points, however, the annual process is closely coordinated between the Provost and the Vice President for Finance and Operations."

"Long range budget planning should be systematic and follow a coherent procedure, but is necessarily and deliberately flexible; it embraces longer periods of time than the budget cycle, and it is not so constrained by current resources or resources projected for the immediate future."

"Long range financial planning provides important information to support and guide program planning."

(Statement on Long Range Strategic Planning)

Planning incentives recognize the responsibility and control of decision making in the areas of students, programs, personnel, and facilities as well as finance. The data base approach to planning becomes closely linked to organizational control as information and data becomne powerful decision making tools.

Budget Cycle: MSU

D R A F T

1985-86 GENERAL FUND BUDGET TIMETABLE

I. October 1984 thru January 1985.

A. Develop initial budget forecast.

1. Update budget profiles for Financial Aid, Fringe Benefits, Utilities, etc.

2. Review Governor's 1985-86 Executive Budget Recommendation.

3. Assemble budget statistics, i.e., salary, tuition and appropriation 1% increments.

4. Circulate Planning Documents.

a. October 1984 - Distribute Academic Program Planning and Review materials.

b. November 1984 - Distribute All Funds Review to support units.

c. January 15, 1985 - Planning documents returned to OPB for initial review.

5. Establish initial budget strategies.

a. Develop approach to utilization of forward funding.

b. Develop approach to budget reduction requirements.

1) Base Reductions - Programmatic as opposed to across-the-board application.

2) Cash Management - Should it be continued - If continued, Programmatic as opposed to across-the-board application.

3) Use of Carry Forward technique.

c. Review status of medical college budgets in relation to appropriations, allocations and programmatic need.

d. Prioritize University program development needs.

e. Evaluate possibility of combining select current objects of expenditure.

B. Distribute initial budget planning materials for review at the February meeting of the Board of Trustees.

DRAFT

II. February 1985 thru June 1985.

A. Refine budget data.

1. Update Profiles.

2. Provide Legislative appropriation amounts.

3. Incorporate feedback from May 1 return of Planning documents.

4. Formalize approach to budget reductions.

5. Update program development needs.

B. Prepare and distribute updated budget planning materials for review at the April and June meetings of the Board of Trustees.

III. Mid June thru July 25-26 Board meeting.

A. Develop final budget guidelines to be recommended to the Board.

IV. July Board Meeting thru October 3-4 Board Meeting.

A. Implement academic and non-academic raise process.

B. Distribute 1985-86 major administrative unit budget allocation letters.

C. Budget detail returned by units for entry into budget and accounting systems.

D. Prepare final budget and salary documents.

E. Board action on 1985-86 General Fund, Intercollegiate Athletics, Agricultural Experiment Station, Cooperative Extension Service budgets.

DRAFT

1985-86 RAISE PROCESS

July 12	Friday	"Vital Statistics" listing (supplemental information included on the Raise List submitted to the Board of Trustees) will be distributed by the Budget Office at a workshop for Deans and budget personnel. Departments will need to review information for faculty included on last year's raise list and provide information for those appointed subsequently.
July 16	Tuesday 3:00 p.m.	"Vital Statistics" due back in the Budget Office by 3:00 p.m.
July 17	Wednesday	1985-86 budget, salary, wage and tuition guidelines mailed to Board of Trustees.
July 26	Friday	Board of Trustees Meeting - Review and action on budget, salary, wage and tuition guidelines.
July 26	Friday	Raise Lists and Guidelines distributed to Colleges and principle administrative units.
August 7	Wednesday Noon	Raise lists due back in the Budget Office or Personnel Office by noon.
August 12	Monday	Raise Lists provided to Provost's Office for review.
August 19	Monday	Raise Lists returned to the Budget Office from Provost.
August 23	Friday 11:00 a.m.	Allocation letters, Budget Summary Data and Salary Distribution Lists distributed to colleges and principle administrative units at a workshop for Deans and budget personnel.
September 6	Friday Noon	Salary Distribution Lists with all budget details due back in the Budget Office by noon.
October 4	Friday	Board of Trustees Meeting - Budget submitted for action.

DRAFT

1986-87 BUDGET REQUEST TIMETABLE
(General Fund, AES, CES)

I. March 1985.

A. Initiate discussion within Council of Deans, Executive Advisory Council and Academic Governance groups on the primary focus of budget request.

II. April thru June 1985.

A. Develop initial parameters for budget request. (April)

1. Inflation, Salary/Non-Salary.

2. Salary Improvement.

3. Financial Aids.

4. Plant Maintenance.

B. Develop major program revision requests. (May)

1. Main Campus.

2. Agricultural Experiment Station.

3. Cooperative Extension Service.

C. Develop first draft of budget request exposition and fiscal needs table. (June)

III. July thru August 1985.

A. Executive Advisory Council and Council of Deans review budget request exposition and fiscal needs.

IV. September 1985.

A. Executive Advisory Council and Council of Deans final review of budget request exposition and fiscal needs.

B. Finalize program request requests.

C. Finalize preparation of historical/current/projected financial, enrollment, etc., data for submission to Department of Management and Budget.

D R A F T

V. October 3-4, 1985 - Board of Trustees Meeting.

A. Review and action on budget request.

VI. November 1985.

A. Submit Budget Request Exposition and Fiscal Needs, Program Revision Requests and required data to Governor's Office and Department of Management and Budget.

SECTION FIVE

PLANNING PRODUCTS

The content of the Planning Guide is summarized in this final section relating to planning products.

The results of long range strategic planning are in large part derived from the conceptual underpinnings of planning as previously presented "parameters" in Section Three. Those underpinnings suggest that the results of long range strategic planning contribute to the flourishing of the units within Michigan State University as well as to the whole of the University.

—As key administrators and faculty innovatively consider the future of the University and plan for that future in "good times" and in "bad times", more than a blueprint is produced.

—As planning is for the whole of the University, more than an aggregation of the departments/schools/divisions is produced through the stimulation of synergistic relationships.

—As important intangibles are considered in decision making, more than a numerical display of quantitative data is produced and may be utilized in planning. Qualitative and quantitative data are bridged through statements of Mission, Role, and Purpose.

—As administrators and faculty become active participants in the University's future, more than forecasts are produced in response to external conditions.

—As planning becomes a pervasive component of academic management and leadership, more than an annual planning document or activity done separately from on-going administrative responsibilities is produced.

—As entrepreneurial actions accept the risks necessary to enhance University quality, more than a reactive process is produced as decision making becomes less crisis oriented.

—As goals, objectives, and aims are clearly related to the use of resources, more than an incremental annual budget is produced.

Expectations of what is produced are found in the relative balance of the mission elements of instruction, research, and public service; in the operational functions relating to students, personnel, programs, facilities, and finances; and in the evaluation of the planning process itself.

PAGE

Mission Elements..... 49

Function Elements..... 51

Alice: "Would you please tell me which way I ought to go from here?"
Cheshire Cat: "That depends on where you want to go."
Alice: "I don't much care where."
Cheshire Cat: "Then it doesn't matter which way you go."

--Lewis Carroll

BALANCE OF MISSION ELEMENTS

Long range strategic planning involves a continuous review of the University Mission as the role and purposes are derived from that Mission and are related to instruction, research, and public service.

At Michigan State University, academic program and support services program planning are major aspects of the total long range strategic planning process. The Mission Statement, approved by the Board of Trustees, guides this planning. Academic programs and support services are planned and reviewed within the context of University Goals which interpret the Mission in terms of major directional aspirations, and in the context of assumptions about the environments that are internal and external to the University. Planning includes delineation of the roles to be played by each academic or support unit as contributors to the Mission and goals of the University.

More generally, it is expected that such a review encourages improvement and accommodates frequent change:

> "Long range planning will help the University clarify and communicate its values and goals; identify rational and realistic ways to sustain the University's purpose, major functions, and quality; provide a fuller

> understanding throughout the University of its purposes and programs, plans and goals, assumptions and expectations; foster greater communication and exchange of information among academic and administrative units; provide the context for decisions about programs, budgets, personnel, and facilities; and institute a process for reaching more informed and expeditious decisions." (Statement on Long Range Strategic Planning)

Specific planning activities which review and plan for contributions to University Mission are contained in the planning questions posed in the Academic Program Planning and Review and Support Services Program Planning and Review documents. These documents are found in Section Three of this Guide.

The hardest thing to learn in life is which bridge to cross and which to burn.

--David Russell

FUNCTION REQUIREMENTS

Long range strategic planning is implemented within the general framework of academic program planning and support services planning. As such, it encompasses the whole of the institution.

It is expected that a comprehensive planning product clearly specifies resource requirements in the functional decision areas of: students, personnel, program, facilities, and finance. It is through such a product that the choices between alternatives become strategic decisions. In this sense, the Academic Program Planning and Review Document and the Support Services Program Planning and Review Document become planning products. They become major contributors to long range strategic planning decisions at Michigan State University. Examples of those documents are included in Section Four of this Guide.

We must plan for the future because people who stay in the present will remain in the past.

--Abraham Lincoln

AUDIT ELEMENTS

The primary product of planning at Michigan State University is evidenced through a process which is systematic, comprehensive, and continuing. The long range strategic planning process will be systematic as rational elements are increasingly utilized as visible components of effective decision making. The process will be comprehensive in that it effectively involves the academic and support service programs. The process will be continuous as "planning" becomes such a pervasive activity within the institution that it cannot be identified as a separate "planning moment."

A Process/Product Audit, based upon planning participants, planning parameters, and planning procedures becomes a planning product critical to the evaluation of the process itself. The Process/Product Audit, included in this section of the Guide, identifies a check list of the components most likely to yield effective long range stategic planning. The product of the planning audit stimulates changes in the planning elements of participants, parameters, and procedures. Thus, essential feedback and follow through links planning effectiveness to the flourishing of the University.

The Process/Product Audit is designed as an aid to help evaluate past performance as well as to stimulate strategic thinking about future performance. It may be used at each of the three major administrative levels as an informal check list or as a formal assessment tool.

We shall have no better conditions in the future if we are satisfied with all those which we have at present.

--Thomas A. Edison

PROCESS AND PRODUCT AUDIT

Does the administrative and faculty/staff leadership recognize the importance of designing the unit to serve the needs and wants of students and other clientele?

Included for consideration should be:

—What are the kinds of students served?
—How are these kinds of students likely to change?
—What are the "other clientele" served? How are these likely to change?
—What are the "needs and wants" in terms of instruction, research, and public service? How are these likely to change in the future?
—To what extent are different academic and support service program offerings developed to meet the different needs and wants of different students/clients?

Is the planning process well organized?

Included for consideration should be:

—To what extent are external threats and opportunities and internal strengths and weaknesses identified?
—How are the internal strengths and weaknesses matched with the opportunities and threats?
—Are the objectives and aims clearly stated?
  —Do they lead logically to role and purpose?
  —Do they guide the consideration of alternatives and subsequent performance measurements?
  —Are they realistic, given MSU's current position in terms of resources and opportunities?
  —Are they appropriate in terms of MSU's likely future position?
—To what extent is the current strategy and future plan clear, innovative, data-based, and well-reasoned?

How effective is the formal long range strategic planning process?

Included for consideration should be:

—To what extent is the planning thinking and commitment at the top communicated and implemented throughout the units?

—To what extent are department/school/division plans integrated at the college/MAU and University levels?

—To what extent does administrative leadership show a good capacity to react quickly and effectively to unanticipated developments?

—To what extent are financial resources allocated according to priorities of formal plans?

—To what extent are human resources allocated according to priorities of formal plans?

—To what extent are the participating faculty/staff involved in the formulation and implementation of plans?

—To what extent are the unit results analyzed? How is productivity considered? ...Program quality? ...Student/clientele achievement?

—To what extent has communication improved between units?

—To what extent has flexibility at the program level been assured?

—To what extent are units and planning participants rewarded for their vision, innovation, and effective planning?

CASE STUDY

APPENDIX: WHY PLAN? A CASE STUDY

As the 1984/85 Academic Program Planning and Review procedure progresses, a case study will be developed to provide a concrete illustration of the the benefits of planning for a specific unit at Michigan State University. That case study will be added as the final section of the Planning Guide.