



Strategic Planning for Organizational Change (Higher grade-level offering)

Refugio I. Rochin, Ph.D.

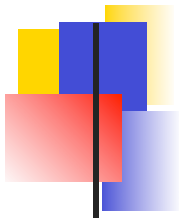
Rrochin@ucdavis.edu

September 20, 2011

10:45 am-12:00 pm

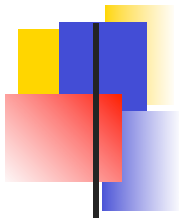
01:45 pm-03:00 pm

03:15 pm-04:30 pm



Quote of the day!

- Do not follow where the path may lead. Go instead where there is no path and leave a trail.
- Ralph Waldo Emerson



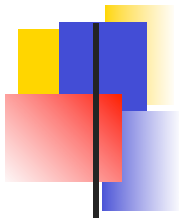
Our Aims in One Hour-plus

- To explain the essence of and reasons for strategic planning.
- To show when and how to formulate strategic planning.
- Show 'tools' to detect the strengths, weaknesses, opportunities, and challenges that drive your programs.
- To convey basic techniques for strategic planning; to enhance program management and operations;
- To develop ways for your organization to execute and/or translate strategy into action.



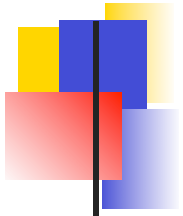
Let's Get Started

- Raise hand if you have done strategic planning.
- Raise hand if you are doing strategic planning.
- Who has seen a Strategic Plan?
- What started this process for federal employees?



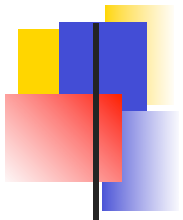
The Origins of Strategic Planning

- Strategic Planning's origins can be traced to the late 1950s when the U.S. Department of Defense began to look for better and more useful ways to plan for its long-term needs while at the same time achieving cost savings.
- Overtime, Federal departments adopted these forms:
 - Planning-Programming-Budgeting-System (PPBS).
 - Management by Objectives (MBO)
 - Program Evaluation & Research Techniques (PERT)
 - Other systems that we review next.



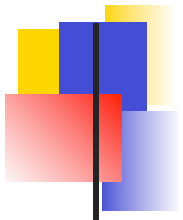
Why do it - the positives?

- Increasing demands for accountability have led many project managers and administrators to use strategic planning to demonstrate their program's value to stakeholders.
- Several studies and textbooks now demonstrate that Strategic Planning can be a force in effective management of staff, resources, program outcomes, and long-term viability for all concerned.
- Strategic planning, well-done, is smart practice!



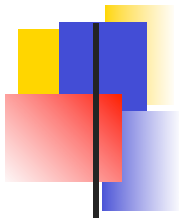
The Caveats

- In some instances, Strategic Planning is not advised. It may not be timely or effective. It may be developed too quickly, with poor data, and false intentions.
- Strategic Planning may be divisive, challenging of authority, and just plan inappropriate for everyone concerned.
- Strategic Planning does not ensure accountability, efficiency, careful management, office harmony or long-term program effectiveness.



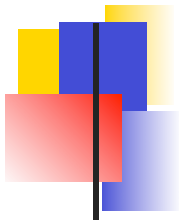
Contemporary Strategic Planning

- Today, Strategic Planning does the same as the PPBS but encompasses more staff, team interaction, data gathering, formative and summative assessments, flexibility and change. It aims to:
- Provide Strategic Direction
- Guide Priority Use of Resources
- Set Standards of Excellence
- Cope with Environmental Uncertainty and Change
- Provide Objective Basis for Control and Evaluation
- Address issues of “accountability”



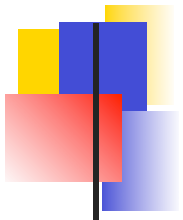
General Definitions “Strategic Planning”

- Strategic Planning is a coordinated and systematic process for developing a plan for the overall direction of your unit; for the purpose of optimizing your potential. (Olsen, 2007)
- Strategic planning is an organization's way of expressing its direction and allocating its resources with a strategy, including use of its capital and staff. (Wikipedia, Sep.08).



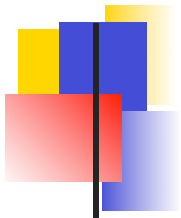
“Strategic Planning” - cool!!

- Strategic Planning is a shared vision of your organization's future and charting a course that you believe is wise. That course can be adjusted as you gain more information and experience.
- It is like molding a clay pot, the design gets clearer and better after you begin shaping your organization's future and determining what's possible.



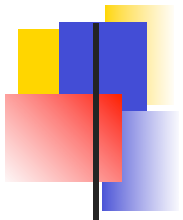
Strategic Planning - Choices

- Advanced Strategic Planning, taught in business schools through workshops & role playing techniques.
- Data-Driven Strategic Planning, developed for higher performing organizations with regular assessments, performance gauges and measured targets with due dates.
- Basic Strategic Planning - what we will cover in this workshop.



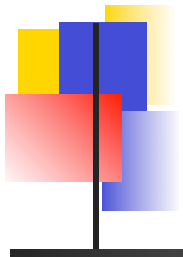
Part I - an overview of concepts & measures

- ▣ The Strategy Change Cycle by Bryson et.al.
- ▣ Balanced Scoreboard Planning
- ▣ Pyramid Frameworks
- ▣ Environmental Scans or Situational Analysis
- ▣ Strengths, Weaknesses, Opportunities, Threats = SWOT as well as "PEST" and "STEER."
- ▣ VMOSA (Values, Mission, Opportunities, Strategies & Action Plans)



Advanced Planning: Bryson

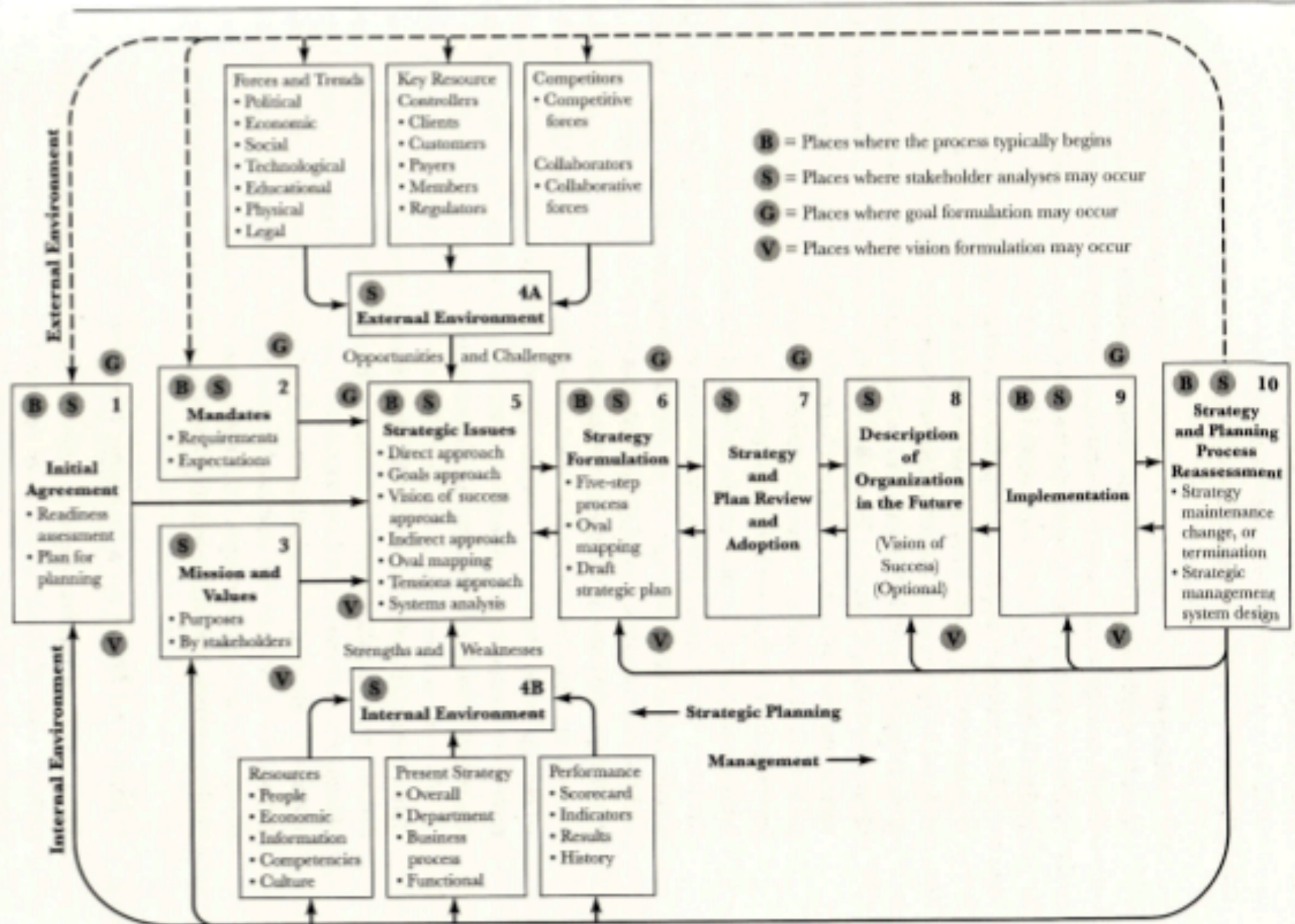
- “The Strategy Change Cycle” by Bryson argues that Strategic Planning is out of necessity politically sensitive, in which a leadership group manages the main activities in the process but leaves much of the content of individual strategies to others.
- His mix of political with budgets and plans is complex, reminding us that planning per se is naive at best.
- Bryson states that the ten steps “should lead to action, results and evaluation.”
- Note: John M. Bryson, Strategic Planning for Public and Nonprofit Organizations: A Guide to Strengthening and Sustaining Organizational Achievement, rev. ed. (San Francisco: Jossey-Bass, 1995).

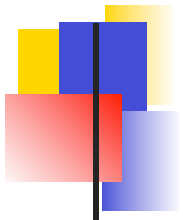


Bryson's ten steps

1. Initiate and agree upon a strategic planning process.
2. Identify organizational mandates.
3. Clarify organizational mission and values.
4. Assess the organization's external and internal environments to identify strengths, weaknesses, opportunities, and threats.
5. Identify the strategic issues facing the organization.
6. Formulate strategies to manage these issues.
7. Review and adopt the strategic plan or plans.
8. Establish an effective organizational vision.
9. Develop an effective implementation process.
10. Reassess strategies and the strategic planning process¹⁴

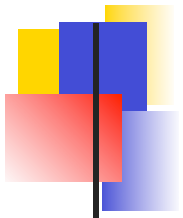
FIGURE 2.1. THE STRATEGY CHANGE CYCLE.





Data-Driven Planning

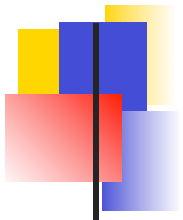
- A major part in strategic planning is the process of gathering data. It should be done prior to, during the creation of the strategic plan, continue on through the implementation, and in the monitoring process of the strategic plan.
- Data can be secondary or primary data and gathered through internal or external means.
- Good data allow you to understand your present situation, your present ability to meet your future mission and goals; identify trends and needs of the unit in which you operate, and become aware of changes in the social characteristics of the population you serve.



The Balanced Score Card - BSC

The balanced scorecard builds upon four perspectives, develops metrics, collects data, and analysis relative to each of these:

- (1) the Learning and Growth perspective that considers employee training and corporate cultural attitudes related to both individual and corporate self improvement;
- (2) the Business Process Perspective refers to internal business processes & practices - how work is done;
- (3) the Customer Perspective gauges customer satisfaction;
- (4) the Financial Perspective uses data to determine the financials needed for business and internal balance.



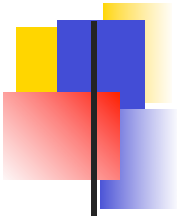
Example: DOE's Balanced Score-Card

- The Dept of Energy plans with a set of performance indicators distributed among four perspectives: (1) Financial, (2) Customer, (3) Internal Business Processes and, (4) Learning and Growth.
- DOE monitors both its current performance (finances, customer satisfaction, and business process results) and its efforts to improve processes, motivate and educate employees, and enhance information systems -- its ability to learn and improve.
- * http://management.energy.gov/about_us/726.htm

Balanced Scoreboard visual

By Robert Kaplan (Harvard Business School) and David Norton.



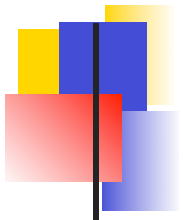


Roadmap Strategy visual

www.roadmapstrategy.com

- This visual focuses on four fundamental questions necessary to develop a strategic plan, providing a simple framework for developing and communicating your core mission and actions.





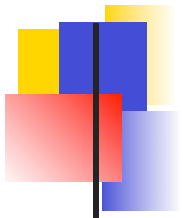
Related Concepts & Measures:

- SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats - to gauge unit),
- PEST analysis (Political, Economic, Social, and Technological analysis - to gauge environment),
- STEER analysis (Socio-cultural, Technological, Economic, Ecological, and Regulatory factors - for steering committee).
- VAMOSA (Values, Mission, Opportunities, Strategies, Actions)



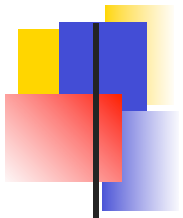
SWOT ANALYSIS





When to use SWOT?

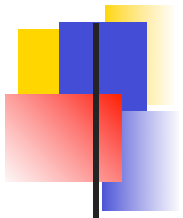
- ▢ You might use it to:
- ▢ Explore possibilities for new efforts or solutions to problems.
- ▢ Make decisions about the best path for your initiative. Identifying your opportunities for success in context of threats to success can clarify directions and choices.
- ▢ Determine where change is possible. If you are at a juncture or turning point, an inventory of your strengths and weaknesses can reveal priorities as well as possibilities.
- ▢ Adjust and refine plans mid-course. A new opportunity might open wider avenues, while a new threat could close a path that once existed.
- ▢ SWOT provides a way of highlighting program and an excellent way to organize information you've gathered from studies or surveys.



SWOT analysis - framework

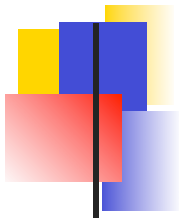
Strengths & Weaknesses

Internal (now and then)	<ul style="list-style-type: none">- Capabilities- Resources- Operations	<ul style="list-style-type: none">- Processes- Management- Other
External (now and then)	<ul style="list-style-type: none">- Operating considerations- Global experience- Competitors	<ul style="list-style-type: none">- Market - finance- Collaborators- Financial security



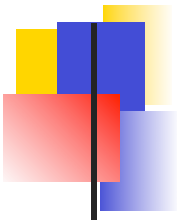
VMOSA ~ Vamonos

- One way to remember strategic planning is to use its acronym: "VMOSA." It refers to the following:
- **V**ision
- **M**ission
- **O**bjectives
- **S**trategies
- **A**ction
- VMOSA provides a reminder for moving from dreams to positive outcomes or actions.



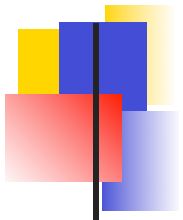
Part II: “Basic Strategic Planning”

- BSP is more common in federal agencies; typically adopted by organizations that are relatively small, cohesive, busy, and have not done much strategic planning before.
- BSP might be implemented in year one to get a sense of how planning is conducted, and then embellished in later years with more planning phases and activities to ensure well-rounded direction for the organization.
- Basic is a solid foundation for complex plans.



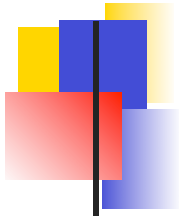
Five Key Questions for Strategic Planning

- 1. Where does the organization want to be (i.e., organizational ends, outcomes, purposes, goals, holistic vision)?
- 2. How will the organization know when it gets there (i.e., the customers' needs and wants as connected to a systematic feedback system)?
- 3. Where is the organization presently (i.e., today's issues and difficulties)?
- 4. How does the organization get there (i.e., close the gap from now and then [and vice-versa] in a complete and holistic way)?
- 5. What will change, in an ongoing sense, in the organization's environment?



Basic planning: Five key items!

- 1. Mission Statement with vision & values
- 2. Goals your organization must reach if it is to accomplish your mission.
- 3. Specific strategies that must be implemented to reach each goal.
- 4. Action plans for day-to-day implementation
- 5. Implementation - steps for administering the plan and effective management!



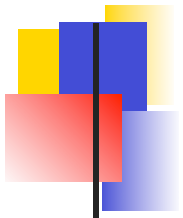
1. The Mission Statement

- Mission statement(s) should describe what you do, to whom you are accountable and your basic purpose.
- Should always guide day-to-day operations and serve as the foundation for decision-making.
- Simple or detailed, the statement should meet effective criteria: meaningful, realistic, clear-specific-precise, focused, based on core competencies, satisfactory to authority, timely, and memorable.



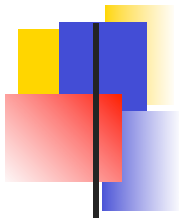
1b. Mission conforms to bigger Mission?

- Stating a “mission” is critically important.
- Before a unit can define its mission, it must know exactly what it is required to do (and not do) by upper-level authorities.
- Federal requirements are likely to be codified in laws, regulations, ordinances, articles of Congress.
- Review position descriptions to make sure your mission conforms to law and effective criteria.



1c. Mission and Vision

- The Vision describes a future identity and the Mission describes why it will be achieved.
- A vision statement is usually a compelling description of how the organization intends to look at some point in the future and how stakeholders would be pleased.
- Most organizations benefit by stating a vision for themselves in the future; i.e., 5 years down the road.
- Important to be brief and realistic.

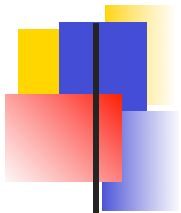


Id. Example of Mission & Vision*

- **A. Mission** - Provide responsive, professional finance and accounting services for the people who defend America.

- **B. Vision** - Best Value to Customer
 - World-class Provider of Finance and Accounting Services
 - One Organization, One Identity
 - Trusted, Innovative Financial Partner
 - Employer of Choice, Providing a Progressive and Professional Work Environment

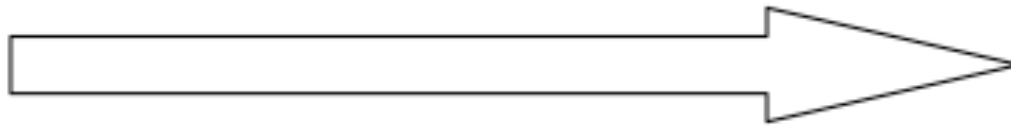
- *From: DFAS STRATEGIC PLAN, November 2001



Mission, Vision and Plan

Strategic Plan

Describes the path we will take to achieve the mission and the vision.



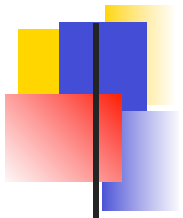
Vision

What we believe about ourselves that guides us in selecting the path we pursue.

- Driving out fear
- Participative leadership
- Use of information and data
- Continuous improvement
- Commitment to learning

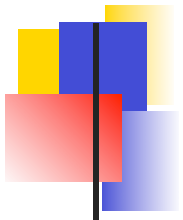
MISSION STATEMENT
(With Emphasis on
Quality)

VISION
(What we want to
become)



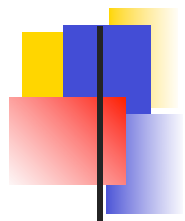
1e. Mission and Values

- Values are often meshed with mission.
- Values are guiding principles to clarify what you believe in and/or stand for. Take for example: protecting environment (**going green**); respecting human rights and diversity; valuing free speech and open expression.
- It is good practice to place mission and values side-by-side with well-labelled statements to highlight the purpose and spirit of your plan.



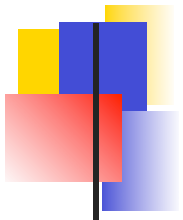
If. Mission and Mandates

- ▢ Providing public goods and service(s) are usually framed in the mission.
- ▢ Providing so many services and so many goods are usually specified by mandates.
- ▢ Before an entity can define its mission and mandates, it must know exactly what it is required to do by formal authorization (leading perhaps to explicit goals or performance indicators).
- ▢ Mandates must be clearly stated and attended to in strategic planning.



1g. "To do list" for Mission & Mandates

- Have someone compile a list of the formal and informal mandates that apply to your unit.
- Review the mandates in order to clarify what is required, what is forbidden, and what is allowed.
- Regularly remind staff of what the unit is required to do and forbidden to do, as a way of ensuring conformity with the mandates.
- Undertake regular review of the above.



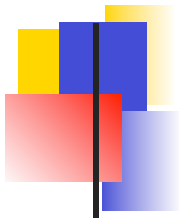
2. Goals (and Objectives)

- Goals are general statements about what you need to accomplish to meet your purpose, or mission, and address major issues facing the organization.
- Goals should be **Specific, Measurable, Acceptable, Realistic, Timely, Extending** the capabilities of those working to achieve the goals, and **Rewarding** to them, as well. (An acronym for these criteria is "SMARTER".)
- Objectives (or Targets) are more specific. Think of performance targets or specific aims.



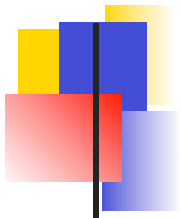
2b. About Goal Setting & Outcomes

- Ultimately you want to have measurable outcomes of your project's specific goals (and objectives) that can be achieved in a timely and cost-effective manner.
- Make sure you can summarize measurable outcomes in terms of your staff, in performance appraisals, and across projects.
- Ad Hoc projects may be factored into your planning process by setting them aside as a separate goal.



3. Strategies

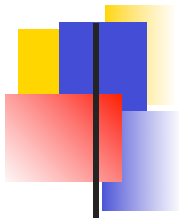
- Step 3 involves specifying strategies or options that can or should be implemented.
- Strategy means consciously choosing to be clear about your unit's direction in relation to what's happening in dynamic situations.
- Typically strategies are what change the most from year to year due to external and internal environments of the organization.



3a. Strategy is not*

*** According to Professor Michael Porter, Harvard University**

Best practices	Execution
Aspirations	A vision
Learning	Flexibility
Innovation	Downsizing
Restructuring	Outsourcing



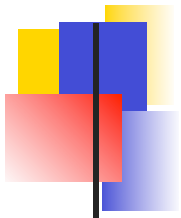
3b. Strategizing! - dynamic

- ▣ **Strategies are dynamic ways of facing needs, critical changes in staff or budgets and ways for strengthening programmatic and financial management.**
- ▣ **Strategies should be activities that fit together and reinforce each other, aiming towards your goals.**
- ▣ **Strategies should always match your organization's strengths in light of challenges.**
- ▣ **Strategies can shore up weaknesses.**
- ▣ **Strategies are your paths to change.**



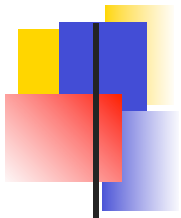
3c. What To Strategize?

- ▢ Focus on strategies that concentrate strengths and reinforce each other? Aim them at your goals!
- ▢ Consider ways for staff and budgets to reach each goal with various strategies.
- ▢ Tally the costs per goal and prioritize.*
- ▢ Consider qualitative strategies? Building knowledge and understanding among staff.
- ▢ Determine the expected impact in the short term?
- ▢ In the long term - anything after one year?



3d. Strategize the best fit for your unit

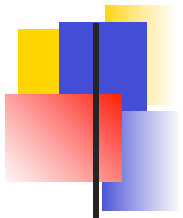




3e. Tie Strategy to Outcome(s):

- Strategy: Provide project management and consulting solutions to expedite NAS facility modernization.

Strategic Objective	Measure	Target/Objective
Increase project mgt and consulting capability (performance, schedule, cost)	Number of certified project managers & engineers	85% of project mgt and certified workforce certified by end of FY07



4. Action Plans

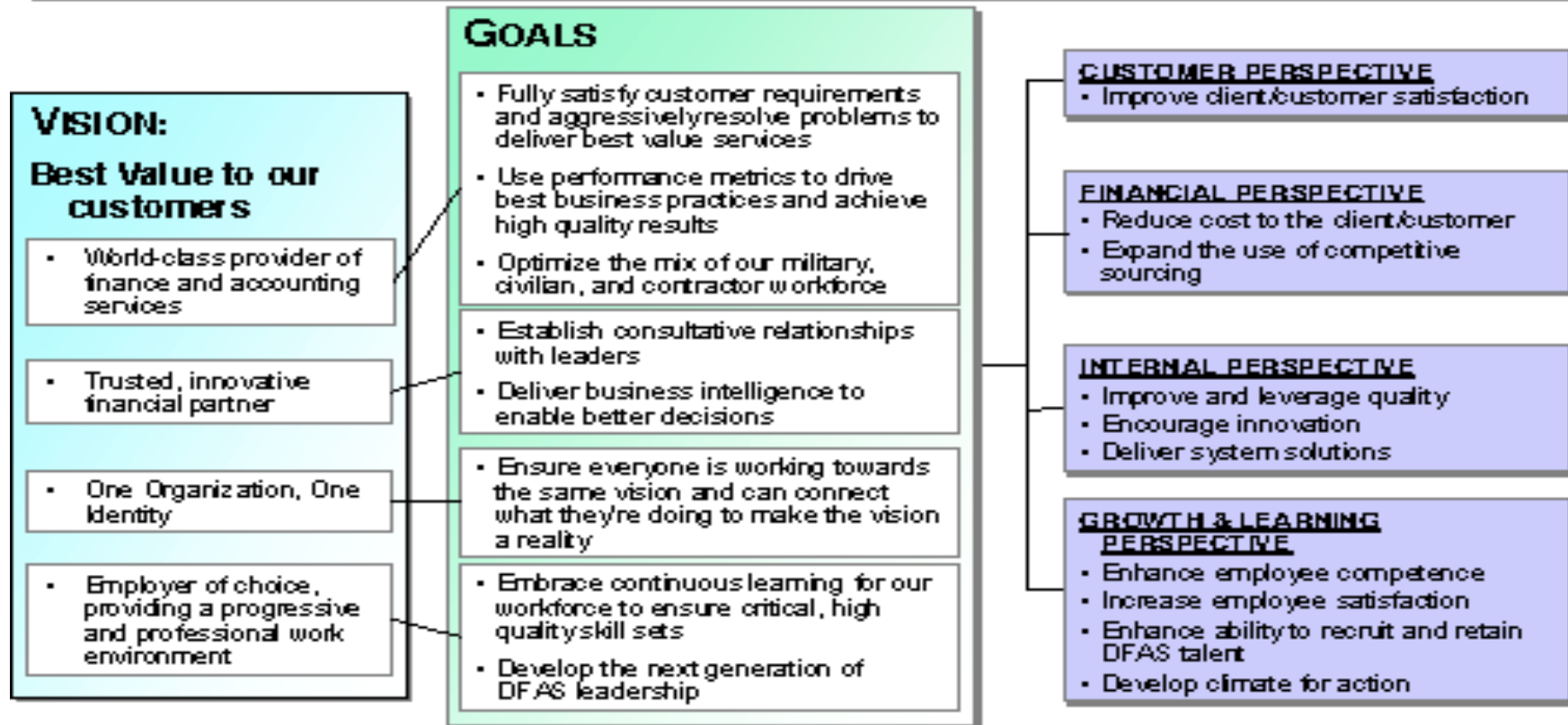
- Action plans are the specific activities that each major unit (e.g., department, etc.) must undertake to ensure it is effectively implementing each strategy.
- Action Plans need strategies that are clearly worded to the extent that staff can assess if the objectives & outcomes can be met or not.
- Ask: 'Are my action items comprehensive enough to achieve your goals?'

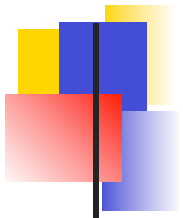


4b. Build onto 'Action Plans'

* Example: FAA Strategic Plan 2003-2008

Mission: Provide responsive, professional finance and accounting services for the people who defend America





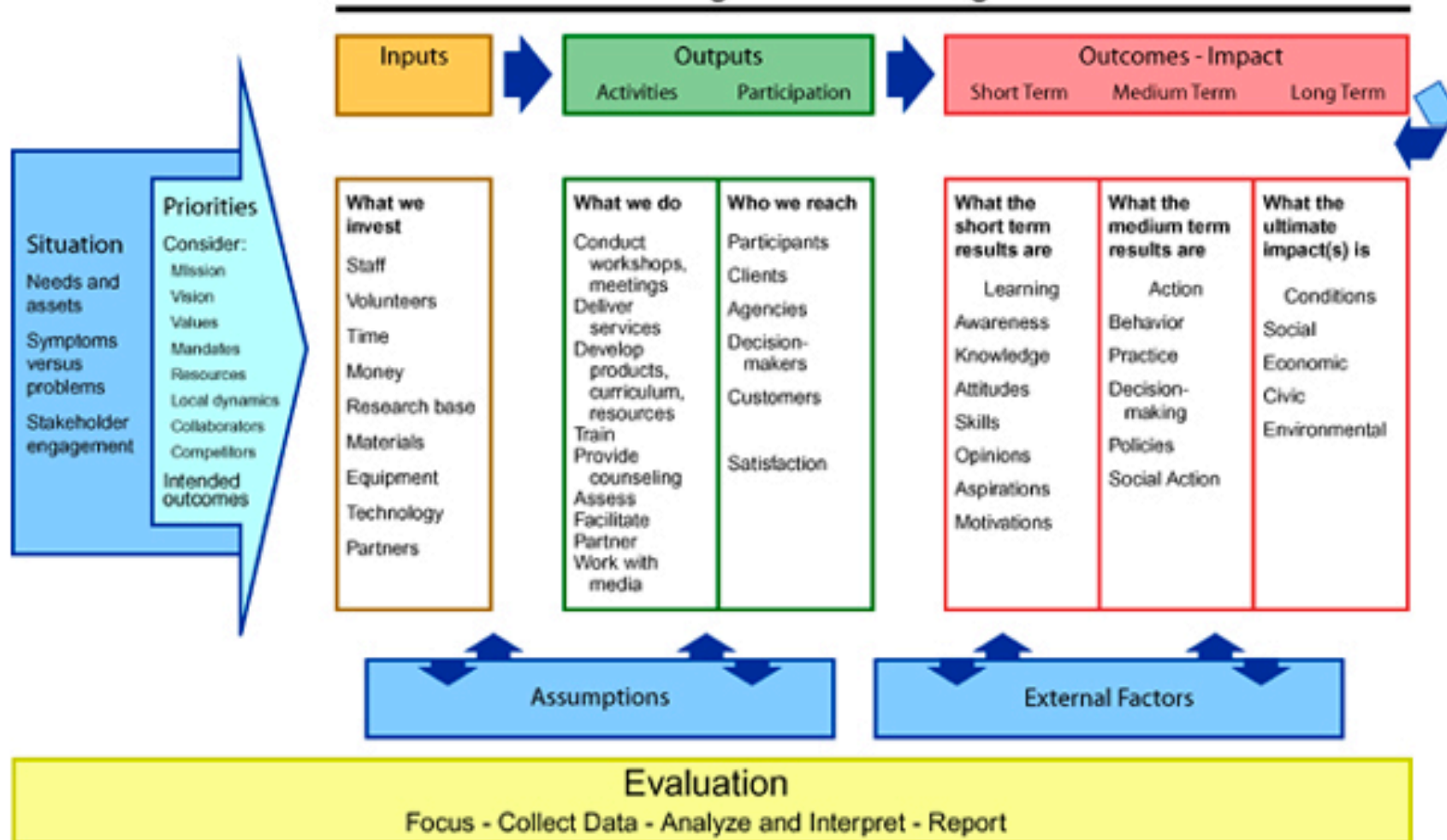
4c. Example of Action Plan: 'To Do List'.

Text from DFAS Plan, 2001*

- * Preparation of business plans is contingent upon having adequate cost and performance data to make projections and establish measurable goals and targets. At a minimum business plans will include:
 - Financial projections based on projected cost of operations, investments, and revenue
 - Resource utilization plan
 - Production plan indicating anticipated changes in existing workload, and any new work load the Division may be planning to assume or pursue with appropriate business case justification
 - Logistics Center annual goals
 - Results based performance measures and targets for each annual division goal

4d. Consider Logic Model for Action Plan

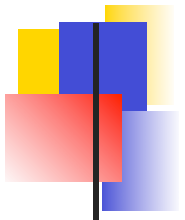
Program Action - Logic Model





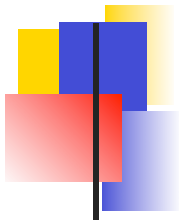
4f. Example of Action Plan for Team

EPC Goals & Objectives	R&E Proposed Activity/Processes	Expected Results	Team (T) Staff (name)
<p>I. <u>Building Partnerships</u>. R&E will build relationships focused on developing and implementing EPC programs.</p> <p>Impact Objective: R&E will improve the inter-institutional, interagency processes for the partnerships of: GEAR UP DEEP/TPP <u>AScILS</u> MESA COSMOS EAOP Cal SOAP/SAPEP <u>CaMSP</u> Smith Scholars</p>	<p>I.1. Develop & launch research & evaluation plans with EPC units & partners.</p> <p>I.2. Review current forms and policies for data sharing agreements and prepare letters for data collection and surveys to better meet our needs.</p> <p>I.3. Provide in-service training in evaluation and data management for everyone involved with EPC programs</p> <p>I.4. Set-up a central data management system and data bank to service program planning, formative evaluation and program APRs.</p> <p>I.5. Build relationships with the fiscal officers and data managers in EPC communities.</p>	<p>A. The Directors of R&E meet monthly with the Directors of GU, <u>et al</u>, to ensure that the evaluation of each (1) occurs regularly, (2) has appropriate procedures in place, (3) provides performance feedback to staff & partners.</p> <p>B. R&E provides on-going formative information to the Community Action Council (CAC).</p> <p>C. R&E will make sure that data sharing agreements are in-effect with GU partners.</p> <p>D. R&E works with GU staff to assure that Contact Logs are handled correctly and easily with excel spread sheets.</p> <p>E. R&E establishes file-maker pro server and system for GU data collection and management, assuring GU staff a consistent set of data for formative evaluation and planning.</p>	<p><u>Rochin Lustig</u></p> <p>Team</p> <p>Mello</p> <p>Mello</p> <p>Coon</p>



5. Implementation

- Implementation is the 5th ingredient of Strategic Planning. Essentially, who is responsible for what?
- Implementation includes a check-list:
 - Action Items in order?
 - Person or department responsible?
 - Start and end dates?
 - Expenses estimated, approved and applicable?
 - Progress reports set-up? Benchmarks and outcomes clear?
 - Everyone informed and on-board?
- **Implementation is the bottom line!**



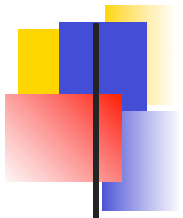
Part 3. THE DIRECTOR'S ROLE

- Strategic Planning should be much more than a plan. It should be an effective tool for management and decision-making.
- The Director is critical for adopting and sustaining strategic planning.
- Director should focus on the NEED.



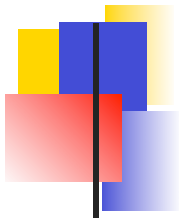
4e. Why a Logic Model

- To quote: "Through the Looking-Glass." *
- **Alice:** Which way should I go?
- **Cat:** That depends on where you are going.
- **Alice:** I don't know where I'm going!
- **Cat:** Then it doesn't matter which way you go!!
- * Lewis Carroll 1872



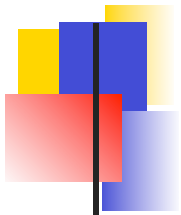
■ Five steps for Director(s).

- Step 1. Get organized & Lead Effort
- Step 2. Situation analysis
- Step 3. Direction setting
- Step 4. Accepts major responsibilities
- Step 5. Long run planning & action



Practical First Steps for Managers

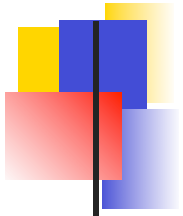
- Be sure all the participants understand the basics of strategic planning; share a draft agenda prior to the sessions, along with any relevant reading materials.
- Schedule at least two three-hour sessions (this is a minimum estimate) with plenty of notice to your participants. Secure a facility conducive for open thinking and comfort.
- Consider whether you need an independent facilitator, or whether this task can be shared among participants.
- Carefully consider who should participate. Be sure that key leadership in your department is included in the process.
- Finally, figure out a plan to evaluate your sessions. The most basic outcome is that your plan is completed, but consider ways to evaluate other features, such as communication.



Facilitators for Planning?

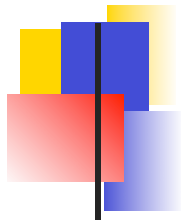
* Sunday comics October 4, 2008





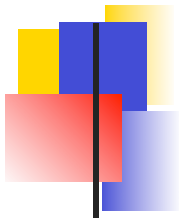
Step 1. Get organized

- High on the list for directors is getting organized, selecting the approach, identifying the steps to be taken, and designing the process.
- Getting organized includes:
 1. Understanding the basic ingredients of SP
 2. Forming a steering committee & selecting staff.
 3. Having a facilitator or expert advice
 4. Getting commitment of key people to proceed



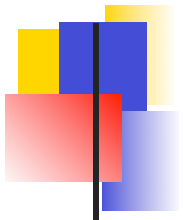
Step 1b. Get organized with a:

- Plan for planning
- Schedule for planning sessions
- Timely meetings with mandatory attendance
- Professional Facilitator
- Due date for having a plan
- Specific list of participants
- Rules for meetings and someone to record



Step 2. Situation Analysis

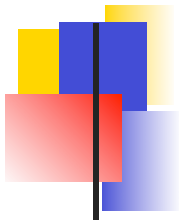
- Directors must know their status and situation.
- Pull together necessary background information that seems most relevant to your organization's situation. - budget, staffing, mandates.
- Review your units' past, present, and potential.
- Identify key issues or choices.
- Review this background information and identify critical issues for the future.



Step 2b. Situation Analysis

Discuss and Rank these items:

- ▣ What are our strengths and weaknesses?
- ▣ What parts of our operation are critical for the job?
- ▣ What are we capable of doing?
- ▣ What is needed and feasible in our unit?
- ▣ What opportunities do we have to proceed?
- ▣ What challenges do we need to face to reach our goals?



Step 3. Set Direction

- Directors must come to conclusions about what the organization must do by way of Strategic Planning.
- Directors play key role in goal selection and strategies.
- Directors enforce norms, settle disputes, and manage residual conflicts.
- Directors authorize and mobilize plans.



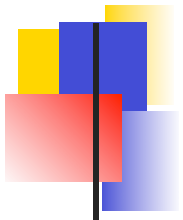
Step 3b. Set Direction: Three Approaches

- Discuss 'critical issues' in a logical order, with the most basic discussed first. List possible ways of addressing each.
- Discuss 'scenarios' by spelling-out alternative visions of your future. Then agree on the best scene.
- Discuss 'alignment' of your issues and scenarios with your mission, program, and resources. Identify what is working well and what needs adjusting.
- Revise your vision and goals accordingly.



Step 4. Director's Major Responsibilities:

- Mission. Prepare statement, identify your purpose and values, without seeking to resolve differences.
- Situations. Identify your needs, opportunities, and challenges. Summarize and prepare to discuss.
- Meetings. Identify & prioritize your strengths, weaknesses, needs for staff, budget, training, etc.
- Agreements. Get agreements on the above.
- Report progress and any changes.



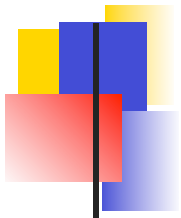
Step 4b Endorsing The Plan

- “The Plan” fulfills the planning effort.
- It follows Steps 1, 2, & 3, and should articulate the agreed upon mission, values, strategies, and aims.
- “The Plan” thus serves as a roadmap that describes how your unit executes the chosen strategy and where your unit is headed.
- The Director must ensure that the plan gets attention and focuses everyone in the same direction.



Step 4c Example from DFAS

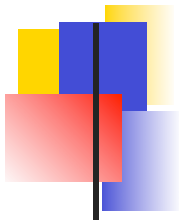
- ***I. Director's Statement***
- ***II. Introduction***
- ***III. Strategic Planning Approach***
- ***IV. Core Values***
- ***V. Situation Assessment***
 - ***A. Success Stories***
 - ***B. Challenges***
- ***VI. Mission, Vision and Goals***
 - ***A. Mission***
 - ***B. Vision***
 - ***C. Goals***
- ***VII. Strategy and Performance Measurement: Linkages***
 - ***A. Objectives Linked to Goals***
 - ***B. DFAS FY 2002 Corporate Balanced Scorecard***
- ***VIII. Implementation***



Step 4d. Example of Director's Statement

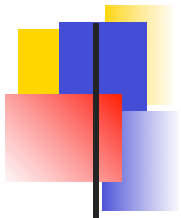
(Bloom, DFAS, 2001)

- DFAS is committed to becoming a world-class provider of finance and accounting services for its customers. To do so, we have further developed a strategy that will be supported by performance metrics to measure the impact of strategic goals. In the last several months, we developed a Balanced Scorecard that will allow everyone in the organization to understand the linkages of performance, help illuminate the importance of a strong strategy, and demonstrate the indicators of success across the business lines and throughout the organization. This current Strategic Plan takes our approach with the organization, through the DBE, to the next level by highlighting the principle strategic goals and priorities we will undertake in the coming years to realize our strategic goals.



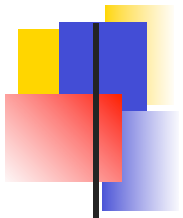
Step 5. Long run planning & action

- Some may say: “let’s get back to work, forget the plan.”
- The director should set the standard by which “The Plan” will be used.
- A well-developed plan can be used for direction, both programmatic and administrative, including budget determinations, staff assignments, resource allocations and clear priorities when funds are tight.



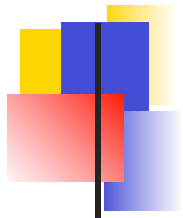
Step 5b. Establish Operational Plans

- The director is critical for implementation. This can be done through “operational plans.”
- Operational plans follow many different forms.
- The most basic operational plan is a form or work-order, linked to the Strategic Plan.
- A form shows project title, responsible person, objective, beginning and ending dates, action needed, and expected outcome.



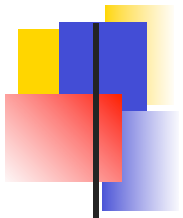
Everyone should recognize Questionable Strategic Planning

- Relying on bad information or no information. Worse yet, relying on untested assumptions or hunches, hearsay, and/or unsubstantiated opinion or beliefs.
- Ignoring what your planning process reveals. Good data collection may reveal results that suggest another direction or approach for limited resources.
- Being unrealistic about your ability to plan. Doing 80% right is enough to scuttle Strategic Planning altogether - Need 100% investments in time, energy, and support. Poor participation is a bad sign.



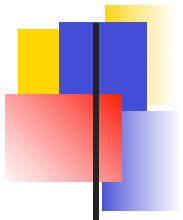
Strategic Planning is suspect when:

- Planning for planning sake. We should have implementation as soon as the process is well-defined and agreed upon.
- Copying or borrowing. Copying from another plan merely borrows others' problems and reduces a sense of ownership.
- Planning under chaos or changes at upper-levels. Strategic Planning does not work well with uncertainty regarding budgets, staffing and/or leadership.



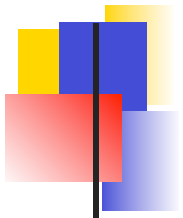
Conclusions: Strategic Planning can be vital

- Getting good ideas on the table from the start with careful research and planning.
- Making clearer decisions about how to proceed
- Enhancing teamwork, mutual support and cooperation.
- Empowering if it brings clarity and respect to everyone's role in your unit.
- If done well, Strategic Planning brings to bear lots of experiences and, more often than naught, new paths towards better directions.



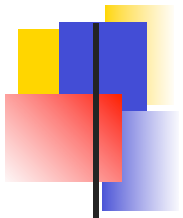
It would be ideal if managers: *

- Get everyone involved from the start
- Appoint a responsible staff to research & report
- Post the plan (on-line) and remind staff
- Delete the fluff - make it basic
- Incorporate strategic actions into performance plans
- Give progress reports at regular meetings.
- Listen, fine tune strategies, and award success.
- Lead by example.
- * (Abbreviated from Cohen, 2007, pp., 329-332.)



Addendum to Implementation

- Implementation works best when based on facts and not popular opinion.
- Data-based operations enable units to analyze what is working and what is not.
- Discuss how and when to adjust or change data gathering methods.
- Timely access to data and understanding of how to use it help evaluate progress.



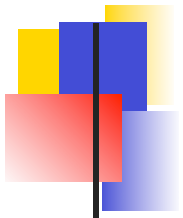
Time's Up - The End - Thank you

- Strategic planning is hopefully a process built into your span of decision-making.
- When participation is inclusive, dynamic and true, Strategic Planning can make a difference in performance for you.
- Sponsored by the U.S. Department of Justice.
- Address questions to: Rrochin@ucdavis.edu.



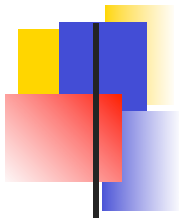
Ending Quote from Peter Drucker

- Strategy is certainly an important topic.
- It is surprising to me, though, how many people think it is easy. It is not. It requires a great deal of energy and discipline.
- I am sometimes both surprised and perturbed by managers who think that simply being infused with natural abilities will carry them through.
- It is up to every individual to develop his abilities in order to achieve his goals, but more importantly, to make a contribution.



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