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Hazard Community & Technical College

# **Strategic Planning and Institutional Effectiveness Guide**

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# **Hazard Community and Technical College Strategic Planning and Institutional Effectiveness Guide**

## **INTRODUCTION**

Strategic planning and evaluation at Hazard Community and Technical College (HCTC) is a comprehensive continuous enhancement process that involves broad and diverse groups within the College community. This process ensures that data is gathered and evaluated by each unit and incorporates a systematic review of institutional mission, goals, and outcomes. The results are used in continuous improvement in institutional quality while demonstrating that the institution is effectively accomplishing its mission. Strategic planning also enables the institution to make mission-based decisions in relation to its priorities and use of resources.

Framed by the legislative requirements of Kentucky Revised Statutes 164.580, HCTC's mission statement sets a high standard. HCTC's vision and values reflect this standard.

### **Mission Statement:**

HCTC is a comprehensive, public community and technical college that empowers diverse learners, building self-confidence and leadership capacity for lifelong personal success and community enhancement.

A member of the Kentucky Community and Technical College System (KCTCS), HCTC primarily serves Eastern Kentucky as a collaborative catalyst for blending honored Appalachian traditions with diverse global innovations.

### **Vision:**

Hazard Community and Technical College strives to be a premier learning institution that inspires hope and transforms lives through progressive, learner-focused opportunities.

### **Values**

- Commitment
  - Community
  - Diversity
  - Excellence
  - Heritage
  - Hope
  - Innovation
  - Integrity
  - Leadership
  - Learning
  - Teaching
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Guiding the translation of these ideals into action are the HCTC strategic goals. Building upon the 2010-2016 KCTCS strategic plan, HCTC developed seven strategic goals for 2010-2016.

### **HCTC Strategic Goals**

- Strategic Goal # 1 – HCTC will advance excellence and innovation in teaching, learning, and service.
- Strategic Goal # 2 – HCTC will increase student access, transfer, and success.
- Strategic Goal # 3 – HCTC will cultivate diversity, multiculturalism, and inclusion.
- Strategic Goal # 4 – HCTC will enhance the economic and workforce development of the Commonwealth.
- Strategic Goal # 5 – HCTC will enhance college and community leadership.
- Strategic Goal # 6 – HCTC will promote the recognition and value of HCTC.
- Strategic Goal # 7 is divided into biennial college initiatives.
  - Strategic Goal 7A (academic years 2010-2012) – Modify curriculum to address quicker access of degrees, developmental education, e-Learning initiatives, P-16 partnerships, and new technologies.
  - Strategic Goal 7B (academic years 2012-2014) – Enhance/expand extended campuses to provide services and promote communities.
  - Strategic Goal 7C (academic years 2014-2016) – Assess organizational efficiency and effectiveness and compare it to the Baldrige model.

Implementation of these strategic goals is impacted by KCTCS Transformation Initiatives, contained within the KCTCS Business Plan, in the areas of curriculum review, developmental education, dual credit, financial aid, job placement and career development, student services, and transfer. Specific action steps, such as the Foundations of Excellence® Transfer Focus and the development of the “Go KCTCS! Student Service Center” are included in the operations of HCTC.

### **HCTC HISTORY OF STRATEGIC PLANNING/ INSTITUTIONAL EFFECTIVENESS**

Strategic planning and institutional effectiveness have long been an institutional priority. Prior to 1993 and through 2001, these were coordinated by HCTC committees (Planning and Institutional Effectiveness Committee (PIEC), followed by the Institutional Committee on Effectiveness (ICE)). In 2000, a director of Institutional Planning, Research, and Effectiveness was named and served through 2008. During that same period, the ICE committee was dissolved and the Planning Council, a broad-based college-wide group, led the strategic planning efforts at HCTC. During a college reorganization in 2008, an Institutional Research Office was formed,

the Vice President of Business Services was named to facilitate strategic planning, an assessment coordinator was named, and an assessment committee was formed to assist with institutional effectiveness. In September 2011, strategic planning and institutional effectiveness processes were again revised with the development of an office of Institutional Effectiveness, Planning, and Research (IEPR), under the direction of a dean who reports directly to the President and serves on Senior Leadership. IEPR includes the office of Institutional Research and the office of Assessment and Continuous Enhancement.

The mission of IEPR is to:

Guide the college-wide institutional effectiveness, planning, and research processes at HCTC by monitoring the processes, providing follow-up where necessary, and offering training, information, and assistance as needed. The HCTC institutional effectiveness, planning, and research processes include facilitating college-wide strategic planning, facilitating and administering assessment activities, providing data through institutional research, and, under the direction of the HCTC SACSCOC Accreditation Liaison, monitoring SACSCOC accreditation activities.

The offices of Institutional Research and Assessment and Continuous Enhancement also have developed separate mission statements.

## **OVERALL STRATEGIC PLANNING PROCESS**

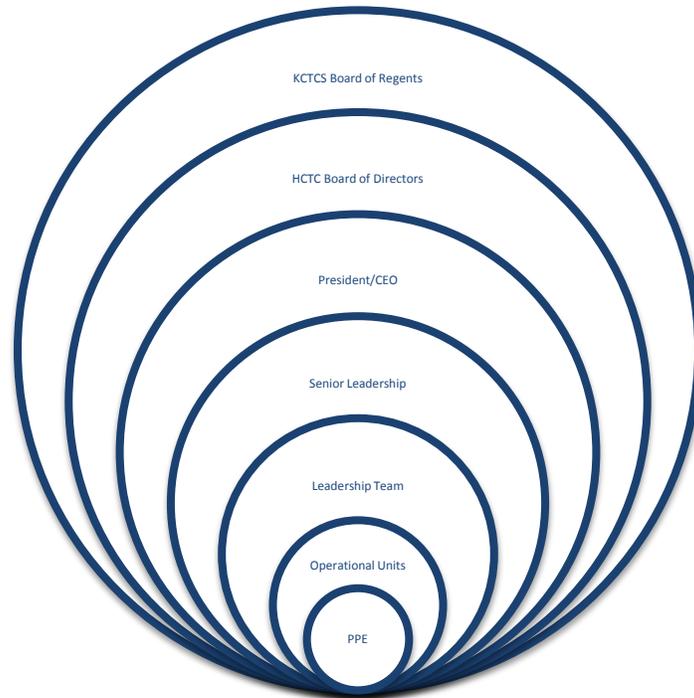
Strategic planning at HCTC is the responsibility of many constituents, beginning with the KCTCS Board of Regents and extending into the individual operating units and to individual employees. IEPR assists all HCTC constituents in the strategic planning process.

- KCTCS Board of Regents
  - Approves strategic plan
  - Approves annual budget
- HCTC Board of Directors
  - Approves and recommends strategic plan to KCTCS Board of Regents
  - Approves annual budget and capital budget and recommends to KCTCS
  - Performs annual evaluation of President/CEO
- President/CEO
  - Provides leadership in the planning process
  - Makes final decision on strategic plans and recommends comprehensive strategic plan to HCTC Board of Directors
  - Approves and recommends annual budget and capital budget to HCTC Board of Directors
  - Appoints membership to college committees and councils

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- Senior Leadership
  - Monitors and administers progress on strategic plan and recommends adjustments to the President to ensure continuous enhancement
  - Monitors overall financial status and makes fiscal recommendations to the President
  - Meets at regularly scheduled times and at the President's discretion to act upon urgent or sensitive needs.
  
- Leadership Team
  - Monitors and reviews assessments to the strategic plan, which may include recommending changes
  - Leads development of operational planning to tie into strategic goals and implement the strategic plan, coordinating daily activities to achieve the college mission and goals, while upholding college values and striving toward the HCTC vision
  - Recommends funding priorities to the President and Senior Leadership for allocation of financial resources
  - Monitors and reviews general education and student success indicators across the college
  - Collaboratively addresses other issues necessary for the on-going operation of HCTC, typically achieved through monthly meetings but also including special-called meetings, as called by the President.
  
- Operational Units
  - Develop unit mission statements that lead to unit assessment outcomes
  - Develop unit operational plans and unit assessment plans
  - Evaluate unit assessment plans and develop appropriate follow-up actions
  - Identify unit budget priorities and report to unit leader/division chair
  - Communicates issues/concerns to Leadership Team representative for appropriate follow-up
  
- Individual Planning, Performance, and Evaluation (PPE) Process
  - Establish individual goals related to position responsibilities, internal service, external service, professional development, and educational leadership (exact goals are dependent upon the employee's individual position and job duties)
  - Report outcomes of individual goals annually

Figure 1 illustrates these interconnected relationships.



*Figure 1 – Strategic Planning Responsibilities*

## **REVISED PLANNING CALENDAR**

IEPR provides oversight of the institutional effectiveness planning processes at HCTC through the use of a Revised Strategic Planning Calendar. The strategic planning calendar, revised to make it a comprehensive document, was recommended by the Assessment and Outcomes Committee and presented to and approved by the HCTC Leadership Team and Senior Leadership in February 2012. It was implemented in March 2012. Two major changes to the calendar include the addition of the Senior Leadership Planning Day and the identification of activities, responsible parties, and anticipated output. The IEPR Dean sends email reminders to each responsible party at the beginning of each month and tracks the completion of the activities at the end of each month.

The HCTC Revised Strategic Planning Calendar is incorporated into this document by reference. It is located on the IEPR Point site for easy access by HCTC employees.

## **OPERATIONAL UNIT PLANNING RESPONSIBILITIES**

Organizationally, for the 2011-2012 academic year, HCTC is divided into nine main units: Academic Services; Business Services; Human Resources; Institutional Advancement; Institutional Effectiveness, Planning, and Research; Operations/Safety and Security; President's Office; Student Services; and Technology Solutions. Five of the nine units have associated sub-units, as illustrated below.

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Academic Services	Institutional Advancement	Institutional Effectiveness, Planning, and Research	President's Office	Student Services
Allied Health Division	Advancement	Assessment and Continuous Enhancement	Document Production Center	Academic Resource Center
Heritage and Humanities Division	Greater Hazard Area Performing Arts Series	Institutional Research	Switchboard and Reception	Admissions
Occupational Technology Division	Grants			Career, College, and Life Planning Center
Sciences and Mathematics Division	Public Relations			Challenger Center
eLearning				Disability Services
Library				Diversity Services
Transitional Education				Financial Aid
University Center of the Mountains				QEP
Workforce Solutions				Ready to Work
				Registrar/Records Office
				Student Life
				Student Support Services
	Testing Center			
	Upward Bound			

Each unit and sub-unit prepares annual Operational Plans and Assessment Plans. The operational plan includes unit/sub-unit goals, ways to measure goal outcomes, and associated action steps. Sub-unit goals are aligned with unit goals; unit goals are aligned with HCTC goals, which in turn are aligned with KCTCS goals. Over the course of a year, all HCTC goals are addressed by at least one of the various units/sub-units.

Each unit's/sub-unit's assessment plan items are aligned with their unit/sub-unit goals and include a focus on effectiveness, efficiency, customer satisfaction, or impact on student learning. An intended outcome is written for each assessment item, which includes the assessment procedure and assessment target. Data is collected during the year and analyzed and reported in the Assessment Findings and Actions Taken section of the assessment plan. Documents containing supporting evidence are attached. IEPR produces individual unit and sub-unit reports annually. Units and sub-units analyze the outcomes (met/not met) during the prior year, review strengths and weaknesses of the unit operations, and address areas of improvement based on the criteria assessed and results achieved. The results are then used to establish the expected outcomes, plan assessment methods to evaluate these outcomes, and formulate strategies for achieving desired improvement for the upcoming academic year. Recommendations for further actions are outlined.

IEPR reviews each unit's/sub-unit's operational plans and assessment plans to ensure the plans are completed in a timely manner, assists the units to improve their planning processes, identify better or additional assessment methods, helps clarify analysis and responses, and promotes continued institutional effectiveness efforts.

Additionally, an overall Annual Assessment Impact Report is prepared and discussed with Senior Leadership during Senior Leadership Planning Day. One outcome of the Planning Day meeting is the establishment of institutional priorities for the following year.

## **ACADEMIC PROGRAM STRATEGIC PLANNING AND INSTITUTIONAL EFFECTIVENESS**

In addition to the operational plans and assessment plans developed at the division level, an annual Program Review is conducted by each educational program to ensure specific program objectives and student learning outcomes are being met.

### **Annual Program Review Process**

Educational programs are embedded within academic divisions/units and include the Associate in Arts, Associate in Science, and Associate in Applied Science degree programs, as well as occupational diploma programs. Each educational program completes the Annual Program Review Process in accordance with KCTCS Board of Regents Policy 4.3, Review of Educational Units. Each program is administered by a faculty program coordinator/director whose duties include completing the program review.

Program reviews and summaries focus on the quality of the programs' teaching and learning; data and its analysis; services provided; and planning, evaluation, and use of resources. Data used to review student outcomes include retention, persistence, completion, placement, licensure, student satisfaction, transfer, and NOCTI and other assessments. The program review has a section devoted to program planning, evaluation, and improvement, which includes a review of changes since the previous year's review; current strengths and challenges, and changes suggested and resources needed to improve the program for the next academic year. The current year's program review is incorporated in the next year's program review and the assessment process continues. The program review process as established in the 2002-2003 academic year for all but Developmental Education, which was added to the process in 2006-2007.

To assist with the development of the annual program review, each educational program has access to and utilizes various data sources including information collected through:

- Courses that use faculty developed rubrics
- Standardized tests, such as COMPASS
- National student surveys, such as CCSSE
- Advisory committees, consisting of faculty, employers, and alumni
- Performance measures, such as making presentations or completing problem-solving exercises
- Clinical evaluations in allied health programs
- Task checklists in occupational programs

Direct measures for Student Learning Outcomes (SLOs) that pertain to all courses/programs include the following:

- Student work samples
- Course-embedded assessments
- Direct observations of student behavior
- Performance evaluations
- Midterm and final Exams
- Clinical, practicum, and work-based learning evaluations
- National licensure examination and certification results
- Standardized pre- and post-tests
- Rubrics

Indirect measures for SLOs that pertain to all courses/programs include the following:

- Employer surveys
- Student surveys
- Program surveys (alumni and employers)
- Graduate follow-up studies
- Percentage of students who transfer to another institution
- Grades assigned
- Numbers of graduates
- Job placement
- Faculty/student ratios
- Enrollment trends
- Percentage of students who graduate within five to six years
- Diversity of student body

All learning outcomes data are contained in the program reviews along with the analysis from the program coordinators/directors regarding program strengths, weaknesses, opportunities, and threats. Program Coordinators/Directors present summaries of their findings on an annual basis in oral presentations to the Academic Leadership Team (ALT) and a representative from IEPR who make further assessments and recommendations that connect data and outcomes to curriculum changes/improvements, budgeting processes, and strategic planning goals. Information from each program's oral presentation is summarized by ALT and IEPR members who attend the oral presentation.

### **Course Assessments**

Student learning outcomes are embedded within the program review process. Each full-time faculty member selects one course per semester in which to complete a Course Assessment. For the course selected, the faculty member identifies three competencies. In the past, this included three general education competencies for general education classes and one general education competencies and two program-specific competencies for technical programs. Beginning in Fall 2012, only general education classes will assess general education competencies; technical

programs will assess one program competency and two course-specific competencies. A student learning outcome is identified that relates to the competency. An assessment criterion is identified by which the outcome will be measured throughout the course.

At the end of the course, faculty members conduct a course analysis wherein they report the results of the outcome, problems that may have been encountered, and any actions taken. Ultimately, faculty members make recommendations for further action that identify any improvements for future course delivery. Information and results from the completed course assessment forms are incorporated in the appropriate Program Review document each year. The IEPR Assessment and Continuous Enhancement Coordinator facilitates and tracks the status of the course assessment process.

## **COMMITTEES AND TASK TEAMS**

### **Committees**

Institutional effectiveness also is assessed through the HCTC committee structure. Identified committees with targeted charges are contained within four categories: admissions committees; institutional committees; standing committees; and strategic planning and evaluation teams. Faculty, staff, and students serve in various configurations, depending upon the mandate, charge, and membership of the committee. Each committee reports to either the President, Provost/Vice President of Academic Services, Vice President of Student Services, Senior Leadership, Academic Leadership Team, or Faculty Council.

Generally, employees serve on committees for a term of two years. Meeting minutes are recorded and sent to the appropriate reporting entity for information and action on any recommendations. An Annual Institutional Effectiveness Report also is prepared and sent to the reporting entity. Minutes and the Annual Institutional Effectiveness Report are posted on The Point.

Of special note is the Assessment and Outcomes Committee. This committee assists with the assessment processes, reviews processes and use of results, and makes recommendations as necessary. Membership includes representation from all college units and members act as a liaison between their unit and the Assessment and Outcomes Committee.

### **Task Teams**

Task teams may be formed by any committee, team, council, or member of Senior Leadership or by resolution of the Faculty or Staff for the purposes designated by the forming entity. The forming entity will appoint the members, name a chair, and notify Institutional Research of the task team formation. Task teams should keep minutes of their meetings. Approved minutes should be forwarded to Institutional Research to be posted in the appropriate folder on The Point. The last set of minutes must include wording to the effect that the task team has finalized its work and is disbanding. Task teams make regular reports to their forming entity.

## **SURVEYS**

Institutional Research conducts numerous surveys each semester, ranging from the Community College Survey of Student Engagement (CCSSE) to unit/sub-unit satisfaction surveys. Survey owners review results and feedback and make adjustments and improvements as warranted.

Additionally, for student satisfaction surveys, unit/sub-unit leaders review the feedback and provide a list each semester of improvements made based upon the feedback. The Assessment and Continuous Enhancement Coordinator designs and develops selected Survey Feedback Posters from this list. These improvements are communicated to students, faculty, and staff through poster dissemination at various campuses and through various media.

## **BUDGETING PROCESS RELATED TO STRATEGIC PLANNING**

The budgeting process at HCTC is integrated into the strategic planning process. The budgeting process begins in November as units/sub-units submit budget requests for the upcoming academic year to their supervisors. These budget requests must be justified and tied directly to strategic plans and goals.

The unit supervisors forward the requests to the appropriate Senior Leader with responsibility for that area. The Senior Leaders combine the units requests, with appropriate justification and strategic goal indicated, and send the combined request to the Business Office. The Business Office then consolidates all area requests into recurring budget needs and non-recurring budget needs for review by the Leadership Team. The Leadership Team reviews and recommends budget priorities to the President and Senior Leadership, who then prepare a final list of prioritized budget needs. The President approves and recommends the annual budget and capital budget to HCTC Board of Directors. After HCTC Board of Directors' approval, the budget is submitted to the KCTCS Board of Regents for approval. This process is summarized in Figure 2 below.

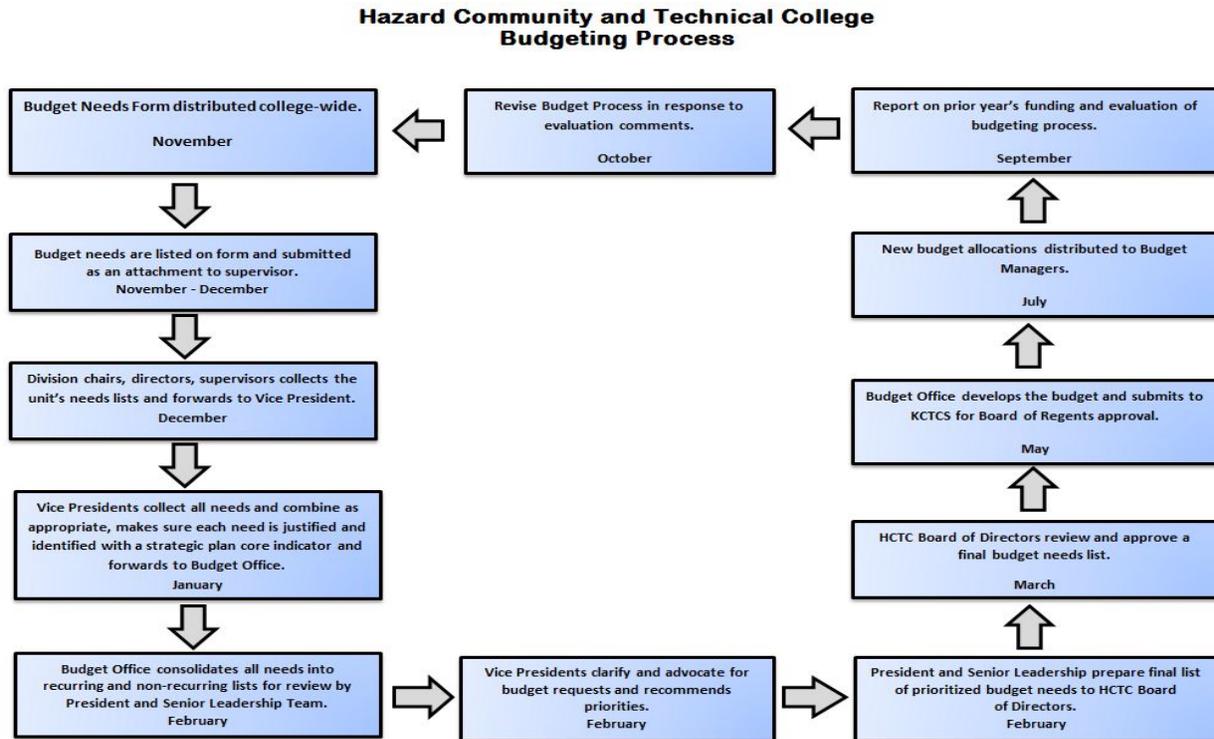
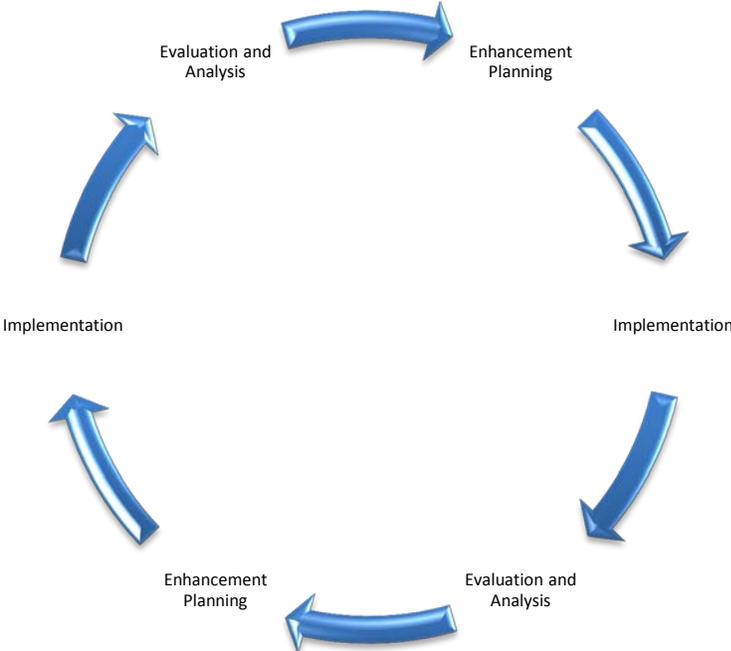


Figure 2 – HCTC Budgeting Process

## CONCLUSION

As stated at the beginning of this document, strategic planning and institutional effectiveness at HCTC is a comprehensive continuous enhancement process that involves broad and diverse groups within the College community. It begins at the individual level, with the development of goals and outcomes at the PPE stage. Units, sub-units, academic programs, individual faculty, committees, and task teams all play an important role in the process. Leadership at all levels continuously reviews and assesses the results obtained and adjustments are made as warranted, dependent upon available resources. Budgeting processes are integrated into the strategic planning process, with budget requests tied to strategic plans and goals. The end of one cycle of strategic planning and evaluation feeds into and informs the next cycle in a continuous loop of planning, implementation, evaluation, and enhancement.



*Figure 3 – Institutional Effectiveness Cycle at HCTC*