

Prepared by the Office of the Vice President for
Planning and Policy
Replaces E4.201 dated July 1985

UNIVERSITY OF HAWAI'I

EXECUTIVE POLICY - ADMINISTRATION

Revised March 1997

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E4.201 INTEGRATED LONG-RANGE PLANNING FRAMEWORK

I. INTRODUCTION

This revised executive policy replaces E4.201 dated July 1985. It directs implementation of Board of Regents policy, Section 4-3 (Attachment 1) by establishing policy statements on (1) the purposes of university planning; (2) the planning concepts and processes that provide the foundation for University of Hawai'i planning; (3) the major components (outcomes/documents) of long-range planning at the University; (4) assessment and evaluation activities; (5) lead responsibility for planning implementation; and (6) the planning calendar.



II. POLICY STATEMENTS

A. PURPOSES OF UNIVERSITY PLANNING

The University of Hawaii (UH) is committed to planning that addresses current and long-term educational needs and challenges of this institution, the state, and society at large. The purposes of University planning are to advance:

- A **shared direction and purpose** among all segments of the University, consistent with the University's system mission, the missions of major Units¹, the operative University system plan, and in support of formally stated priorities of the state; and
- The **integration** of major Unit academic plans, subunit academic plans, program plans,

¹UH Mānoa, UH Community Colleges, UH Hilo, and UH-West O'ahu are the four major Units of the University of Hawai'i system.

facilities plans, capital and operating budget plans, accreditation reports, and related planning, assessment, and evaluation documents and processes.

B. PLANNING CONCEPTS AND PROCESSES

University of Hawai'i planning links planning and budgeting, is responsive to its planning environment and diverse campus missions, involves collaborative processes, and is informed by relevant data and information.

1. Links Planning and Budgeting. A major objective of University planning is to ensure that **planning results are considered and reflected as appropriate in budget priorities.**
2. Responsive to the Planning Environment. Achieving shared directions and purposes that are **responsive to significant local, regional, national, and global trends and needs** is critical to the success of the University's educational planning process.
3. Responsive to Diverse Campus Missions. Long-range planning within the University of Hawai'i is tailored to the needs of a heterogeneous system of campuses. Differences in mission, size, stage of development, etc., mean that system policies and guidelines must be flexible, recognizing that **one planning process will not fit all.**
4. Collaborative Processes. A central objective of UH planning is broad participation of faculty, staff, students, and managers resulting in **decentralized implementation within common parameters.** Universities are distinctive for their collegial, open, and participatory management style. Planning in this setting is characterized by consultation and review that combine the best of bottom-up and top-down approaches.

Executive leadership is ultimately responsible for developing, in consultation with University constituents, common planning parameters (system and campus mission and role statements, overall goals, planning principles and assumptions, and major policies). These parameters set the ground rules and provide the substantive framework within which plans at all levels are expected to fit. The common planning parameters are updated as needed and broadly disseminated across the University system. Executive leaders are also responsible for managing the overall planning process and, with appropriate consultation, for the preparation of plans for system wide functions and activities.

Collaborative planning requires decentralized planning by subunits and implementation by line, mid-level, and program managers who assume ultimate responsibility for the operation of their programs in concert with the common planning parameters.

This allocation of responsibility does not eliminate the need for review and approval of program plans by executive managers and the Board of Regents. Such reviews are needed to insure conformance with the basic assumptions and existing University policies as well as to identify gaps and overlaps among the various plans. In addition, subsequent reviews ensure that plans are realistic, setting forth appropriate and efficient use of limited resources.

5. Informed by Data and Information. University planning is supported and **informed by a variety of management information and assessment reports** that describes the University internal and external planning environment and provides information on how well the institution is achieving its overall goals. These reports are prepared in a timely and routine manner.

C. MAJOR PLANNING COMPONENTS

The University of Hawai'i planning system involves a core set of interrelated plans. Typically each document provides a guide to more detailed planning at one level and a mechanism for integrating that level into a coherent relationship with the broader objectives and policies that exist at more comprehensive levels of planning. The major University of Hawai'i planning documents are described below and summarized in Attachment 2, and their interrelationships are illustrated in Charts 1 and 2.




1. **Mission Statement.** The "University of Hawai'i Mission" articulates those qualities common to the system (the overall vision and purpose, values, governance structure, special emphasis on access, and the system's distinctive Hawaiian/Asian/Pacific role). Within this overall mission, the separate and unique role and mission statements for UH Mānoa, UH Hilo, UH-West O'ahu, and the UH Community Colleges are set forth.
2. **System Plan.** This document is typically called the University Strategic or Master Plan. The University's current operative comprehensive system planning document is *Focus on Quality: University of Hawai'i Strategic Plan, 1997-2007*. It sets forth common system goals and planning principles, and system and Unit-specific action strategies. Together these articulate the priorities of the University of Hawai'i system for the planning period.
3. **Unit Academic Plans.** Like the system plan, these plans are also typically called strategic plans.² The planning unit distinguishes these plans from the more comprehensive system plan. Unit academic plans are prepared for the four major Units of the UH system (Mānoa, Hilo, West O'ahu, and the Community Colleges as one entity). Unit

²Previously, these documents have been called Academic Development Plans (ADPs) at Mānoa, Hilo, and West O'ahu.

academic plans elaborate each Unit's special mission, unique internal and external circumstances, and strategies and priorities designed to implement the system plan. At Mānoa, Hilo, and West O'ahu, these plans are the basis for physical facilities development. Guidelines for formatting Unit academic plans are provided as Attachment 3.

4. **Subunit Academic Plans.** These plans are typically referred to as Academic Development Plans or ADPs.³ They are prepared for each UH Community College, the colleges, schools, and major institutes at UH Mānoa, and other major campus and/or system academic entities or functions as deemed appropriate. These academic plans provide, at a finer level of detail, specific priorities and action strategies for implementing both the more comprehensive Unit and system plans. Academic plans guide the development of individual academic programs and are coordinated, as appropriate, with accreditation self studies. At the Community Colleges, they also guide the development of physical facilities. Guidelines for formatting subunit academic plans are provided as Attachment 4.
5. **Program Plans.** These documents reflect the priorities contained in subunit academic plans. They involve needs assessment and a summary of specific program priorities and resource requirements. The establishment of new academic programs and the review of existing programs are governed by separate Board of Regents Policy Section 5-1 and Executive Policies E5.201 and E5.202.
6. **Facilities Development Plans.** These plans are typically called Long-Range Development Plans (LRDPs). They are the basis for campus facilities "master planning"; they specify the detailed physical plant requirements and CIP



³In the p, these plans have also been called Educational Development Plans.

projects needed to accommodate academic program development at each campus and, if appropriate, for major programs located off-campus.

7. **Board and Executive Policies, Administrative Procedures, Contractual Language, and Federal Compliance Requirements.** Official UH policies and procedures and all applicable external compliance requirements direct and guide decision making across the full spectrum of University activities. University plans must conform to these official promulgations and requirements.
8. **Biennium Priorities.** These priorities direct the preparation of the University's biennium budget and are based on biennium updates of Unit and subunit priorities. At the System level, biennium priorities typically are expressed as operating and CIP budget objectives or in some comparable format.

D. ASSESSMENT AND EVALUATION ACTIVITIES

A variety of assessment and evaluation activities and documents supports the University's planning framework. Some of the more prominent are described here.

1. **Budget Hearings.** At an early stage of the biennium budget preparation process, budget hearings/meetings take place within the Units. The overall purpose of these sessions is to assess progress and to clarify and establish biennium planning assumptions and priorities. Outcomes must be consistent with priorities established in University system and Unit plans. Budget hearings are typically held for major subunits corresponding to the subunit academic plan requirement described above. For each biennium, the specific hearings to be held and their schedule and format are determined by the senior vice president and chancellor or executive vice chancellor. The President establishes a mechanism for integrating the Unit priorities that emerge

from these budget hearings into biennium priorities for the University as a whole.

2. **Benchmarks/Performance Indicators.** These analyses and reports monitor institutional progress relative to measures that are typically linked to overall goals and objectives. Results provide useful insights on plan outcomes over time and/or relative to standards or peer performance. A system report is prepared on a biennium basis as an early component of the budget preparation process. At the Unit, subunit, and program levels, more detailed performance measures and/or health indicators are developed and used to support long-term and biennium priority setting.

3. **Program Reviews.** These are required in Board (5-1) and Executive (E5.201 and E5.202) policies. They are assessments of program status (needs, accomplishments, areas for improvement, etc.); they address the extent to which an established program has met stated objectives at levels of quality that justify its continuation. They also consider whether program objectives are still appropriate to the campus, Unit, and overall University missions. Program review results receive serious consideration in the academic planning process.



4. **Accreditation Self-Studies.** These are prepared in accordance with standards and review cycles dictated by accrediting associations. A self-study typically addresses the extent to which an institution or professional program is operating consistent with established standards. Self-studies and visiting team reports aid in determining whether an institution or program offers its students the educational opportunities implied in its objectives at a satisfactory level and is likely to continue to do so. Results of accreditation are incorporated into academic plans as appropriate.

5. **Management and Planning Information Reports and Survey Results.** These analyses typically translate data into information on enrollments, student characteristics, courses, curriculum, tuition, finances and expenditures, faculty and staff, institutional comparisons, etc. Reports are prepared routinely (e.g., semester or annual) or on an ad hoc basis. A variety of survey results are also available to support planning processes.

E. LEAD IMPLEMENTATION RESPONSIBILITY

In summary, implementation of the University of Hawai'i's integrated planning framework is based on the directions of updated system and Unit mission statements and the comprehensive system plan. Using the collaborative processes described earlier, responsibility for preparing these documents resides with the Office of the President and involves all senior executives, with the vice president for planning and policy providing lead support.

Unit and subunit academic plans, consistent with established missions and designed to implement the comprehensive system plan, are developed under the overall leadership of the appropriate senior vice president and chancellor or executive vice chancellor. Again, utilizing the broad-based collaborative process described earlier, provosts,

deans, and senior directors have lead responsibility for the preparation of their subunit academic plans.

Lead responsibility for the development of comprehensive campus facilities plans (LRDPs) is a joint responsibility of the senior vice president for administration and the appropriate senior vice president and chancellor/executive vice chancellor.

F. PLANNING CALENDAR

Generally, a review of mission is undertaken every 10 to 15 years or when major new units are added to the system or there is a significant change in the role and responsibility of existing units. The updated mission statement adopted by the Board of Regents in November 1996 replaced the prior 1982 mission statement.

The University's comprehensive system plan typically spans 10 years and is updated as needed during that time. The current system plan was approved by the Board in November 1996.

Unit Academic Plans and Subunit Academic Plans typically span the time frame of the University system plan. However, priorities are updated on a biennium basis as a first step in the preparation of the biennium budget.

Physical facilities development plans (LRDPs) are updated as called for in Board of Regents policy, Section 4-4.

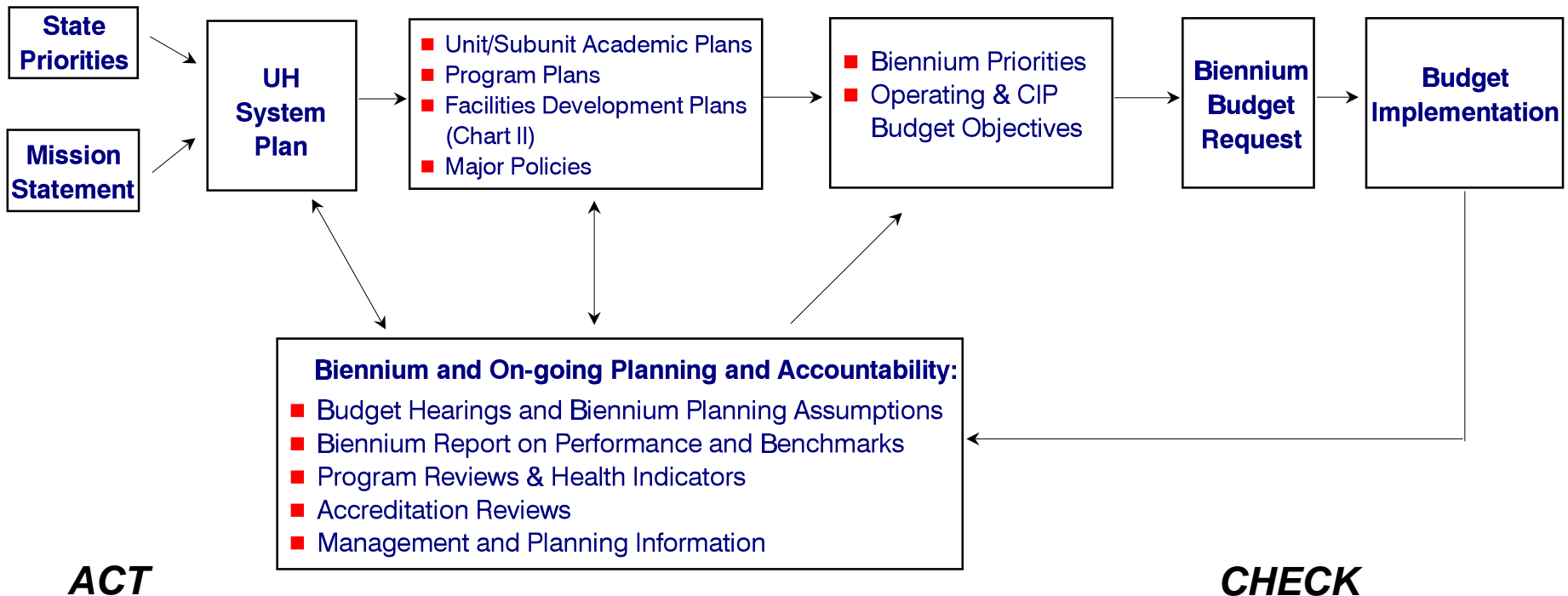
Attachment 5 summarizes the status of academic and facilities plans.



Chart I UNIVERSITY OF HAWAII INTEGRATED LONG-RANGE PLANNING FRAMEWORK

PLAN

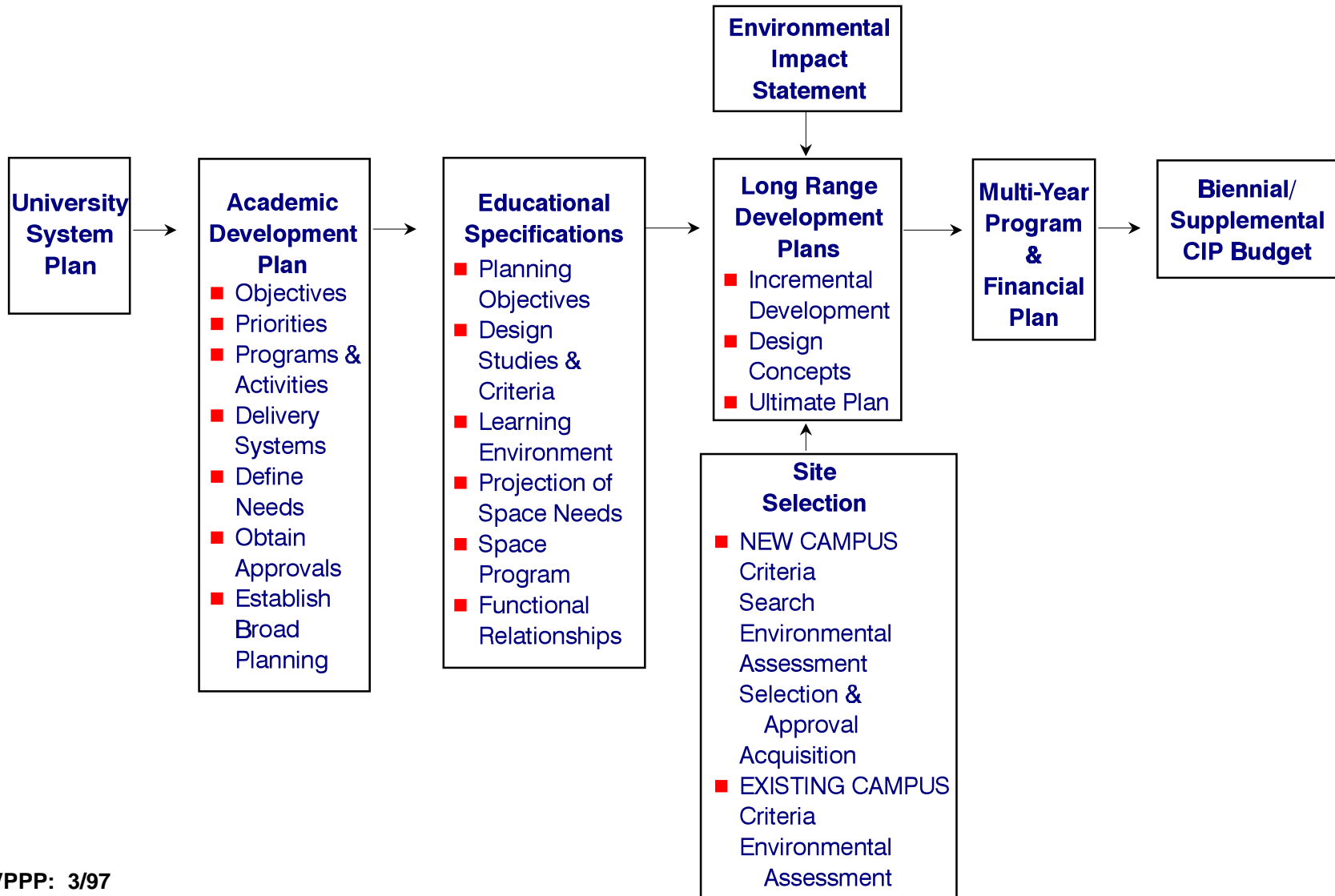
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Chart II UNIVERSITY OF HAWAII FACILITIES PLANNING PROCESS



Board of Regents ByLaws and Policies, Chapter 4, Sections 4-3 and 4-4
(adopted 4/18/97)

Section 4-3 Unit Academic Plans

- a. Approval of Plans. Upon the recommendation of the President, the Board of Regents approves in principle major unit academic plans for UH Mānoa, UH Hilo, UH-West O'ahu, and the UH Community Colleges. The UH Mānoa academic plan contains brief planning statements for each major UHM college, school, and institute. The UH Community College academic plan contains similar planning statements for each community college campus. Unit academic plans constitute a statement of general academic direction and priority for each of the four major organizational entities of the University of Hawai'i system.

Subunit academic plans for each community college and for schools, colleges, institutes, and other major components of the baccalaureate campuses are approved in principle by the President or the President's designee and made available to the Board for information.

Together, the major unit academic plans and the subunit academic plans translate the broad directions contained in Board-approved mission statements and the comprehensive system plan into long-term academic program development, physical facilities development, biennium budget priorities, and policies and procedures that guide the ongoing operation of the University of Hawai'i system.

It is delegated to the President to promulgate new and/or revised executive policy that carries out the intent of this Board policy and to periodically report to the Board on the status of academic plans.

- b. Approved Academic Plans. The Office of the President maintains an updated list of approved major Unit academic plans and subunit academic plans.

Section 4-4 Long Range Physical Development Plans.

- a. Approval of Plans. The Board shall approve a long-range physical development plan for each campus upon recommendation by the President. The Board recognizes that the university is a dynamic institution subject to change and these changes will necessitate modifications to the Long-Range Physical Development Plan. Significant changes in the programs and policies of the institution which affect the physical facilities and design character of the campuses shall be reflected by an amendment to the plan. Changes which can be considered significant include those which affect or alter building sites, building heights, bulk, densities, and infrastructure support facilities. All amendments to the approved Long-Range Physical Development Plan shall require the approval of the Board. Only facilities appropriately designated on the approved plan may be constructed on the campuses. (Mar. 10, 1966; Sept. 15, 1989)
- b. Approved Facilities Plans. The Office of the President maintains an updated list of approved Long Range Development Plans.

UNIVERSITY OF HAWAI'I
MAJOR PLANNING DOCUMENTS

LEVEL AND TYPE OF PLAN	LEVEL AND KIND OF APPROVAL	TITLE	LEAD RESPONSIBILITY FOR PREPARATION
Mission Statement	Board of Regents adopt.	"University of Hawai'i Mission," November 1996.	Office of the President; Vice President for Planning and Policy.
System Plan	Board of Regents approve in principle.	"Focus and Quality: The University of Hawai'i Strategic Plan, 1997-2007," November 1996.	Office of the President; Vice President for Planning and Policy.
Unit Academic Plans: 1. UH Mānoa 2. UH Hilo 3. UH-West O'ahu 4. UH Community Colleges	Board of Regents approve in principle.	Titles are unique to each Unit; the usual format is "(Unit name) Strategic Plan (planning period)."	Senior VP and EVC, Mānoa Senior VP/Chancellor, UH Hilo Executive VC, UH-WO Senior VP/Chancellor, UH CC
Subunit Academic Plans for: 1. UH Community Colleges (each campus) 2. UH Mānoa Schools, Colleges, Institutes, and other major campus units 3. UH Hilo Colleges and other major campus units	Board of Regents for information; President approves in principle.	Various.	Campus Provosts Deans/Directors Deans/Directors
Program Plans	See Board of Regents policy 5-1 and Executive Policy E5.201 and E5.202.	Titles are unique to the subject program.	Program Head
Facilities Development Plans: 1. UH Mānoa 2. UH Hilo 3. UH-West O'ahu 4. Hawai'i CC 5. Honolulu CC 6. Kapi'olani CC 7. Kaua'i CC 8. Leeward CC 9. Maui CC 10. Windward CC	Board of Regents approve.	Titles are unique to each location; the usual format is: "Long Range Development Plan, University of Hawai'i, (campus/location name) (date) Update"	Senior VP and EVC, Mānoa Senior VP/Chanc, UH Hilo Executive VC, UH-WO Senior VP/Chanc, UH CC (All Community Colleges)

UNIVERSITY OF HAWAI'I
GUIDELINES FOR FORMATTING UNIT ACADEMIC PLANS

In general, a Unit academic plan conveys how a major segment of the University will be different at the end of a six-year planning period if the plan is implemented and how these differences advance its mission and the goals and strategies of the comprehensive system plan.

(The following format is intended as a guideline. It may be reordered or modified but, in general, these questions and topics must be addressed.)

What is the Unit's special role?

I. Unit Mission (as approved by the Board)

The vision, values, and/or special attributes that set the Unit apart and provide its reason for existence.

What are the overall directions for the Unit?

II. Goals

Statements of targets or aims that elaborate at the Unit level the goals of the operative comprehensive system plan.

How will goals be achieved?

III. Priorities

The specific Unit priorities and strategies that are designed to implement the planning principles and action strategies of the comprehensive system plan.

- A. Planned program development and restructuring.
- B. Description of planned policy and organizational changes.
- C. Financial plan that describes how the resource requirements (budgets, staffing impacts, facilities, etc.) associated with stated priorities will be addressed.

What is the current state of affairs?

IV. Planning Context

- A. An analysis of external and internal factors and issues (needs/capacities, strengths/weaknesses, etc.) that lead to the planning assumptions that in turn frame Unit priorities and action strategies.
- B. An assessment of current, projected, and planned enrollment levels for the six-year planning period.
- C. A summary of performance relative to key indicators.

UNIVERSITY OF HAWAI'I
GUIDELINES FOR FORMATTING SUBUNIT ACADEMIC PLANS

In general, subunit academic plans describe the current context, planned outcomes, and how the subunit will achieve its priorities within the framework provided by the Unit it is a part of and the system overall.

(The following format is intended as a guideline. It may be reordered or modified but, in general, these questions and topics must be addressed.)

What is the distinctive role and responsibility of the subunit?

I. Subunit mission (must be consistent with Board-approved Unit mission)

The special attributes (domain of service, clientele, etc.) that give the subunit its identity and reason for existence.

What are the planned subunit outcomes?

II. Goals (must be consistent with those of the Unit of which the subunit is a part and with those of the operative system planning document).

Statements of outcomes or targets that the subunit will strive to achieve during the planning period.

How will planned outcomes be achieved?

III. Priorities

A. Specific action strategies for the planning period that reflect the choices and planned program activities that will take precedence in order to advance stated subunit goals.

B. Staffing patterns and issues (e.g., affirmative action, faculty and staff professional development) as they relate to priorities.

C. Resource requirements associated with planned priorities/action strategies.

D. Major planned repairs and maintenance and CIP projects.

E. The relationship of subunit priorities to those of the larger Unit and the system.

What is the current status of the subunit?

A. Brief assessment of internal and external factors and issues affecting the subunit.

B. An assessment of progress toward previously stated goals, including performance and/or health indicators as appropriate.

C. An assessment of current, projected, and planned enrollment levels.

**UNIVERSITY OF HAWAI'I
STATUS OF ACADEMIC/EDUCATIONAL DEVELOPMENT PLANS AND LONG-RANGE
DEVELOPMENT PLANS**

Calendar of Previous and Planned Approval Actions

1. ACADEMIC PLANS

UNITS	ACADEMIC/EDUCATIONAL DEVELOPMENT PLANS PREVIOUSLY APPROVED BY THE BOARD OF REGENTS ¹	DATE OF BOARD OF REGENTS APPROVAL
UH Mānoa	4/16/69; 5/20/83; 4/19/91	(Action expected by the end of 1997. These plans are maintained on file in the Office of the President.)
UH Hilo	9/7/79; 12/12/86	
UH-West O'ahu	4/14/77; 3/20/92	
UH Community Colleges		
SUBUNITS	ACADEMIC/EDUCATIONAL DEVELOPMENT PLANS PREVIOUSLY APPROVED BY THE BOARD OF REGENTS ¹	DATE OF PRESIDENT'S OR PRESIDENT'S DESIGNEE APPROVAL.
Hawai'i CC	previously a part of UH Hilo ADP.	(Action dates will vary, but these more detailed plans are to be approved and priorities updated prior to initiating preparation of the 1999-01 biennium budget. These plans are maintained on file in the office of the responsible senior vice president.)
Honolulu CC	11/7/80; 5/20/88	
Kapi'olani CC	4/14/77; 4/24/87	
Kaua'i CC	12/5/80; 4/24/97	
Leeward CC	12/18/81; 1/15/88	
Maui CC	1/18/79; 4/15/88	
Windward CC	1/10/80; 4/24/87	

¹Subsequent rounds of campus academic planning have taken place since the last approvals by the Board. Board action was not sought pending a refinement of the requirements and expectations of the ADP process.

II. LONG-RANGE DEVELOPMENT PLANS

CAMPUS	DATE OF BOARD OF REGENTS APPROVAL
UH Mānoa	12/18/87; 5/20/94
Mauna Kea	2/83
Coconut Island	
UH Hilo	10/19/73; 3/22/96
UH-West O'ahu	
UH Community Colleges	
Hawai'i CC	3/22/96
Honolulu CC	9/7/67; 5/24/96
Kapi'olani CC	3/19/82
Kaua'i CC	11/74
Leeward CC	5/12/66; 1/18/96
Maui CC	12/15/89
Windward CC	4/14/89
University of Hawai'i Center, West Hawai'i	