



Excellence in Strategic Planning

**Master Template for
Category 1 Government Entities**

Revised, May 2005



Transparency & Accountability Office
Government of Newfoundland and Labrador

Agenda

Strategic Planning Workshop

(Insert Dates)

Goals of the Workshop:

- Ensure each participant understands the components of the strategic planning process
- Ensure each participant is provided with the tools to facilitate the process
- Ensure each participant has the opportunity to clarify the organization's lines of business and mandate
- Ensure each participant understands their client base
- Provide participants with the information needed to support the identification of strategic issues
- Provide the opportunity to write goals for a specified time frame.

Strategic Planning Worksheets

- 1) Strategic Directions
- 2) The Strategic Planning Process
- 3) Overview
- 4) Lines of Business
- 5) Mandate
- 6) Values
- 7) Primary Clients and Related Expectations
- 8) Vision
- 9) Mission
- 10) Environmental Scan
- 11) Consolidation and Summary of Environmental Scan
- 12) Strategic or Operational
- 13) Focusing Issues
- 14) Determining Priority Issues
- 15) Goals, Objectives, Action Planning, and Reporting

1a. STRATEGIC DIRECTIONS: For departmental use
 (to be included in the department’s strategic plan)

Strategic Directions: The articulation of a desired physical, social, or economic outcome that would normally require action by, or involvement of, more than one government entity.

Strategic Direction	Focus Areas of the Strategic Direction	This Direction is:			
		to be addressed by entities reporting to the department	addressed in the department’s strategic plan	addressed in the department’s operational plan	addressed in the work plan of a branch/division within the department

1b. STRATEGIC DIRECTIONS: For government entity use (to be included in the government entity’s strategic plan)

Government’s Strategic Direction (as communicated by the responsible department)	Focus Areas of the Strategic Direction	This Direction is/was				
		Not being implemented at this time (rationale included in the plan)	Addressed only in specific sub-areas (rationale included in the plan)	Addressed in the:		
				strategic plan	operational plan	branch/divisional work-plans

2. The Strategic Planning Process

Direction: Please note who was involved in each phase of the last strategic planning cycle, what they did and why things were done in that way.

Step	Who (position)	What	Why
1. Planning the process			
2. Environmental Scan	Internal:		
	External:		
	Summary:		
3. Vision			
4. Mission			
5. Values			
6. Lines of Business			
7. Goals			
8. Operational plan			
9. Performance measurement			
10. Drafting Strategic plan			
11. Reviewing/ approving strategic plan			
12. Implementing, monitoring and reporting			

3. Overview

Overview: Includes the entity's key statistics (such as the number of employees, physical location including regional representation), a brief, general description of revenues and expenditures, and a brief description of responsibility areas.

4. Lines of Business

1. Are we all clear about the business we are in? List:

2. Are we in this business because it fits with Government's strategic direction or because we have always done this line of business?

3. Does what you do overlap with other organizations? If so, name the key organizations and state how you liaison with these organizations to ensure efficiency and effectiveness.

4. Are there lines of business you would like to change or refine? If so, how will the organization address these issues in the future?

5. Are there lines of business you should be in? List.

5. Mandate

1. If there is a mandate for the line(s) of business you have been assigned, please identify exactly where the mandate is stated.

2. If there is no mandate for the line(s) of business you have been assigned, what is the rationale for still doing this line of business?

3. For the line(s) of business you have been assigned please complete the following table:

Line of Business	Is the mandate clear or are we designing it as we plan?		If it is clear does it set parameters on our business?		Does it directly influence our operations? If yes, describe how?
	Clear	Designing	Yes	No	

4. Describe aspects of the entity's mandate which need to be discussed and refined.

5. Are there other players who should be involved as we discuss and clarify our mandate?

6. Does our mandate enable us to meet the needs of our clients?

6. Values

Question	Response		Action If no, fill in these sections?
	Yes	No	
1. Have we articulated our values? If yes, proceed to the next question.			List Potential Values:
2. Can we describe how those values are manifested in our actions? If yes, proceed to the next question. If no, complete the Action column but do not complete the remainder of the questions below.			Describe one action for each value:
3. Could our employees list the values without having to reference our Plan?			What should we do next?
4. Have we articulated how the values are influencing the directions taken in the organizations?			How should they influence our directions?
5. Have we completed an environmental scan to determine if our values are observable and support the achievement of our vision?			If no, what needs to be done next?

8. Vision

A vision is a short statement describing the ideal state an organization is striving to achieve in the long term for its clients. It is a statement of destination which is written within the context of the province, the relevant department, and the entity's regional/provincial context.

The vision statement provides guidance by articulating what the entity wishes to attain. It serves as a signpost, a goal-oriented mental construct that guides people's behaviour, establishing standards of excellence. It transcends the status quo bridging the present and the future.

Please review the vision statement using the table below and decide if the statement you are reading meets the suggested criteria. When finished, count the number of "Yes" statements and rate the vision statement keeping in mind that 6=excellent; 5=good, 4/3=fair, and 2/1=poor.

When you finish writing each vision statement check to see if it	Yes	No
1. Expresses the outcome which will be achieved if the mandate is fulfilled.		
2. Expresses a clear sense of identity.		
3. Is brief and memorable.		
4. Transcends the status quo.		
5. Enables governance and operational level individuals to design tasks to support its fulfilment.		
6. Is an outcome toward which the entity can make a major contribution		
	Totals:	

My rating _____ **Group rating** _____

Comments:

9. Mission Statement (inputs ° programs/services ° outputs ° results ° mission)

A mission statement is an outcome oriented statement which systematically diagrams the vision by answering the questions who, what, and why. It must be realistic and achievable in approximately two cycles of strategic planning and should indicate how it will be measured. It should tell the ultimate outcome desired in the near future. It should be brief and memorable, and support the direction required by the organization to which it reports. It is not a descriptor of the programs and services or what the organization is about and it does not answer how it will be achieved.

Please read each statement in the table below check whether the mission statement meets the criteria outlined in the table. When you are finished count the number of “Yes” statements and rate the mission statement keeping in mind that 6=excellent, 5=good, 4/3=fair, and 2/1=poor.

The Mission Statement:	Yes	No
1. Can be accomplished by this organization within the next 6 to 10 years		
2. Clearly identifies the intended primary stakeholder(s) (Who?)		
3. Clearly outlines the desired outcome (What?)		
4. Clearly describes the general benefit of our programs and services (Why?)		
5. Is brief and measurable		
6. Can be measured		

My rating Mission _____ **Group rating** _____

Comments:

Measure(s)

Indicators for each measure

10. Environmental Scan (3 sheets in total) 1 of 3

If the tasks listed below have not been completed answer each set by asking “which of the following could I contribute to support our environmental scan?”

A. We completed/reviewed (I could contribute the following to support our environmental scan):

- T analysis of past reports;
- T analysis of minutes and newsletters;
- T analysis of local, national and international standards;
- T consultations - individual, group and community;
- T direct observations;
- T evaluation reports;
- T focus groups;
- T interviews;
- T literature reviews;
- T questionnaires;
- T review of records;
- T statistical analysis;
- T suggestions from suggestion boxes;
- T surveys; and
- T work samples.

B. Our internal environmental analysis consisted of a review of the following:

- Internal Business Processes
- T vision, mission and mandate;
 - T effectiveness and efficiency of internal business processes;
 - T employee relations;
 - T reports regarding the performance of program and service components of the organization;
 - T internal harmony, including levels of cooperation within and between components of the organization;
 - T communications; and
 - T organizational structures.

Environmental Scan 2 of 3

Finances

- _____ T internal financial conditions;
- _____ T human resources and projected future requirements;
- _____ T demands for new operational or capital expenditures;
- _____ T status of financial statements;
- _____ T status of audited financial statements;
- _____ T projected surplus(es) or deficit(s); and
- _____ T sources of revenue.

Clients

- _____ T client/public needs as identified in submissions;
- _____ T results of surveys (local; provincial; national);
- _____ T client needs as identified by program area;
- _____ T standards which could influence client outcomes;
- _____ T policies which influence access and program delivery; and
- _____ T results of satisfaction surveys.

Learning and Growth

- _____ T status of technology;
- _____ T strengths and stressors as identified by staff;
- _____ T physical conditions;
- _____ T need for training in new technologies/ work methods;
- _____ T expectations and needs created by the introduction/revision of programs and services;
- _____ T overlaps in functions and recommendations to streamline work functions and the implications for training/retraining; and
- _____ T leadership, cultural change.

Environmental Scan 3 of 3

C. Our external environmental analysis consisted of a review of the following (I could support the external scan in each of the following areas):

- _____ orientation and ongoing staff development requirements as projected by the organization, provincial professional associations, stakeholder groups, or provincial standards setting exercises;
- _____ collaboration levels with other organizations;
- _____ current research/innovations/best practices which could change the way of doing business/offering programs and services;
- _____ demographics and projected changes;
- _____ energy needs and market projections (heat, light, etc);
- _____ gender analysis issues;
- _____ government expectations;
- _____ health and well-being statistics;
- _____ fiscal realities, including finances and inflation factors;
- _____ labor market shifts/forecasts;
- _____ employee relations trends;
- _____ life style factors;
- _____ local, provincial, and national comparisons;
- _____ needs as articulated by other public bodies in the region;
- _____ needs as articulated by advocacy groups;
- _____ public expectations;
- _____ transportation needs;
- _____ discussions or meetings/correspondence the chairperson/CEO had with the minister/deputy of the relevant department;
- _____ government documents;
- _____ information posted on the web sites of provincial and federal government;
- _____ minutes of meetings senior staff have had with their government counterparts;
- _____ minutes of meetings the CEO attended with the executive of the relevant department;
- _____ position papers/reports/minutes of the provincial association; and
- _____ public education needs.

11. Consolidation of Environmental Scan

(This section is only completed if a previous environmental scan has been conducted)

In what report, by whom and when, was the following completed?:

_____	1. An analysis and summary of the information obtained was prepared by the staff to assist the entity in prioritizing needs, establishing key issues and determining goals for inclusion in the organization's strategic plan.
_____	2. The entity was given information which distinguished between operational and strategic issues;
_____	3. The entity was given information which could be used to evaluate each issue against a set of criteria such as the following:
_____	Balance- Meeting this need ensures maintenance of a balanced approach in our strategic plan.
_____	Baseline- The baseline and how far the organization is from its desired benchmark/outcome is known.
_____	Feasible- The organization has the resources to meet this need.
_____	Focus- This issue ensures the organization focuses on its vision, mission and mandate.
_____	Reaction- The entity will be affected negatively if the organization does not meet this need.
_____	Relevant- This issue is relevant to the mandate.
_____	Reliable- The issue is based on reliable data and supported by research, not opinion.
_____	Specific- This need is specific enough to provide direction as to how to meet it.
_____	Value Added- Addressing this need will add value to the achievements of the organization.
_____	Equity and equality- This need meets the principle of equality and equity.
_____	Control- The entity's input can contribute to the outcomes.

11. Summary of Environmental Scan

Question	Completed		Work to be Completed
	Yes	No	
1. Have we scanned the external and internal environment for current trends and arising issues that relate to (do external first): A. Client? B. Finances? C. Internal Business Processes? D. Learning and Growth?			Potentially strategic issues covering the 4 areas:
2. Have we identified the sources of information and checked the appropriateness of the source?			Sources:
3. Have we analyzed each issue/trend/opportunity to determine where it is in its life cycle: A. Are our clients aware that it exists? B. Are the indicators producing warning signals? C. Are comparisons with other jurisdictions positive or troubling? D. Is there a crisis or opportunity looming? E. Will the Organization/Government have to respond to this issue/trend/opportunity?			Where is each issue in its life cycle?
4. How will these issues/trends, etc. impact on the organizations A. mission and mandates? B. practices? C. expenditures? D. programs and services? E. human resources? F. structure?			Impacts:

12. Strategic or Operational

Issue:

	Operational	Strategic	
Is this issue viewed as being important by the executive?	No	Yes	
Does the CEO/Deputy Minister have this issue on his/her agenda?	No	Yes	
How long will it take the organization to deal with this issue?	Months	One year	2 or more years
How broad an impact will this issue have?	Single sector	Entire Organization	
How large is the financial risk/opportunity	Minor (<10% of budget)	Major (>25% of budget)	
Will strategies for resolution require:			
i. Development of new goals and programs	No	Yes	
ii. Significant changes in revenue	No	Yes	
iii. Amendments to provincial policies	No	Yes	
iv. Major facility additions or modifications	No	Yes	
v. Significant increase in personnel complement	No	Yes	
How apparent is the best approach for resolution?	Clear	Few details shown	Wide open
The lowest level of management who could decide how to deal with the issue	Division head/Director	Section/Branch Manager/ADM	
Possible consequences of non-action	Very little	Significant disruption	Major long-term consequences
How many other groups are affected and must be involved in resolution	None	1-3	4 or more
How sensitive is the issue related to our clients, &/or political, social, religious, or cultural values	Benign	Touchy	Explosive
Adapted from Section 3: Performance Measurement, <i>Strategic Planning</i> , State of Virginia, p. W-30			

Issue is: 9Primarily **Operational**

9Primarily **Strategic**

13. Focussing Issues 1 of 2

Issue:

Why is this an issue for the organization?

This issue affects the organization's	Yes	No	Potential Consequences if this Issue is NOT addressed?
External clients			
Internal clients			
Mission			
Mandates			
Lines of business			
Identified strengths			
Identified weaknesses			
Previously perceived opportunities/threats			

Can this organization influence this issue? If the answer is no please move to the next issue. If yes, please proceed.

This issue causes us to ask these questions:

We feel the critical question, at this time, is the following:

Focussing Issues 2 of 2

Please list the actions the organization would have to undertake to answer this critical question.

What are the challenges we must face if we are going to address this issue from each of the following perspectives?

Client:

Fiscal:

Internal business processes:

Learning and growth:

14. Determining Priority Issues

List issues or write the number of the issue and one word to represent the issue then answer the questions which follow:

Issues

- 1.
- 2.
- 3.
- 4.
- 5.
- 6.
- 7.
- 8.
- 9.
- 10.

Place a / across from the statement which best describes the ability of the organization to address each issue

We:	Issues									
	1	2	3	4	5	6	7	8	9	10
A. can independently address this issue										
B. need to partner with other agencies to address this issue										
C. would like to address this issue but it is clearly in someone else's mandate										
D. would like to address this issue but cannot influence the outcomes										
E. should address this issue but, at this time, have neither the resources nor expertise										
F. see this issue as high priority but other influential parties do not agree										

15a. Goal

1. Issue: _____

2. Goal: _____

3. This goal could support the following area in the strategic plan:

- A. Client _____
- B. Learning and Growth _____
- C. Internal Business Processes _____
- D. Finances _____

4. Is this goal achievable:

- A. in 3 years Yes _____ No _____
- B. within current fiscal realities Yes _____ No _____
- C. given the current resource allocations Yes _____ No _____
- D. using current internal business process Yes _____ No _____

5. Potential beneficiaries of this goal:

6. Voices/interests potentially marginalised by this goal:

7. Measure(s) and indicators we believe would tell us when this goal is met:

15d. Reporting: (one sheet would be completed for each measure)

Goal 1 _____

Objective _____

Measure _____

Factors to consider	Reporting requirements
List indicators: 1. 2. 3. 4. 5. 6.	Who is going to collect the information for each indicator: 1. 2. 3. 4. 5. 6.
Who is going to compile the report regarding each measure?	
Who will present the report?	
Who will receive the report?	
Exactly what is required in the report?	
How should the information be reported?	
What are the format expectations?	
What is the maximum length of an indicator report?	
What is the maximum length of a measure report?	
When should reports be presented?	
Should data be aggregate or disaggregate?	
When should data be collected?	
What is the acceptable margin of error?	
Who must be notified if data cannot be collected?	

Terminology

Under no circumstances shall the terminology used conflict with the *Transparency and Accountability Act*. The terminology provided below supersedes any previous issuances. Some of the terms are accompanied by examples and/or explanations. In other cases subsets of the terms are provided and are indicated by the numbering system. These terms support the information contained in this document and all other documents of the Transparency & Accountability Office.

Accountability

Accountability is the ownership of conferred responsibilities, combined with an obligation to report to a higher authority on the discharge of those responsibilities and the results obtained.

Accountability Framework

An accountability framework encompasses a broad range of related components of a transparent and accountable structure which include performance-based planning, monitoring, performance-based reporting, and feedback. It would be supported by the issuance of guidelines and policies which consider the legislative and strategic directions of government.

Activities

Activities are the actions that are completed to fulfill an obligation outlined in an assigned mandate.

Benchmarks

Benchmarks are the standards against which performance will be measured. Those benchmarks, which are points of reference, can be determined by the entity or the Province. They can be based on: the ideal set by the entity; the best in the field for the programs and services of a particular type. Benchmarks established should support the direction established by the provincial government.

Consumption

Consumption is the process of using inputs.

Goal

A goal is a specific statement of the desired results to be achieved over a specified period of time.

Impact

An impact is an intended or unintended consequence of policies, programs, services or products, which is either positive or negative.

Indicator

An indicator is a particular value or characteristic used to measure activities, outputs or outcomes. It is important that indicators are comparable. Comparable indicators are a specific set of common quantitative or qualitative data for the aspect of performance under consideration. There are two types of indicators:

1) *Indicator of Well-being*

An indicator of well-being is quantitative data that indicates changes in physical, social or economic states. It is multidimensional (i.e. expressed as a ratio or percentage). Indicators should be a fair reflection of the things the entity can reasonably control and of those things which have a logical connection to the information which the entity desires to report. Indicators of well-being should meet the criteria specified in this document.

2) *Indicator of Process*

An indicator of process is qualitative or quantitative data that is used to indicate progress toward a desired objective, goal and/or mission. The indicator can be uni-dimensional (i.e. expressed as a data point that is a number or categorical value). Examples of process indicators include: taught XX number of students in 200?; the committee met 5 times and has a policy document drafted; outcomes have been established for 10 of 20 program areas.

Information

Information can be of two types: baseline data or governance information:

1) *Baseline Data*

Baseline data are quantitative information collected preferably before a program/service/ activity commences, for the purposes of making future comparisons.

2) *Governance Information*

Governance information is qualitative information collected by a minister or a entity before a process or activity commences that provides evidence which will be used to make future comparisons.

Inputs

Inputs are the resources used to carry out actions.

Lines of Business

Lines of business are discrete and coherent sets of programs, services and/or products that represent what the entity delivers to its external clients.

Measures

Measures provide specific information used when indicators are combined to assess the extent of accomplishment of results (activities/outputs/outcomes). Various types of measures are listed below:

- 1) *Effectiveness Measures*
Effectiveness measures are the different ratios which tell if a planned result was accomplished.
Example: cost per client.
- 2) *Input Measures*
Input measures are used to quantify the amount of resources used to complete the activity and produce the outputs.
Example: human resources utilized to complete an activity or produce the outputs.
- 3) *Outcome Measures*
Outcome measures are used to provide qualitative and quantitative information indicating the degree to which an entity can be credited for the achievement of its planned objectives. There can be measures of well-being or process outcomes.
Example of well-being: reduction in the number of citizens dependent upon income support compared with the total population.
Example of process: number of cases settled compared with the number heard.
- 4) *Output Measures*
Output measures are used to tell the amount produced as a result of the inputs used in a program or service.
Example: number of applications processed compared with the inputs.
- 5) *Process Measures*
There are three types of process measures designed to monitor the organization's activities: efficiency measures, activity based and unit cost measures:
 - a) *Activity-based measures*
Activity-based measures are used to quantify how busy an organization is and enable the organization to determine the use for a specific program or service.
Example: phone calls handled per employee.

b) *Efficiency measures*

Efficiency measures are ratios of outputs to inputs. They tell how well the organization used its resources to produce the programs and services.

Example: number of individuals ticketed per police officer.

c) *Unit costs*

Unit costs are the ratios of outputs to input expenditures.

Example: number of cases handled compared with fiscal investment.

6) *Proxy Measures*

Proxy measures are used when direct measurement of a specific outcome is not possible. They are a surrogate or substitute data used when costs, complexity or timeliness prevent a result from being measured directly.

There are cases where departments of the provincial government and Category 1 entities will have to use proxy measures.

Example: obesity rates are not available for a certain geographical area of the province therefore body mass index is used.

Mission

A mission statement is an outcome oriented statement which systematically diagrams the vision by answering the questions who, what and why. It is essential that it is realistic and achievable in 6 to 8 years (approximately 2 cycles of planning), tell the ultimate result of your work, answers who will do what and why they are striving to achieve this end, and is memorable.

Objective

An objective is a measurable statement or incremental milestone which specifies a change or benefit that the entity hopes to achieve as it strives to achieve a specific goal. Success in meeting the objectives can be readily evaluated using qualitative and quantitative measures.

Outcome

An outcome is a change as a consequence of specific policies, programs and initiatives undertaken by entities. There are three types of outcomes: immediate, intermediate and ultimate. An immediate outcome could be a change in attitudes. An intermediate outcome could be a change in behavior. The ultimate outcome would be a lower or higher incidence of a specific result (e.g. lower- disease, drop out rate, unemployment, accidents) (e.g. higher- year-around employment, literacy, retention of qualified workers, students completing career paths).

Well-being outcomes

Well-being outcomes are external physical, social or economic changes as a consequence of policies, programs and initiatives undertaken by an entity.

Process outcomes

Process outcomes are internal or external changes that result from a defined course of action as a consequence of the objectives and goals undertaken by an entity. These changes are often required if the well-being outcomes are to be eventually achieved.

Outputs

An output is what is produced as a direct result of transforming resources through an activity or process (series of activities) undertaken using the inputs (resources).

Performance

Performance refers to actual results measured against defined standards.

Performance Framework

Performance framework is used to define the steps of the process to be completed as a component of the planning process.

Performance Measurement

Performance measurement is a quantitative and qualitative process to assess if the entity has completed its intended activities or achieved its desired outputs or outcomes in the most cost effective and timely manner possible.

Performance Report

A performance report is a summary of the organization's activities (Category 3), outputs (Category 2) or outcomes (Category 1) which provides a clear linkage between its plan and the results actually obtained using the specified performance measures.

Policy

A policy enables or restricts actions as a means of specifying outputs, outcomes or parameters. It provides specific information about the ends the entity desires to achieve, direction for the CEO and staff, and governance/operational level processes.

Process

A process is a set of activities which are aimed at planned outputs.

Production Activity

A production activity is the process which transform inputs (resources) into outputs (usually services in the case of the public sector).

Program

A program is a set of projects, services or events intended to meet a public need.

Result

The result is the accomplishment, desired or unintended, which arises from any process or operation. It may take more than one result to achieve a desired outcome.

Social Audit

A social audit is an independent review of the social and economic well-being of communities. It is a means of ensuring that government's programs and policies are meeting people's needs.

Strategic Issue

A strategic issue is the most significant internal and/or external change which the organization must manage to realize its vision and the capacity of the organization to effectively manage the impacts of those changes.

Strategy

A strategy is a systematic plan of action that an organization intends to take in order to achieve its objectives. Strategies are dynamic and may need to be modified based on new knowledge or changing circumstances.

Target

Targets are specific, measurable, achievable, realistic, and time bound changes/benefits the organization intends to achieve.

Example: By 200?, increase scores of NL rural 15 year olds in reading, science and mathematics to the national average, as measured by the *Program for International Student Assessment*.

Example: Increase full-time employment by 2% within five years.

Values

Values are the fundamental principles, which can be described as actions that guide behaviour and decision making.

Vision

A vision is a short statement describing the ideal state an organization is striving to achieve for its clients or the ideal state that an organization sees for society. It answers the question, "What is the outcome for the citizens of the province if the entity achieves its mandate?"