

Strategic Planning for the 1990s

The Goal

1. To develop, implement, and sustain a flexible planning process that would:
 - Identify University objectives and priorities,
 - Assess (and perhaps modify) the dynamic environment in which the University must operate, and
 - Develop both strategic and tactical plans for achieving these objectives.
2. To link this planning process to resource allocation and management decisions at all levels of the University.

Why bother?

1. All too often the University has tended to *respond* to external pressures and opportunities rather than taking strong actions to determine and pursue its own objectives.
2. We must counter the tendency to become preoccupied with *process* rather than *objectives*...with *how* rather than *what*...
3. To seize the opportunities, to face the responsibilities, and to meet the challenges before us, the University must initiate a process capable of determining both a direction and a strategy capable of guiding it into the 21st Century.

The Strategic Planning Process

1. **Mission, Goals, Values, Priorities**
2. **Environmental Assessment**
3. **Operational Objectives**
4. **Strategic Actions**
5. **Tactical Implementation**
6. **Evaluation and Assessment**

Planning Assumptions

- 1. The University is a very complex system that is responding to the cumulative effects of its history as well as dynamic boundary conditions. Nevertheless, it is critical that the University continue to take responsibility for its own future.**
- 2. The University of Michigan faces a period of unusual opportunity, responsibility, and challenge in the years ahead, a time in which it must seize control of its own destiny by charting a course to take it into the 21st Century.**
- 3. The challenges before higher education today suggest that a new paradigm of the research university in America is needed. Michigan is in an excellent position to develop this model for the nation.**

Activities To Date

- 1986-87:** **Executive Officer Retreat**
Strategic Planning Team meetings
Strategic Initiative Fund (1% off top)
Starting unit retreats
- 1987-88:** **Unit retreats continue**
Strategic Planning Team meetings
- 1988-89:** **Key strategic themes of change**
- **demographics --> Michigan Mandate**
 - **internationalization --> AVP efforts**
 - **knowlege --> IFS, networking**
- Unit retreats completed**
- 1989-90:** **Building leadership team**
Strengthening external relations
Limited strategic planning activity
- 1990-....:** **???**

The "Strategic" Approach

1. Themes
2. Teams
3. Network Building
4. Focusing efforts on several key strategic thrusts

(...background management, infrastructure building...)

Evolution of Themes

"Building leadership for tomorrow on a foundation of academic excellence..."



"Developing a new paradigm for the research university in the 21st Century..."

Strategic Actions:

**Buiding leadership team
Setting the themes
Strengthening external relations
...
...Strengthening internal relations???**

The Challenge of Change

Driving Forces of 1990s

- Diversity & Pluralism
- Globalization
- Age of Knowledge



The Foundation for Change

- Commitment to Excellence
- Fundamental Values
- Sense of Community
- Daring and Risk-Taking

Teams

Formal Teams:

Executive Officers
Academic Affairs Advisory Council
Academic Policy Group
Budget Priorities Committee
SACUA, Senate Assembly
Regents

Informal Teams:

Strategic Planning Groups
SOUP

Other Possible Teams:

Leadership Retreats (EOs, Deans, Faculty, Students)
Unit level: S & Cs, VP areas, ...

Networks

Internal:

University leaderships (EOs, Deans, Regents)
Faculty leadership (Senate Assembly, Exec Coms)
Students

External:

Presidential Advisory Council
Michigan Business-Higher Ed Roundtable
Michigan Presidents' Council
Alumni Networks (inc Citizens' Council)
National Associations (AAU, NASULGC, NCAA...)
Communities (AA, Detroit, Flint, GR, Saginaw...)

Other Key Constituencies:

Minority communities, labor, Washington, media,
Public-at-large, ...

Strategic Thrusts

**The Michigan Mandate
Information Technology
University Initiative Fund (1% off the top)
Asset Management Strategy
The Campaign for the 1990s
State Relations
Washington Relations
Communications
Community Relations**

**Campus Safety
Student Behavior
Sense of Community
International Strategies**

**Resource Acquisition and Management Strategies
Undergraduate Education
Graduate and Professional Education
Research Environment
Human Resource Development
Intercollegiate Athletics**

...and, of course, the strategic planning process itself...

Examples of Strategic Objectives and Actions (1986)

General Goals

- Excellence in education, service, and service
- Leadership, with UM as the flagship of higher education

Strategic Objectives (1986)

1. To pick up the pace...

To pick up the pace of the University, to build a level of intensity and expectation to settle for nothing less than the best in the performance of our faculty, students, and programs. National leadership requires a sustained commitment to excellence and a disdain for mediocrity.

2. Focusing to build spires of excellence...

To break away from the tendency to attempt to be all things to all people, and instead to focus our resources on building spires of excellence. In a world of limited resources, the quest for quality must dominate the breadth and capacity of our programs.

Strategic Objectives--cont (1986)

3. Establishing academic excellence as our highest priority...

To re-establish the core academic programs of the University as its highest priorities. While the strength of the professional schools and colleges play critical roles in determining the reputation of a university, over the long term these programs will inevitably draw their strength from the academic core.

4. To develop a "change-oriented" culture in the University...

To make the University better adaptive to change; to instill in faculty, students, and staff a relish and enthusiasm for change.

5. To give highest priority to bold, new initiatives...

To achieve the objective of leadership, we should focus wherever possible on exciting new initiatives. The best institutions are those which always seek to do something new, not just to maintain traditions. To simulate, encourage, and support more high-risk scholarship on the "exponential" part of the knowledge curve.

Philosophies (1986)

1. Placing the highest premium on focusing resources to achieve excellence, and sustaining a belief in the ability of outstanding people to do great things...if only we will let them.
2. Recognition that excellence is people-driven...and that our goal should be to attract and retain the best people, provide them with the resources and opportunities to push to the limits of their abilities, and then get the hell out of their way! We should let our best people push the intellectual thrusts and determine the pace of the university.
3. Importance of an entrepreneurial environment...
 - ...which stresses excellence and individual achievement...
 - ...which removes all constraints on talented people...
 - ...which lets our most creative people "go for it"...

Operational Strategies (1986)

- 1. To move toward an "every tub on its own bottom" style in which authority and responsibility are decentralized to the lowest possible level...albeit with strong central direction and information flow.**
- 2. To develop a "strategically-driven" resource allocation process in which all resource allocation and management decisions are developed within the context of clear strategic priorities and objectives...both at the institution and the unit level.**
- 3. To stimulate a strategic planning process at all levels of the University capable of guiding tactical decisions such as resource allocation.**
- 4. To develop and implement policies designed to alter or ameliorate constraints as they arise.**
- 5. To development stronger management at all levels of the University hierarchical organization.**
- 6. To develop new organizational structures which stimulate change and better allow adaptation in a dynamic environment.**

The Strategic Leadership Process (1987)

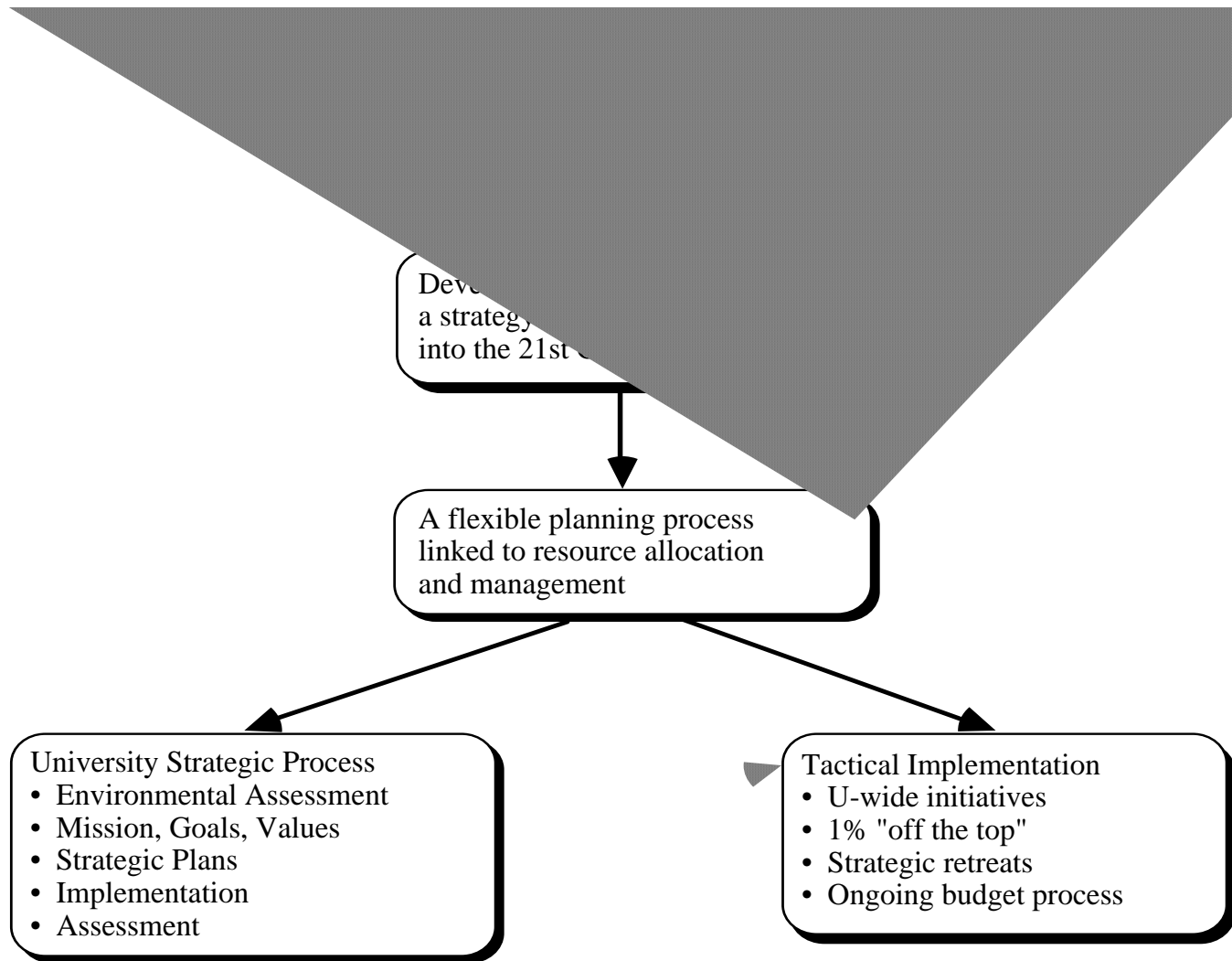
"Strategic"...

"Leadership"...

"Process"...

We seek to trigger a process involving progressively larger groups of faculty, students, and staff aimed at grappling with the difficult task of identifying and articulating a mission for the University as it prepares to enter the 21st Century.

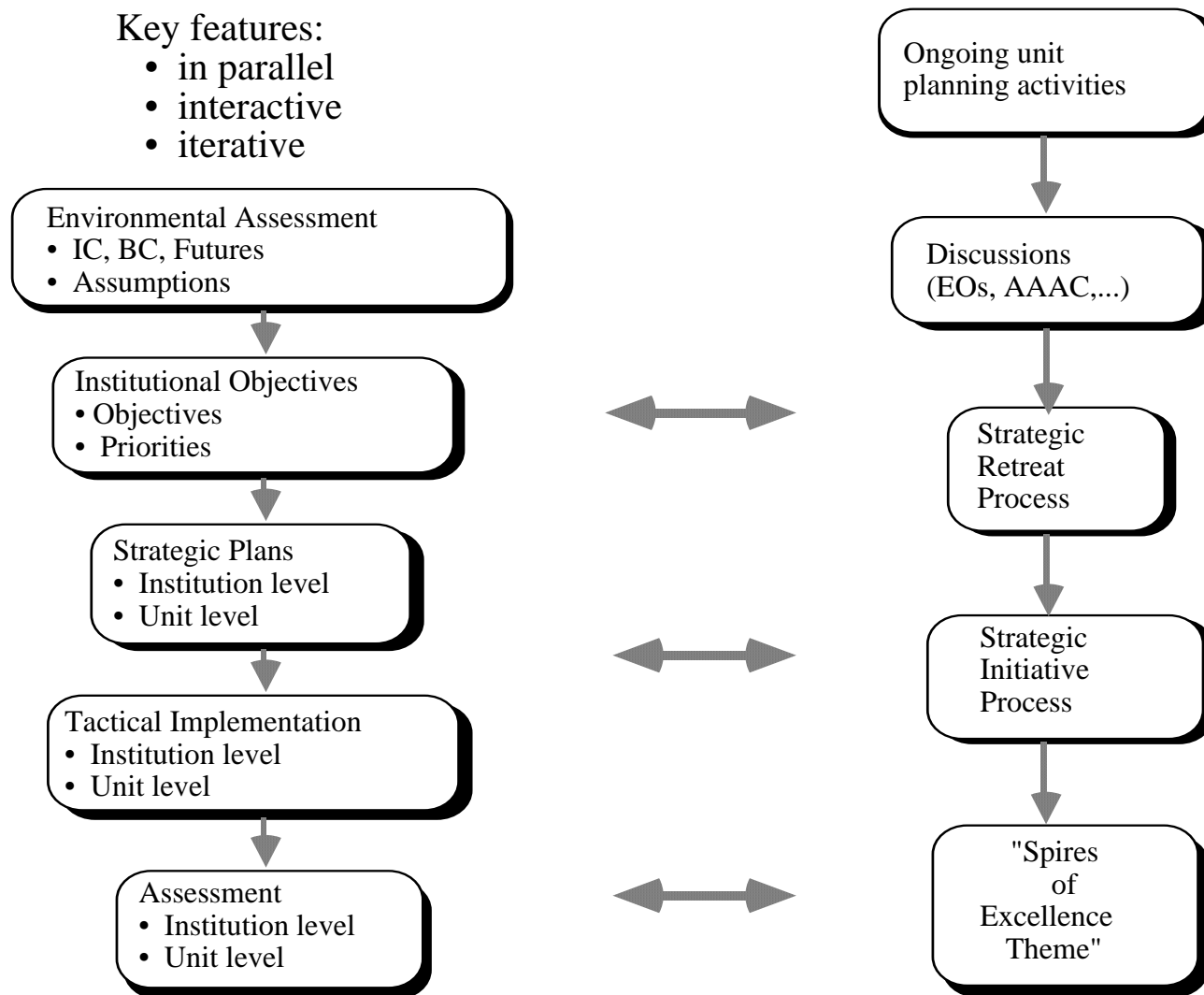
The Strategic Leadership Process (1987)



The Process (1987)

Key features:

- in parallel
- interactive
- iterative



Strategic Retreats

1986-87:

Pharmacy, Music, Business Administration, Library Science, Dentistry, Public Health, IOG/CHGD/DRB

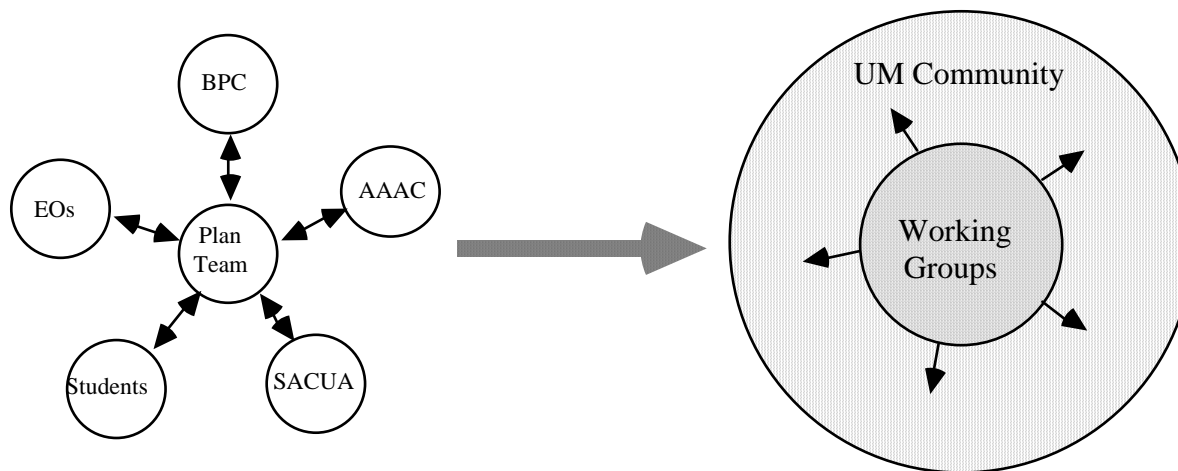
1987-88:

Social Work, Education, Medicine, Natural Resources, Plant Operations, Plant Extension, Housing, ISR, Population Studies, LS&A

1988-89:

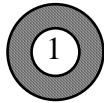
Architecture, Art, Nursing, Engineering, Law, Medical Center, other academic, administrative, and auxiliary units

Propagating the Process (1987)

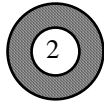


Resource Allocation (1987)

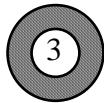
Resource
Allocation
"Knobs"



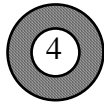
*Aligns process
with strategic
objectives*



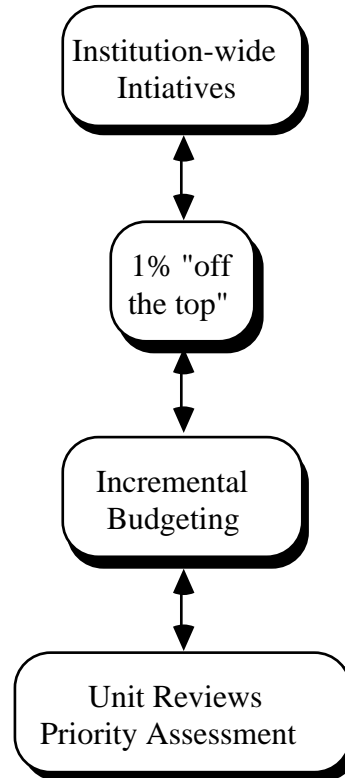
*Stimulates unit
planning and
prioritization*



*Primary tool
for resource
reallocation*



*Establishes
priority of
units*



Objectives

- Targets major University priorities
 - Gets people excited and involved
 - Pulls people together
-
- Provides "venture" capital
 - Stimulates internal priority setting with units
-
- Primary mechanism for major reallocation among units
 - Funds major needs and opportunities at unit level
-
- Better understand units
 - Determines degree to which unit objectives align with University objectives
 - Determines priority of unit for University resources

Strategic Initiative Process (1987)

Reallocation Process:

For FY87-88, FY88-89, and FY 89-90, reallocate 1% of the base General Fund budget through a University Initiatives Fund into several strategic thrusts.

Characteristics of Strategic Initiatives:

- **Broadly supported strategic priorities of University**
- **University-wide**
- **Strong grassroots involvement**
- **One-time (flexible) projects**

Strategic Initiative Fund (1987)

FY87-88 University Initiatives:

- **Undergraduate Initiatives Fund (\$1 M)**
- **Presidential Initiatives Fund (\$1 M)**
- **Diversity Initiatives (\$1 M)**
- **Graduate Education (\$800 K)**
- **Sciences (\$600 K)**

FY88-89 University Initiatives:

- **Target of Opportunity Fund (\$1 M)**
- **Special Faculty Salary Program (\$2 M)**
- **Sciences (\$500 K)**
- **Classroom Renovation Project (\$1 M)**

Where are we today? Phase I

- **Strategic Initiative Fund**
- **Strategic Planning Team**
- **Strategic Retreats**
- **Undergraduate Initiatives**
- **The Michigan Plan (Diversity)**
- **Steps toward creating an Entrepreneurial Environment**
- **Capital Facilities Plan**
- **Information Technology Plan**
- **Management Incentives Plan**
- **Public Service Plan**

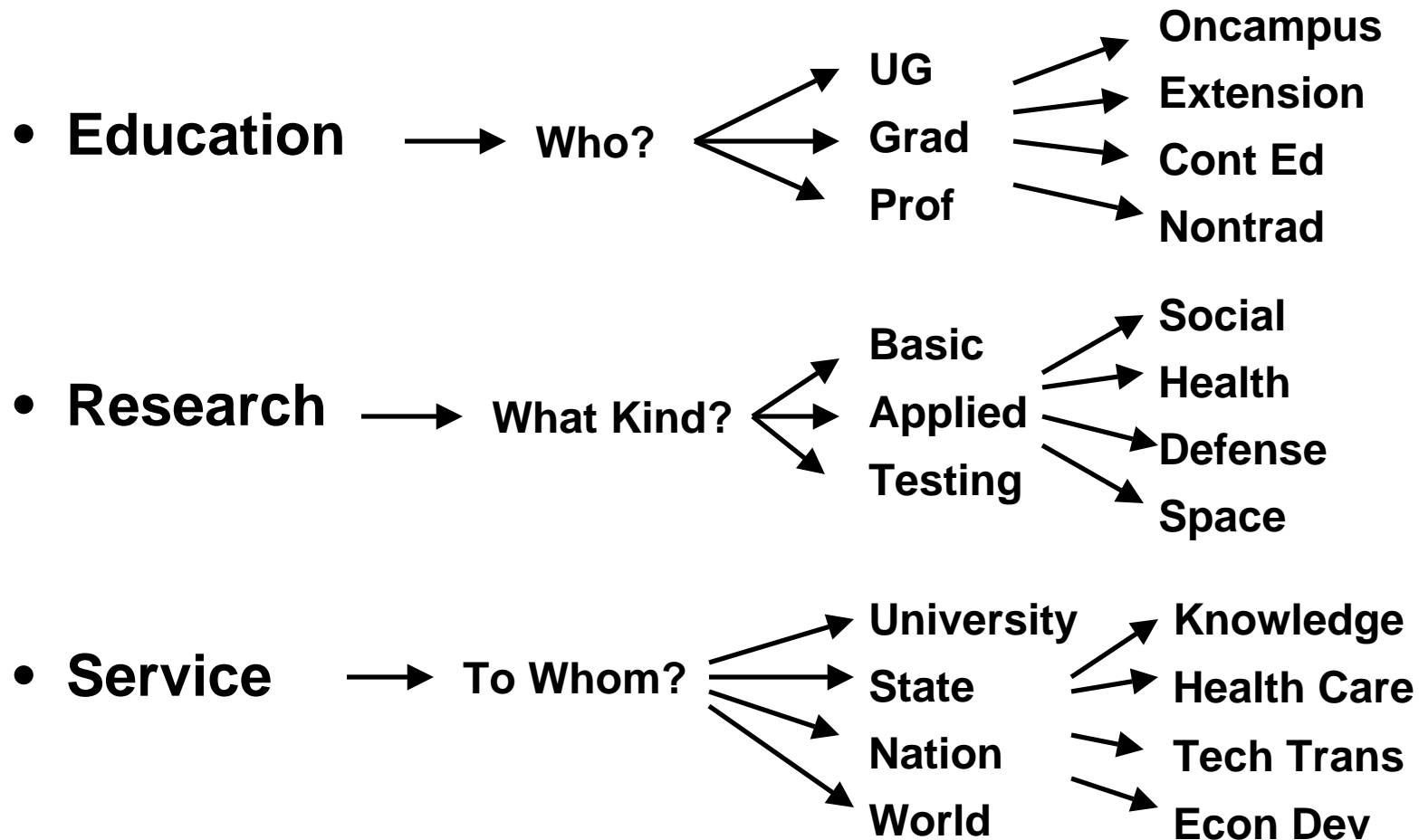
Phase I (continued)

- **Community Initiatives**
- **Communications/Public Relations Plan**
- **Resource Allocation and Management (CBA, 2x4 Group)**
- **Graduate Education**
- **Development Plan**
- **Medical Center Plan**
- **Admissions/Financial Aid/ Academic Services**
- **Resource Analysis and Strategy**

Phase II: Awaiting action

- **Involvement of broader University community**
- **The Political Agenda**
- **Student Leadership**
- **LS&A**
- **Balancing Academic, Administrative, and Auxiliary Activities**

What is our mission?



A Mission Statement

Business Line:

Creating, preserving, and transmitting knowledge

Market Niche:

Leadership

Products and Services:

Knowledge and knowledge-intensive services

Educated people with capacity and desire for leadership

External Customers:

Primary: Society at large

Others: Students, patients, agencies, ...

Shareholders: state, feds, private sector, public,...

A Gedanken Experiment

Develop a list of 10 goals that you believe the University of Michigan should aim to accomplish during the 1990s:

- i) These can either be "ultimate goals" or realistic targets along the way...**

- ii) They should be as quantitative and measureable as possible so that we can assess progress...e.g., "increase private giving plus endowment income to a level equal to our state appropriation"**

- iii) Develop such goals with an aim to implementing a system of "management-by-objectives" in which folks will be evaluated in terms of their success in moving toward the goals.**

Autonomy

Protect and enhance UM's autonomy

The single most important characteristic of the University is its capacity to control its own destiny. This has been threatened in recent times by state government, federal government, and even our own Board of Regents. Hence our first priority for the 1990s should be to secure this autonomy.

Possible "measures" of progress include:

- i) developing the capacity to control instate tuitions and outstate enrollments without political interference
- ii) achieving a balance of funding sources able to withstand major changes (-25%) in any single funding source
- iii) moving Regents from present posture of "protecting the public's interest" to "protecting the University"

Regents

Strengthen the Board of Regents

Clearly the quality of the Board of Regents is critical to the future of the University. For some time (decades) neither party has given high priority to the quality of nominees, tending to rely more on patronage or benign neglect. It is clear that the University, itself (or its friends) must play a far more active role in getting outstanding people onto the Board of Regents.

Possible "measureable" objectives

- i) Get outstanding nominees from both parties in 1992 and beyond--or build support for modifying Regental selection process (e.g., moving from election to selection or limiting terms)
- ii) Continue to work with existing Board to build their capacity to provide the necessary stewardship for the University
- iii) Utilize other groups such as the Campaign Advisory Committee to assist in stabilizing the Board

Private Support

Build private support (annual gifts plus endowment income) to a level comparable to state appropriation.

Measureable objectives (in 1990 dollars):

- i) increase annual gifts received from \$95 M (90-91) to \$200 M in 2000-2001 (1990 dollars)**
- ii) increase endowment from \$500 M (1991) to \$2 B (2001)**

The Michigan Mandate

Achieve the objectives of the Michigan Mandate

- Student representation
- Faculty, staff, leadership representation
- Building a "Multicultural UNiversity"
- Moving ahead with a similar effort on women's issues

Measureables:

- i) proportionate representation targets?
- ii) signs of integration rather than separation
- iii) pipeline goals

A Public/Private Character

Affirm and sustain the University's character as a public/private hybrid

Position the University as a hybrid of a public and private institution, much like Cornell, in our internal style of operation and in the minds of our shareholders.

Some measures of progress might include:

i) Rationalizing instate tuition, for example as:

**instate tuition = outstate tuition - state support/student, or
instate tuition = 50% outstate tuition**

ii) Achieving a better balance of instate/outstate/foreign enrollments

iii) moving toward great decentralization in management (cost/revenue center strategies)

Excellence on a Revenue Diet

Restructuring, Cost-Containment, Total Quality

Restructure the University to better utilize available resources to achieve teaching and research of highest possible quality.

Possible elements:

- i) Better (and fairer) resource allocation**
- ii) Implementation of Total Quality Management efforts**
- iii) Reorganization (e.g., rearranging academic units into more efficient sizes)**
- iv) Reduce size of University efforts to levels more commensurate with available resources...**
 - e.g., UMAA enrollments: 35,000 --> 30,000**

Enhancing the Quality of University

Enhance the quality of UM as a comprehensive research university

Every unit attempt to achieve and be tested against the highest possible standard. Those that fail to meet that standard should face either investment...or divestiture ("up or other").

Usual measures: faculty reputation, student achievement, surveys (particularly upcoming NRC graduate survey), visiting committee evaluations, etc.

Particular thrusts:

- i) undergraduate education (CUE, Gateway Center)**
- ii) graduate education (breaking the mold)**
- iii) professional education (better linkages)**

Peaks of Excellence

Attract, nurture, and achieve the extraordinary

People: Attract and sustain students and faculty of true genius...Nobel Laureate...national academicians...MacCarthur awardees...Pulitzer prize winners..."wild, crazy, creative people...since these "essential singularities" will set the pace of excellence for the institution.

Units: Encourage all units of University to build "peaks of excellence"...to identify areas which have capacity for true national leadership and then to reallocate resources to build and sustain such extraordinary excellence.

A World University

Position UM as a "world university"

Shift the University from a state or national university to a world university...

Possible elements:

- i) Provide opportunity for international experience for all undergraduates and faculty**
- ii) Increase international enrollment from 6% to 15%**
- iii) Establish strong relationships with top 4-5 great universities of the world**
- iv) Increase financial support from international donors**
- v) Achieve high visibility for Michigan as an international university...and build an understanding of the importance of this role for people in the state**

Some Image Goals

Develop more compelling public images of what we are or wish to become...and what we are not.

- i) Image of UM of as a leading world university (in state, nation, world)**
- ii) Image of university as a process and a concept rather than a place or an institution**
- ii) Willingness of "customers" (students, parents, government agencies) to pay full costs for our services**
- iv) Weaken the expectation that a degree guarantees a job...rather it helps one create a job.**
- v) Portray the undergraduate experience as trying on a variety of lives ("a library or virtual realities")**
- vi) Equate university with a "rain forest", perserving the "cultural insurance" for our future--but also threatened with decimation by a misunderstanding public.**

A Summary of Possible Goals for the 1990s

- **Autonomy**
- **Regents**
- **Private Support**
- **The Michigan Mandate**
- **A Public/Private Character**
- **Excellence on a Revenue Diet**
- **Enhancing the Quality of the University**
- **Spires of Excellence**
- **A World University**
- **Some Image Goals**

Other Possible Goals

- **Achieve dramatic improvement in the quality of the undergraduate experience (CUE recommendations, Gateway Campus)**
- **Build a sense of community on campus...achieving a greater sense of pride, loyalty, commitment to the University on the part of students, faculty, staff.**
- **Bring breadth and capacity of University into line with realistic estimates of available resources (e.g., 36,000 --> 30,000 --> 25,000...)**
- **Be a pathfinder in defining, developing, and applying information technology in a knowledge-based organization (e.g., collaboratories, telecommuting)**
- **Shift from solitary learning to collaborative (team) learning experiences**
- **Broadening financial aid...outstate students, merit aid,...**
- **Getting rid of the image of "good, gray Michigan" with some great architecture...**

Other Possible Goals (continued)

- **Shifting more of our educational efforts to adults...lifetime education, upperclass/graduate/professional focus**
- **Establishing "skunkworks" operations..."University within a University" concepts**
- **Present university as a place that affirms and renews...not just that undermines belief and criticizes**
- **Contrast university with other "imitations of the academic"...perhaps with universities becoming the truth squads that mop up after media broadsides**
- **Explore more specific roles and connectivity for all of our various shareholders...get alumni, friends, industrial leaders, political leaders "on the organization chart"**

Organizational Issues

1. Do we need to shake up the organization a bit to achieve change?
2. Studies indicate that the best ideas come from outsiders...not from succession within the ranks. (Karl Weick)
3. In organizations we are now finding more "peer to peer" structures...in some groups you are a leader...in others, a follower...in others, an observer.
4. Do we need a "skunkworks", a place where crazy ideas can be explored and prototyping can occur?
5. Do we need to "repackage" our academic programs, combining some units...dividing other units..to allow intellectual change?
6. Do we need to attach "sunset" provisions to more units...and make them stick?

Operating Principles

We have set out a very ambitious agenda for the University that will require both great effort and strong teamwork (e.g., University of 21st Century themes, strengthening external relations, restructuring revenue/expenditure base,...)

We must take great care that we do not get swamped by all of the other issues swirling about an active campus such as ours and keep our focus on our most immediate and important priorities.

The keys to progress...

Consistency ... Persistence ... Focus

Operating Assumptions

- 1. The University is a very complex system that is responding to the cumulative effects of its history as well as dynamic boundary conditions. Nevertheless, it is critical that the University continue to take responsibility for its own future.**
- 2. The University of Michigan faces a period of unusual opportunity, responsibility, and challenge in the years ahead, a time in which it must seize control of its own destiny by charting a course to take it into the 21st Century.**
- 3. The challenges before higher education today suggest that a new paradigm of the research university in America is will evolve over the decade ahead. Michigan is in an excellent position to develop this model for the nation.**

How should we approach strategic planning in the 1990s?

- 1. What is the appropriate balance among centralized strategic planning, unit-based strategic planning, and faculty-focused initiatives--between "top-down" and "bottom-up" processes?**
- 2. How do we structure and sustain a strategic planning process at the level of the central administration?**
- 3. Should we "institutionalize" strategic planning at the unit level, e.g., by moving to a shifting 5-year planning cycle.**
- 4. How do we trigger strategic processes at the faculty level?**
- 5. Do we need to distinguish between more traditional strategic planning activities (e.g., resource acquisition and management, academic priorities) and "wild and crazy", mental blockbusting efforts (e.g., a "skunkworks" operation)?**

Examples of Issues

P-Word Issues:

Parking, police, Penn State,...
Special Interest Group agendas, "PC" Issues, ...

Key Strategic Issues:

- **The Michigan Mandate: Representation, Multiculturalism**
- **Globalization: Academic Programs, International Relations**
- **Age of Knowledge: Infrastructure, NREN, Colabs, SFI**

Issues of the Times:

- **Budget Issues: State (FY91, FY92), Fed (R&D, Fin Aid, ICR)**
- **Cost Management, Whitaker Task Force**
- **Capital Campaign**

Meta (Cosmic) Themes:

- **Building a sense of community**
- **Transforming adversity into opportunity**
- **Building a spirit of pride in, loyalty to, commitment to UM**

Where should the administration focus its attention?

P-Word Issues

Key Strategic Issues

Issues of the Times

Meta (Cosmic) Themes



Where should the administration focus its attention?



P-Word Issues



Key Strategic Issues



Issues of the Times



Meta (Cosmic) Themes

Example of Strategic Initiatives

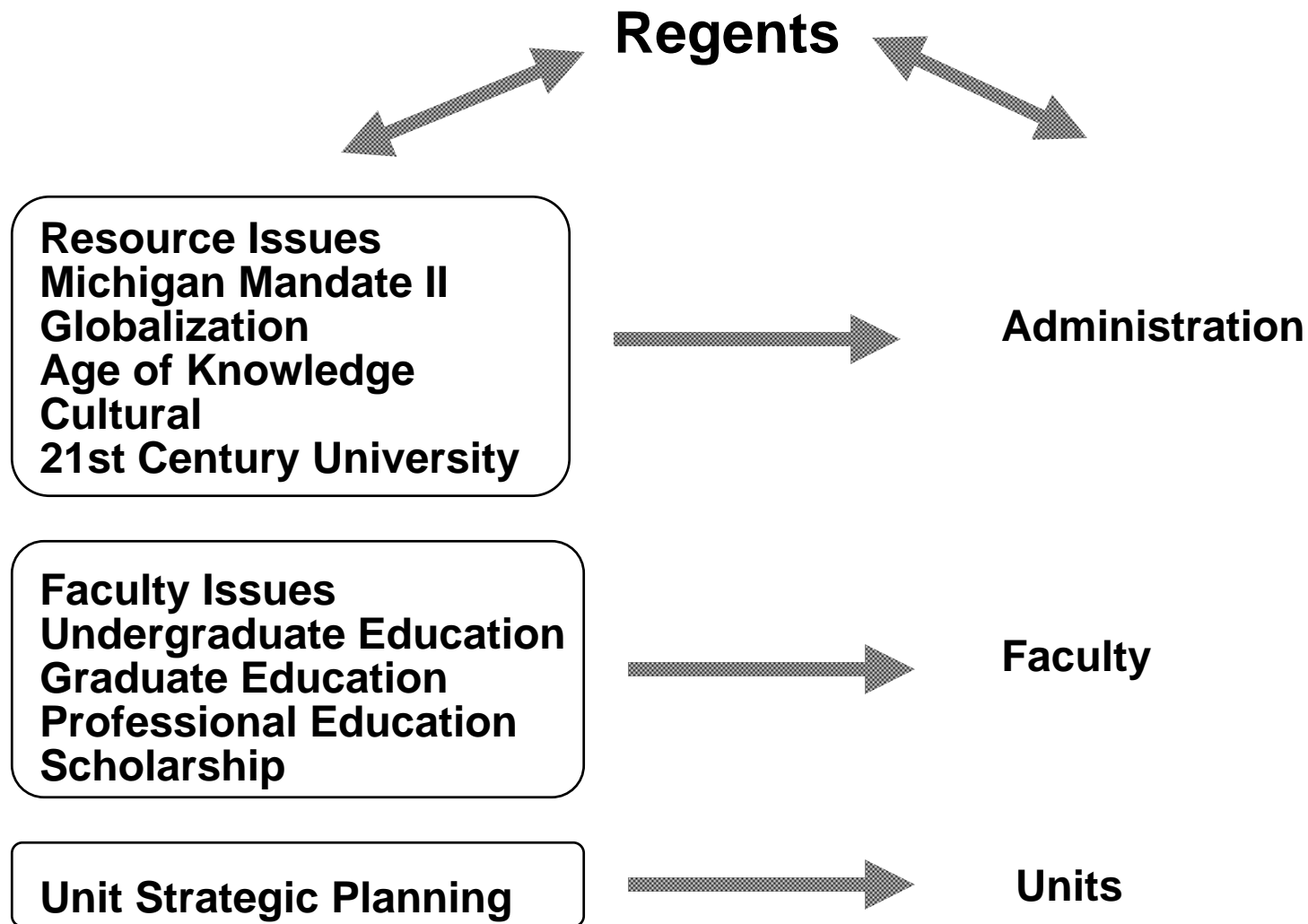
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**Resource Acquisition and Management Strategies
Undergraduate Education
Graduate and Professional Education
Research Environment
Human Resource Development
Intercollegiate Athletics**

...and, of course, the strategic planning process itself...

Responsibility for Planning and Policy Development



Areas appropriate for centralized strategic planning:

- 1. Resource Acquisition and Management**
- 2. External Relations**
- 3. Michigan Mandate II**
- 4. Globalization of the University**
- 5. Preparation for an Age of Knowledge**
- 6. Changes in the University Culture**
- 7. Missions and Roles of the 21st Century University**

Recommended Agenda for Administration

1. Resources

- Resource acquisition
- Cost containment (and reduction)
- Asset management
- Capital facilities

2. External Relations

- Community Relations
- State Relations
- Federal Relations
- Higher Education Networks
- Public Relations
- Media Relations
- Alumni Relations
- The Campaign for the 1990s

Administration Agenda (continued)

3. Michigan Mandate II

- **Moving to a multicultural community**
- **Broadending the base (women, international)**
- **Program inventory and assessment**

4. Globalization of the University

- **Academic programs**
- **Institutional relationships**

5. Preparation for an Age of Knowledge

- **Next generation of information technology**
- **Knowledge-based institutions**
- **Impact on teaching and scholarship**

Administration Agenda (continued)

6. Changes in the University Culture

- **A sense of community**
- **Pride, loyalty, commitment to University**
- **Balancing rights with responsibilities**
- **Entrepreneurial, risk-taking, fault-tolerant**
- **Grass-roots optimism and empowerment**
- **Transforming adversity into opportunity**

7. Mission and roles of 21st Century University

- **Core missions (teaching and scholarship)**
- **Other primary missions**
- **Secondary missions (possible for elimination)**

Areas appropriate for faculty (bottom-up) focus:

- 1. Faculty issues
(rewards, tenure, retirement)**
- 2. Undergraduate education
(curriculum, student life)**
- 3. Graduate education**
- 4. Professional education**
- 5. Changing nature of scholarship
(interdisciplinary, venturesome)**

Other Issues

- **Medical Center Issues**
- **Intercollegiate Athletics**
- **K-12 Education**
- **Economic Development**
- **Global Change**
- **State of Michigan "Mega" Projects**

What is the role of the president?

- 1. The CEO of U of M, Inc.?**
- 2. Somewho lives in a large house and begs for a living?**
- 3. The sheriff who has to strap on his guns each day and go out to meet any gunslingers who've come to shoot up the town?**
- 4. A defender of the University against the forces of darkness which rage outside its ivy-covered walls?**

Roles of the President

Substantive Leadership:

- Development, articulation, implementation of visions and programs that sustain and enhance quality of the institution
- Bold and creative long-range thinking about intellectual, social, financial, human resource, physical, political issues
- Focus on future, understanding of present, with sense of tradition

Symbolic Leadership:

- Role as head of institution, relationship to internal constituencies
- Representation of University to external constituencies

Pastoral Care:

- Source of emotional support, energy, guidance for institution

The Importance of the EO Team

A Fact of Life: No president can possibly fulfill all of the dimensions of this role.

- 1. Hence, a president must first determine which aspects of the role best utilize his/her talents.**
- 2. Then a team of executive officers and senior staff must be assembled which can extend and complement the activities of the president in order to deal with the full spectrum of the University leadership role.**

My Particular Role as President

Strategic Leadership: To provide the vision, energy, and sense of excitement necessary to propel and guide the University into the next century.

Internal Campus Affairs:

- largely symbolic (setting key themes)
- not involved in tactical, day-to-day decision process
- strong delegation and decentralization

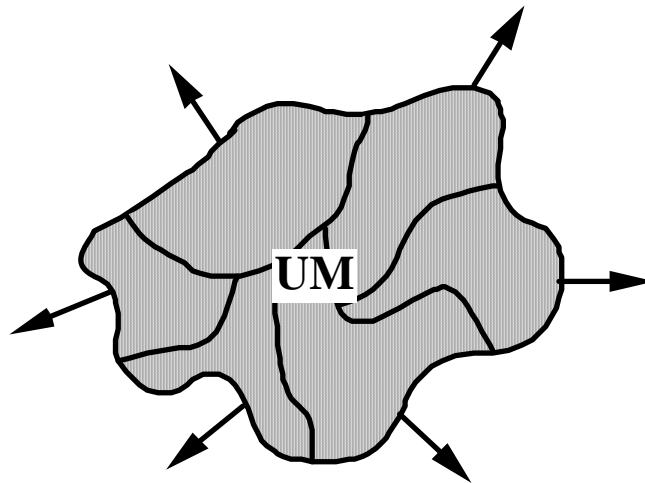
External Campus Affairs:

- primary responsibility for interface with external constituencies
- primary responsibility for "institutional advancement"
- involvement in state/national/societal issues

Concerns

Commonly mentioned concerns:

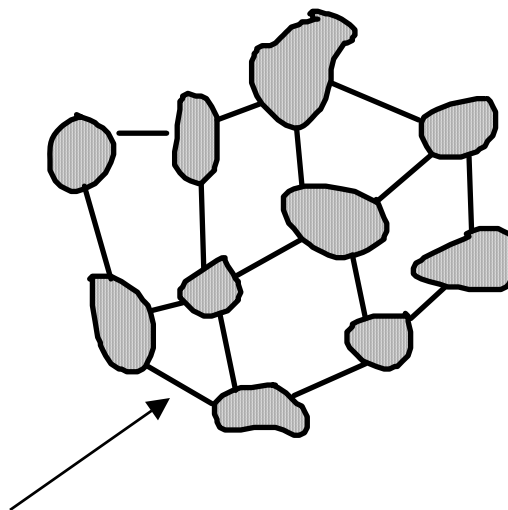
- **Morale, malaise, separatism, intellectual fragmentation...**
- **Behavior (substance abuse, crime, racism, vandalism)...**
- **Special interest agendas, budgets, salaries, parking...**
- **"What's in it for me?...What have you done for me lately?..."**
- **Students vs. faculty vs. staff vs. administration vs. Regents**



The All-Important "C" Words

Community
Communication
Comity
Collegiality
Collaboration
Cooperation
Coherence
Concern

...



The "glue" words...

The Challenge for 1990-91

"How do we generate more of a sense of

...pride in...

...respect for...

...excitement about...

...and loyalty to...

...The University of Michigan?"