Facilitating Strategic Management

Successful Quality Organization
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Additional resources:


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Facilitating the Strategic Management of Change

Goals of This Workshop
Goals of this workshop

I Participants will understand the eight-step Strategic Management process model, from Futuring to Implementation.

II Participants will gain tips on the art of facilitation for the process.

III Participants will have increased confidence to lead a group through a plan to manage change.

IV Participants will gain information, background material and teaching tools to help groups explore Strategic Management options.
## Strategic planning: Purpose of manual

<table>
<thead>
<tr>
<th>Purpose</th>
<th>This manual has been designed to guide potential facilitators through the steps for conducting strategic management.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audience</td>
<td>Facilitators designated to coordinate strategic management efforts of community, governmental, and non-profit organizations where staff and volunteer time is limited.</td>
</tr>
<tr>
<td>What is strategic management?</td>
<td>A systematic effort by an organization's leadership to envision that organization's desired future.</td>
</tr>
<tr>
<td></td>
<td>Plotting a course of action for realizing that vision.</td>
</tr>
<tr>
<td>What does it involve?</td>
<td>Careful consideration of the organization's goals.</td>
</tr>
<tr>
<td></td>
<td>Examination of internal and external factors that help/hinder the materialization of those goals.</td>
</tr>
<tr>
<td>Expectations</td>
<td>For the vision's success, organization members at all levels need clear expectations of the process and its results.</td>
</tr>
<tr>
<td></td>
<td>Expectations regarding time required for the planning process need to be communicated.</td>
</tr>
<tr>
<td></td>
<td>Allow time for reflection and discussion of recommendations between steps.</td>
</tr>
</tbody>
</table>
Facilitating the Strategic Management of Change

Background
History of strategic management

Users note. This history can be used to provide background to strategic management.

1. The earliest literature on strategic planning is associated with military strategy in the 4th century B.C. in China.
2. The earliest U.S. writing on business strategy appears in the late 1950s.
3. Early work was associated with Harvard Business School.
4. The general approach was "find out what your organization is good at and match this with what the world wants and needs."
5. Early terms used to describe strategic efforts were:
   a. Distinctive Competence
   b. Comparative Advantage
   c. Strengths and Weaknesses
7. Major elements of the Strategic Management approach:
   a. Primary emphasis is on appraising external threats and opportunities and internal strengths and weaknesses.
   b. Importance of understanding management values.
   c. Development of strategies.
   d. Selection of strategies.
   e. Implementation.
8. Central themes in Strategic Management:
   a. Formation of strategy should be a controlled, conscious process of thought. It should be:
      1. deliberate versus unplanned.
      2. conscious versus intuitive.
      3. purposive versus improvised.
   b. Chief Executive Officer should be responsible for process. This responsibility should include decision making authority, monitoring, etc.
   c. Strategies should be unique, tailored to individual cases, and should be a creative act. They should concentrate on the process of developing strategy.
   d. Strategy should be explicit and simple. This is to help those who develop the plan know what action is to follow, and to help others in the organization to understand the plan.
   e. Strategy must be implemented. This is accomplished through structure and process.

Transition from business to public sector: Some considerations

"Strategic management is a business-derived concept and the models used are therefore oriented toward the business sector."

"Business-based models just do not fit well in the public-sector context in their current configuration, creating...blocks to the successful utilization of strategic management by public-sector organizations."

Carol Kovach and Myra Mandell
"A New Public-Sector-Based Model of Strategic Management for Cities."
State and Local Government Review

"...strategic planning... is widely practiced by large business. And it is certainly commonly considered a primary avenue to business growth."

"Strategic planning has barely penetrated the collective consciousness of the public sector."

"Resource scarcity and service demands place public organizations under great pressure to apply better planning techniques."

"In light of the largely private sector experience with strategic planning, and the sophistication of the techniques, the danger of costly failure in public sector application is clear and present."

Douglas Eadie, "Putting a Powerful Tool to Practical Use: The Application of Strategic Planning in the Public Sector."
**Strategic management in public sector**

**Strategic models for public sector units**

*Users note. Lecture information to provide background on designing strategic management activities in the public sector.*

<table>
<thead>
<tr>
<th>Characteristic</th>
<th>Public sector</th>
</tr>
</thead>
<tbody>
<tr>
<td>Decision making (relative lack of authority)</td>
<td>Decisions often made by organizations (legislative) or persons (advisory groups) outside the unit.</td>
</tr>
<tr>
<td></td>
<td>Mandates have a long-lasting and major impact on these organizations.</td>
</tr>
<tr>
<td>Structural barriers (turf battles)</td>
<td>Changes in goals, mission, strategies are difficult to achieve because of stakeholders.</td>
</tr>
<tr>
<td></td>
<td>Tensions between environmental needs and government bureaucracy.</td>
</tr>
<tr>
<td>Budget</td>
<td>Promotion and advancement given for maintaining and increasing budget levels and acquiring new programs when resources are available.</td>
</tr>
<tr>
<td></td>
<td>Necessary action may occur within a general service area, but not fit in a budget slot.</td>
</tr>
<tr>
<td></td>
<td>New programs tend to be added to existing programs (squeezed in).</td>
</tr>
<tr>
<td>Complex issues (network management)</td>
<td>Strategic management often requires extra resources and effort because of increased need for cooperation with other units.</td>
</tr>
<tr>
<td></td>
<td>Horizontal integration requires development of programs in conjunction with or approval of and cooperation with other units.</td>
</tr>
</tbody>
</table>

Character of public organizations and impact on strategic management

<table>
<thead>
<tr>
<th>Characteristic</th>
<th>Impact on Strategic Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>Competition</td>
<td>Although the level and nature of competition may differ from the private sector, organizations still compete. Maintaining levels of funding is less a problem among these organizations then is getting increases. Internal units compete among themselves, as well as with private organizations for resources such as loyalty of consumers, power, funding, legitimacy, information, staff. Strategic management is designed to steer a course among competing units.</td>
</tr>
<tr>
<td>Consumer influence</td>
<td>Many government and non-profit units are less directly connected with consumers. (Control over budgets is through legislative units, or centralized finance groups, e.g., United Way. Funds are often obtained from sources other than from consumers they serve. Units need to scan their environment, predict future needs for the market and analyze the unit's ability to meet these needs. These actions are needed to maintain constituency support.</td>
</tr>
<tr>
<td>(constituency support)</td>
<td></td>
</tr>
<tr>
<td>Measuring output</td>
<td>The absence of conventional indicators like sales, revenues, profits makes assessment more difficult than in the private sector. Attention is usually given to fund allocation and providing services. Managers must be able to tell whether strategy is working. Appropriate indicators needed. Attention must be given to selecting both long and short term service indicators.</td>
</tr>
<tr>
<td>Characteristic</td>
<td>Impact on Strategic Management</td>
</tr>
<tr>
<td>------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Reward system</td>
<td>The connection between employee performance (services provided) and rewards is not always clear. The premise of strategic management is that it will improve employee performance.</td>
</tr>
<tr>
<td></td>
<td>There is a need to develop effective measures of employee performance and connect these to organizational rewards.</td>
</tr>
<tr>
<td>Multi-purpose</td>
<td>Public sector organizations and some non-profits often have far more purposes than do private firms. They are &quot;purposeful.&quot;</td>
</tr>
<tr>
<td></td>
<td>It is often difficult for public agencies to terminate programs that have constituencies.</td>
</tr>
<tr>
<td></td>
<td>Every program has a purpose and clientele and was considered valuable at one time. Strategic management involves making choices, selecting priorities, discarding non-priority programs.</td>
</tr>
<tr>
<td>Mandates</td>
<td>Public organizations have mandates to provide services not provided by private sector firms.</td>
</tr>
<tr>
<td></td>
<td>Mandates must be included when developing mission statements.</td>
</tr>
<tr>
<td></td>
<td>Many public sector issues cross organizational boundaries. This involves shared power and diverse constituencies.</td>
</tr>
<tr>
<td>Community-based efforts</td>
<td>Attention should be given to collective agreements in an interorganizational context. Bargaining, negotiating agreements, and coordinating activities are important in this context.</td>
</tr>
</tbody>
</table>

The four dimensions of an organization

Users note. Background information to be used in setting the stage for strategic management program.

Within an organization are four key elements which influence its effectiveness. The components are: goals, environment, tension, and procedures.

<table>
<thead>
<tr>
<th>Goals</th>
<th>Environment</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Tensions</td>
<td>Procedures</td>
</tr>
</tbody>
</table>

Goals: Goals describe the purpose or mission of the organization. The goal category includes objectives of the particular group as well as personal goals of each member.

Environment: The organization is affected by conditions outside of its control. This environment may dictate changes, trends, or needs with which the organization must deal to survive.

Tensions: Tensions are often referred to as conflict management. How an organization creates and deals with tensions between workers, supervisors, and administrators is crucial to the success of long-term problem-solving.

Procedures: Procedures include decision-making, job assignments, rules for interaction and problem solving. It is important the members of an organization:

1. Understand what is contained within each element.

2. Know the interrelationships between each element of the organization, and,

3. Identify how each area is affected by change, both within and outside the organization. Each of these categories are important to an organization. Trouble within an organization can usually be traced to one area.

Source: Kelsey Gray, Community Development Specialist, Cooperative Extension, Washington State University, 1986.
Second order change

*Users note. Share concept of second order change with participants.
Highlights the difficulty of transitions with the non-profit organization.*

*If you do not think about the future, you cannot have one.
John Galsworthy*

In the past, leaders in local government and non-profit organizations searched for stability in both their organization and its environment; tasks clearly specified, definable responsibilities, and a clear chain of command. Today elected and appointed officials, non-profit organization directors and other leaders are faced with a world which is changing so rapidly that "crisis management" has often become the "norm." Because the environment is moving so rapidly leaders become "overwhelmed" by the responsibilities and complexity of their job. The tasks of everyday decision making, of community problem solving, and of designing strategies and plans for the future of their organizations is almost too much to handle.

As a reaction to this type of organizational stress, organizations and their leaders may deny any need for change within the organization. The firm denial of the need for change may blind the organization to opportunities as well as insulate it from pending problems. Matt Hennecke in his article "Toward the Change Sensitive Organization." (*Training*, May 1991), says it is a "pattern: denial of the need to change, followed by catastrophe...that..." Real organizational change usually occurs only after a catastrophic event. And some organizations don't survive."

To be effective in today's world organizations must use the change around them. Planned change strategies are essential for success and survival. One way of understanding change is to think of change as "first order" and "second order" change. First order change is a planned change which enables the organization to cope with difficulties, to adjust and improve the system. Another type of planned change is "second order" change, which includes fundamental changes in the core of the organization. Second order change affects all parts of the organization, creating a new structure and new context. Amir Levy in his article "Second Order Planned Change: Definition and Conceptualization." (*Organizational Dynamics*, Summer, 1986) describes second-order change as "change in all four dimensions of the organization: in core processes, in mission and purpose, in culture, and in organizational world view or paradigm (pg 19).

Levy described the organizational paradigm as including the underlying assumptions which shape perceptions of its members. The mission or purpose articulates what the organization does and what strategies are used to achieve its goals. Culture includes the often unwritten norms and behaviors that depict "how we do things around here". The core process includes the procedural functions of the system: structure, management, decision making, reward, rules and regulations. In essence, second order change entails learning to create or discover a reality beyond the one that currently exists.

Managers about to undertake change within their organization may wish to consider which kind of change they want to undertake; an adjustment which will allow the system to remain the same in a changing world or a transformation which creates a new vision and reality for the organization.
Compare for a moment first order change to that being labeled second order change.

First order change

- **Planned Change** - change that occurs to help an organization make adjustments in reaching pre-determined goals.

- **Developmental Change** - change with an ongoing social system to add or improve the system.

- **Incremental Change** - step by step movement—progress in the same direction with a + or - a certain percent.

- **Normal Change** - balancing the fit between the organization and its environment. "Tinkering"

Second order change

"Second order change is the organization's 'core' and is irreversible... First order change consists of minor improvements and adjustments that do not change the system's core, and that occur as the system naturally grows and develops." (Levy, 1986).

Second order change is more complex, systemic, and multidimensional. The following are some characteristics of second order change:

- **System Change**

  - Replaces existing goals with a new set of goals steering the system in a very different direction.

- **Change in the perception or frame of reference.**

- **Change in the core processes, therefore irreversible.**

- **New set of organizational practices that become the basis for managing the next change period.**
Four key areas of second order change

Organizational paradigm Underlying assumptions that shape perceptions, procedures and behaviors.

Organization mission A description of the purpose and strategies of the organization.

Organizational culture Beliefs, values, norms, or styles of management.

Core process The organizational structure, recognition and rewards system, communication behaviors, and management and decision-making process.

Table 1

Characteristics of First and Second Order Change

<table>
<thead>
<tr>
<th>First order change</th>
<th>Second order change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Goal Setting</td>
<td>Mission and Purpose</td>
</tr>
<tr>
<td>Administrative Responsibilities</td>
<td>Organizational Culture</td>
</tr>
<tr>
<td>Organizational Structure</td>
<td>Rule Making Structure</td>
</tr>
<tr>
<td>Operating Rules</td>
<td>Incentives/Sanctions</td>
</tr>
</tbody>
</table>
Facilitating the Strategic Management of Change

The Art of Facilitation
Facilitation

Users note. This section prepares the facilitator responsible for leading the strategic management program.

Definition

Webster's New Collegiate Dictionary defines facilitate as: "To make things easier."

Facilitation is a process to assist organizations remain focused and to achieve their planning process.

Facilitation increases the overall productivity of the organization. It allows groups to confront and resolve problems more creatively.

Who?

The facilitation is often enhanced if the facilitator comes from outside the organization and, therefore, has no stake in the outcomes.

The facilitators must be perceived as impartial and neutral.

To provide ease in moving the strategic management process

Purpose of the facilitator

To assist the group and make the deliberations easier

To maintain focus of the group

To create synergy

Facilitation in strategic management is an important component in assisting groups of people to make decisions.

Facilitation is generally done by a neutral third party from outside an organization.

The following pages describe the activities of key players in the strategic management process. They include the planning committee, leader/manager, facilitator, and recorder.
# Key players

*Users note. Facilitators should be aware of key players involved in strategic management. This list will help define roles and functions of key players.*

<table>
<thead>
<tr>
<th>Role</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Planning committee</strong></td>
<td>Membership is determined by the facilitator and the chief executive officer. Committee will include directors or department heads and a representative mix of organization members, including volunteers. Acts as a steering committee to provide the direction for the strategic management process. Size should be fifteen members. Maximum membership is thirty.</td>
</tr>
<tr>
<td><strong>Leader, manager, chief executive officer (CEO)</strong></td>
<td>The key player who must support the effort and process of the strategic management activities. He sometimes leads the process when changes are needed, and sometimes are forced into planning because of problems within the organization. It is important to get the manager's support.</td>
</tr>
<tr>
<td><strong>Facilitator</strong></td>
<td>This person should be neutral, unbiased, impartial to the organization. The facilitator helps guide the organization to achieve its goal.</td>
</tr>
<tr>
<td><strong>Recorder</strong></td>
<td>This person is also neutral, unbiased, and impartial to the organization. The recorder helps the facilitator in capturing the discussion of the workgroups.</td>
</tr>
<tr>
<td><strong>Effective leader, manager, CEO</strong></td>
<td><strong>Roles of the Key Players</strong></td>
</tr>
<tr>
<td></td>
<td>Equal participant in group meetings</td>
</tr>
<tr>
<td></td>
<td>May maintain final decision-making responsibility</td>
</tr>
<tr>
<td></td>
<td>Listens to group input</td>
</tr>
<tr>
<td></td>
<td>Encourages participation and sets climate/tone</td>
</tr>
<tr>
<td></td>
<td>Keeps organizational constraints/mandates clear</td>
</tr>
<tr>
<td></td>
<td>Delegates responsibilities/accepts responsibilities</td>
</tr>
<tr>
<td></td>
<td>Help keep facilitator and recorder in their role</td>
</tr>
</tbody>
</table>
Facilitator

Assists in planning agendas, etc.
Assists in setting up and maintaining the climate for the meeting
Assists in leading group to their desired outcome
Remains neutral, does not determine direction in which the organization moves
Focuses group on the task
Does not evaluate ideas as good or bad
Leads in process or suggests ways to proceed
Finds and defines points of agreement and disagreement
Ensures follow-up of meeting accomplishments
Is clear about role
Helps the group maintain its focus and intent
Supportive of the input of individuals
Is positive, avoids defensive language
Complements process of meeting
Encourages participation
Restates comments
Checks for agreement
Role of the recorder

- Captures basic ideas on large sheets of paper
- Uses speakers' own words
- Remains neutral and quiet
- May ask facilitator for clarification
- May ask person speaking if what is written is what was meant
- Post notes on wall for everyone to see

Tips for the recorder

- Listen for key words
- Don't record every word
- Write large and legibly: 1 1/2" high letters; change print style
- Write fast; abbreviate
- Vary colors and size of print. Visual black, blue, green. Highlight colors, red, orange
- Use bullets, dots, stars, arrow., Box key ideas to highlight
- Keep lines straight; leave margins for notes
- Don't be afraid to misspell
- Have masking tape pieces cut prior to meeting
- Be careful when posting on wall that tape won't remove paint. Use drafting masking tape.
- Number pages
- Cap pens when finished
Advantage of wall notes

Recording wall notes helps keep group on track and speeds up meetings.

Latecomers can catch up.

Good way to capture ideas without individualizing them. Ideas become group's rather than individual's.

Helps facilitator keep group on track.

Wall notes can be summarized for minutes and key ideas posted for future meetings.

The group memory is a powerful tool with many beneficial effects. The group memory refers to a flip chart which provides a focus for the group. The group generally faces this group memory – *often in a semi-circle*. This focuses the energies on the problem as represented by the group memory.

The advantage of group memory

Helps focus group on task.

Increases group participation.

Depersonalizes ideas.

Prevents repetition.

Instant record of meeting.

Legitimizes group input.

Good tool for problem-solving.

In order to ensure success, the facilitator can take some preventative steps. These behaviors provide clarity and good guidance *before* any steps are taken.

Preventative behaviors

Get clear on outcome.

Get clear on how to proceed = process.

Establish ground rules.

Be positive.

Strive for win/win.

Get group to build an agenda.

Get ownership of agenda.
Role of participants

The most important thing for everyone to remember is that the meeting is for the participants. They need to keep the facilitator and recorder neutral and focused on the process, not the content.

The participants have to focus on content and let the facilitator guide them through the process.

Participants need to focus on the content and respect and listen to others in the group with an open mind.

Participants need to:

- maintain a positive attitude
- avoid being defensive about their own ideas
- sit with different people so they are exposed to other viewpoints
- resist the temptation to put words into another person's mouth
- avoid side conversations while someone else has the floor
Roles and agreements

Users note. Following are samples of agreements that could be developed, reviewed, and/or read to participants in a strategic management program.

Roles and agreements of facilitator, recorder and participant

For effective meetings run by a facilitator/recorder team, an initial agreement between members and the facilitator/recorder is necessary in order that everyone understands their roles. The following are some suggested ideas on how to establish this initial agreement before the meeting actually begins.

Facilitator

I'm ______________ and I have been asked to serve as your meeting facilitator. As your facilitator, I will remain neutral on the issues help focus the energy of the group on the task at hand and keep you on track won't contribute my ideas or evaluate yours regarding meeting content will offer suggestions on the meeting process if it will help will try to give everyone an opportunity to be involved will be more active at the onset of the meeting to give overall guidance will appreciate your help in doing these things

Recorder

I'm ______________ and will be your recorder. As your recorder, I will remain neutral and quiet will capture your basic ideas on wall notes using your own words may ask the facilitator for clarification or to slow down may ask person speaking if what is written is what was meant post notes on wall for everyone to see

Group members

As group members your role is to make sure the facilitator and recorder remain neutral make positive contributions to reach your objectives be sure that your ideas are accurately recorded avoid being defensive about your own ideas sit with different people so they are exposed to other viewpoints avoid side conversations while someone else is speaking help the group by being facilitative yourself

Can we all agree on these goals?
Giving feedback

Feedback is given at the end of each session to ensure that all members agree on the outcome.

What it is

Evaluating a session puts closure on a session. The value of this activity is that it summarizes the day's events.

Makes improvements by being explicit on team work.

Provides an opportunity for information to be given directly to the leader, members, facilitator, recorder.

Objectively evaluates what worked well and what needs to change.

What it consists of

Identifying what works and providing direction for future sessions.

Using information as foundation to plan future sessions.

Please refer to appendix for more assistance with facilitation.
Facilitating the Strategic Management of Change

The Strategic Management Process
Strategic Management Process

*Users note: The next four pages offer in graphic form the strategic management process. Use them as handouts, overheads, or wall charts. Refer to these steps as you move the group forward. This serves as a road map and a method to focus the group on each sequential step. Review this with the planning committee and participant involved in strategic management.*

**Purpose**
To review the strategic management process and to identify skills and resources to facilitate planning.

**Initial agreement**
Agreement to Plan
Purpose
Elements of Success

**Futuring**

**Environmental scan**
External Environment
1. Trends
2. Stakeholders
3. Competitors/Collaborators

Internal Environment
1. Resources
2. Climate
3. Performance

**Mission**
Values
Management Principles
Underlying Assumptions

**SWOT (Strengths, Weaknesses, Opportunities, and Threats)**

**Strategic Issues**

**Goal Identification**
Obstacle Considering
Priorities

**Implementation**
Resource Allocation
Action Plan
Evaluation
Facilitating the Strategic Management of Change

Initial Agreement
**Agreement to Plan**

*Users Note. It is critical to achieve ownership of the planning process. The “agreement to plan” and information included in this section will help the facilitator to get the needed agreement. Remember that ownership of the process will have tremendous impact on the ability to implement the final product.*

**What is it?**

The strategic management process is essentially a democratic process in which power is distributed equally among the participants.

**Who is involved?**

Commitment from the chief executive officer is required to insure commitment from the rest of the planning participants.

Key decisions will be reached by consensus of committee members including the chief executive officer.

A steering committee is formed to guide and direct the process. This is made up of a representative cross section of the organization.
Initial agreement

Purpose

- Define commitment and follow through
- To get agreement that the strategic planning effort is worth trying
- To clarify the outcomes of planning
- To set timelines and cost
- To define roles/responsibilities
- To define decision making process and equality of power
- To get agreement on the organizations, units, groups or persons to be involved on the planning committee
- To develop a shared understanding about the nature and sequence of steps in the process

Suggested Process

Agreement on purpose

Important Statements

“Let’s see if we have agreement on the strategic planning effort. What is your feeling?”

“Let’s take a few minutes to discuss the situation in your unit. Let’s give each person a chance to speak without interruption.”

“How do you see your organization? What is the issue”

“Is this what you want? Maybe strategic planning is not for you?”
<table>
<thead>
<tr>
<th>Suggested Process</th>
<th>Important Statements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agreement on Roles/Responsibilities</td>
<td>“Who will be responsible? Will there be a steering committee? Who will that be? What do you see as their role and their responsibility?”</td>
</tr>
<tr>
<td>Sponsorship</td>
<td>“Who will be the sponsor? This will be a person or group who will give it legitimacy. What will their role be?”</td>
</tr>
<tr>
<td>Agreement on Outcome</td>
<td>“What do you want as an outcome of this planning process?”</td>
</tr>
<tr>
<td></td>
<td>“What kinds of products will you want? Will you want brochures, manuals, publications?”</td>
</tr>
<tr>
<td>Acceptance</td>
<td>Decide whether a formal contract is necessary or an informal agreement is sufficient.</td>
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<tr>
<td></td>
<td>Formal contract should include written memorandum, content of agreement, membership role, functions, etc. This helps outline expectations of all involved.</td>
</tr>
<tr>
<td>Forming a Strategic Planning Task Force</td>
<td>“To ensure success, a person or a group should guide the process. Could we develop a strategic planning task force?”</td>
</tr>
<tr>
<td></td>
<td>“Who would this task force be comprised of?”</td>
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<tr>
<td></td>
<td>“What would you like this task force to accomplish?”</td>
</tr>
<tr>
<td></td>
<td>“Who would they report to?”</td>
</tr>
<tr>
<td>Suggested Process</td>
<td>Important Statements</td>
</tr>
<tr>
<td>-----------------------------------------</td>
<td>-------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Forming a Coordinating Committee</td>
<td>“For a larger community project a coordinating committee needs to be formed – who would this be?”</td>
</tr>
<tr>
<td></td>
<td>“This committee should officially legitimate the agreements and make subsequent decisions.”</td>
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<tr>
<td></td>
<td>“What will this body be responsible for?”</td>
</tr>
<tr>
<td></td>
<td>“What kind of decisions can be made?”</td>
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<tr>
<td></td>
<td>“Who will convene this group? What will their role be? How will the facilitator relate to them?”</td>
</tr>
<tr>
<td>Forming a Strategic Management Team</td>
<td>“In large organizations the strategic management team is needed to assist in facilitating decision-making by strategic planning coordinating committee. Is this required in your organization? Who will lead this group?”</td>
</tr>
<tr>
<td></td>
<td><em>Note: A sequence of “initial” agreements may be necessary as the group continues to expand before a full scale program is underway.</em></td>
</tr>
<tr>
<td>What are the issues?</td>
<td>“What are the real issues? I hear a lot of alternatives and a lot of solutions. What is the problem?”</td>
</tr>
<tr>
<td></td>
<td>“I don’t have a clear picture of what is happening. What is the problem?”</td>
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<tr>
<td></td>
<td>“Can someone state the issue as a question?”</td>
</tr>
<tr>
<td>Suggested Process</td>
<td>Important Statements</td>
</tr>
<tr>
<td>-----------------------------------</td>
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</tr>
<tr>
<td>State the Problem</td>
<td>“Can you tell me what you see as the problem?”</td>
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<td></td>
<td>“Tell us about it.”</td>
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<tr>
<td></td>
<td>“How would you define what the problem is?”</td>
</tr>
<tr>
<td>Best, Worst</td>
<td>“What is the best thing that might happen if we decide to move into this planning? What is the worst?”</td>
</tr>
<tr>
<td>Getting Agreement for Planning</td>
<td>“Are we in agreement that planning is important?”</td>
</tr>
<tr>
<td></td>
<td>“Who needs to be committed for it to work and how will we know they are?”</td>
</tr>
<tr>
<td></td>
<td>“Are we committed that we will devote time and effort to solving this problem?”</td>
</tr>
<tr>
<td>Getting Agreement Procedures</td>
<td>“What are the procedures you should like to follow?”</td>
</tr>
<tr>
<td></td>
<td>“Who will be responsible for the planning?”</td>
</tr>
<tr>
<td></td>
<td>“What are the timelines, timetable and cost?”</td>
</tr>
<tr>
<td></td>
<td>“What will you do?”</td>
</tr>
<tr>
<td></td>
<td>“What will I do?”</td>
</tr>
</tbody>
</table>
## Elements for success: Working agreements

<table>
<thead>
<tr>
<th>Aspect</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legitimacy and Respect</td>
<td>Participants are representative of a broad range of interests, each having concerns about the outcome of the issue at hand. All parties recognize the legitimacy of the interests and concerns of others, and expect that their interests will be respected as well.</td>
</tr>
<tr>
<td>Active Listening and Involvement</td>
<td>Participants commit to listen carefully to each other, to recognize each person's concerns and feelings about the topic, to ask questions for clarification and to make statements that attempt to educate or explain. Participants should not assume that any one person knows the answer.</td>
</tr>
<tr>
<td>Responsibility</td>
<td>Each of us takes responsibility for getting our individual needs met, and for getting the needs of participants met. Participants commit to keeping their colleagues and constituents informed about the progress of these discussions, and to do so in a timely manner.</td>
</tr>
<tr>
<td>Honesty and Openness</td>
<td>Constructive candor is an effective tool. Participants commit to stating needs, problems and opportunities, not positions.</td>
</tr>
<tr>
<td>Creativity</td>
<td>Participants commit to search for opportunities and alternatives. The creativity of the group can often find the best solution.</td>
</tr>
<tr>
<td>Consensus</td>
<td>Participants agree that any decisions will be reached by consensus.</td>
</tr>
<tr>
<td>Freedom to Disagree</td>
<td>Participants agree to disagree. The point of this is to foster open discussion of issues; and in order to facilitate this we need to respect each other's right to disagree.</td>
</tr>
<tr>
<td>Commitment</td>
<td>Participants agree that this effort is a priority in terms of time and/or resource commitment. Each participant will provide the name of an alternate. The alternate will attend in the absence of the participant. It is the responsibility of the member and alternate to keep each other up to date.</td>
</tr>
</tbody>
</table>

Source: Kelsey Gray and Emmett Fiske, WSU
Workable agreement

*Users note: This section provides some background information on the levels and components of a workable agreement. Facilitators, participants, and planning committees should become aware of these levels of agreement.*

Simply reaching any agreement isn’t good enough. To be effective, an agreement must be reached which is actually going to be implemented with the minimum of enforcement. Agreements must be satisfactory on three levels.

**Substance:** Most parties enter negotiation to “get” something. Although their idea about their needs and the priority of these needs may change over the course of a negotiation, they need to come away with some sense of substantive satisfaction; a sense that they got what they came for.

**Procedure:** Even if they get what they want, parties will not be satisfied if they think the procedures were not “fair” or they were manipulated. This is a subjective measure, but a powerful one. Particularly, if a party thinks the procedure was irregular, the party may distrust others and work against implementation of the agreement.

**Psychological:** Everyone needs to feel heard and respected. If the “deal” is good and the procedure is OK, but a party feels that the other parties did not listen to his or her points, the deal may not prove durable. The bad relationships developed in the negotiation will overshadow the otherwise acceptable results.

These three elements form a “three-legged stool.” If any one of the legs is missing or weak, the stool (the negotiated agreement) may collapse under future pressure.
Durable agreements are:

**Honest:** Based on best available jointly developed information, founded on realistic projections of capacity and ensured by all parties’ intent to implement, if developed with the involvement of all parties.

**Acceptable:** Resolve the grievance which brought the dispute to a head; acknowledge past problems and address them; meet the underlying needs of the parties; arrived at by a process perceived as fair by all parties.

**Workable:** Provide incentives (benefits) for all parties to implement; do not disadvantage an excluded party; either have procedures to deal with them or acknowledge the need and process for renegotiation; build working relationships among parties to implement the deal.

Such agreements have a fringe benefit. When they work, they improve the climate for future cooperation and collaboration, increase the problem-solving skills of the participants, and increase the likelihood that future differences will be resolved efficiently.
Facilitating the Strategic Management of Change

Futuring
Futuring

Users note. The second step in the strategic management process is futuring. This will likely take place at about the same time the organization is involved with the environmental scans.

This process is a means to identify what the organization should look like in the future, for the next five to ten years. There are very few organizations that really take the time to develop its future scenarios, but the importance of such a description or vision has been recognized in well-managed organizations.

Typically, futuring should set the stage for where the organization should be going, its performance criteria, standards, and basic values. It should be short, not more than several pages, and inspiring.

Key factors in looking at the future would be to appeal to common values and positive outcomes. There should be emphasis on the strength of a unified group and it should encourage hopes and dreams and communicate enthusiasm and excitement.

A note of caution: Futuring or developing a vision embodies a tension between what an organization wants and what it can have. In some organizations, it may take some involvement in looking at the organization before they are able to do futuring. If this is the case, return to this activity when appropriate.
**Users note.** *Using the snow cord activity or the context mapping, facilitators should be able to lead a group through a futuring exercise. Use questions to stimulate futuristic thinking.*

**Goal:** To explore alternatives based on the data, mission, stakeholder, etc.

**Suggested Processes**

Snow card activity

**Important Questions**

(see appendix)

"Describe your vision. What might be a key goal that takes us to that vision?"

"What policy would lead us to this vision?"

Context mapping

"What do you want your organization to look like in the future?"

"To achieve the desired future, you need leaders with certain kinds of qualities. What are they?"

"What are the means to achieve this desired future?"

"What are the barriers?"

"Who are the people in your organization who care about what happens?"
Environmental Scan

*Users note. This lecture will help give purpose and direction to needed environmental scanning activities.*

Because the world is changing constantly, successful organizations need to be continually aware of what is happening in their external and internal environments that might affect them. The better the organization’s understanding of the environment in which it will operate, the better its ability to formulate its mission and to set and achieve realistic goals. The environmental scan is a process by which an organization can track what is occurring, or about to occur in their environments.

**Purpose**

To provide the organization a better understanding of its environment.

To help participants identify key external and internal environmental factors to affect their organization

To provide a framework for organizing the environmental scan information

**External Environment**

Macro forces/trends (technological change, economic forces, social/demographic trends, political climate)

Stakeholders (clients, customers, funders)

Competitors/collaborators

**Internal Environment**

Resources (people, economic, information, competencies)

Climate and culture

Present Strategy (overall, functional or department)

Performance (results, history)

Alternatively, the internal environment may be analyzed using the McKinsey 7-S framework: Structure, Strategy, Systems, Shared Values, Style, Skills and Staff.

Source: Ronald Faas, WSU, Cooperative Extension
Tools for gathering/processing environmental scan information

Purpose
To introduce and explain tools for gathering and/or processing environmental scan information relating to the respective types of environments introduced in the lecturette.

External Macro Forces/ Trends
Suggestions for Using Local Trend Data
Charts:
- Population size, Median age of population, Per capita income, Number of service establishments, Total property taxes, Total assessed valuation, Expenditures on police protection, Farm industry earnings.

External Stakeholder Environment
Stakeholder Analysis:
- Definition & What should be asked in a stakeholder review?
- Stakeholder map for a government
- Stakeholder analysis worksheet
- Interpreting stakeholder analysis
- Example of stakeholder interests associated with local government
- Interpreting the stakeholder
- Evidence of high stakeholder capacity

External Environment (macro, stakeholder, competitor/collaborator)
Resource Panel

Internal Environment
Organizational Barometer
Sensing Interview
Activity: Using local trend data

At the macro level, there are several trends that affect local public sector and non-profit organizations. Many of these important trends are described in the article “Forces Reshaping America” in the Futurist, July–August, 1990. These trends include:

- Median age of the population will increase
- Median income of families will increase
- Community safety and home security will be of increasing concern

Some trends not mentioned in this list that may be relevant to the organizations of interest in this workshop include:

- Number employed in service industries
- Median education
- Total assessed valuation of property

Many of these indicators are available through census publications, but some must be dug out of more fugitive places such as directories and agency reports.

Trends

<table>
<thead>
<tr>
<th>Population size</th>
<th>Number of persons to be served and to pay for services through taxes and contributions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Median age of population</td>
<td>Average age of population indicating any change in the number of young or old who will need selected services, and ability of people to pay taxes and contribute to services requiring a fee</td>
</tr>
<tr>
<td>Per capita income</td>
<td>Reflects the degree of disposable income and financial capacity to support selected services</td>
</tr>
<tr>
<td>Indicator</td>
<td>Description</td>
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<td>---------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Number of service establishments</td>
<td>Reflects changes in the relative distribution of employment positions. Shifts from manufacturing to service often mean lower wage rates and personal income</td>
</tr>
<tr>
<td>Total property taxes</td>
<td>Indicates changes in the ability of local residents to support the cost of government services. This is influenced by income received and willingness to tax that income to pay for services</td>
</tr>
<tr>
<td>Expenditures on police protection</td>
<td>Indicates changes in willingness to provide police services, changes in the cost of services, or a response to level of criminal behavior (additional analysis is needed)</td>
</tr>
<tr>
<td>Farm industry earnings</td>
<td>In agriculturally dependent counties, this indicates the health of the local economy and potential disposable income. It is impacted by commodity prices, production costs and sales</td>
</tr>
</tbody>
</table>

**Activity**

Divide into small groups and brainstorm these questions:

1) What trends in your area will have the greatest potential impact on your organization's operations?

2) Which indicators are available to use in measuring the direction and amount of change in these trends? Where can these data be obtained?
Stakeholder analysis

Definition: A stakeholder is any group or individual who can affect or is affected by the outcome of an organization’s objectives.

What Should be Asked in a Stakeholder Review?

1. Who are our organization’s stakeholders?
2. Who are other potential stakeholders?
3. How does each of these stakeholders affect our operation?
4. How do we affect each of these stakeholders?
5. How much importance do we presently give to stakeholder views?
6. Do we need to give more attention to stakeholder views?
7. How do we determine the needs and interests of stakeholders?

Activity

1) Divide into small groups and have each subgroup brainstorm to provide answers to questions in stakeholder review. Use stakeholder map on page 52 to help with identification.

2) Bring subgroups together and record answers to stakeholders on newsprint.

3) Summarize the answers on which consensus is reached in the total group and post on wall for continued use.

4) Use stakeholder analysis worksheet on page 52 to identify criteria used by stakeholders to assess the performance and their judgment of the organization's performance.
Stakeholder map for a government

Example of Stakeholder Interests Associated With Local Government

<table>
<thead>
<tr>
<th>Organizational Departments</th>
<th>Clients</th>
<th>Employees</th>
<th>Suppliers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Roads</td>
<td>Well Maintained</td>
<td>Year-Round Employment</td>
<td>Reasonable Price</td>
</tr>
<tr>
<td>Health</td>
<td>Access to Facilities</td>
<td>Reasonable Work Hours</td>
<td>Appropriate Contacts</td>
</tr>
<tr>
<td>Safety</td>
<td>Appropriate Services</td>
<td>Adequate Training</td>
<td>Well-Informed Buyers</td>
</tr>
<tr>
<td>Other Departments</td>
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</tbody>
</table>

Each of the cells in the matrix suggests interests associated with different stakeholder for each department. This matrix can be used to help start discussions of stakeholder identification and criteria used to assess performance.
<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Criteria used by Stakeholder to assess performance</th>
<th>Their judgement of our performance according to these criteria (good, ok, poor)</th>
</tr>
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Interpreting stakeholder analysis

Stakeholder analysis will be useful in assessing acceptance or rejection of strategic issues when they are identified.

1. Which organizations or persons will be most affected by a proposed change?

2. What financial, political, legal, informational resources will be needed to make proposed changes and which organizations or groups are potential sources of these resources?

3. What will the stakeholder's posture be with respect to change (e.g., supportive, neutral, opposition)?

Adapted from Nutt and Backoff, 1987, p 52.

Evidence of high stakeholder capacity

1. Communications systems with multiple stakeholders.

2. Negotiations with stakeholders on critical issues leading to consensus and agreement.

3. Representatives from stakeholder groups involved in strategy formation process.

4. Anticipate stakeholder concerns and organize to influence stakeholder environment.

5. Allocate resources in a manner consistent with stakeholder interests.
Environmental scan resource panel

Purpose: Developing skill/scanning the environment
- To identify external forces which impinge on an organization
- To identify clients/stakeholders
- To identify competitors and collaborators
- To provide input into development of a mission statement

The simplest way to conduct the Environmental Scan is to ask the planning committee members to suggest what they feel will be the most important factors bearing on the organization. List the five to seven factors that the entire group seems to feel will have the greatest impact and then divide the planning group up into five to seven subgroups to focus on the factors. Each subgroup determines its best guess as to the impact on the organization of that particular factor over the next three to five years. The success of this approach depends on the knowledge of the participants regarding the factors considered. If the participants don't know much about the factor and its probable future the committee members may simply be sharing their collective ignorance. Plans founded on ignorance are not likely to succeed.

Suggested Process

Basic questions in determining external environment:
Who, what, when, where, why?

Generalize/Focus

Important Statements
“What do we need to know?”
“What are some external forces working on this organization?”
“What is different today from 5 years ago?”

“Can you be more specific?”
“I realize the examples are important, but can we leave it and look at what the general trend is?”

“What forces are assisting in supporting the organization?”
“What forces are hindering our effectiveness?”
“Is it best to increase the sustaining forces or reduce the restraining forces?”

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A better approach is to have a preliminary planning committee identify the probable factors that will have the greatest bearing on the organization and then invite in a panel of experts to address each of these. For example, a member of the state Legislature might be invited in to give their best thinking on what the state political climate will be for the next few years, the Director for the population center might be invited to talk about population trends and expectations in the state.

Subcommittees can now be formed to prepare brief statements of their predictions regarding the key factors. The statements are reported to the whole group and retained in the final plan.

In the discussion with the clients or stakeholders, it is critical to assess their perception of the trends for the future. Newsletters, policy papers, reports, conferences are sources of information about the external trends.

Analysis of information is critical in terms of how it affects organizations. Interpreting the strategic importance of information can be accomplished in a facilitated meeting. The role of the facilitator is to remain focused on the outcome. How will these trends affect the operation of your organization in the future?

Reporting and referral of this information is the third important factor in environmental scanning.

It is also important to identify who the competitors are. What are the areas of competition? What is the competitive edge that your organization holds?

What are areas of collaboration available to the organization? What networks are presently in place? How is the organization linked with them?
Internal environment

Purpose of the internal environmental scan is to identify internal factors likely to impact organizations. These factors include:

- Resources (people, economic, information, competencies)
- Climate and culture
- Present Strategy (overall, functional, or department)
- Performance
  - Successes/Failures
  - Results/History

Process for determining internal environment

Barometric instrument
Sensing survey

Tools for Gathering/Processing Environmental Scan Information

I. Organizational Barometer

The organizational barometer measures the organization’s climate. It helps reveal what it “feels like” to be part of the organization from the perspective of its members. The barometer gauges how well the units of the organization work with each other, their levels of morale, clarity of roles and courage in taking risks.

The barometer may be completed by all members or a representative sample from each unit. Since the responses have to be kept anonymous and confidential, some organizations prefer to have the completed forms sent to a neutral party for tabulation.

The results are shared and discussed by the planners. Any key issues revealed are included in the environmental scan and strength, weakness, opportunities, threat (S.W.O.T.) reports.

Note to trainer: Sample barometer worksheet follows.
Sample barometer

As part of the Strategic Management Process, we are attempting to get a reading of the "climate" as it presently exists. "Climate" refers to what it feels like to work for this organization.

Please indicate what role you have in the Extension Service.

- Area Supervisor
- Support Staff
- County Extension Agent
- State Specialist
- Department Head
- State Administrator

Please rate the following from 1 to 5 (1 = low, 5 = high). If the item is not applicable to you, please write N/A.

1. How would you rate your level of trust with:
   Comments:

2. How would you rate your freedom to express your views to:
   Comments:

3. How would you rate you rate the level of morale of:
   Comments:

4. How would you rate the support you receive from:
   Comments:

5. How would you rate your satisfaction with the way conflicts are handled between you and:
   Comments:

6. How would you rate your level of job-related stress: (your column only)
   Comments:

7. How would you rate your relationship with:
   Comments:

8. How would you rate your comfort level in taking risks with:
   Comments:

9. How would you rate your level of understanding about the roles of:
   Comments:

10. How would you rate the fairness with which rewards (salary increases, awards, training opportunities, recognition) are distributed by:
    (mark all those that apply) Comments:

11. How would you rate the ability to work together as a team of:
    Comments:

12. How "in-on-things" do you feel with:
    Comments:

Source: MSU extension service
II. Sensing survey

A "sensing" survey is administered to all committee members prior to the first meeting. The sensing survey serves two functions:

1. To obtain confidential and anonymous responses from the planning committee members on a number of issues facing the organization.

2. To provide knowledge of the topics of greatest concern to the organization.

The sensing survey can be developed by the facilitator in consultation with the chief executive officer or by the facilitator and a subcommittee of the planning committee. In either situation, the chief executive officer should approve the list of questions and be aware of the potential for critical, negative, and possibly hostile responses.

Procedure

1. Surveys are sent to each member or interviews are set up three to four weeks before the first meeting.

2. Responses are sent to a neutral party such as the facilitator within a week.

3. Survey results are compiled by the facilitator.

4. All responses are listed and copies of results are given to all committee members.

5. Results of the sensing survey is the first item considered.

Discussion includes the successes and failures. It would be good to see what they view as their major success, or programs which have proven to be successful. Analyze them and see what made for success. What are key elements that were involved for success? What was the greatest failure? Why did it fail? Encourage the organization to look at the successes and failures.
The sensing interview

Please answer these questions from a consistent framework (either the organization you are employed, or the organization you anticipate working with on strategic planning.)

Organization you work for: _______________________________________________________

How would you describe your relationship with others within the organization? _______________________________________________________

How would you describe communications within your organization? Please explain. _______________________________________________________

Please briefly describe how decisions are made in your organization. _______________________________________________________

What are the current goals of your organization? _______________________________________________________

__________________________________________________________
What are the three key problems/opportunities you anticipate in your organization in the next five years?

__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________

How do you see yourself as part of a team effort? __________________________________
__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________

Other comments concerning your organization: __________________________________
__________________________________________________________________________
__________________________________________________________________________

What features does your organization have that makes it unique and different from others?
__________________________________________________________________________
__________________________________________________________________________

What strategies/actions do you feel should be taken at this time? ________________
__________________________________________________________________________
__________________________________________________________________________
Facilitating the Strategic Management of Change

Mission
Mission

Users note. Using the material generated in the first two steps, it is now time for the participants to generate a mission statement. The next few pages will help the facilitator lead the group through this difficult but important step. This step involves the evaluation of organizational values, management principles, and underlying assumptions.

Purpose

- To create a brief statement that identifies the basic purpose of the organization
- To articulate the desired future
- To develop a concise statement which can be used to make decisions about the organization's future

Concept

A mission statement is a brief description of what the organization does. The mission statement answers three fundamental questions:

1) What does the organization do?
2) Who is the client, and who are we?
3) How does the organization conduct itself?

The mission statement is built on the previous strategic planning work. The HOW is answered based on the discussion of values and beliefs that drive the organization. The WHAT uses the data developed during the visioning and environmental scanning process. And the WHO adapts information taken from the stakeholder analysis. The development of a mission statement may be a very difficult and time-consuming task, but one which lays the foundation for the development of action strategies, as a well-developed mission statement clearly provides a direction for the organization and can be used as a basis for decision making.
Values

Purpose

- To clarify philosophy and core values to maintain integrity of the organization
- To assist in choosing effective strategies
- To identify a sense of purpose

Values/Assumptions and Management Principles

Values are beliefs that certain types of behavior or outcomes are personally or socially preferable. Examples of values abound in our world: work ethic, honesty, traditional family, patriotism, loyalty. We use values as guides for decision making. Values become the principles or rules to help us make choices.

Organizational values also act as a basis for decisions about people, policy and strategy. The set of organizational values provides a basic pattern of shared beliefs, behaviors and assumptions acquired over time by members of the organization.

It is important that leaders understand the values of their organization. Understanding and clarifying organizational values helps to formulate policy and strategy. For example, an organization which has a value system which honors tradition, sense of loyalty and “time in service” would have a very difficult time firing or transferring long time employees even though their skills may be outdated. On the other hand, an organization which values entrepreneurial spirit, a sense of competition, and winning at all costs would be reluctant to support “re-training” programs or policies which keep employees just because they have “put in their time.” Local governments and non-profit organizations often use the word “service.” What does this mean? How is it defined within the context of your organization? It is important to have a clear definition in order to select appropriate strategies to achieve your vision.
One of the facets of strategic planning that sets it apart from more traditional planning processes is its consideration of the culture and values of the organization. It is important that the mission and goals reflect the values of the members of the organization. Congruency and understanding of the organization's values help attract and keep good employees and clients.

Conflicts may arise from differences in values between elements of an organization. Goals which are counter to the organizational values are not implementable.

Management principles provide the organization a mechanism to articulate the underlying assumptions guiding the organization. The principles explain the philosophy or "how we do things around here." They are implicit or explicit policies which clarify the values by which the organization is managed.

Management principles may include:

- Relationship with the public clientele or media
- Policies on volunteers
- Ethics
- Attitude toward employees
- Innovation and creativity
- Accountability

In the values audit, participants express what is most important to them about being a member of the organization. Reflecting on the organization's core value becomes apparent in developing a strategic plan. It assists in maintaining its integrity.
There are three important questions:

1. What are the values that drive the organization?
2. What underlying principles are used as a basis for decisions?
3. What are the assumptions for problem solving?

**Suggested Process**

**Agreement on values**

**Important Statements**

"What are the values which you want to drive this organization?"

"What values are we unwilling to negotiate?"

"What assumptions do we use to solve organizational problems?"

"What is NOT this organization?"
Underlying assumptions

Purpose

- To encourage members to ask difficult questions about the paradigms of the organization.
- To assist members to select effective strategies to solve problems.

Underlying assumptions are those beliefs or conclusions about the organization or its environment that are seen as fact and true. Many times assumptions are taken for granted, never discussed and viewed as facts which should never be questioned by members of the organization. Many examples abound:

- Cooperative Extension clientele are farmers.
- Cooperative Extension provides research-based information.
- Local governments are limited in the service they may provide to residents.
- The American people do not want to pay taxes to local governments.

Assumptions are important for organizations. Because they are considered true, they provide a basis from which to make decisions, select options and develop strategies. Assumptions provide a sense of security and continuity between changes in leadership. However, assumptions are like paradigms, in that they screen information, and determine how new information is interpreted. We tend to hear information that best fits our assumptions, or our beliefs.

The downside of strongly held assumptions is that the beliefs may limit our mechanisms for problem solving. When confronted with a new problem or alternative idea, we reject it automatically. We “know” it can’t work here.
A few examples:

**Assumptions:** Local governments are cheap. They are inefficient. The public does not want to pay taxes to local governments.

**Conclusion:** Managers should be hired as cheaply as possible. Wages in government should be low. No one wants to work here. We can’t improve service because we are inefficient. We can’t be innovative because we are government.

**Alternative assumption:** Local governments impacts all segments of an individual’s life. Government should be the best, and most innovative at solving problems.

**Alternative conclusion:** Hire the best. Require that they be innovative and solve problems. Local government is here to find innovative solutions to difficult problems.

Think about the assumptions that we have about our local governments. Are they negative or positive? Do the assumptions allow for creativity or put barriers between those who have problems and those who could help the situation.

<table>
<thead>
<tr>
<th>Suggested Process</th>
<th>Important Statements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Identify Assumptions</td>
<td>What is “true” about this organization?</td>
</tr>
<tr>
<td></td>
<td>What is one “absolute” fact about this organization that will NEVER change? If this fact changed, what would it be like?</td>
</tr>
<tr>
<td>Question the Assumptions</td>
<td>What is the opposite of our assumptions? How do our assumptions assist with problem solving? Limit our options to problem solving?</td>
</tr>
</tbody>
</table>
Mission statement

Purpose
- To create a desired future
- To achieve our potential

Suggested Processes

Identifying the mission

Important Questions

"Who do we serve?"
"What do we provide?"
"How do we provide it?"
"What is it that we do not provide?"

Drafting the mission statement

"Please write one statement of not more than 100 words to answer the above questions. Share your statement with others. What do you like about each statement?"

Condense

"Now write a statement that incorporates all the points that you like in each previous statement."

Decision Making

"We now have a statement with key elements. Can we agree that this is who we are—that this is the mission? How do you feel about this mission? Does it reflect who we are?"

"What is your greatest fear?"
Following are examples of actual mission statements.

**Boeing Spokane**

**Mission**

Create a world class customer-oriented organization which produces commercial airplane detailed parts and sub-assemblies that satisfy customer requirements for quality, schedule and competitive cost.

**Philosophy**

People are an essential resource with the ability and willingness to contribute

People want to be treated as individuals with dignity, respect and trust.

People want to be recognized for their contributions.

People want to know the reason behind what they are asked to create.

People are more committed to what they help create.

People will work more effectively when they are given the necessary authority and responsibility to accomplish their tasks.

People want to be kept informed.

People want to work in a safe and healthful environment.
Beaumont Fire Department

Philosophy Statement

The Beaumont Fire Department recognizes the value of human life and dignity. Our philosophy will provide a guide for employees in the performance of daily activities.

The unifying goal of the Fire Department is:

To help people by working together.

Helping people by:
- Providing aid and assistance to all members of the community.
- Cooperating with other departments, agencies, and organizations.
- Providing encouragement and opportunity for personal growth and development.

Working together by:
- Commitment, mutual support, participation and involvement.
- Members of the Fire Department working together as a team within the department.
- The Fire Department working together with the city organization.
- The Fire Department and its members working together with the community.

The Unifying goal is founded on our beliefs and values. The success of the fire department depends on the combined efforts of its members, along with the support of other organizations and the community.

Teamwork:
- Decision making should be shared in our department, recognizing that not everyone will share in every decision.
- Communication must be open throughout all levels of our department.
- For teamwork to be successful, we must have mutual trust and honesty throughout our department.
- Innovation leads to improvement and development; therefore, it is encouraged and supported.
- All of us must work toward the improvement and betterment of our department.

Progressiveness:
- Constant change is not only inevitable, it is necessary. Productive change should be supported and directed toward achieving individual and departmental goals.
- We, as individuals and as a department, must have the flexibility to change in order to progress and meet future challenges.
Mission Statement of the City of Chelan

The City of Chelan is a partnership of its people, employees and elected representative working together to protect and serve in order to allow all to live in harmony, while enjoying a quality way of life. The city recognizes these accomplishments will be through creative leadership, motivated and dedicated personnel, and community participation in its government.

Source: Kelsey Gray, WSU, Cooperative Extension
Following are examples of management principles.

**Spokane County Management Principles**

The Spokane County Commissioners are stewards of the County and elected to provide services to the public. They are accountable to the public.

County employees are agents of the Commissioners and serve as information brokers and resource linkers between the County and the public. Employees must know and understand the County, its goals, functions and operations.

In order to deliver service efficiently, the County Commissioners support the centralized coordination of County activities, including finance, purchasing and the continued automation of County operations. We also support an ongoing training program for managers and employees. Training will include job orientation, performance evaluation, supervisory training, enrichment and job-related training. We want to encourage the continuing education of the employee and manager.

We support innovation and creativity. We will hire and promote employees who strive to be good problem solvers and take calculated risks.

We support all efforts to increase the number of women and minority employees.

In order to promote the effective and efficient management of County Government, we are agreed that:

- Managers will be well-trained to enable them to set goals and policies within their department that support the Spokane County Management Principles.
- Managers will have clear direction for how they are to perform.
- Managers will be assisted in a Management Planning Process which will include employee accountability and evaluation through clearly defined department objectives.

Spokane Board of County Commissioners
May 21, 1989

Source: Kelsey Gray, WSU, Cooperative Extension
Kitsap County Management Philosophy

Communication

The success of the organization depends on effective communication. Effective communication is open and responsive. It requires mutual trust and respect:

- between employees;
- between supervisors and employees;
- between departments;
- and with the public.

Communication is effective when information is shared on a basis that is regular, timely and complete.

Recognition

Employees should be recognized for good performance. Recognition improves morale, encourages excellence and promotes loyalty. It should be a management priority that is exercised regularly.

Training

Training increases employee skills and productivity and it helps employees realize their potential. Training is essential to keep employees' knowledge current in their fields of expertise and skills up-to-date with changes in technology.

Training can stimulate creativity, increase enthusiasm for the job, expose employees to new ideas, and increase self-esteem.

Training opportunities would be given to provide for skill enhancement and career advancement.

Service

Kitsap County exists to provide the services the community needs within the resources available. It is incumbent upon us as public servants to provide the highest quality of service possible in a manner that is friendly, courteous and responsive. The quality of that service depends on the professionalism and integrity of our staff and their desire and ability to be efficient, accurate, timely and consistent in their work.

Innovation

We strive for excellence by welcoming new ideas from employees, encouraging creativity and rewarding initiative.

Source: Kelsey Gray, WSU Cooperative Extension
Sample Mission Statements

Satellite Senior Homes serves low and moderate income elderly of all races, creeds, and colors, by providing quality subsidized housing and services to support and maintain a high quality of life.

********************

The Volunteers-In-Partnership committee strengthens the partnerships between Oregon State University Extension service and its volunteers. VIP supports and provides directions to Extension volunteer managers by coordinating and providing training, resources and recognition.

********************

The Oregon State University Extension Service educates Oregonians by delivering research-based, objective information to help them solve problems, develop leadership, and manage resources wisely.

********************

Our mission is to improve security, health and quality of life for the people of Marion County through Excellence in public service.
MISSION

Mission is a long-term vision of what the organization is or is striving to become

Basic issue: "What is our business—and what should it be?"
HOSPICE OF SPOKANE

is a non-profit, community-based organization. Hospice provides direct support and care to the dying, their loved ones, and support to the grieving. The client's dignity and personal choice is respected. Care is provided by an interdisciplinary team, including physicians, nurses, social workers, counselors, volunteers and spiritual counselors.
Figure 2. Three basic elements of the organizational mission
CRITERIA FOR EVALUATING MISSION STATEMENTS

1. The mission statement is clear and understandable, especially by rank-and-file employees.

2. The mission statement is brief enough for most people to keep it in mind.

3. The mission statement clearly specifies what business the organization is in. This includes clear sentences about:

   a. "What" customer or client needs the organization is attempting to fill, not what products or services are offered.

   b. "Who" are the organization's primary customers or clients.

   c. "How" does the organization plan to go about its business, that is, what are its primary technologies.

Source: University Associates
VALUE OF MISSION FORMULATION

- Determine competitive arena in which organization operates
- Determine how resources are to be allocated to different demands
- Determine size of the organization
- "If you do not know where you are going, you can go by any route!"

Source: University Associates
Facilitating the Strategic Management of Change

SWOT
Strengths, Weaknesses, Opportunities, and Threats


SWOT (Strengths, Weaknesses, Opportunities, Threats)

Users note. The facilitator is now ready to have participants evaluate the strengths, weaknesses, opportunities and threats of the organization. This will help identify strategic issues, goals, and implementation plans.

SWOT analysis provides a reality check on the work done during the environmental scan, values audit, and mission formulation phases. This is an important filter for identifying the most critical issues to be addressed in the goal setting phase. It establishes a benchmark of capability against which future goals can be tested.

Purpose

To identify emerging external opportunities and threats that may impact the organization's ability to achieve its desired future, and to analyze the organization's internal strengths and weaknesses for meeting these opportunities and threats.

- To build on known strengths
- To avoid weaknesses or manage them by changing to strengths
- To leverage opportunities
- To be sensitive to threats

Activity

Divide the group into four groups:

- one to address the strengths of the organization;
- one its weaknesses;
- one the opportunities; and
- another the probable threats to the organization
Each of the four groups should contain representatives from all of the organization's elements. Each group is asked to come up with a prioritized list of what it is addressing: strengths, weaknesses, opportunities or threats. Groups are also asked to indicate on a scale from low to high the probability that they would expect an opportunity would present itself or that a particular threat would have to be faced.

When the groups have concluded their deliberations and have recorded their results, each group selects a reporter to report its conclusions back to the entire group. The facilitator works toward group agreement with the subcommittee conclusions. The statements are retained to be reviewed before goal setting and to be included in the final report.
Facilitating the Strategic Management of Change

Strategic Issues
Strategic issues

*Users note. The sixth step in the strategic management process involves identification of strategic issues. This section defines strategic issues and how the group might process those issues identified.*

Definitions of Strategic Issues

“A fundamental policy choice affecting an organization’s mandates, mission, values, product or service level and mix, clients or users, cost, financing, organization, and management.”

— John Bryson, 1988

“... a problem or opportunity that, if action is not taken on it now, is likely to saddle the organization with unbearable future costs.”

— Douglas Eadie, 1989

The identification of strategic issues relates to the fundamental questions of the organization’s mandates, mission and values. It also relates to the clientele, the types of products and services needed, management and budgeting issues.

The strategic issues often involve conflicts of issues such as what ends the issues lead to, the philosophy, the location, when the issues will be addressed and who are to benefit.

Three concerns must be addressed when examining strategic issues.

First, the issue must be described concisely, in a brief paragraph. The issue is often framed as a question that the organization can do something about.

Second, the policy questions need to be addressed. What makes this a strategic issue? Factors such as the mandates, vision, mission, values, etc. need to be listed. The framing of the strategic issue is very important.

Third, it is critical to examine the consequences of not addressing the issues. This should be done thoughtfully—and examined. If there are no consequences, it is not an issue.
Strategic issues involve

1. What (outcomes): products, services
2. How (methods): structure, process
3. Why (philosophy): values
4. Where (location)
5. When (timing)
6. Who (advantaged and disadvantaged groups)

"What should the scope of our services be?"

"What type of clients should we serve?"

"What kinds of technology should be used?"

"What quality of service should we provide?"

"What type of organizational image should we try to project?"

"What are our fundamental objectives?"
Conducting a Strategic Issue Analysis

1. Review mandates, mission, SWOT
   a. Technique for using SWOT is to construct a SWOT Matrix. On one side of a two by two matrix list strengths and weaknesses and on the other side list opportunities and threats.
   b. Identify patterns when the two sides are examined together. The following patterns may emerge.

<table>
<thead>
<tr>
<th>Opportunities</th>
<th>Strengths</th>
<th>Weaknesses</th>
</tr>
</thead>
<tbody>
<tr>
<td>High Potential</td>
<td>Problematic</td>
<td></td>
</tr>
<tr>
<td>Low Potential</td>
<td>Forget it</td>
<td></td>
</tr>
</tbody>
</table>

2. Identify strategic issues.
   a. Each issue should be phrased as a question that the organization can do something about.
   b. Place each issue on newsprint and group into similar categories.
   c. Reformulate the issue/question if needed.

3. Prioritize issues and focus on strategies.
   a. Test for “How Strategic” the issue is using questions like the following:
      * When will the challenge/opportunity confront you?
      * How broad an impact will it have?
      * How large will the financial risk/opportunity be?
      * How apparent is best approach for resolving the issue?
      * What are the probable consequences of not addressing the issue?

4. Is the issue on the agenda of the organization’s policy board or administrator?

5. Focus on issues, not on answers.

* Adapted from John Bryson, 1988
Benefits of Using Strategic Issues

1. Attention is focused on what is important.
2. Attention is focused on issues not answers.
3. Creates useful tension within the organization to prompt change.
4. Makes the strategic planning process real because it addresses “life and death” challenges and issues.
5. Raises three possibilities for action:
   a. No action is required.
   b. Issue/challenge/opportunity can be handled as part of regular business.
   c. An immediate response is required.

Activity

1. Divide into smaller working group using the mission of the organization as a basis for discussion.
2. Lead the group in a discussion of strategic issues.
3. Start by having each person fill out the worksheet for two issues.
4. Have each person share one issue with the group.
5. Continue round robin until all issues are listed on newsprint.
6. Select five issues on which most people agree.
7. Rephrase five issues into questions and list the consequences of not addressing the issue.
8. Bring sub-groups back together to report their issues and seek consensus to identify major ones.
**Users note. This page can be used to reach agreement on the top five key strategic issues. It provides a variety of ways the facilitator could use in reaching group agreement. Select the best method for your group.**

<table>
<thead>
<tr>
<th>Suggested Processes</th>
<th>Important Questions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Win/Win (Consensus)</td>
<td>“There’s agreement here. Can you live with this decision?”</td>
</tr>
<tr>
<td></td>
<td>“Are there any objectives to following this plan of action?”</td>
</tr>
<tr>
<td></td>
<td>“Let’s draw a matrix list of alternatives. List our criteria. This is one way to analyze this.”</td>
</tr>
<tr>
<td>Rank Order</td>
<td>“Let’s all decide to take a vote and see which issues are important to you? Use dots, hands, or some other method to set priorities.”</td>
</tr>
<tr>
<td>Both/And</td>
<td>“Can it be both? Do we need to choose one or another?”</td>
</tr>
<tr>
<td></td>
<td>“You have agreed on these issues. It seems we differ on how to implement. Can we look at what we agree on?”</td>
</tr>
</tbody>
</table>
Suggested Processes

**Step Back**

**Important Questions**

"I thought we were in agreement, but I sense disagreement on a major point. Want to look at it?"

"Are we moving too fast? I sense some people are not quite ready to commit to this plan. What are your concerns?"

**Group Decision Making**

"Let's check how this is working. How do you stand right now?"

"Any alternative you cannot live with?"

"What will happen now? How will this be implemented? Who will be responsible? Whose support do we need? How are we getting the plan out to our clients and stakeholders?"
1. What is the issue? (What is the conflict?)

2. Frame it as a question?

3. What are the consequences of not addressing this issue?
Facilitating the Strategic Management of Change

Goals
Goal Indentification: Definitions

Mission
A long-term vision of what the group is, or what it is striving to become.

EXAMPLE: The Small Town Development Task Force is voluntary group composed of concerned citizens. The purpose of the group is to stay aware of changing situations both within the town and in the larger environment; to provide leadership when problems need to be addressed or opportunities seized; to develop recommendations to other groups when action steps need to be taken. The task force’s philosophy is that to continue as a viable community in a changing economy, only we can understand the unique needs and capabilities of Name of Town.

Goal
A target for medium to long-range accomplishment. A direction to move in. A description of what you want to achieve in general terms.

Goal 1. To maintain a viable business district in our town.

Goal 2. To participate in a marketing strategy which serves the larger region.

Objective
A short-term, practical, and specific target related to the goal. A description of what we need to do to reach the goal.

Goal 1. Objective 1. To identify how existing businesses can be strengthened.

Objective 2. To identify possible new businesses which can be attracted to our community.

Objective 3. To improve the appearance of main street and entryways to our town.

Goal 2. Objective 1. To develop a positive image for our town.

Objective 2. To transmit information between our town and the economic development district as part of the regional development strategy.
Action item

Specific tasks that need to be carried out to reach the objective

<table>
<thead>
<tr>
<th>Example: Task (What)</th>
<th>Who</th>
<th>When</th>
<th>Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Review information existing businesses which has already been collected.</td>
<td>John G.</td>
<td>10/15</td>
<td>PEDC, Port city clerk</td>
</tr>
<tr>
<td>2. Decide what additional information is needed.</td>
<td>Task Force</td>
<td>11/20</td>
<td></td>
</tr>
<tr>
<td>3. Interview business owners.</td>
<td>John, Mary</td>
<td>12/88 to 2/89</td>
<td>interview forms</td>
</tr>
</tbody>
</table>
Goal setting

Goal objectives and activities
—adapted from material by Meredith Wesby

Every program of volunteer service has goals. Sometimes written statements of goals have not been developed. Consequently goals are vague or incorrectly perceived, resulting in a lack of clearly defined program focus. To clarify the purpose of volunteer services, to ensure smooth program operation, and to provide a gauge for the measurement of progress, planners should develop carefully written statements of goals, objectives and activities.

Goals are reached through objectives. Activities are planned to achieve objectives. The following example illustrates these relationships and explains the differences.

Example:

Goal: To develop and implement a mechanism for enhancing the programs and services of this agency through volunteer involvement.

Objective: To recruit, screen, train, and assign volunteers to fill 50% of the identified positions by June 30 of next year.

Activity: To arrange meetings with six local service organizations during the first two months of the program, for the purpose of recruiting volunteers.

Elements of Goals

1. Goals need to be consistent with the identified needs of client, agency and community.
   Goals which are not responsive to the problem or are not consistent with agency goals and objectives lead to failure. The appropriateness of goal statements must be the planner's top priority.

2. Goals are written and prioritized.
   To avoid vagueness and make sure the purpose of volunteer services is clear, goals should be stated in print. By listing goals in order of decreasing importance of significance, goal priorities are immediately evident.

3. Goals are accessible to clients, staff, volunteers, and the community.
   Goals which are not publicized are unknown and useless. Statements of goals, posted or distributed in printed materials, spread awareness of the purpose and value of volunteer services.

4. Goals are actively pursued.
   Goals which are not pursued are meaningless.

Elements of objectives

1. Objectives possess all qualities of goals.
   Objectives are components of goals and share all the characteristics of goals. Objectives are consistent with identified needs, written and prioritized, accessible, and actively pursued.
2. Objectives are specific.
   Objectives describe a precise state of affairs. The more specific objectives are, the better they will serve as a yardstick for measuring progress. Example: “to recruit, screen, train, and assign volunteers…”

3. Objectives are measurable.
   Because objectives can be measured, they show how much progress toward achievement of objectives has been made. By measuring that progress, progress toward achieving the goals can be determined. The ability to measure progress lets management correct, modify, or improve the program.

4. Objectives are related to a specific time frame.
   A deadline is necessary not only for the desired progress in achieving objectives, but also to measure that progress. Example: “to recruit, screen, train, and assign volunteers…”

5. Objectives are result-oriented.
   Objectives describe the specific results which are required to achieve a certain goal. Goal statements likewise describe results, but in a less specific manner.

6. Objectives are realistic.
   Unattainable or irrelevant objectives thwart goal achievement and lead to morale problems.

7. Several objectives may meet each goal.

**Elements of activities**

1. Activities possess all qualities of objectives and goals.
   Activities are components of objectives and, as such, share all the characteristics of both objectives and goals. Activities are consistent with identified needs, written and prioritized, accessible, and actively pursued. They are specific, measurable, and realistic statements which are results-oriented and related to a specific time frame.

2. Activities are discrete and specific actions.
   An integrated set of activities describes the action necessary to achieve an objective. An activity is one specific, discrete action.
Purpose, goal, objective outline

Purpose of our organization:

Goal statement:

Source: OSU Extension Family Community Leadership Training Notebook
Goal identification

Users note. This section will provide definitions, give examples of properly worded goals, and assist participants in constructing organizational goals. Facilitators can select the methodology that would best fit their group’s needs.

Purpose

To identify and establish organizational goals.

Goals

Within an organization there are four key elements which influence its effective workings. Those components are goals, environment, tension and procedures. For the purpose of this section, we will be looking at the goals.

The goals describe the purpose or mission of the organization. The goal category includes objectives of the particular group as well as personal goals of each member. This approach in developing goals is most effective when there is fairly broad and deep agreement of the organization’s mission. It is also most effective when there is a hierarchal authority structure with leaders at the top who can impose the goals on the rest of the system (Bryson and Einsweiler, 1988).

Goals should be developed with the following criteria in mind. They should be: 1) future oriented, 2) broad, 3) measurable, 4) action oriented (therefore it must have a verb), and 5) outcome specified.

Examples of goals statements are:

Strengthen the capacity of the community to manage resources to address problems.

Maintaining a safe, wholesome, nutritious food supply.
Goals

Purpose

To identify key goals and objectives for the organization

To provide concrete direction

Suggested Processes

Identifying Goals

Brainstorm

Important Questions

“Based on the information we have, what do you see as a goal?”

“What are critical issues that must be addressed?”

“How would we state it as a goal statement?”

Getting Agreement

“Do you agree that these are statements of the most important goals?”

Prioritize

“What is the most important goal of those listed?”
Activity

Nominal group process

1. Ask question: “Based on all the information covered so far, plus your personal desires for the organization and your knowledge of other members of the organization, what do you feel should be our goals for the next three to five years?”

2. Provide a response sheet with this question at the top or write the question on an easel.

3. Divide the group into groups of 5-7 for idea recording. Each group selects a recorder to write down all the ideas on a flip chart. Brainstorming rules apply, all ideas are valid, no evaluation, no lobbying.

4. Review information and group or categorize ideas.

5. Subgroup members vote for top four ideas.

6. Groups reconvene and group examines all the priority issues.

7. Five to eight priorities should be identified.

8. The planning committee comes up with top priority goals of the organization. Check goals against results of sensing surveys, values audit, environmental scan findings and SWOT.

9. The planning committee comes up with top priority goals of the organization. Check goals against results of sensing surveys, values audit, environmental scan findings and SWOT.

Ground rules

Go round robin
Record without editing
No evaluation or criticism
No lobbying of one's own idea
Strategic Management Worksheet

Goals: ____________________________________________

Objectives: ____________________________________________

Action Item: ____________________________________________

What:__________________________________________

What needs to be done?

Management Functions:
- Planning
- Organization
- Staffing
- Training
- Implementation
- Coordination

Who:__________________________________________

Who needs to be involved?
- Target Audience
- Key organizations
- Key individuals
- Who is committed to the action?
- Who might be opposed?
- Who does the work?

Where:__________________________________________

Where will the activity take place?
(local, county, state, national, international)
How:
Detail Action Plan
Meetings
Workshops
Communications
etc.

Resources Needed:
Cost
Time
Materials

Evaluation:
Who will monitor the process?
How will we know when item is
accomplished? (outcome)

Timeline:

Date:
Activities:

Source: Kelsey Gray, WSU Cooperative Extension
Community economic development goals

Goal 1

Goal 2

Goal 3

Goal 4

Goal 5

Source: Faas and Gray, WSU Cooperative Extension
Goals and objectives

Goal # __________:

Objective 1

Responsibility: _______________________

Objective 2

Responsibility: _______________________

Objective 3

Responsibility: _______________________

Objective 4

Responsibility: _______________________

Source: Mike Cady, Palosue Rural Development Project, Whitman Regional Planning & Resource Council, Colfax, WA
Task #: ____________________

Deadline: ____________________

Sub Tasks:

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
Obstacle consideration

*Users note. Each time a goal is established it is valuable to evaluate those things that would prevent that goal from being accomplished.*

**Purpose**
- To identify obstacles that might prevent goal attainment.
- To identify any insurmountable obstacles.
- To suggest required plan modifications.

**Concept**
Few organizations actually achieve the goals they set for themselves. In part, this is due to failure to adequately consider the obstacles ahead.

**People are motivated by**
- Achievement
- Affiliation
- Power

**Risk-level members willing to undertake:**

<table>
<thead>
<tr>
<th></th>
<th>Low</th>
<th>Medium</th>
<th>High</th>
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</thead>
<tbody>
<tr>
<td>Affiliation</td>
<td></td>
<td>Achievement</td>
<td>Power</td>
</tr>
</tbody>
</table>
Activity

The nominal group process should have produced a listing of the top five to eight goals for the organization. The next step is to assign a table to each of the priorities. Participants are asked to choose the priority that interests them most and go to that table. If a lot of participants are concentrated at one table and few at another, participants can be asked to go to the table of their second choice, to equalize the number of people considering each goal. If there are goals that no one cares enough to work on, it probably suggests that that's a goal that is not likely to be carried out by the organization anyway and the group could consider eliminating it.

The group at each table is first asked to write up a brief description of what the present situation is as it relates to that goal and then what the members would like to see the situation be for the organization in three to five years. Once each of the subgroups has completed these two steps, the subgroups are asked to brainstorm obstacles that are likely to prevent the organization from achieving the goal. The obstacles are listed on flip chart paper.

The members within each of the subcommittees are asked to look at the list and determine if any of the obstacles are so great as to be insurmountable with anticipated resources. If there are obstacles that are likely to be insurmountable, the group should recommend that this goal not be undertaken because the probability for success is so low.

Where surmountable obstacles are identified, the group should prepare a list of actions that would help overcome those obstacles.

Once all of the groups have completed these tasks, they report their results back to the entire committee. Their findings are discussed by the entire group. The committee then decides which priorities to retain for its strategic plan, and whether any goals need to be modified.
Facilitating the Strategic Management of Change

Implementation
Implementation

Users note. The last step in strategic management is implementation of the adapted plan. It should be recognized that implementation is an important step to consider throughout the process. The following pages will help demonstrate that point.

Many think that once the strategic plan is completed and adopted, all is done! The real truth is that the work has just begun. Any plan, no matter how good, needs to be monitored, adjusted if necessary, and updated accordingly.

Good plans require good implementation strategies and good implementation strategies don’t just happen. As is the truth in most cases of organizational change, one must address certain barriers.

John M. Bryson, in his book Strategic Planning for Public and Nonprofit Organizations identifies four barriers (challenges) concerning the implementation of strategic plans:

1. The first is the human problem. Have key people given attention to the details of implementation? Are they committed to dealing with conflicts that may arise? Are they open to new ways of doing things? Will policies of the past serve to implement new directions or do they need to be modified? Bryson suggests that people can handle about seven ideas at a time, numbers beyond that may cause people to not fully appreciate what is being presented to them. It is important to identify what is important, and focus on those few issues in the implementation phase.

An executive at one non-profit group was being pressured to give definition to the organization’s purpose, its mission in life. Giving in, a three day retreat was planned with the leadership. A third party facilitated the strategic management activity and the group came to agreement on mission, goals, objectives, etc. Evaluating the effort twelve months later graphically demonstrated that the chief executive was not committed to full implementation. The organization still casts the mission statement about, but real implementation of plan goals were deferred. Why? Clearly, the chief executive was not fully committed to its implementation. He may have feared loss of power and authority, it may have been “overload” of ideas, or it may have been inexperience that eventually broke down the implementation phase of strategic planning.
Following a new course of action can be risky. Bryson suggests that public organizations are not always open to risk taking. He suggests that “...employers must systematically make enough small mistakes so that they can learn, but not enough big mistakes so that they are punished.” (Bryson, John M., 1990. *Strategic Planning For Public and Nonprofit Organizations*. Jossey-Bass Publishers, San Francisco, Oxford, p. 203.)

People’s interaction in work groups can also cause problems for the implementation of planning efforts. Bryson states that groups can:

a) Inhibit the planning process through strong group pressures to conform.

b) Not fully disclose or discuss needed information in the planning phase in an effort to minimize internal conflict during the implementation phase.

c) Become so homogenous in nature that it is very difficult for them to think strategically.

Planning efforts should take into consideration these factors of conforming, minimization of internal conflict, and group homogenization (group think).

2. The second barrier deals with the planning process itself. People must understand the process and see that its purpose and outcome will produce a workable product.

   Facilitators of the strategic management process should be aware of potential process barriers that reduce participation:

   a) One may be connected with jargon. Do people understand the words and terms you are using? Are they too technical? We all become so familiar with terminology that we do not recognize that others are not “tracking” with us.

   b) Are participants on top of a steep gradient? Do they understand what the final outcome will be and how it will be produced? If not, back up and review previous steps.

   c) To some, the information or process being shared may be too abstract. People need to be able to relate the process to real-life examples. Is this planning activity just theory or does it have real application?

   Many times in the strategic management process, someone must sell new ideas that surfaced through the planning activities. New ideas may threaten the status quo and therefore meet stiff resistance. However, for the planning to be effective, often an organization must find some way to transition from the old ways of doing things to new ways. Bryson suggests that five principles can be applied to the management of ideas:

   “1. Necessity and threat, but also opportunity, are the mothers of invention.

   2. Ideas flourish in organized anarchies, but implementation of those ideas is difficult.

   3. Ideas are rallying points for collective action. They transcend isolated people and organizations. People and structures are the by-products of changing ideas.

   4. Ideas times resources equals power.

   5. After a good idea dies, give it a funeral or wake.”
3. The third barrier relates to a structured problem. How will the plan be implemented so that the overall mission of the organization is accomplished, but also that the individual departments still function effectively. Will policies adopted at one organizational level prove to be as effective at all other organizational levels? At times this is not the case. That illustrates the point that planning and implementation should be considered simultaneously. Implementation of the plan is a total organizational achievement, not the collective achievement of individuals and numerous departments. Effective implementation of strategies requires that all stakeholders be involved and supportive.

4. Bryson identifies the fourth barrier as institutional. If the plan calls for a transformation of an institution, how will this transformation be accomplished? Implementation must take into consideration institutional values, culture, its leadership style, mission, etc. To bring about institutional change, a strong leader will be required. Bryson states that “When it comes to strategic planning for organizations or communities, there is simply no substitute for effective leadership.”

Source: Bryson, *Strategic Planning For Public and Nonprofit Organizations*, p. 209.
**IMPLEMENTATION**

<table>
<thead>
<tr>
<th>Purpose</th>
<th>Provide skills to insure implementation of goals</th>
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<tbody>
<tr>
<td>Objectives</td>
<td>To develop an action plan</td>
</tr>
<tr>
<td></td>
<td>To understand how to prepare work plan</td>
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</table>
TO IDENTIFY STRATEGIC ISSUES FOR IMPLEMENTATION

Barriers to Implementation

I. Human Barriers
   1. Key people give attention to implementation
   2. Key people committed to deal with conflicts
   3. Key people open to new ways
   4. Focus on important issues (seven ideas)
   5. Able to deal with risk

   "...Employers must systematically make enough small mistakes so that they can learn, but not enough big mistakes so that they are punished."
   —Bryson

6. Work group experiences
   • Group pressures to conform
   • Level of discussions lacking in depth
   • Too homogeneous
II. Process Barriers

1. Jargon

2. Gradient

3. Abstraction

4. Transitioning from old to new
   - Necessity, threat, opportunity are mothers of invention
   - Difficult to implement ideas in anarchies
   - Ideas help rally collective action
   - Ideas + time + resources = power
   - Give dead ideas a funeral
III. Structure Barriers
   1. All stakeholders involved
   2. Function versus form
   3. How will policies affect all organization levels

IV. Institutional Barriers
   1. Values
   2. Culture
   3. Leadership styles
   4. Mission

"When it comes to strategic planning for organizations or communities, there is simply no substitute for effective leadership."

—Bryson
Activity

In action planning, the group determines what actions have to take place if the goals are to be accomplished. To do this, the goals that have made the "cut" from the process and the obstacle identification process are assigned to tables. The tables are provided with flip chart paper and magic markers and participants are asked to go to the goal that interests them most. Again, the members should be asked to have a second choice and some go to their second choice if too many have congregated around one of the goals.

A recorder for each group writes the name of the goal at the top of the sheet and then under the goal, writes the question "How Can This Be Done?" The group then records its ideas on what will be required to accomplish that particular goal. The facilitator should allow about five minutes for the groups to record all of their ideas. Then the groups are asked to rotate to another table, read through the list of suggested actions and add any ideas they can think of to the list. Again, about five minutes should be allowed for the groups to record their ideas. The groups are then asked to rotate once more to another table to repeat the process and continue the rotation and recording until all of the members have had an opportunity to provide their thinking on what would be required to implement the particular project. Finally, the groups are asked to return to the table from which they began, read through the list, and decide which are the most important or best suggestions from the list of actions.

Next each group takes a fresh sheet of flip chart paper and divides it into three columns. At the top of the first column write "What," at the top of the second column write "When" and at the top of the third column write "Who." Under the column titled "What" the group records the activities it feels are most important in order to accomplish the goal. When each of the groups have completed this, they report their deliberations back to the entire group. The entire group has an opportunity to discuss the recommendations.

Once the entire committee agrees on the proposed actions, the committee is asked to suggest when each of the listed items needs to be accomplished. The "When's" should be real dates like January 13, rather than listings such as "some time in the future" or "next fall" or "next spring?"

After the group has a completion date listed behind each of the activities, the entire group recommends or volunteers who will carry out all of these activities. It is recommended that no names of people who are not present at the meeting be written in the "Who" column behind the "When's." It is also recommended that the entire group take a realistic look at who is going to carry out the recommended actions. If most of the responsibility falls on the shoulders of a few, the probability of accomplishing the goals maybe reduced. In this case the committee may need to rethink whether to retain all of the goals, and whether they need to extend their time period.
Purpose

- To provide skills to help insure effective implementation of the most important goals.

Objectives

- To develop an effective action plan.
- To understand how to prepare work plan.
- To identify strategic issues for implementation.
Action Steps Worksheet

What major action within the existing structure must be taken within the next year to implement the strategies or proposals?

<table>
<thead>
<tr>
<th>Major Action #</th>
<th>Person Responsible</th>
<th>Timeline</th>
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</table>
Strategies

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<tr>
<th>Tasks</th>
<th>Person Responsible</th>
<th>Due Date</th>
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What are the major strategies we might pursue to achieve practical alternatives, dreams, or visions directly or to overcome the barriers to their realization?

Strategy #


Strategy #


Strategy #


Strategy #
Monitoring/evaluation

Purpose

Periodic monitoring of action plan implementation can help sustain the focus of participants on their goals and help bring about second-order change.

Monitoring is an evaluation tool and a reinforcement tool.

As a scheduled progress report, monitoring becomes an interactive link between participants and facilitator.

Data Needs

Documentary evidence

- Mission and goal statements
- Agendas and minutes of meetings
- Organization of all task forces or workgroups/reports
- Changes in administrative responsibilities
- New organizational incentives or sanctions
- Retreats or other cultural changes
- Changes in rules or standard operating procedures

Interview data—questions to be addressed by phone interviews and periodic site visits

- What are the activities, events, and outcomes (action plan and goals) anticipated from the intervention?
- How does the organization intend to attain these outcomes (goals)?
Monitoring/evaluation

How has the organization organized its activities?

What indicators will the organization use to assure itself about the initiation, implementation, and achievement of its goals (outcome)?

What barriers might we identify at the present time?

Organizing monitoring/evaluation

Monitoring and evaluation cannot be left to chance; it must be planned in advance. Two tools to help organize the process are the monitoring timeline and flow chart shown on the next two pages. The Demonstration Site Schedule: Pacific County (Goal Setting/Teambuilding) lays out a schedule for each task preceding and following the workshop(s), including monitoring every four months. The Flow Chart: Pacific County -- Goal Setting/Teambuilding Demonstration Site shows the activities conducted (left-hand column) and resulting goals set for the first year, second year and longer-term (right-hand columns). The middle columns show the planning and implementation steps agreed to during the intervention and the date each step was completed (in parentheses) along with the monitoring activity date {in brackets} which recorded the accomplishment.

Integrating monitoring and evaluation to achieve second-order change

Measurable objectives

Clearly defined responsibilities for implementation

Commitment to realistic timelines

Procedures for accountability that are reinforced by participants

Written documentation of accomplishments that are communicated and celebrated throughout the organization

Periodic progress reviews facilitated by external party

Over time, this concerted intervention and sustained interaction can result in lasting change in the local governments that will be self-reinforcing by the participants.

Source: Ronald C. Faas, WSU Cooperative Extension

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Organizational structure review

Purpose
To evaluate the need for changes within the organization

Activity
To assess the current structure’s capacity for plan implementation
To suggest structural changes
To suggest resource allocations

Most organizational structures evolved to meet past or present goals. The current structure may require changes if the organization is to accomplish its future priorities.

With the goals identified and actions planned, the committee can consider how well the existing or anticipated structure of the organization is prepared to accomplish its priorities. The committee should discuss the capacity of the present structure to achieve each priority. If the organization’s structure will prevent the assignment of adequate resources to top priorities, restructuring may be required. If the planning committee feels restructuring is called for, the recommendation should be included as a priority, and an action plan similar to those for the other priorities developed. Organization restructuring is not to be taken lightly. If it is to be achieved a separate working committee will probably be required.
Summary: Critical issue checklist

Critical issue check list

This check list asks the questions essential for a well thought through strategic management activity. Please review and see if your plan covers these items.

A. Introduction to applied strategic management

   1. Does the organization’s management group have the desire and commitment to follow the strategic management?
   2. Do you have the necessary sophistication to understand the strategic management model?
   3. Does the organization track the business cycle and use this information in its current planning process?

B. Roles of the members in strategic management

   1. Are the role of the key players clarified?
   2. Has a decision been made on who will fill each of those roles?
   3. Have the typical patterns of resistance been identified?
   4. Do you need some outside consultative assistance?

C. Planning to plan

   1. Do you have the leadership support?
   2. Has the time frame for the planning cycle been determined?
   3. Have all planning dates been scheduled?
   4. Do you have a proper contract?

D. Values audit

   1. Have the organization’s values been clearly surfaced?
   2. Have differences in values been clearly identified for resolution?
   3. Is the planning team aware of how unresolved differences in values can interfere with the planning process?
   4. Does the planning team have a strategy for dealing with these differences?
   5. Have the necessary resolution steps been initiated?
E. Mission Formulation

___ 1. Have the driving forces been prioritized?
___ 2. Has a distinctive competency been identified?
___ 3. Does the mission statement fully meet the criteria?

F. Management Principles

___ 1. Has the planning team determined what business the organization will be in?
___ 2. Is the organization’s orientation to risk explicit?
___ 3. Does the planning team understand the implications of risk orientation for planning purposes?
___ 4. Has the planning team selected an approach to competition (differentiation/cost/ focus)?
___ 5. Have critical success indicators been established?

G. SWOT Audit

___ 1. Has an analysis been completed on internal strengths and weaknesses?
___ 2. Has an analysis been completed on external threats and opportunities?
___ 3. Has a system been established for an ongoing competitor analysis?

H. Analysis of Strategic Issues

___ 1. Have the strategies been subjected to the “what, who, how?”
___ 2. Does the planning team understand the difficulty in trying to close all or several gaps simultaneously, even if the gaps could be easily closed individually?
___ 3. Has the planning team checked on the availability of resources for closing the gaps?
I. Goals

   1. Have the goals been determined?
   2. Have the potential obstacles been identified?
   3. Are the priorities set?

J. Action Plan

   1. Were all necessary plans developed and integrated prior to budgeting?
   2. Has a plan been developed for periodically monitoring the budget?

K. Implementation

   1. Does the organizational structure fit the strategic plan?
   2. Is there a general "buy-in" to the plan?
   3. Have structures been established to periodically monitor the degree of commitment to the plan?
Facilitating the Strategic Management of Change

Bibliography
Bibliography


Facilitating the Strategic Management of Change

Appendix
Snow Card Techniques

The Snow Card Technique is a method of brainstorming and processing group input in a relatively short time span. It can be used to address numerous organizational issues such as goal setting, long-range planning, strategizing, and problem solving. It is a very efficient method of generating ideas within a group, then putting them before the group so that the group owns them rather than any individual owning an idea. With this approach the group can work objectively with the information. Because the ideas are gathered on individual sheets then posted on a wall, they can be moved around, organized, grouped, and prioritized.

The tools needed for this process are simple:
- 8 1/2" x 11" paper, cut in half
- a role of drafting masking tape
- flip chart marking pens (all one color preferred)

The process is this:

a) Give each participant several sheets of paper, a marking pen, and a strip of masking tape (sticking it to the back of their chair works well). You can control the volume of ideas by limiting the number of sheets of paper given to each individual.

b) Have the participants write one idea per sheet of paper (or snow card). They should use the marker, write horizontally on the paper, and write legibly so that the writing can be read from a distance.

c) Once they’ve completed their allotted number of cards they tear off a piece of tape, roll it in a complete loop and stick it on the back of the card near the top.

d) Each individual then posts their cards on the wall in any order.

e) The group then begins a process of categorizing the cards. All ideas that are similar or carry the same theme are grouped. The title is written on another snow card. The title is either underlined or enclosed in a box or put on a different color paper, to visually set it apart from the others.

f) The group then eliminates the duplicates and combines similar ideas. As this occurs, those cards can be placed over top of each other, sticking together with the tape.
How facilitators deal with various behaviors

Facilitators may encounter several types of people while working with groups. There are some that know-it-all, some want decisions made immediately without discussion or conference, while some don’t know when to stop talking. In each case, facilitators need to develop a strategy for dealing with each situation.

(Leader: Cover each category but allow participants to share their strategy of dealing with each person. This will add to the list of solutions.)

<table>
<thead>
<tr>
<th>Behavior Types</th>
<th>Possible Strategy</th>
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<tbody>
<tr>
<td>Know-it-all</td>
<td>Turn the comments of a know-it-all over to peers. Check the facts with reality. Use consensus to help the group itself confront the person who “is always right.” Worst case scenario is that you may have to take them aside and suggest the need for others to have input into the process. Don’t allow yourself to get into long discussions that waste time and produce winners and losers.</td>
</tr>
<tr>
<td>Whisperers</td>
<td>Establish a ground rule that there will be no side conversations. If it continues ask them to share comments with entire group.</td>
</tr>
<tr>
<td>Grand-standers</td>
<td>Perhaps they could be given an active role such as a recorder, observer. Recognize expertise and guide it in a way that produces group energy.</td>
</tr>
<tr>
<td>Gripers/Whiners</td>
<td>Ground rule established about being positive. Turn “gripping” around into positive statements.</td>
</tr>
<tr>
<td>Talkers</td>
<td>Develop an agenda with time frames, establish ground rule about time limits concerning discussion, appointing a timekeeper, don’t recognize them with eye contact, where you stand as a facilitator can influence participation, direct discussion away from them, interrupt tactfully, and then redirect, ask for other opinions, perhaps, confront and suggest others need to be heard, take them aside and ask them for their help, nominal group techniques.</td>
</tr>
</tbody>
</table>

Source: Greg Tillson, Oregon State University Extension Service

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Late comers

Establish ground rule about starting on time, be punctual, don’t award behavior by going back and repeating, summarize what they missed at the break, start meeting without them.

Precise

Involve them in an active way in a subcommittee, give duties that they can research outside meeting, thank them for their eye for detail.

Argumentative/negativism

Don’t support negative feelings, restate in a positive way, ground rules established about being positive, ignore, don’t recognize, move on but don’t bring attention to statement, confront through asking what’s bothering them, don’t respond by agreeing with them, always keep your cool, use the group to confront the argumentative behavior.

Back stabbers

Confront one-on-one, determine why they are acting in this way, try to restore to positive contribution.

Own agenda

Use the group to counteract person with hidden agenda, poll the group, ground rule established concerning the good of the group, explore their personal interests, go over agenda and ask for additional items at beginning of meeting.

Shy/quiet

Ask for their opinion, use their own words, write down their response, thank them for contribution, ground rule of needing everyone’s opinion, round-robin approach to discussion, ask question of why/where/what/or how, break into small groups, use open ended questions, have them share feelings.

Tangent talkers

Ground rule stated that facilitator has the right to bring discussion back on target, restate tangent to get back on track, stop discussion and suggest it could be discussed further at the break, could let go if it seems it might lead somewhere important.
What should a facilitator do when the discussion lags, or someone is dominating the discussion, or conflict arises, or questions are asked in a way that the facilitator may have to make a group decisions? When it happens, being prepared will prevent “process stumbling.”

(Leader: go through each example. Ask for additional suggestions on what could be said.)

What to Say When

If the group can’t get started.....

Re-phrase meeting objectives, topics

Break into small groups and discuss topics, objectives

Ask for specific input from an individual

Invite a resource person to summarize information

Move on

If the group enters into conflict

Say the obvious: “We have two points of view”

Ask for other points of view

Demonstrate the need for many opinions in the problem solving process

Can it be settled at this time, if not, move on and assign committee to examine and recommend a course of action

If interruptions: “...let her finish her comments”

Source: Tillson, Greg. Oregon State University Extension Service

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If the group has lost its energy..... If the group has been on the topic too long, move on ("I think we have covered this point, let's move on.")

Check the pulse of the group, ask questions about how they are feeling concerning the topic

Stand up and have them walk around for a minute

Break into small groups with specific, assigned tasks

If the group goes on a tangent..... Ask the question: "Are we off the subject?"

Clarify the topic of discussion: "I believe we were discussing..."

Play like you're not sure where the group is: "Can someone tell me what is happening here? I am a little confused and lost."

Ask the rest of the group: "How do you feel about...?"

Thank them for their poing of view: "...but I would like to hear from..."

Ask for a group response—poll the group

Perhaps you will need to restate the ground rules: "...when we started, we said it was important for everyone to participate, therefore, I would like to hear from..."
If someone asks you to make a decision.....

They ask you (the facilitator) to decide which topic or subject to start on: "...well let's see what the group would like to start on..."

They ask for specific information on the topic: "...can someone in the group provide the answer to that question?"

Someone states they do not like the direction of the meeting: "...what direction do you think would be best to accomplish the meeting goal of..." Let them know that your role is not one of decision making: "...remember when I started, I shared what my role is in this process."

Establishing agreement.....

"What are the topics we are covering today?"

"Would someone summarize the position we will take on..."

"Did we decide to move on..."

"Do you feel we need to move on in order to get through all the agenda items?"

If someone becomes defensive.....

Don't cut them off, but offer "...I think you have a good idea, let's see how that fits into the agenda process/solution"

"I know you have struggled with this, so let's see how..."

"I'm glad you shared that concern. We need to hear from everyone."
Using context mapping for strategic planning

Presenter: Dr. Donna Ching
Extension Specialist in Community Leadership
College of Tropical Agriculture and Human Resources
2515 Campus Road, Room 110
Honolulu, Hawaii 96822

What will success look like for you

Picture yourself at the close of this presentation. The presentation has been successful and useful.

Now, think about what you need/want to get from the presentation to arrive at the success you visualized? What does success look like for you?

Expectations:

.

.

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Definition of context mapping

Context mapping involves discovering where you are today, deciding where you want to be in the future and determining how you are going to get there. All three activities have to accomplished within a certain “context.”
Environmental scan

Suggestions for using local trend data

At the macro level, there are several trends that impact local public sector and non-profit organizations. Many of these important trends are described in the article “Forces Reshaping America” in the *Futurist*, July-August, 1990. These trends include:

- Median age of the population will increase
- Median income of families will increase
- Community safety and home security will be of increasing concern

Some trends not mentioned in this list that may be relevant to the organizations of interest in this workshop include:

- Number employed in service industries
- Median education
- Total assessed valuation of property

Many of these indicators are available through census publications, but some must be dug out of more fugitive places such as directories and agency reports.

Some examples of trend data on a Utah county are provided for purposes of discussion and illustration. These graphs show trends and possible implications for public and non-profit organization in this Utah county.

List of graphs and implications for strategic management

Population size
- Number of persons to be served and to pay for services through taxes and contributions

Median age of population:
- Average age of population indicating any change in the number of young or old who will need selected services, and ability of people to pay taxes and contribute to services requiring a fee

Per capita income:
- Reflects the degree of disposable income and financial capacity to support selected services
Number of service establishments • Reflects changes in the relative distribution of employment positions. Shifts from manufacturing to service often mean lower wage rates and personal income

Total property taxes • Indicates changes in the ability of local residents to support the cost of government services. This is influenced by income received and willingness to tax income to pay for services

Expenditures on police protection • Indicates changes in willingness to provide police services, changes in the cost of services, or a response to level of criminal behavior (additional analysis is needed)

Farm industry earnings • In agriculturally dependent counties, this indicates the health of the local economy and potential disposable income. It is impacted by commodity prices, production costs and sales
Agenda planning

*Agenda planning is a process of thinking through the flow of topics to reach a desired outcome.*

Pre-meeting

Reasons for planning?

Guests or facilitator introduction

How meeting related to other departments in organization

Events which affect this meeting

(Empty all closets)

What is desired outcome?

Who is at meeting and what is their definition of success?

<table>
<thead>
<tr>
<th>Participants</th>
<th>Success</th>
</tr>
</thead>
</table>

Source: Yamashiro, UHCC

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Agenda

Who will be at the meeting?

Room

Purpose of meeting:

Desired outcome:

<table>
<thead>
<tr>
<th>Topic Areas</th>
<th>Who</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction</td>
<td>Leader</td>
<td>5 min</td>
</tr>
</tbody>
</table>

Source: Yamashiro, UHCC
Sample agenda: Strategic management problem solving

Desired Outcome:  • Agreement to develop a strategic management process

<table>
<thead>
<tr>
<th>What</th>
<th>How</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outcomes, Agenda, Roles, Ground rules</td>
<td>• Review  • Agree</td>
<td>3 Min</td>
</tr>
<tr>
<td>The Problem in office</td>
<td>• Review  • Q &amp; A</td>
<td>5 Min</td>
</tr>
<tr>
<td>• Low morale</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Low profile</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Goal</td>
<td>• Describe  • Q &amp; A</td>
<td>5 Min</td>
</tr>
<tr>
<td>The Problem</td>
<td>• Identify  • State it as a question</td>
<td>15 Min</td>
</tr>
<tr>
<td>Causes</td>
<td>• Brainstorm  • Define  • Prioritize</td>
<td>30 Min</td>
</tr>
<tr>
<td>Solutions</td>
<td>• Brainstorm  • Define  • Prioritize</td>
<td>15 Min 10 Min 15 Min</td>
</tr>
<tr>
<td>Action Plan</td>
<td>• Follow-up with who'll do what, when  • Set timetable</td>
<td>10 Min 5 Min</td>
</tr>
</tbody>
</table>

Source: Yamashiro, UHCC
Sample agenda: Information exchange meeting

Desired Outcomes:
- Employers buy into the process of planning
- Develop a better team spirit

**AGENDA**

<table>
<thead>
<tr>
<th>What</th>
<th>How</th>
<th>Who</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Welcome, Introductions</td>
<td>Introduce speakers</td>
<td>• Leader or</td>
<td>5 Min</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Facilitator</td>
<td></td>
</tr>
<tr>
<td>Outcomes, Agenda, Roles, Ground rules</td>
<td>• Review</td>
<td>• Facilitator</td>
<td>5 Min</td>
</tr>
<tr>
<td></td>
<td>• Agree</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overview of Strategic Planning Process</td>
<td>Present Questions and Answers</td>
<td>• Facilitator</td>
<td>10 Min</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• All</td>
<td>10 Min</td>
</tr>
<tr>
<td>Time/Commitments</td>
<td>Present Questions and Answers</td>
<td>• Leader</td>
<td>10 Min</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• All</td>
<td>10 Min</td>
</tr>
<tr>
<td>Additional Information Desired</td>
<td>• Brainstorm</td>
<td>• Facilitator</td>
<td>10 Min</td>
</tr>
<tr>
<td></td>
<td>• Agree</td>
<td>• All</td>
<td>10 Min</td>
</tr>
<tr>
<td>Closing Remarks, Meeting Evaluation</td>
<td>Present +/-change</td>
<td>• Facilitator</td>
<td>5 Min</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• All</td>
<td></td>
</tr>
</tbody>
</table>

Source: Yamashiro, UHCC
Team building

Benton County Strategic Planning Workshop: Team Building for Improved Management

Goals

1. To help Benton County elected officials, department heads, and supervisors identify management problems, reach consenses on priority common problems and goals, develop alternative solutions, and share ideas about implementation steps.

2. To build a team of elected officials, department heads, and supervisors to organize and implement a plan for improved management.

Objectives

1. Team building experiences, including get acquainted, sharing, communications, opportunities, participation.

2. Data collection about ourselves through a team building sensing interview process followed by small group discussion of results.

3. Application of data to test and reach agreement on goals, and to identify major issues or problems in accomplishing goals.

4. Cybernetic problem solving to establishing objectives and plans to accomplish goals.

5. Planning to develop implementation steps (who, what, when, where, how).

Basic Principle

No management program can be successful in county government without developing consensus about priority problems and commitment to their solutions by all elected officials, appointed department heads, and supervisors. Improved management will require a team effort throughout the organization.

Expectations

1. By end of first day, elected officials, department heads, and supervisors will have agreed on mission and goal statements supporting the solution of common problems.

2. By the end of the second day, will have specific objectives that will accomplish these goals; and

3. Will have outlined implementation steps to carry out those objectives.

Source: Ronald C. Faas, WSU Cooperative Extension
Consensus

Consensus is based on the term “to consent,” as to “grant permission.” To arrive at consensus is to give permission to go along with the total group (majority). The implication of consensus is that an individual can negotiate the terms by which he will grant this permission. Each individual has the right and obligation to make his terms known.

Contract Assumptions
All people are choosing beings
All persons are free to disagree
Freedom means he/she engages in discussion by choice
Compromise is not necessary
There is no one right answer

Procedure
Agree on the definition of consensus
Define the contract—suggested contract includes:
I will discuss my feelings
I will explain my needs/goals and concerns
I will let others know how important this issue is to me
I will listen to others’ opinions
I will respect others’ territorial needs for space, privacy, identity
I will negotiate
I will grant permission to the majority—with a minority report
I will abide by the contract
Define the issues
Each person explain their perception of the problem
Each person tell how important it is to him/her
List possible solutions
Each person define what they are willing to do

### Decision-making tally sheet

<table>
<thead>
<tr>
<th>Method</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unanimity</td>
<td>Everyone in the group agrees.</td>
</tr>
<tr>
<td>Consensus</td>
<td>An agreement which incorporates the views of all the members. It sometimes represents areas of agreement, rather than the complete beliefs of any one individual.</td>
</tr>
<tr>
<td>Survey</td>
<td>The leader takes a poll to see where members stand on the issue.</td>
</tr>
<tr>
<td>Majority vote</td>
<td>The group votes. The position supported by the majority of the members “wins.”</td>
</tr>
<tr>
<td>Minority win</td>
<td>A minority of the group supports the position, the majority of members tacitly agree or fail to express disagreement.</td>
</tr>
<tr>
<td>U-Haul</td>
<td>One or two members initiate and carries through to action.</td>
</tr>
<tr>
<td>Autocratic</td>
<td>Individual initiates and carries through action.</td>
</tr>
<tr>
<td>Omission of Avoidance</td>
<td>Group fails to make a decision by jumping to another topic or in some way delays decision-making. No decision is a decision, none the less.</td>
</tr>
<tr>
<td>Plop</td>
<td>One person initiates and it carries because the group does not respond, a decision by default.</td>
</tr>
<tr>
<td>Standards</td>
<td>Group makes the decision by referring to a set of guidelines or criteria.</td>
</tr>
</tbody>
</table>
## Advantages and disadvantages of decision-making methods

<table>
<thead>
<tr>
<th>Method of decision-making</th>
<th>Disadvantages</th>
<th>Advantages</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Decision by authority</td>
<td>One person is not a good resource for every decision; advantages of group interaction are lost; no commitment to implementing the decision is developed among other group members; resentment and disagreement may result in sabotage and deterioration of group effectiveness; resources of other members are not used.</td>
<td>Applies more to administrative needs; useful for simple, routine decisions; should be used when very little time is available to make the decision, when group members expect the designated leader to make the decision and when group members lack the skills and information to make the decision any other way.</td>
</tr>
<tr>
<td>2. Expert member</td>
<td>It is difficult to determine who the expert is; no commitment to implement the decision is built; advantages of group interaction are lost; resentment and disagreement may result in sabotage and deterioration of group effectiveness; resources of other members are not used.</td>
<td>Useful when the expertise of one person is so far superior to that of all other group members that little is to be gained by discussion; should be used when the need for membership action in implementing the decision is slight.</td>
</tr>
<tr>
<td>3. Average of members'</td>
<td>There is not enough interaction among group members for them to gain from each others resources and from the benefits of group discussion; no commitment to implement the decision is built; unresolved conflict and controversy may damage group effectiveness in the future.</td>
<td>Useful when it is difficult to get group members together to talk, when the decision is so urgent that there is no time for group discussion, when member commitment is not necessary for implementing the decision, and when group members lack the skills and information to make the decision any other way; applicable to simple, routing decisions.</td>
</tr>
<tr>
<td>opinions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Method of decision-making</td>
<td>Disadvantages</td>
<td>Advantages</td>
</tr>
<tr>
<td>---------------------------</td>
<td>---------------</td>
<td>------------</td>
</tr>
<tr>
<td>4. Decision by authority after discussion</td>
<td>Does not develop commitment to implement the decision; does not resolve the controversies and conflicts among group members; tends to create situations in which group members either compete to impress the designated leader or tell the leader what they think the leader wants to hear.</td>
<td>Uses the resources of the group members more than previous methods; gains some of the benefits of group discussion.</td>
</tr>
<tr>
<td>5. Majority control</td>
<td>Usually leaves an alienated minority which damages future group effectiveness; relevant resources of many group members may be lost; full commitment to implement the decision is absent; full benefit of group interaction is not obtained.</td>
<td>Can be used when sufficient time is lacking for decision by consensus or when the decision is not so important that consensus needs to be used and when complete member commitment is not necessary for implementing the decision; closes discussion on issues that are not highly important for the group.</td>
</tr>
<tr>
<td>6. Minority control</td>
<td>Does not utilize the resources of many group members; does not establish widespread commitment to implement the decision; unresolved conflict and controversy may damage future group effectiveness; not much benefit from group interaction.</td>
<td>Can be used when everyone cannot meet to make a decision, when the group is under such time pressure that it must delegate responsibility to a committee, when only a few members have any relevant resources, and when broad member commitment is not needed to implement the decision useful for simple, routine decisions.</td>
</tr>
<tr>
<td>Method of decision-making</td>
<td>Disadvantages</td>
<td>Advantages</td>
</tr>
<tr>
<td>---------------------------</td>
<td>--------------</td>
<td>------------</td>
</tr>
<tr>
<td>7. Consensus</td>
<td>Takes a great deal of time and psychological energy and a high level of member skill; time pressure must be minimal and there must be no emergency in progress.</td>
<td>Produces an innovative, creative, and high-quality decision; elicits commitment by all members to implement the decision; uses the resources of all members the future decision-making ability of the group is enhanced; useful in making serious important, and complex decisions to which all members are to be committed.</td>
</tr>
</tbody>
</table>

Two Day Strategic Planning Retreat  
Suggested Agenda

First Day

8:30-9:00  Introductions and Expectations
9:00-9:15  Agreement to Plan
• Procedural Agreements (ground rules)
• Desired Outcomes
Environmental Scan
9:15-9:45  Visioning (30 minutes)
9:45-10:15 External Environment (30 minutes)
• Trends
• Stakeholders
• Competitors/Collaborators
10:15-10:30 Break
10:30-11:00 Internal Environment (30 minutes)
• Resources
• Climate
11:00-11:30 Discussion of Values (individual participants)
11:30-12:00 Brainstorm List (on newsprint) of Underlying Assumptions in
Small Groups
Sharing of Lists with Large Group
12:00-1:00  Lunch
1:00-1:45  Exploration of Areas of Agreement
Impact on Reassessment of "Mission" or "Direction"
1:45-2:15  Brainstorm and Prioritize SWOT in Small Groups (on newsprint):
• Strengths
• Weaknesses
• Opportunities
• Threats
2:15-2:45  Groups discussing Strengths and Weaknesses share their
prioritized lists (10 minute presentation for each group with 5
minutes for larger group to add to list)
2:45-3:00  Break
3:00-3:30  Groups discussing Opportunities and Threats share their
prioritized lists (10 minute presentation for each group with 5
minutes for larger group to add to list)
3:30-4:00  Brainstorm List of Strategic Issues (large group "reframes"
information from SWOT into strategic issues)
4:00-4:30  Summary
Discussion of Tomorrow's Activities
Evaluation of Day's Activities
Opportunity in the evening for participants to socialize
Second Day

7:30- 8:30  Breakfast

8:30- 8:45  Summary of First Day's Work

8:45- 9:30  Brainstormed List of Strategic Issues Prioritized
             Small Groups Select and Discuss Issues of Highest Priority
             Questions to Consider (on newsprint):
               - What are important aspects of this issue?
               - How are we currently addressing this issue:
               - Who is being or will be affected
               - Where will changes need to take place?
               - What decisions have to be made to address this issue?
               - By when—timelines?

9:30-10:30  Small Groups Share Issues (larger group given an opportunity to
            provide feedback)

10:30-10:45 Break

10:45-11:15 Goals Determined (in light of strategic issues identified)

11:15-11:45 Goals Discussed in Small Groups
               • Relationship of Goals to Mission/Vision
               • Discuss Why this Goal is a Priority
               • Obstacles Considering

11:45-12:45 Lunch

12:45- 1:30  Small Groups Share Discussion of Goals (larger group given an
             opportunity to provide feedback)
             Goals Prioritized

1:30- 2:30  Development of Implementation Plans for Prioritized Goals
             • Resource Allocation
             • Action Plan
             • Periodic Evaluation of Progress

2:30- 2:45  Break

2:45- 3:45  Small Groups Share Implementation Plans (larger group given an
            opportunity to provide feedback)

3:45- 4:30  Summary of Strategic Planning Process
             Discussion of Follow-up Activities
             Evaluation of Day's Activities

Half an hour can be added to the beginning and/or end of the day. It is better to
over-estimate your time demands and end early than under-estimate and end late.

Donna Ching, 1992
Preparing for your Strategic Planning Retreat

Here are some questions to think about as you prepare for your Strategic Planning Retreat.

I. Agreement to Plan
   A. Ground rules
      • Listen as an ally
      • Sit with different people
      • Keep side conversations down
   B. Expectations for success
      1. What is going to have to happen at the retreat to enable you to feel it was a success?

II. Environmental Scan
   A. Visioning
      1. What is the best possible future you can envision for your organization? (If you can't dream of a better future, you can't have a better future.)
   B. External environment
      1. What are TRENDS in the external environment which may have impact on your organization?
      2. Identify STAKEHOLDERS in your organization's external environment who: (a) are impacted by, (b) can block implementation of or (c) will implement decisions made by the organization.
      3. Identify COMPETITORS in your organization's external environment who may have impact on the organization.
      4. Identify potential COLLABORATORS in your organization's external environment who the organization may work with in the future.
   C. Internal environment
      1. What RESOURCES and aspects of the current CLIMATE within your organization can help or hinder it from achieving its desired future?

III. Mission
   A. Values
      1. Your values drive the work you do. What are your most important work-related values?
   B. Underlying assumptions
      1. Given the values you have, you develop underlying assumptions about how the world operates. What are some of these work-related assumptions?
   C. Mission statement
      1. Are the values and underlying assumptions discussed above reflected in the organization's mission statement? If not, does the statement need to be updated?

IV. SWOT [At this point in the process, participants will be divided into four groups whose topics will be: (A) Strengths, (B) Weaknesses, (C) Opportunities and (D) Threats.]
   A. Strengths
      1. Prioritize the organization's most important strengths
   B. Weaknesses
      1. Prioritize the organization's most glaring weaknesses.
   C. Opportunities
      1. Prioritize opportunities the organization should consider as it plans for the future. Rank these opportunities in order of those which have a higher probability of presenting themselves.
D. Threats
1. Prioritize threats the organization must take into consideration as it plans for the future. Rank these threats in order of those which have a higher probability of presenting themselves.

V. Strategic issues
A. Definition: "...a problem or opportunity that, if action is not taken on it now, is likely to saddle the organization with unbearable future costs." Eadie, 1989.
1. The identification of strategic issues relates to the fundamental question of the organization's mandates, mission and values. It also relates to the clientele, the types of products and services needed, the management and the budgeting issues.
2. There are three concerns that must be addressed when examining strategic issues:
   a. The issue must be described concisely, in a brief paragraph. The issue is often framed as a question that the organization can do something about.
   b. The policy questions need to be addressed. What makes this a strategic issue? Factors such as mandates, vision, mission, values, etc. need to be listed. Framing strategic issues is very important.
   c. It is critical to examine the consequences of not addressing the issues. This should be done thoughtfully and examined. If there are no consequences, it is not an issue.

B. Issues
1. What are strategic issues for the organization to consider as it plans for the future?
2. Can you prioritize these issues?

VI. Goals
A. Obstacle considering
1. Given the issues prioritized in the last section, what are some goals which will help you address the most important issues? What are some potential obstacles which may prevent you from achieving these goals?

B. Priorities
1. Prioritize those goals which have the best potential of enabling you to achieve your desired future.

VII. Implementation
A. Resource Allocation
1. Think about the resources you will need to achieve your goals. How can resources be allocated so that goal achievement is possible?

B. Action plan
1. Think about an action plan that has to be developed to assure the achievement of your goals.

C. Evaluation
1. What method(s) of evaluation will you utilize to determine the progress you are making toward the achievement of your goals?
2. How will you evaluate the success of your action plan(s)?

VIII. Evaluation of Retreat
A. Things participants liked about the retreat.
B. Things about the retreat participants would like to see changed.