Annual Unit Plan (AUP) Process
Frequently Asked Questions

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Annual Unit Plan (AUP) Process
Frequently Asked Questions

General Questions

What is the purpose of the Annual Unit Plan (AUP) process?
The Annual Unit Plan (AUP) process is designed to help all units/departments at Grossmont College:

- make better decisions based on data and documented needs
- link resources to program goals and activities
- create institutional memory and evidence of continuous improvement.

Annual Unit Plans will help to streamline the annual resource request and prioritization process, while also helping each department create a record of how its work supports and affirms the College vision, mission, and strategic priorities in support of educational equity and student success.

How is this different than/related to Program Review?
The AUP process has been designed to be a bridge between Program Review and the College’s annual resource prioritization and allocation process. The AUP not intended to duplicate Program Review, although the specific questions on the AUP form are similar to those found in the Comprehensive Program Review templates.

The AUP form provides a structure for each unit to check-in on the goals, challenges, needs, and recommendations outlined in comprehensive program review, provide a brief status report, and document significant progress or changes. The AUP also allows units to document any issues or needs that emerge between program reviews that could have an impact on planning or resource needs. By completing the AUP form each year, departments are effectively writing much of their program review as they move through the six-year cycle.

How will the information I’ve included in the AUP be used?
The information in the AUP can be used by the department to identify resource needs and as supporting rationale or documentation for any resource requests. Additionally, the AUP can be used to document any emerging issues or progress towards goals throughout the longer Comprehensive Program Review cycle.

The information in the AUP will also be used by prioritization committees and the College Council as they prioritize resource needs and requests each year. The AUP form will be included as part of individual resource request forms, in order provide context for the committees and College Council as they prioritize requests and make a recommendation to the President about how to proceed with allocating available resources to support the needs of the College.

Information in the AUPs will also be reviewed by the CPIE Office, in order to identify any trends that may be emerging across the institution. These trends could relate to resource needs, emerging issues, areas
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of progress, or promising practices that are leading to success. These high-level trends will be shared with the college in order to promote a shared understanding of progress and inform conversations about priorities for the coming planning cycles.

What happened to all the information I put into TracDat?
If your department has been using TracDat for planning purposes, all of your information is safe and secure. If you would like to incorporate any of that information into your AUP form for this cycle, please contact the CPIE Office ASAP so the CPIE team can facilitate that for you.

When the AUP form moves online for our future cycles, we will ensure that any information stored in TracDat is maintained. We do not know at this time if that online system will be TracDat or a different system – but either way, your past planning information will be preserved and available for your use.

Why aren’t we doing this in an online system like TracDat?
Moving to an online system is our ultimate goal. However, since both the AUP form and process are somewhat different than our prior process, TracDat will need to be reconfigured to match the new form. For this first cycle using the new form and process, we want to test the questions and the flow of the process without getting too focused on the technology interface we’re using. We anticipate that as departments work through the AUP form, we will identify ways that the form can be improved (e.g., questions can be clarified or reordered). Identifying these improvements before we begin configuring our online version will save time and ultimately will help us make the online interface more intuitive. This means your feedback is essential! As you complete the AUP form, please be sure to share your observations, questions, and/or suggestions so that we can make improvements for AUP v2.

Why are we essentially doing this “on paper?” Isn’t that a lot more work?
In the short term, yes – it certainly is more work for the CPIE team. However, we believe that this extra work up front will save time and frustration for everyone in the long term. We anticipate that as departments work through the AUP form, we will identify ways that the form can be improved (e.g., questions can be clarified or reordered). Identifying these improvements before we begin configuring our online version will save time and ultimately will help us make the online interface more intuitive. This means your feedback is essential! As you complete the AUP form, please be sure to share your observations, questions, and/or suggestions so that we can make improvements for AUP v2.

I have a question that isn’t listed on this FAQ. Where can I get more information?
Please contact the CPIE Office (x7462) with any additional questions – we will update this FAQ as needed. Thank you in advance for helping us keep this FAQ up-to-date and useful!
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General Questions about the AUP Form

Who created this form? Where did the questions come from?
The current AUP form was developed by a small workgroup from the Planning & Institutional Effectiveness Committee (PIEC) that included faculty and administrators from Academic Affairs, Student Services, and Administrative Services. As the form was developed, the contents (including the specific questions on the form) were discussed in Academic Senate, Classified Senate, Academic Program Review Committee, Academic Affairs Council, the Council of Chairs & Coordinators, Student Services Program Review Committee, Student Services Council, and Administrative Services Council – as well as in governance committees such as Staffing and Budget. After incorporating this collegewide feedback, PIEC members formally recommended to the College Council that the AUP form be adopted and implemented in October 2019. At the Oct. 23, 2019 College Council meeting, College Council discussed the form and made a formal recommendation to the college President that the CPIE Office be tasked with implementing the form and process.

Why are there multiple versions of the form?
The questions on the AUP form are intentionally broad, so that they can be essentially identical for all departments at the college. However, different departments might need to contextualize questions differently – for example, question 1.2 asks about “major programmatic changes.” In an instructional department, this might mean a new degree program. In an administrative area, this could be a new regulation or a new building. Therefore, each version of the form contains specific examples that will be relevant to its audience. This is intended to help those individuals filling out the form to contextualize their answers in a way that is meaningful for the purpose of their department.

Where can I send questions, suggestions, or other feedback about the form?
The CPIE Office is eager for your feedback and input! Please share your questions, suggestions, and other feedback with us using this form or by contacting Dr. Catherine Webb, Sr. Dean of CPIE.

Specific “How-To” Questions about the AUP Form

How long should my answers be?
Suggested word counts are provided for most answers in the template as rough guidelines. The AUP form is not intended to replace Program Review, and it is not intended to be burdensome – we encourage you to be as succinct as possible, and aim for a balance between brevity and meaningful context. This may look a little different from question to question, which is fine – but you are not expected to duplicate the depth of your program review. This is an annual check-in and status report.

What should I do if I don’t understand a question?
Please contact Dr. Catherine Webb, Sr. Dean of CPIE, with any questions about the AUP form. Catherine will be happy to chat with you!
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What should I do if I don’t think this question applies to my department?
Please contact Dr. Catherine Webb, Sr. Dean of CPIE, with any questions about the AUP form. Catherine will be happy to talk with you!

I just answered this question for Program Review. Do I have to answer it again?
If your department completed its program review in the last year, you are welcome to use that as a basis for your responses. However, keep in mind that the AUP is designed to summarize and synthesize the contents of your program review. Please be mindful of the suggested word counts for each question.

Where are the links to the resource request forms? Why am I being asked to “Contact CPIE”?
Because of the timing of the AUP development and implementation, several committees (e.g., Facilities, Faculty Prioritization) have already begun their prioritization processes, and the timing of these individual committee processes is not aligned – either with the AUP process or with each other. Other committees (e.g., Professional Development, Budget Committee) are in the process of developing or revising their processes and forms. When you are ready to complete a resource request, the CPIE team will be able to provide you with any updated forms or committee processes. This way, you do not have to wait for the committees to finish their work before you get started on your AUP.

Our goal is that all forms and processes will be aligned with the timing of the AUP for the next cycle (2020-21).

What do I do if a resource request form asks for the same information that’s in my AUP?
During this first cycle or two, it is possible that there will be a bit redundancy between the prompts on the AUP and the prompts in the resource request forms. If this happens, please answer the prompt on the resource request form by listing the specific spot in your AUP where you have already provided the information. (For example: “Please see AUP question 2.2” or “Answered in AUP section 3.”) Thank you for doing this – as it will help the committees identify places where their resource request forms can be further streamlined and improved to align with the AUP form.

I’ve finished my AUP. Now what?
If you have not already done so, please submit your AUP to your dean or manager for discussion and approval. Next, please email a copy of your AUP and all request forms (with a Cc: to your dean or manager) to Dr. Catherine Webb, at catherine.webb@gcccd.edu. The CPIE team will be in touch with you about next steps, and keep you informed as your requests are routed to committees and College Council for prioritization.

Please see the “Annual Unit Planning (AUP) – Information Flow” diagram attached to this FAQ for additional information about how the process is intended to work.

Process Diagrams and Other Supporting Documentation
To support the development of the AUP process, the CPIE Office and PIEC members created two diagrams and a set of “working principles.” Those supporting documents can be found on the pages that follow.
Unit completes AUP

Unit submits AUP to dean/manager for discussion & approval

Does the unit want to request resources?

YES

Unit completes request forms and attaches to AUP

NO

Units submit final AUP to CPIE, with Cc: to Dean/Mgr

CPIE routes resource requests & AUPs to prioritization committees, with Cc: to requesting unit

CPIE reviews all AUPs to identify any overarching or emerging trends relevant for college-wide planning

CPIE shares results of the AUP analysis at Annual Planning Forum & College Council

Committees receive requests (with AUPs) from CPIE

Committee members follow the committee's agreed-upon process to review & prioritize all requests

Committee co-chairs send results of prioritization process to College Council convener, with Cc: to CPIE

College Council considers results from all committees alongside broad themes from CPIE analysis

Based on discussion, College Council recommends resource allocation priorities to the President

CPIE facilitates communication of the results of the process back to requesting units
A note regarding this diagram:
The first draft of this diagram was created by a small workgroup from the Planning & Institutional Effectiveness Committee (PIEC) to represent the ideal timing of the Annual Unit Planning process and flow of information from units through the new governance and decision-making system. The diagram has been discussed with college constituencies, prioritization committees, and operational groups involved in planning and/or request prioritization. The original PIEC diagram has been adjusted to reflect the suggestions and insights from those groups, and it now reflects the collective work and learning of the college. As the AUP process is implemented, we will learn more about how it can be improved and we will update the diagram as a result. Please send questions, feedback, and suggestions to Catherine Webb in the CPIE Office.
Annual Unit Planning (AUP) Process & Timeline

Working Principles

To date, work on the AUP process has included iterative design meetings, input from key stakeholders (Academic Senate, Chairs & Coordinators, PIEC, etc.), and thorough review of models from other colleges. The following principles have emerged from that work, and can be used to guide the resolution of open questions and adjustments to the process prior to initial roll-out.

**Working Principles for the AUP Process**

1. Each year, the AUP process should result in a single, prioritized list of resource requests that align with and support institutional priorities.

2. The AUP process should begin with unit-level discussion and end with College Council recommending a prioritized list of resource requests to the President for use in decision-making.

3. Identification of need, prioritization of requests, and resource allocation decisions should be three distinct steps. In addition:
   a. Identification of needs (and ultimately, justification for requests) should be based on an analysis of data relevant to the mission/purpose of the unit (including student achievement data, SLO/SSO assessment results, progress toward stated goals, etc.).
   b. Prioritization of needs should not be based on cost or whether funds are available.
   c. Resource allocation discussions/decisions should include consideration of relevant categorical funding sources first, in order to lessen the burden on the Unrestricted General Fund.

4. Prioritization of needs and decisions about what resources to request through the AUP document should begin with unit-level discussion and involve conversations across divisions (via dialogue with the area dean/manager) prior to resource committee discussion.

5. Prioritization discussions should honor the charges of the resource committees and value the expertise and time of committee members, while also ensuring that the list of prioritized resource requests reflects a holistic view of institutional priorities and needs.

6. Process should allow the college to respond to emerging and/or emergency needs, particularly those related to staffing.