

**Series 1**  
**ORGANIZATIONAL**  
**DEVELOPMENT**

**VISION •**  
**Sustainability •**  
**Restructuring •**  
**Future Success •**  
• SWOT • DIVERSIFICATION  
**DEVELOPMENT •** Systems •  
**New Initiatives •**  
Strategic Focus

# Module 1

## Strategic Planning



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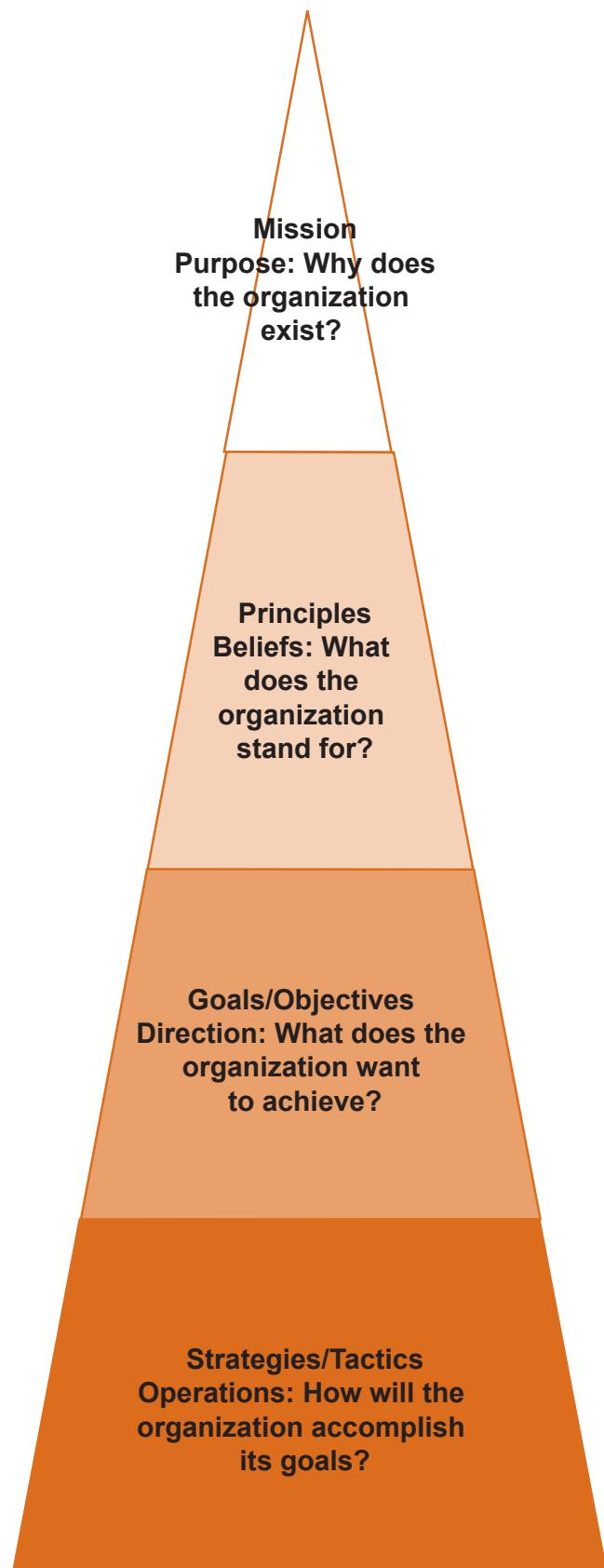
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# Planning with a Pyramid





# Introduction

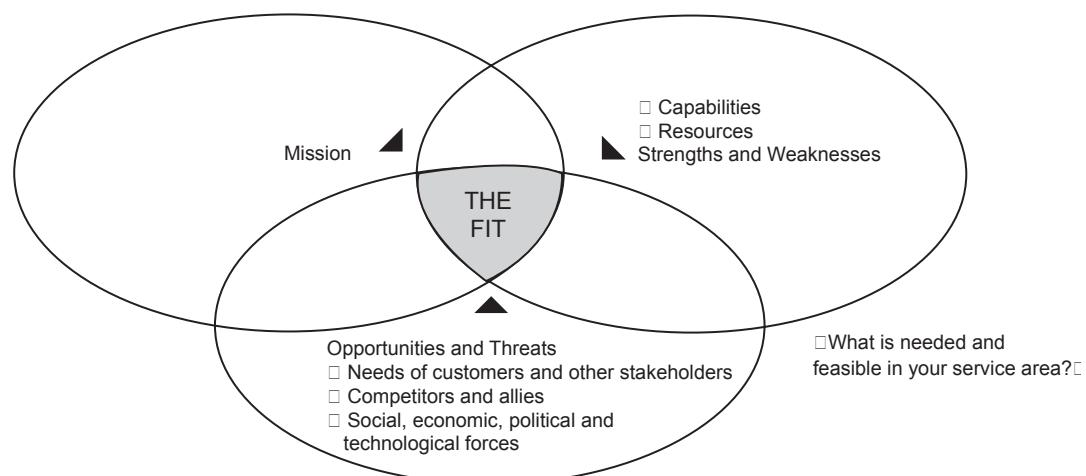
Strategic planning is one of the most challenging – and exciting – exercises an organization can undertake. Strategic planning allows an organization to make fundamental decisions or choices by taking a long-range view of **what** it hopes to accomplish and **how** it will do so. A strategic plan is built on a thorough analysis of the organization's existing structure, governance, staff, program or service mix, collaborations, and resources (financial, human, technical, and material). This analysis is vital because it allows an organization to perceive which of its above aspects it must change in order to achieve its goals. A well-developed strategic plan serves as a *blueprint* for making these changes because it describes the following:

- A *vision* for the future
- Strengths and weaknesses* of the organization
- The *nature of the changes* contemplated for future sustainable growth and development
- The *sequence* of these changes
- Those who are responsible* for guiding change
- The *resources required*, whether they currently exist within the organization or must be generated from external sources.

Figure 1 below shows how these and other issues “converge” in a plan that most fits the organization. A strategic plan represents an organization-wide consensus among staff, directors, and other stakeholders concerning what represents success and how it is to be achieved. It therefore allows a manager to approach the strategic plan’s activities with confidence. Strategic plans must be institutionalized so that they serve as the basis for performance standards, decision-making, planning, and resource mobilization and allocation. Strategic plans must also be systematically reviewed and revised so they remain topical, relevant, and “cutting edge.” The whole organization must embrace the plan so that the “daily decisions are then made on the basis of this plan, which must be both practical – based upon your organization’s mission – and flexible, to allow for rapid change.”<sup>1</sup>

What do we hope  
to accomplish?

What are you capable  
of doing?



[Source: Barry, Bryan W. *Strategic Planning Workbook for Non-profit Organizations*. [Revised and Updated]. Amherst H. Wilder Foundation, St. Paul, Minnesota. 1997]

<sup>1</sup> Verardo, Denzil. “Managing the Strategic Planning Process.” ASTD Info Line, Alexandria, VA, USA.

This module is designed to enable a manager and his or her staff to:

- Understand the strategic planning process and some of the differences between regular (or operational) and strategic planning.
- Organize a strategic planning exercise or workshop (See **Annex A** for the rationale behind such a workshop and a model workshop agenda.)
- Develop or review the organization's values, mission, and vision of success (strategic vision).
- Analyze the environment in which they work, and determine the strengths and weaknesses of the organization and the opportunities and threats in its external environment.
- Identify strategic issues and fundamental choices facing the organization.
- Develop goals, tactics, strategic objectives, and major activities to carry the organization forward in the direction desired.
- Determine what financial, human, technical, community, and other resources are needed to achieve the strategic plan, and outline the means by which these resources will be mobilized.
- Establish procedures for using, reviewing, revising, and evaluating the strategic plan.
- Gather data about the organization, including its performance and views of staff or key stakeholders (using, for example, self-assessment formats such as those in **Annex B**).

Any organization embarking on strategic planning must first decide if it is to be a major, one-time an event or a significant though periodic process, or geared towards outlining a change in roles or the way day-to-day operations are run. While the complete answer probably encompasses all of these goals, strategic planning must culminate in a significant change in the way daily business is conducted. Strategic planning should constitute a major modality—or a foundation—that supports participants' longer-range goals or vision. Therefore, those participating in strategic planning must be prepared to define their ideal future and core strategies necessary for preparing and monitoring consistent, meaningful annual operating plans and budgets. In other words, you must be able to clarify *where* you want to go, and *how* you will get there step-by-step.<sup>2</sup> ( See also Figure 2 for a schematic diagram of the Strategic Planning Process.)

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## ***Know the difference between strategic and operational planning...***

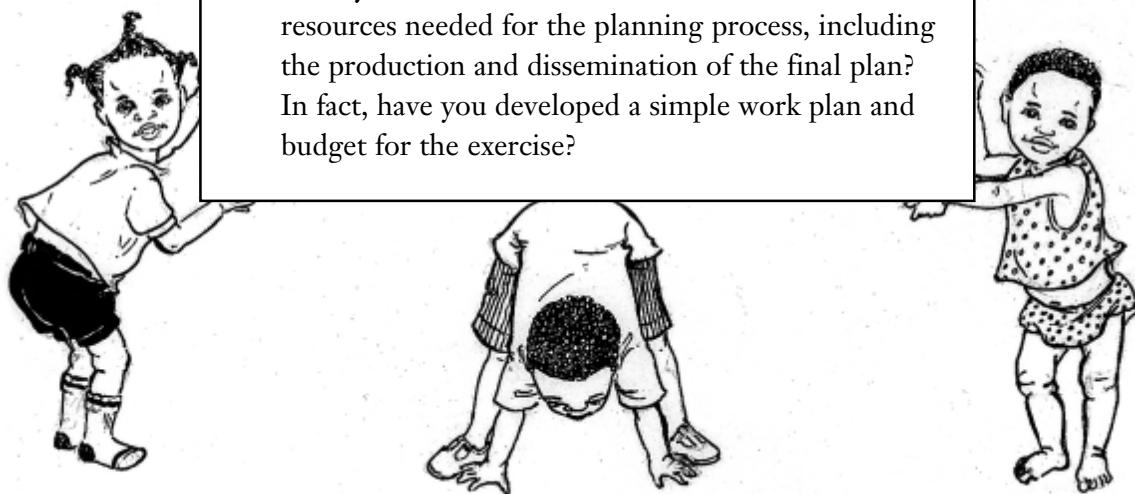
<b>Strategic Planning</b>	<b>Operational Planning</b>
<ul style="list-style-type: none"><li>► Long-term (usually 5-10 years)</li><li>► Focuses on future achievements and conditions</li><li>► Weighs a series of alternatives before making fundamental choices</li><li>► Usually integrates several functions, levels, components simultaneously</li><li>► Integrates strategies for resource mobilization with activities (sustainability plans)</li><li>► Usually requires ratification from governing structures</li></ul>	<ul style="list-style-type: none"><li>► Short-term (1 year or less)</li><li>► Achievements or targets annual</li><li>► Planned activities represent choices already made; alternatives are not considered</li><li>► Tend to focus on one unit or related set of activities</li><li>► Resources for implementation usually already identified</li><li>► No formal action or ratification required</li></ul>

<sup>2</sup>Adapted from Haines, Stephen G. **Successful Strategic Planning: Building a High-Performance Business**. Crisp Publications, Inc. Menlo Park, CA, USA. 1995.

## **Before you begin...**

Good strategic planning is a time- and labor-intensive process. Before you begin, it is important to ask some key questions:

- ➥ Have you consulted at all levels and fully explained the purposes and levels of involvement required for strategic planning?
- ➥ Have you assembled important background data and information about your organization and the environment in which you work, or created a team or teams to collect and review it?
- ➥ Have you determined whether an external facilitator is advisable given the size or nature of your planning group or organization?
- ➥ Have you included representatives of all levels of your organization in the planning process?
- ➥ Have you identified and allocated all of the financial resources needed for the planning process, including the production and dissemination of the final plan? In fact, have you developed a simple work plan and budget for the exercise?



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## **Know the benefits of strategic planning...**

A manager should be able to outline the benefits of strategic planning to others. These include:

- Motivating staff and volunteers.** Thinking about the future is a stimulating and energizing process. It can create a shared vision, with concrete ideas about how to surmount obstacles in order to achieve that vision.
- Building a planning team with a common vision.** The strategic plan that emerges from the process is generally more realistic and achievable, and working or interdependent relationships within the organization are strengthened.
- Confronting key issues and solving problems.** Strategic planning sets in motion a dynamic process that allows the organization to continually reassess, confront change, and grow within an agreed-upon framework.

- 
- Defining roles and responsibilities.** Measurable performance objectives are set and the person(s) who is responsible for specific activities is identified.
  - Challenging the status quo.** The process creates an open atmosphere, stressing the interests of the whole organization. It often answers the question “How can we do things better?” in a more systematic and thorough way.
  - Allowing busy managers and policy makers to concentrate** exclusively on the organization’s future for a short period of time, meaning that they will be able to focus their expertise and insights on self-assessment and planning future directions.
  - Explaining or exposing your organization to others, particularly donors.** A thoughtful and clear strategic plan is often a good marketing tool and can encourage donor support for the organization and its future directions.
  - Developing a renewed sense of organizational mission and consensus,** so that individual perspectives, roles, and problems are subsumed by an overall plan that coordinates all staff members and volunteers so that agreed-upon goals and objectives are achieved in a timely manner.

## **Know the limitations of strategic planning...**

- Strategic planning can be costly.** This is true in terms of staff time, costs of facilitation, venue, transportation, or materials, and “wear and tear” on interpersonal relationships as participants earnestly discuss differences in perspective. The costs may outweigh the benefits in some instances.
- Not every organization is ready for strategic planning.** Sometimes, especially with a new (or emerging) organization, it is better to focus on establishing efficient and effective systems, enhancing staff skills, consolidating the organizational image or good will, and acquiring resources needed for current operations before embarking on a future-oriented exercise.
- Sometimes, the plan itself becomes its own “raison d’être” and a strait jacket on creativity or responsiveness; sometimes the plan is just a response to perceived or real donor requirements.** In such an instance, participants are not really committed to the process and they do not feel “ownership” of the final plan.
- The language, terminology, and conceptual requirements associated with strategic planning are sometimes made too complex or difficult to be useful to staff or the organization as a whole.** Sometimes, too, expertise to prepare, write, or monitor the plan is lacking.
- Creating an “inclusive” process is sometimes interpreted as the need to close down the organization entirely during the process or to ask inappropriate staff to participate.** This often creates confusion and resentment. A process can be representative and inclusive without 100 % involvement. Still, be sure that those who will have major responsibilities for plan implementation or review are fully involved throughout.

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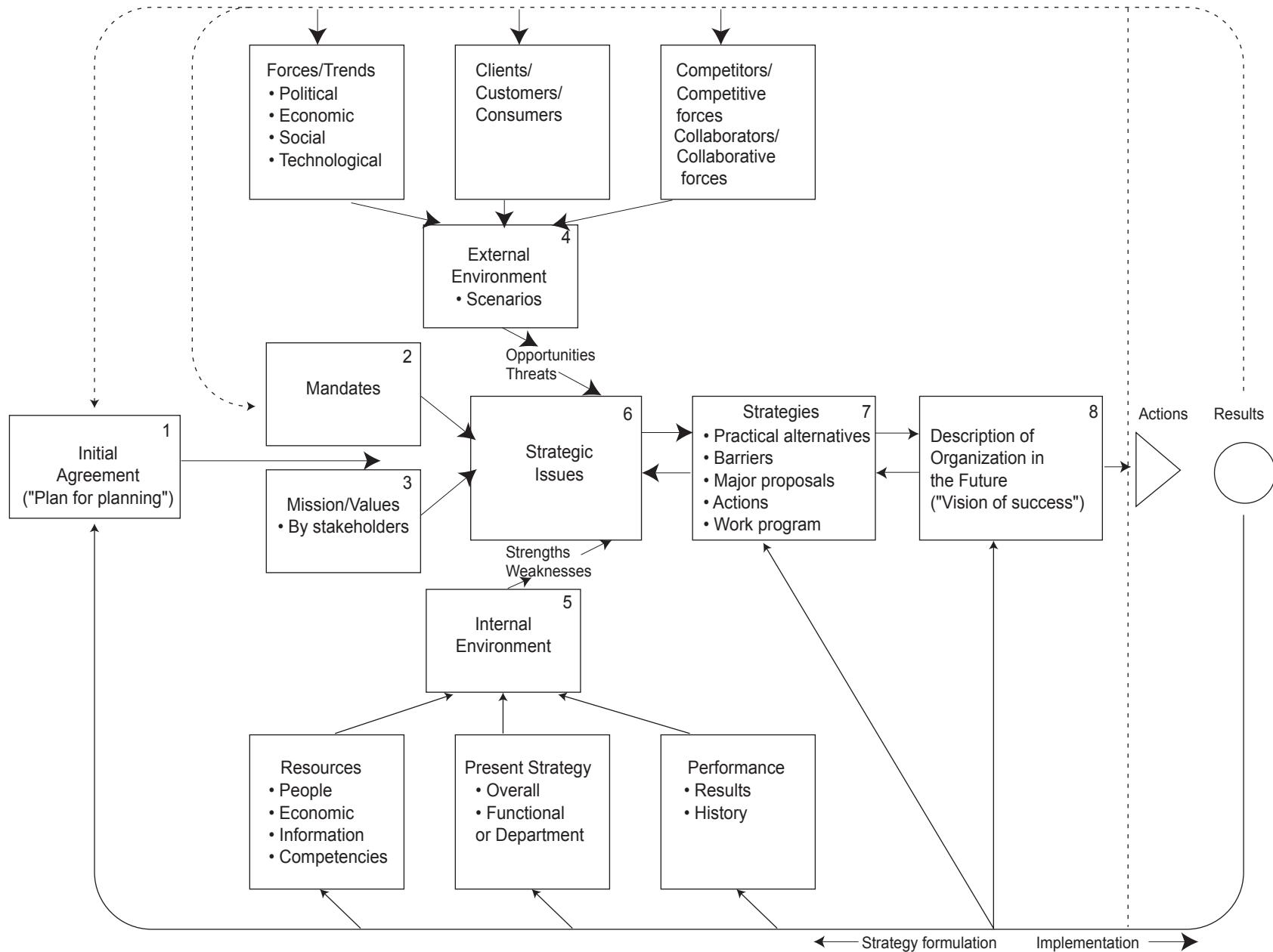
## **Know what the strategic planning process involves step by step...**

There are several steps in the strategic planning process. Many experts or facilitators vary the sequence of these steps, but there is general consensus about the most important ones to include.

- STEP A:** Analyze the shared values and experiences of staff and board. Plan a meeting or workshop to facilitate strategic planning.
- STEP B:** Review and update or prepare a Mission Statement for the organization.
- STEP C:** Analyze the organization's external environment ("PEST" – political, economic, social, and technological factors) and internal environment (resources or inputs, processes, and performance or outputs).
- STEP D:** Conduct a SWOT analysis (assessing the organization's internal strengths and weaknesses, and its external opportunities and threats).
- STEP E:** Create smaller groups for more in-depth planning activities in key areas.
- STEP F:** Review the organization's existing strategic plan (if there is one) to identify aspects of the plan that are still strategic, those that are no longer strategic due to changing environments, and gaps or new issues that should be addressed in a revised plan.
- STEP G:** Outline a vision of where the organization should be three to five years from today (the "vision of success").
- STEP H:** Identify the strategic issues facing the organization.
- STEP I:** Formulate goals and strategic objectives to address major issues facing the organization and ensure its longer term growth and sustainability.
- STEP J:** Develop work plans showing specific activities, persons responsible, resources needed, and indicators by which performance will be measured.
- STEP K:** Identify next steps for resource mobilization and create a sustainability and financial plan that costs activities and outlines approaches for generating sufficient revenue or funding.
- STEP L:** Prepare the written detailed five-year strategic plan (mission statement, environmental or situational analyses, strategic issues, goals and strategic objectives, activities plans, sustainability and financial plans, monitoring and evaluation procedures or cycles)
- STEP M:** Seek ratification and disseminate the plan to staff, stakeholders, and potential donors, using this as an opportunity to market the organization or to build useful working relationships and coalitions.
- STEP N:** Implement and institutionalize the plan as a basis for setting performance standards, decisionmaking, planning, monitoring, and resource mobilization and allocation. Use and review the plan systematically, updating or revising it after two or three years, if needed.

Figure 2

## Strategic Planning Process



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## **Remember...**

Managers can make strategic planning successful by:<sup>3</sup>



- Ensuring senior management commitment and willingness to make needed changes.
- Securing broad participation of volunteers, staff, community, and other groups or stakeholders.
- Identifying personnel with skills to carry out the plan.
- Communicating the plan to everyone.
- Conducting periodic review.

## **So...your organization has decided to prepare a strategic plan...**

“Strategic planning is developing a vision for the future... **and** charting a course that you believe is wise, then adjusting that course as you gain more information and experience. A clear sense of mission and direction will guide your choices about which information to pursue and

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<sup>3</sup> **Strategic Planning Manual.** Pathfinder International. Unpublished draft, September, 1998.

<sup>4</sup> Ibid



## More Detailed Steps in Preparing a Strategic Plan

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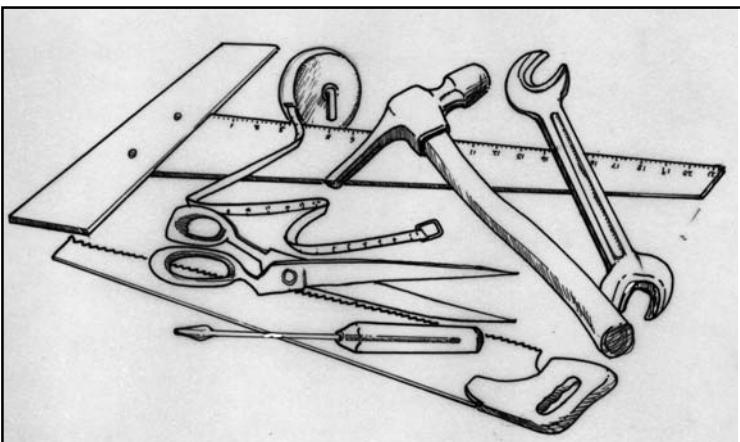
**STEP A:** Analyze the shared values and experiences of staff and Board. Plan a meeting to facilitate strategic planning. When an organization decides to develop a strategic plan, it should take care to make sure that all key staff, board members, and stakeholders are aware that strategic and sustainability planning have become organizational priorities. *The Strategic Planning Start-Up Checklist below and the Strategic Planning Preparatory Self-Assessment Form* (Annex B) will be helpful in ensuring readiness and generating a sense of anticipation about what strategic planning can do for the organization.

It is important, however, for senior managers to be honest with themselves about organizational readiness: if the organization is *NOT* interested or ready to engage in full-fledged strategic planning, managers should ascertain:

- a) reasons for this lack of readiness;
- b) approaches that can increase interest and readiness;
- c) alternatives that may be more appropriate such as strategic thinking or “visioning” exercises.

Assuming that the checklist results show eagerness and readiness, managers should actually convene a strategic planning workshop the planning team is now ready to begin the strategic planning process. The workshop is organized and convened. The facilitator is selected and assists in finalizing the workshop agenda, objectives, and procedures. Workshop objectives and norms are identified, and the strategic planning process is introduced to all levels of the organization, including its Board.

## Tips and Tools....



### A Strategic Planning Start-Up Checklist

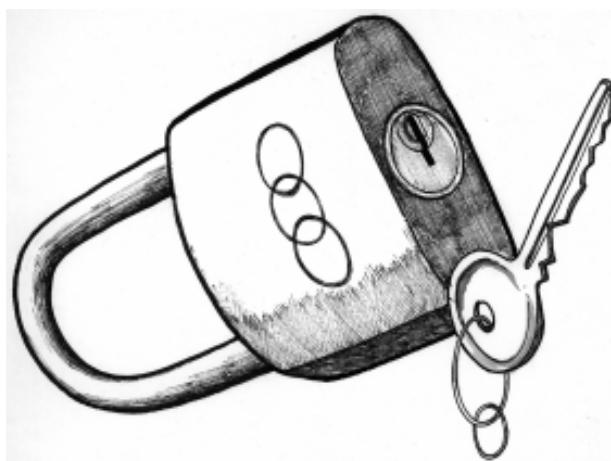
Even if you decide to hire a facilitator, senior managers should be fully involved in setting up and “managing” the strategic planning process. Here is a checklist to help you prepare efficiently.

- Conduct consultations with staff and board about strategic planning. Prepare and circulate a brief memorandum outlining benefits and steps. Approval from key board members or policy makers received, if required.
- Spell out a basic time-frame for strategic planning process/workshop and related follow-up activities.
- Develop a mini-work plan and budget for the process. **Include cost of venue, transportation, per diem, fees for facilitator, reproduction of background materials and final plan, dissemination meeting(s), mailings.**
- Establish preparatory working group. The group should gather background information, including: demographic data; National Demographic and Health Survey (DHS) reports; good articles about the field in which the organization works; recent government policies; guidelines; or protocols; service statistics from at least the last three years; baseline or catchment area survey reports; evaluations; operations research reports; interviews or focus group discussions (FGDs); situation analyses; proposals; financial statements and budgets (with confidential information such as salaries omitted); brochures and annual reports; organograms; and previous strategic plans.
- Ask senior managers at all levels (e.g., central, regional or provincial, district) to complete a self-assessment form (such as the example in Annex B). Conduct a meeting to discuss results after the group has filled out the forms.
- Assist the preparatory working group to develop a package of background information. Whenever possible, information is summarized, but original documents are transported to the workshop venue for use by participants.
- Select a facilitator who contributes inputs to the agenda. An agenda drafted and circulated with inputs from the facilitator. Feedback and revise the agenda if necessary. Draft a Scope of Work for the facilitator.
- Complete appropriate logistics and arrangements (including preparation and duplication of materials for participants).

## Setting the stage...

As the workshop begins, invite participants to outline their expectations of the workshop and to list **norms** or rules of conduct that will govern workshop participants' interactions. The key idea — regardless of the diversity of the group (e.g., highly placed volunteers, stakeholders, the head of the organization, middle level managers, service providers, or program officers) — is to create an **enabling climate** that unites all participants in problem-solving and outlining prospects for the future. Several theorists have outlined **ground rules** or **conditions for success** in strategic planning. Below are some suggested ground rules. Participants should brainstorm about others.

### *Some keys in setting ground rules...<sup>4</sup>*



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- All ideas are valid
- Everything on flip charts
- Listen to each other
- Observe time frames
- Seek common ground and actions...not problems and conflicts

## ***Begin the first workshop deliberations...***

The first major activities are to analyze shared values and review the Mission.

### ***STEP B: Review and update or prepare a Mission Statement for the organization.***

The planning team is now beginning the strategic process. The workshop has been organized and convened. The facilitator has been selected and has assisted in finalizing the workshop agenda, objectives, and procedures. Workshop objectives and norms have been identified, and the strategic planning process has been introduced.

<sup>4</sup>Weisbord, Marvin R. and Janoff, Sandra. *Future Search: An Action Guide to Finding Common Ground in Organizations and Communities*. Berret-Koehler Publishers. San Francisco, CA. 1995.

The Mission Statement expresses an organization's reason for being, its vision, and its purpose. It includes and embodies the values or principles that the organization stands for. It guides organizational decision-making and choices, and defines the organization's public profile or image. In short, a Mission Statement answers three questions:

- What are we committed to? (*vision*)
- What is our business or outputs? (*mission or functions*)
- What do we believe in or stand for? (*values*)

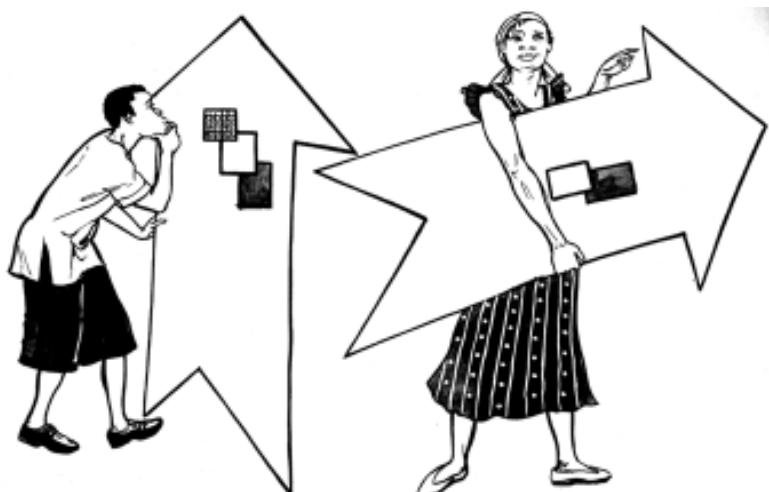
Annex C contains worksheets to help participants determine their shared values and outline a Mission Statement for the organization. A Mission Statement need not be long, but it must last for a long time. Most Mission Statements are sufficiently general to serve an organization for at least a decade. Organizations do not often change their missions radically. Often changes in programs or activities are in keeping with an organization's mission. However radical shifts in organizational focus, programs, or principles, it may trigger tensions to its Mission Statement. A Mission Statement should clarify for any reader the organization's priority areas of concern and its contributions. Working in a group, see if you can make your Mission Statement concise, but clear and powerful.

During the workshop, use the **Mission Statement Worksheet** in Annex C to organize your thoughts and serve as a basis for group discussion about the organization's mission. Participants may individually fill out these worksheets and then use them in a plenary session to organize their points. However, if the planning group is large, smaller groups should work together to complete the worksheets and bring them back to a plenary session.

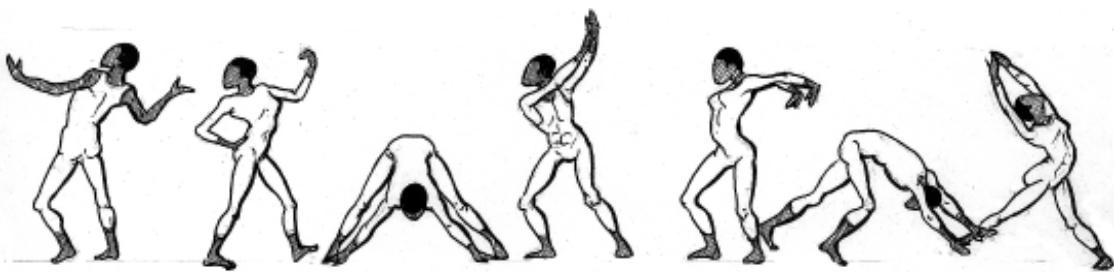
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## Conduct environmental “scans”...

**STEP C:** *Analyze the organization's external environment (“PEST” – political, economic, social, and technological factors) and internal environment (resources or inputs, processes, and performance or outputs).*



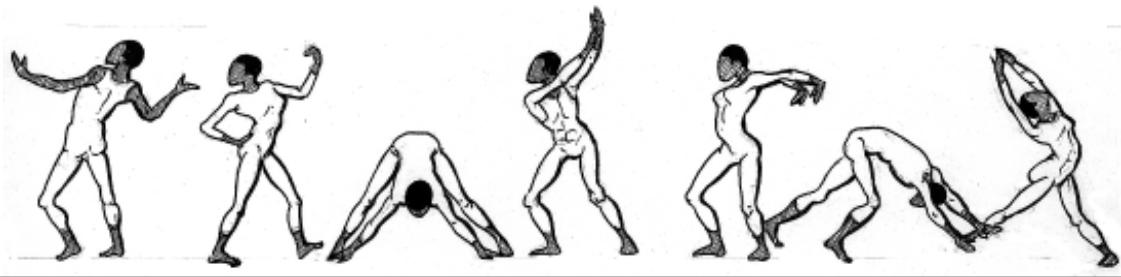
At this stage in the workshop, it is common for the facilitator to divide participants into smaller groups for an in-depth analysis of external and internal environmental factors (sometimes called an organizational situational analysis). Facilitators use several techniques to explore these issues (see Exercises A, B, and C as examples), and this is where the background information prepared previously by teams is particularly useful. To ensure individual input, three processes are recommended: a) the “snow card” technique; b) environmental “mapping”; or c) using formats and worksheets found in Annex C to guide discussions and decisionmaking. All these exercises can be used twice if desired: once to conduct analyses of *external* environments and once to highlight issues in the *internal* environment.



### **Exercise A: Snow Card Technique...**

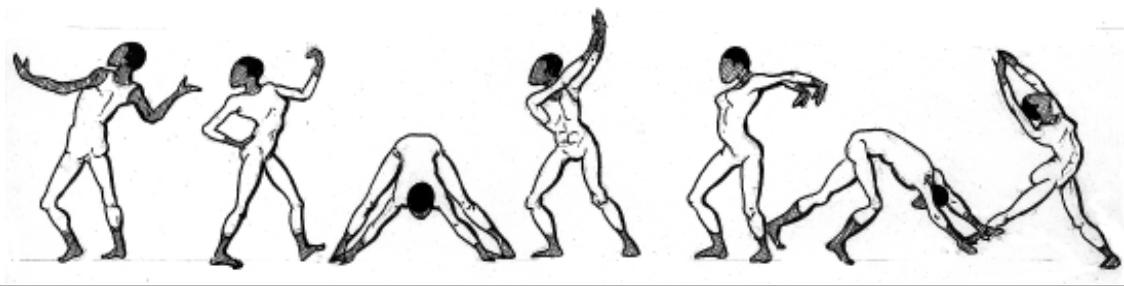
1. Buy 4 x 6 inch index cards in several colors (e.g., yellow, green, blue, pink, white). If colors are unavailable, find some other way to differentiate the cards (e.g., put stickers in different colors on the cards or have the participants write the various categories on them).
2. Assign colors to each category in the environmental analyses (e.g., for the external analysis, *political* can be *blue*, *economic* can be *green*, *social* can be *pink*, and *technological* can be *yellow*, *white* can be an *undetermined* category or “*I don’t know...*”). Separate colors can also be assigned in the internal environmental analysis (that is, green for resources, blue for processes, and yellow for performance).
3. Randomly divide participants into groups. Pass out 5 index cards of each color (20–25 each) or category to each participant; give each group masking tape or some other means for placing cards on the walls. Groups usually work in a circle around a flat wall surface. The walls are divided into the four categories—political, economic, social, and technological—that are part of the external environmental analysis.
4. Groups should select their own facilitator and rapporteur.
5. For at least 30 minutes, each participant *thinks on his or her own* about the respective categories. Each participant then writes one complete idea or comment per card. The comments should describe the priority issues affecting the program or organization in each category. Participants should take care to write enough to be clear and descriptive.
6. After completing cards either in one category or altogether, each participant places his/her cards, according to their respective categories, on the walls. This is done until all the cards are placed on the wall.
7. Participants should spend 5 minutes walking around and reviewing all the cards.
8. The facilitator then leads a category-by-category discussion. Participants should discard duplicates choose the card that best expresses a shared concern, or write a new card that better describes the issue or factor.

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9. Participants rank the cards in priority order by category. During discussions of each category, it is usual for certain topics to assume higher priority order as many participants often think the same issue important.
  10. The rapporteur writes out the ranked lists on newsprint to share with the entire group in plenary session.



### **Exercise B: Environmental Mapping...**

1. Put up large pieces of paper on the wall (usually pieces of newsprint, 2 pieces on the left, 2 pieces on the right).
2. If you are a large group, you may want to divide into 2 or 3 “working groups.” Give every group at least 4 markers.
3. Draw a circle in the middle of the papers that have been placed on the wall to signify the organization.
4. Give each group a specific color to write their ideas on the newsprint, and another color to draw lines the ideas’ interconnectedness.
5. The group as a whole decides what issues will be components of the environmental mapping. For example, in some countries or locations, the issues may revolve around gender equity, environment, health, community development, public-private partnerships, resource mobilization, coalitions, advocacy, key target groups, and socio-cultural issues. In other areas, it may be much like the “PESTs” that have been highlighted elsewhere: that is, political, economic, social, and technological factors. If the group is conducting the internal analysis, the major issues should focus on resources, processes, and performance. There may be some overlap in initial discussions about focus issues, but all working groups should finally agree upon and use the same categories.
6. Each small working group should agree on their priority issues in areas that the whole group of participants has defined.
7. Each group lists its collective ideas on the newsprint, using its uniquely colored marker. To simplify the chart, participants should a) put a check mark (or “tick”) by issues that have already been listed and b) draw a line that connects their contributions with others that are already listed. For example, if attitudes toward adolescents are connected to political or social issues, they should draw a line linking these issues to the major categories. If they do not see a linkage, they should show the issue separately.
8. The group reviews the environmental map on the newsprint chart in a plenary session and the diagram(s) that have emerged. For example: Which trends emerged with the highest number of votes or were mentioned most frequently? Which linkages seem most valid, innovative, or promising for future action? How would the group prioritize the listed issues in the organization’s environment?



## **Exercise C: Formats and Worksheets to Enrich the Process...**

Several worksheets in Annex C, facilitate analyses and discussion. For example, worksheet Annex C (iii) asks participants to outline their “historic situation,” since history often provides vital clues about priorities and potential. Other worksheets ask participants to evaluate the organization’s environment in very tactical terms, such as identifying the organization’s allies and enemies, competitors and partners, customers and clients. As will be seen below, there are other ways to analyze and use environmental factors, but all should stimulate thinking about the most appropriate, and most strategic or forward-looking, responses. These can be incorporated into the strategic planning workshop as desired.

## **Conducting a SWOT analysis...**

### **STEP D: Conduct a SWOT analysis (assessing the organization’s internal strengths and weaknesses, and its external opportunities and threats).**

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At this stage in the workshop, ask participants to return to their analyses of the internal and external environments and refine them by outlining their organization’s **strengths, weaknesses, opportunities, and threats (SWOT analysis)**. In the SWOT analysis, **strengths and weaknesses refer to the internal organizational environment**. They are things that you as planners can alter because they are within your control.

Examples are improving staff terms and conditions or development approaches.

**Opportunities and threats are external to the organization.** They often affect what you do and how you do it, but they are usually outside your control. An example is government regulations.



Strategic planning depends on a clear understanding of your organization’s resources and capabilities, as well as critical ingredients that are lacking. The assessment of organizational strengths and weaknesses and opportunities and threats must be candid, open, thorough, and reflective. It should not be superficial, with the usual statements about “good, committed staff” or “community good will...”. It may be that strengths are also be weaknesses. For exam-

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ple, an organization may say one strength is committed staff. However, though they are committed, there are not enough of them with the requisite technical skills or training to be more competitive. In other words commitment alone may not be enough to propel the organization forward. In short, the SWOT analysis is a vital precondition for good strategic planning in that it will point the way towards challenges and opportunities that must be addressed by an organization if it hopes to be competitive, sustainable and successful in the years ahead.

Usually, a SWOT analysis is conducted in two stages:

1. Small groups work with a format like the one below and to identify their lists of strengths, weaknesses, opportunities, and threats. Small groups write their own consensus lists of items in priority order on newsprint or transparencies for presentation to a plenary session. To facilitate discussion, groups are generally asked to list **no more than 10 items per category**.
2. In plenary, each small group presents its list and the common items are identified. In the ensuing discussion, additional items can be added, but the final list should be in priority order and reflect the consensus of the entire group.

Strengths/Weaknesses	Actions
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
9.	9.

Opportunities/Threats	Actions
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
9.	9.

Conventionally, most SWOT analyses result only in rank order lists of strengths, weaknesses, priorities, and threats. However, in conducting a SWOT, it is also useful to begin thinking about **actions** that can be taken to build upon strengths or opportunities and rectify or address weakness and threats. The format shows how the group may want to enrich its strategic thinking by beginning to formulate actions to guide subsequent strategic development and prioritization even at an early stage. Separate worksheets that can be photocopied and used for this exercise are found in Annex C page on ii.



## **Remember... Ask Substantive and Provocative Questions**

- Use your SWOT analyses to highlight issues that can accelerate or impede progress.
- Be honest. Determine what are truly your greatest strengths. Are you mobilizing them well? What strengths will you need for the future? What are the most significant weaknesses in your organization?
- What opportunities are you positioned to exploit? Who are your likely competitors or allies? How can you serve your clients and customers more effectively and benefit as an organization?
- How might you build needed capabilities? What seems to hold you back the most?
- What are your comparative advantages? Your comparative weaknesses? What threatens the organization most?
- Are there demographic, political, technological, or other trends that really may affect, or even transform, the way you work?
- Are there internal organizational realities that can help or hinder in the attempt to mobilize resources or become more sustainable?

## **Reviewing Existing Plans and Outlining a “Vision of Success” for the Future...**

### **STEPS E and F: *Reviewing and Working With Existing Plans***

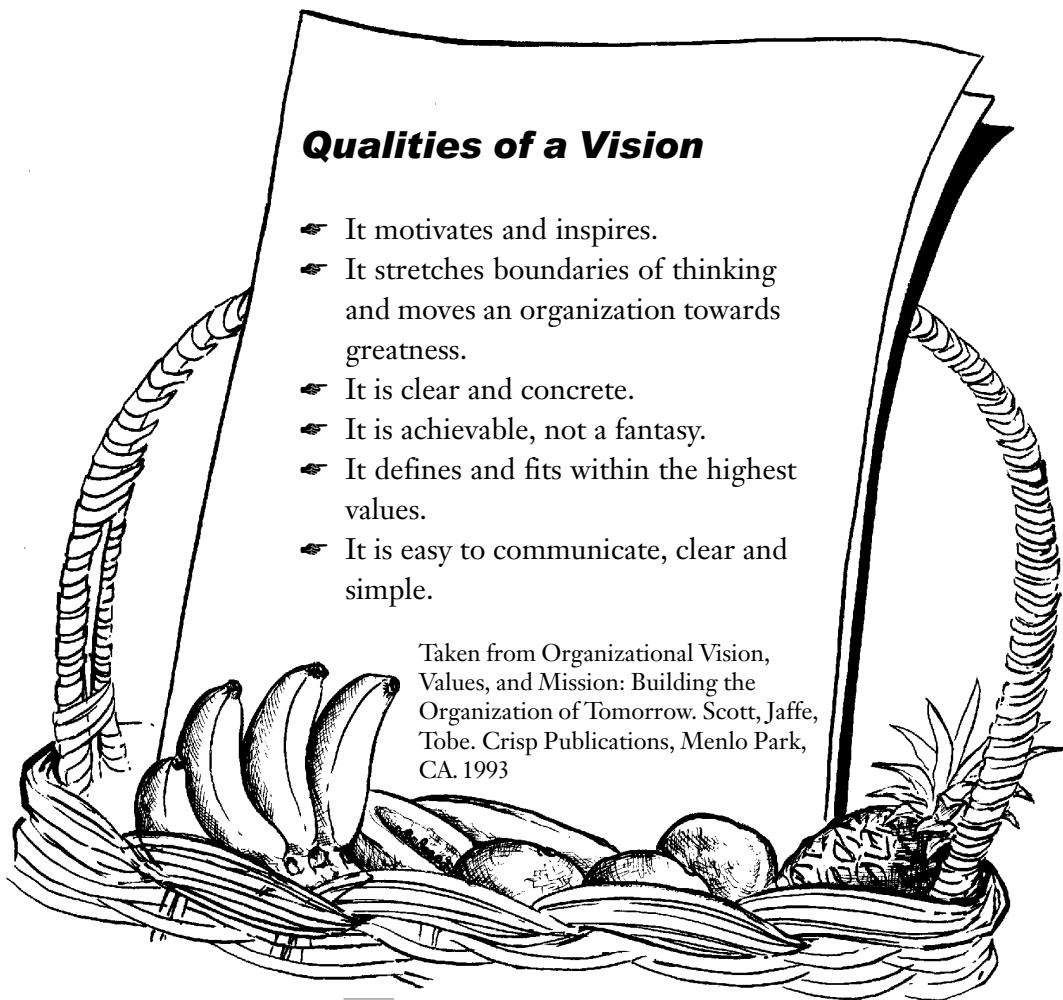
Take these steps if your organization already has a strategic plan and is seeking to review and revise it. Also, after reviewing the existing plan and providing inputs to updating or revising it, some organizations find it useful at this stage to appoint a smaller working group that will carry on with strategic planning activities. Other organizations appoint a smaller working group *later* in the process after strategic issues, goals, and strategic objectives have been identified. These smaller groups then develop specific action or tactical plans needed to achieve objectives agreed upon by the entire participant group.

### **STEP G: *Outlining a Vision of Future Success***

Developing a vision of success for the organization is recognized as a useful step in strategic planning. After all, if you don't have a dream or vision of success, *any* plan may seem appropriate or feasible. A vision of success clarifies which tactics, activities or programs should be of priority, and helps identify which are not particularly appropriate or useful. A vision of success also helps you to establish benchmarks or milestones to indicate whether or not you are meeting your goals and strategic objectives.

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## **Food for Thought...**



### **Qualities of a Vision**

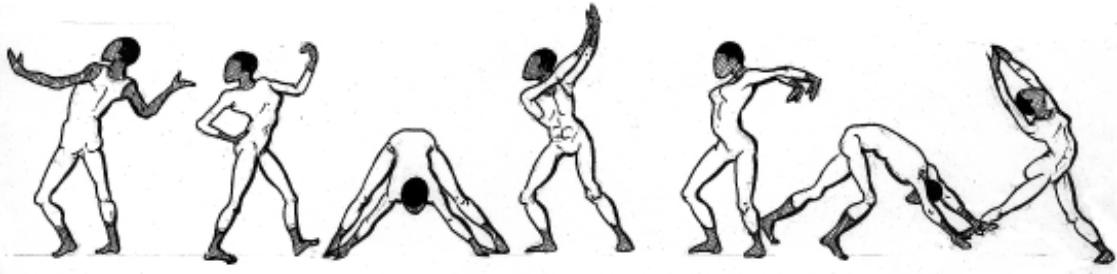
- ➡ It motivates and inspires.
- ➡ It stretches boundaries of thinking and moves an organization towards greatness.
- ➡ It is clear and concrete.
- ➡ It is achievable, not a fantasy.
- ➡ It defines and fits within the highest values.
- ➡ It is easy to communicate, clear and simple.

Taken from Organizational Vision, Values, and Mission: Building the Organization of Tomorrow. Scott, Jaffe, Tobe. Crisp Publications, Menlo Park, CA. 1993

### **What are elements of the organization's vision?**

A vision is a picture of a preferred future state, a description of where your organization (and you within it) will be some years from now. It should be dynamic and achievable; it is therefore **more** than a dream or a hope. It should actually become the basis of commitments or covenants that planners make with one another. The vision provides the context for designing and managing the changes necessary to attain selected goals and strategic objectives.

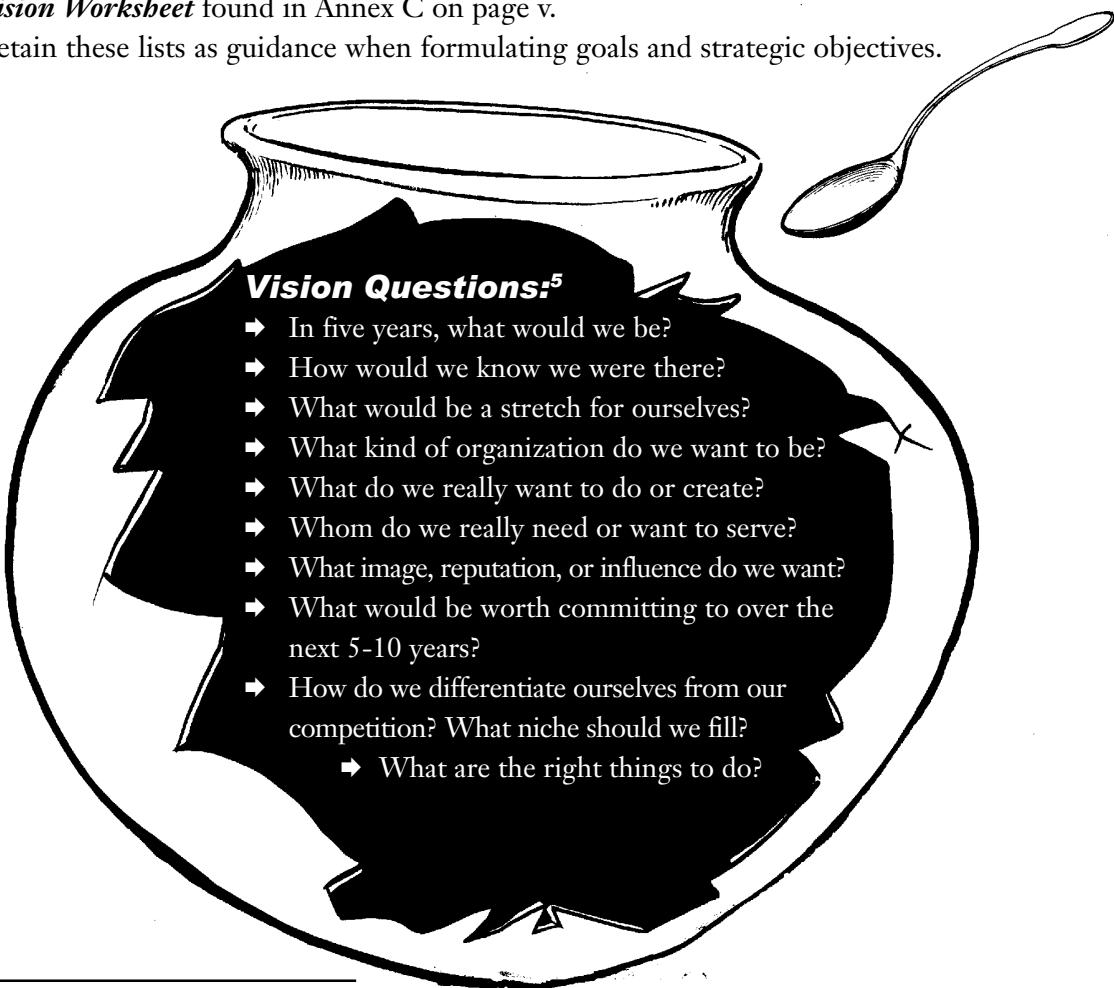
Visions should be rooted in reality even as they focus on the future. They should express participants' desires and commitments. In creating a vision, participants must be patient with one another. Different people often have different organizational goals and different perceptions about what is achievable. In defining your organization's vision, remember that **all ideas are valid** and are entitled to equal weight and respect.



## **Exercise: Creating an Organization's Vision of Success....**

1. Ask participants to relax and think creatively. They can work in smaller groups or plenary session to develop their **5-7 priority ideas** for the organization's future. To be feasible, the vision for the organization's future **should not exceed 15 items**, and should be placed in priority order by the entire group.
2. Participants should focus on **what** they want to create and not **how** it will happen.
3. Participants should avoid focusing on today's problems and what is not working.
4. Using newsprint or transparencies, participants should list their ideas about the organization's future. In some workshops, it is helpful for individuals to make their own list before group discussion. Below are some questions that may help participants think about their vision for the future. In addition, participants may want to use the **Vision Worksheet** found in Annex C on page v.
5. Retain these lists as guidance when formulating goals and strategic objectives.

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<sup>5</sup>Adapted from *Organizational Vision, Values, and Mission: Building the Organization of Tomorrow. op cit, 1993.*

## **Just think...**



## **A Powerful Vision Statement:**

- ☛ Presents where you want to go.
- ☛ Is easy to read and understand.
- ☛ Captures the desired spirit of the organization.
- ☛ Is sometimes dynamically incomplete so that staff, board, and other stakeholders – using imagination and creativity – can fill in the pieces.
- ☛ Is compact so it can be used to guide decision-making.
- ☛ Attracts people's attention.
- ☛ Describes a preferred and meaningful future state.
- ☛ Inspires those who must work to achieve it and provides a motivating force even in hard times.
- ☛ Indicates how individual goals or purposes can be combined with other's goals or the organization's overall vision to contribute to, or result in, the greater good.
- ☛ Is perceived as achievable.
- ☛ Is challenging, compelling, and expands beyond the *status quo* or what is comfortable.

## **What are the Strategic Issues and Why are They Important?**

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### **STEP H: Identify Strategic Issues Facing the Organization**

This is the crossroads of strategic planning, and may be among the most difficult concepts for participants to grasp. Strategic issues are the basis on which goals, strategic objectives, and action or tactical plans are developed.

A strategic issue is a *fundamental policy choice* affecting an organization's mandates, mission, values, product or service level and mix, cost financing, structure, or management. The way these choices are framed can have a profound effect on decisions that define:

- **WHAT the organization is**
- **WHAT the organization does**
- **WHY the organization does it**

Strategic issues are *ALWAYS* framed as questions. Virtually every strategic issue involves conflict as participants and planners are forced to weigh alternatives and choose the best, or most feasible options. Participants often disagree on, for example:

- ☛ **WHAT will be done?**
- ☛ **WHY will it be done?**
- ☛ **HOW will it be done?**

- 
- ☛ WHERE will it be done?
  - ☛ WHO will do it?
  - ☛ Who will be ADVANTAGED or DISADVANTAGED by it?

## **How groups determine priorities among strategic issues...**

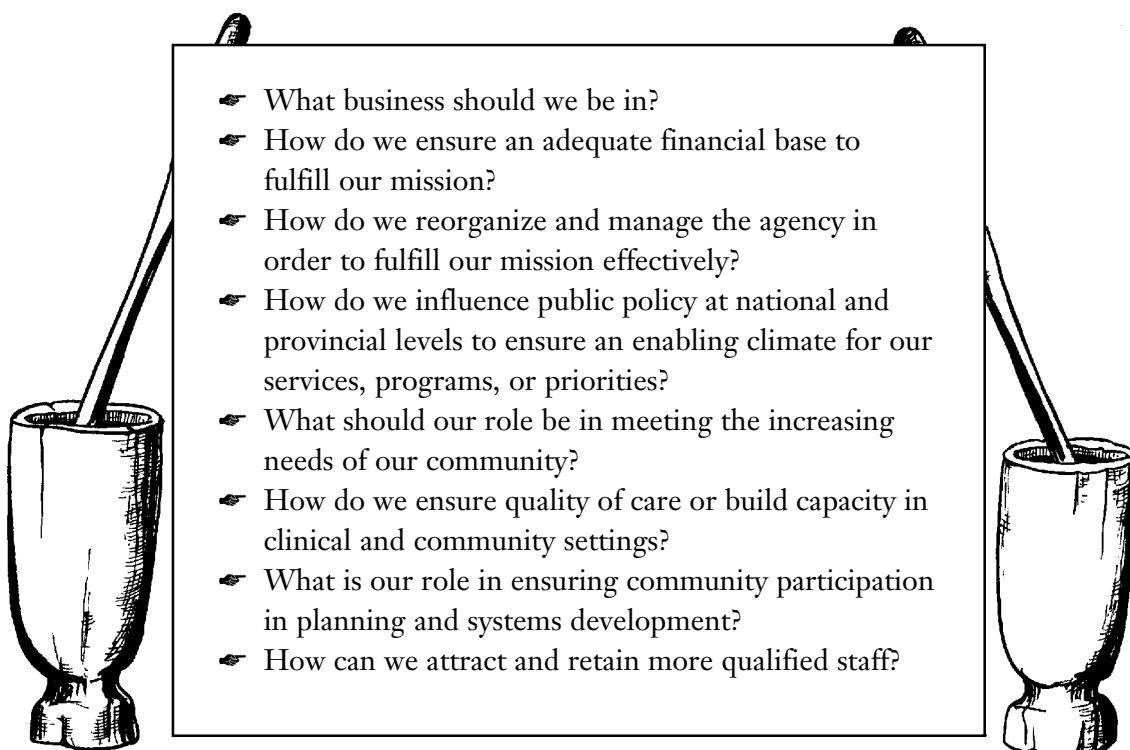
Usually, developing strategic issues is best carried out in small groups focusing around a specific set of strategic organizational concerns (e.g., resource mobilization and sustainability, program development or expansion, strengthening the institution, improving outreach and community participation or advocacy, networking or coalition building, etc.). Participants should also use all of the *tools* they have developed during planning—such as the environmental analyses, the SWOT, and vision of success—to identify the most pressing strategic issues.

In identifying strategic issues, one should:

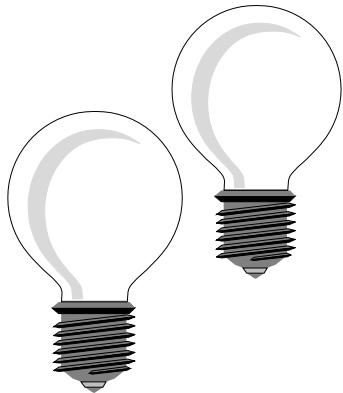
- ☛ Describe the issue completely and accurately.
- ☛ Discuss the factors (mandates, mission, and internal or external environmental features) that make the issue strategic.
- ☛ Discuss the consequences of *failure* to address the issue.
- ☛ Make sure that the statement of the strategic issue includes or provides useful clues about how to resolve the issue.
- ☛ Recognize that strategic issues can be about addressing problems but also about capitalizing on opportunities.
- ☛ Focus on what is truly important.
- ☛ Focus on issues, not answers.
- ☛ Always frame the strategic issue as a question.

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Here are some examples of strategic issues:



## **Some Bright Questions To Ask...**



1. When will the strategic issue's challenge or opportunity confront you?
2. How broad an impact will the issue have?
3. How large is the organization's financial risk/opportunity?
4. Will strategies for issue resolution likely require:
  - development of new service goals and programs?
  - significant increases in funds or resources?
  - substantive or far-reaching amendments in policies or operating procedures?
  - major facilities or equipment additions or modifications?
  - significant staff expansion or redeployment?
  - major structural changes or reorganization?
5. How apparent is the best approach for resolving the issue?
6. What are the probable consequences of not addressing the issue?
7. How many persons/programs are affected by this issue and must be involved in its resolution?
8. How sensitive or "charged" is the issue relative to community social, political, religious, and cultural values?
9. Is there a way to combine or eliminate issues?
10. Is this an issue we can actually do something about?

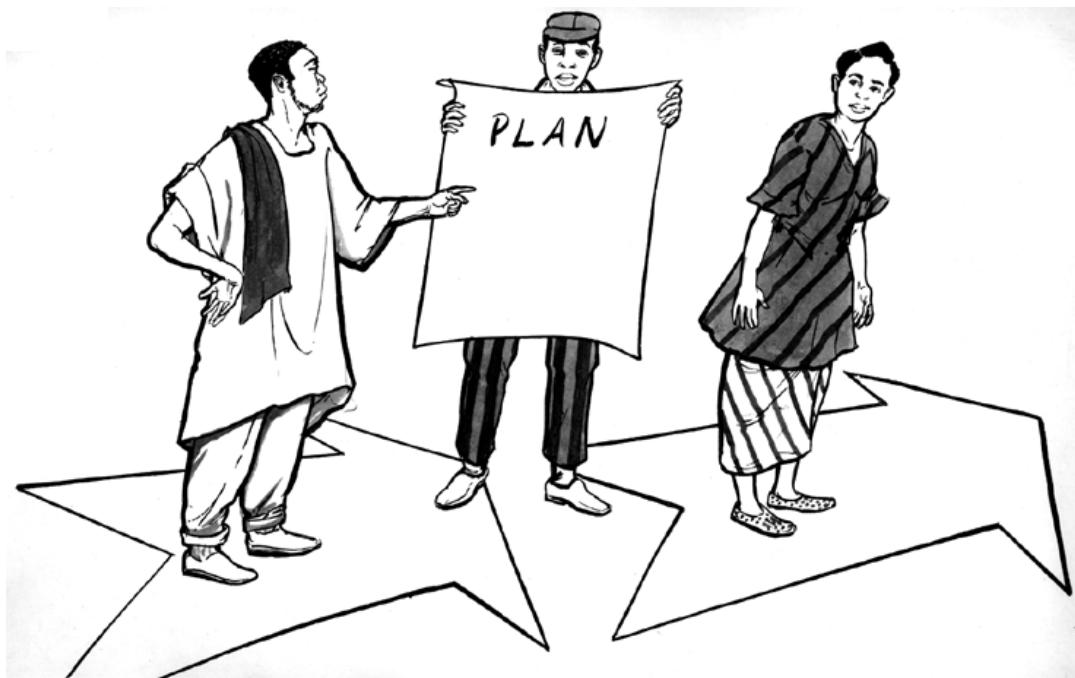
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As you are developing strategic issues for your organization, there are some “litmus test” questions you may want to consider. Try to make sure that your list and discussions are as comprehensive as possible. Your answers will definitely influence your organization’s strategic directions and future progress. These questions may illuminate your deliberations individually and as a group!

**Example:** Your organization does not have adequate resources to support priority activities or respond to identified community needs, yet donors and even local organizations in all sectors have recently expressed interest in supporting programs that are comparable to yours. Some of the strategic issues you might address in deciding whether to make these activities central to your strategic plan include:

- Whether your organization has capacity to prepare an attractive proposal.
- Whether your organization has adequate absorptive capacity, staff, and other infrastructure to successfully implement.
- Who your likely allies and competitors might be and their impact on the program’s feasibility.
- Consistency with the organization’s mission
- What local resources might also be mobilized to contribute, and how easy it will be to access them.
- Regulatory, political and social climate.

# Completing your Organization's Strategic Plan



## **STEP I/J:** *Formulate goals, strategic objectives, and action or tactical plans*

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This is the point at which the written strategic plan starts to take shape. Generally, organizational policy makers, leaders, and senior managers participate in formulating goals and strategic objectives so that they can help focus the organization's directions and priorities over the plan period – usually five years. Action or tactical plans, since they are operational and in furtherance of achieving agreed-upon goals and strategic objective are often designed by a smaller working group. Of course, when the final draft plan is circulated for comment, or vetted and approved by those involved in the organization's governance, action or tactical plans are reviewed once again before being finalized.

Goals are broad statements that are directly related to your organization's mission and describe, in general terms, the benefits that will result from your organization's activities. Goals should be realistic and achievable even by organizations that are still emerging or consolidating their structures, resources, and activities.

### **Did You Know...?**



In strategic planning terms there are two kinds of goals—**programmatic** and **organizational**.

- ☞ **Programmatic Goals** define in general terms the impact your program hopes to have on a specific area, trend or target group by the end of the plan period.
- ☞ **Organizational Goals** define the internal changes, restructuring, and improvements your organization should make to achieve its goals effectively.

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A clarification of these two categories – programmatic and organizational – can also help you to organize your strategic objectives.

**Strategic Objectives** describe the tactics you will use and the work you will do to achieve the desired results. This often involves selecting the alternatives that is the most cost-effective and feasible given the organization's SWOT analysis, and that is likely to advance the goals of the organization, making it simultaneously more competitive and sustainable.

Operational or strategic plan objectives should be **SMART<sup>6</sup>**:

**Specific** – to avoid differing interpretations

**Measurable** – to allow monitoring and evaluation

**Appropriate** – to the problems, goals, and strategic objectives and intended results

**Realistic** – achievable, challenging, and meaningful

**Time bound** – with specific time frames for completion

In a well-written strategic plan, strategic objectives should be interlocking and complementary. A good strategic plan also integrates financial planning and sustainability issues into development of strategic objectives. In short, some consideration of **costing** or the financial implications of your organization's proposed strategic objectives will make your plan more complete and useful. This also means that good strategic plans outline approaches for mobilizing, increasing, and targeting resources where they are most needed.

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**Action or Tactical and Financial Plans** are detailed descriptions of:

- 1) the bundle of activities that will take place, in sequential order, to achieve a specific strategic objective and
- 2) the resources, especially monetary, that will be required to undertake them.

Increasingly planners are concerned about achieving and documenting **tangible results**. Therefore, a detailed, well-articulated strategic plan should show not only specific activities, but also:

- ✓ Time frame for completion
- ✓ Persons responsible
- ✓ Resources needed
- ✓ Expected outcomes or results
- ✓ Indicators for monitoring and evaluating and documenting results

These detailed plans can also be used to support an organization's financial planning, budgeting, and resource mobilization or fund-raising. For sophisticated planners, or those with financial management systems with advanced capabilities, detailed estimates of revenues and expenditures affecting the entire group of strategic objectives and activities can become a financial plan, or long term budget. Most organizations find that they should review these

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<sup>6</sup>Based on Wolff, Suttenfield, Binzen. **The Family Planning Manager's Handbook**. Management Sciences for Health. Kumarian Press, Connecticut. 1991



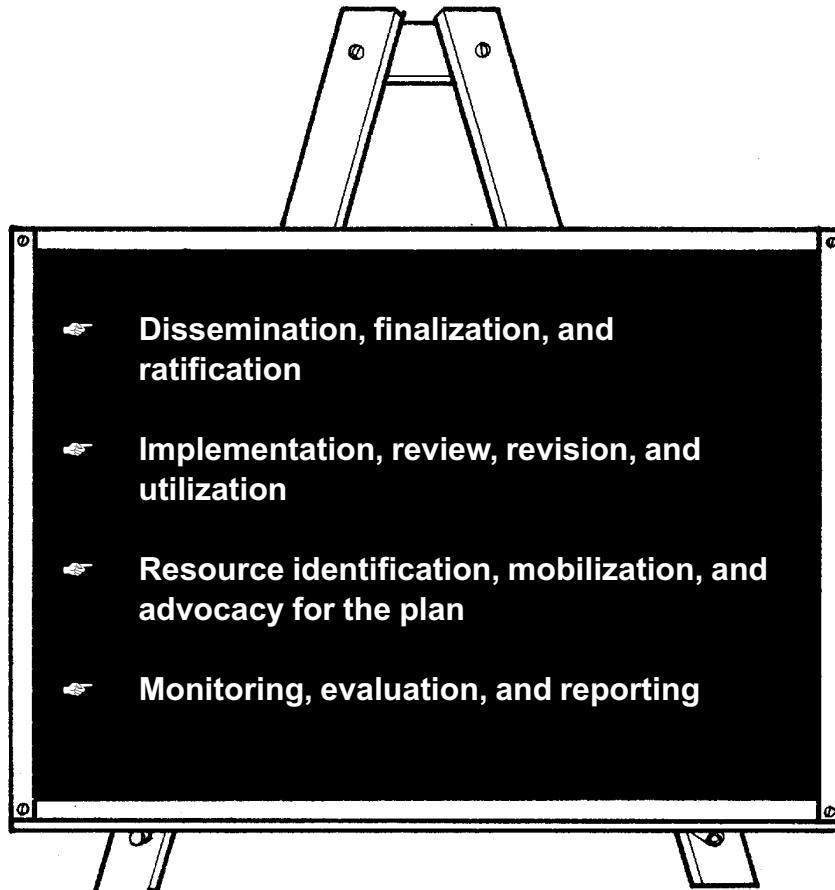
plans closely and systematically to ensure financial health and adequate resources. It can be extremely frustrating to make “plans” that far exceed organizations’ ability to pay for them or to acquire staff or technical inputs that are vital to implementation, or to otherwise finance the plans. Thus a financial plan can often serve as the ultimate *reality check* or measure of feasibility or appropriateness.

## **The Remaining Steps...Implementing, Disseminating, Revising, and Evaluating the Plan**

Strategic planning is a useful, revealing exercise that requires all participants to look inward and outward, backwards and forward, and to think tactically and comprehensively. At the same time, no strategic plan can help an organization to make and sustain forward momentum if it is “shelved,” not updated or revised in light of subsequent events or new realities, or perceived as a document with limited relevance to ongoing organizational growth, development, and priorities. Strategic planning can only be successful if the organization – at all levels – is committed to using the plan as a tool for organizing annual or operating, sustainability or resource mobilization, and unit or departmental planning.

A strategic plan should be used to measure performance and determine organizational needs. A well thought out plan should also provide an underpinning for diversification and sustainability initiatives since it represents an organization’s vision and hopes for the future, and embodies where an organization seeks to be in several years. A strategic plan provides a *covenant* between an organization and its primary stakeholders – clients, communities, staff, volunteers, directors, NGO partners, and collaborating public or private sector agencies – which, if upheld, will result in better policies, services, or quality of life.

In general, a strategic planning exercise triggers a four-cycle process to ensure use, review, and revision of the plan for continuing efficacy. The four cycles are:



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The following chart shows how an organization might *institutionalize* its strategic plan. That is, the plan should be fully integrated into on-going planning, financial management, monitoring, reporting, resource mobilization, and other activities so that the organization follows a coherent, strategic path towards results and achievement of its goals.

Issue	Activities	Persons Involved	Interval
<i>Cycle I: Dissemination, finalization, approval</i>			
<b>Ratification of Plan</b>	<ul style="list-style-type: none"><li>➤ Draft plan and circulate for review with a deadline for comments</li><li>➤ Incorporate comments and circulate final draft (with costing data if available) to policy makers (e.g., Board)</li><li>➤ Summarize the plan for broader distribution</li><li>➤ Disseminate summary to major stakeholders to seek support and to donors in a meeting.</li></ul>	Working group, senior managers, policy makers	Immediately after workshop

<b>Issue</b>	<b>Activities</b>	<b>Persons Involved</b>	<b>Interval</b>
<i>Cycle II: Implementation, review, revision, utilization</i>			
<b>Use of Plan</b>	<ul style="list-style-type: none"> <li>☛ Reviewed before all major planning and program development activities</li> <li>☛ Serves as basis for project designs, proposals</li> <li>☛ Guides planning at HQ and branch, department, unit levels</li> <li>☛ Focuses supervisory visits, monitoring, feedback</li> <li>☛ Provides policy guidance and establishes priorities</li> </ul>	All senior staff, managers, and supervisors, Board or National Executive Committees and volunteers	As needed
<b>Review of Plan</b>	<ul style="list-style-type: none"> <li>☛ Plan components tracked as part of Management Information Systems (MIS)</li> <li>☛ Plan and budget reviewed annually, report on annual accomplishments, and challenges prepared</li> <li>☛ Costing exercises to determine gaps between resources required/ available</li> </ul>	All senior staff, managers, and supervisors, Board, implementing partners, donors	At least annually
<b>Target Setting</b>	<ul style="list-style-type: none"> <li>☛ Strategic plan indicators used to monitor performance</li> <li>☛ Plan activities (e.g., reviewing baselines or conducting catchment area surveys as part of program expansion, development) to provide data for setting targets</li> <li>☛ Long-range, shared institutional objectives and priorities clarified</li> </ul>	Same as above	Quarterly monitoring; annual review and revision
<b>Systems Development</b>	<ul style="list-style-type: none"> <li>☛ Plan outlines key management and other systems to be created or refined in sequence, priority order, and within timeframe</li> <li>☛ Guidelines, checklists, management manuals and tools, training modules or approaches outlined</li> <li>☛ Responsibilities for systems implementation clarified</li> </ul>	Managers and supervisors, technical assistance or training providers, consultants	As indicated in the plan
<i>Cycle III: Resource identification, mobilization, advocacy for plan</i>			
<b>Fund-raising and Resource Development</b>	<ul style="list-style-type: none"> <li>☛ Plan shared with and presented to donors</li> <li>☛ Plan used as basis for fund-raising proposals, strategies, budgets</li> <li>☛ Plan used as marketing, public relations tool; activities with broad appeal advertised in media</li> <li>☛ Plan used to mobilize local community, corporate resources</li> </ul>	Board or volunteers, head of organization, leaders of other community/civic organizations, mass media, local corporations, donors	<ul style="list-style-type: none"> <li>☛ 1<sup>st</sup> Quarter—Annual fund-raising plan created</li> <li>☛ Timeframes in Timplan</li> <li>☛ Annual fund-raising plan that includes in-kind donations</li> </ul>

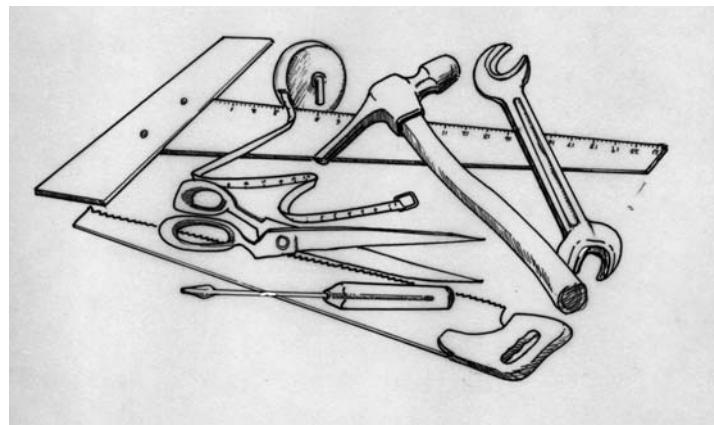
<b>Issue</b>	<b>Activities</b>	<b>Persons Involved</b>	<b>Interval</b>
<i>Cycle III: Resource identification, mobilization, advocacy for plan</i>			
	<ul style="list-style-type: none"> <li>☛ Plan presented to appropriate public sector agencies; used to stimulate joint planning/activities</li> <li>☛ Reports on Plan accomplishments disseminated broadly</li> <li>☛ Plan used to build coalitions, find resources for public education, outreach</li> <li>☛ Materials developed to explain organization's mission and functions</li> </ul>	Volunteers or Board, head of the organization, ministry/agency/ NGO directors, IEC/behavior change communication specialists	<ul style="list-style-type: none"> <li>☛ By 1<sup>st</sup> quarter</li> <li>☛ Annual</li> <li>☛ Plan time-frames</li> <li>☛ By end of 1<sup>st</sup> year</li> </ul>
<i>Cycle IV: Monitoring, evaluation, reporting</i>			
Monitoring	<ul style="list-style-type: none"> <li>☛ Create and use participatory processes for monitoring and evaluating progress in meeting Plan objectives</li> <li>☛ Institutionalize feedback mechanisms to assist those implementing plan to determine levels of progress and identify problems</li> <li>☛ Tie annual work plans budgets, and supervision and monitoring at all levels to specific plan objectives</li> <li>☛ Create a separate section on routine reports to donors (quarterly, annual) to report on the plan. Use plan indicators to enrich reports.</li> </ul>	Senior staff and supervisors at all levels, MIS managers	Simultaneously with plan implementation; include in annual review

There are some additional tools that may help organizations implement their strategic plans more effectively. These tools generally focus on organizing for implementation or on Year One, recognizing that a good start may enhance the potential of a strategic plan's success. These comparative tools invite good managers to ensure that *everyone* is invited to "come on board," from the policy makers or Board members who set policies and guide the organization to the line manager or supervisor responsible for implementation and organizational image in the community. Establishing and maintaining participatory processes with regard to the plan—and providing systematic feedback about its impact—are also vital, on-going keys to success. *Any good strategic plan should include annual reviews, an in-depth analysis and revision mid-term, and a thorough final evaluation.* A shared, nurtured vision is a powerful vehicle for managing organizational growth, development, and effectiveness.

## *Some Tools of the Trade...*

### *Organizing for Implementation: Ideas for Communicating the Strategic Plan<sup>7</sup>*

- ☛ Print the plan and distribute with a simple cover letter.
- ☛ Summarize or simplify the plan (mission, goals, strategic objectives, program priorities, feedback mechanisms) and distribute brochures to stakeholders.
- ☛ Develop handouts/overhead slides for standardized use by all senior managers.
- ☛ Hold an organization-wide meeting to thank the planning team.
- ☛ Organize departmental/unit all-employee meetings to answer questions about the plan and to solicit staff concerns.
- ☛ Set up stakeholder meetings to review the plan and thank them for their help.
- ☛ Hold short workshops to share knowledge about strategic planning, discuss the plan, and build supportive tie-in plans at the branch/department/unit/site or individual level.
- ☛ Implement a **mini** strategic planning process for units.
- ☛ Display posters with planning themes.
- ☛ Hand out individual (plastic or laminated) cards with values, mission, and key success factors.
- ☛ Produce a video tape of the CEO/Executive Director (or others) explaining the organization's vision and strategies to achieve that vision.
- ☛ Publish an internal newsletter, memo, or letter to introduce the plan (overall and in detail).
- ☛ Publish external news releases and special public feature stories.
- ☛ Distribute plan progress report cards each quarter that are shared with all stakeholders.



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### *And another tool...*

#### *Year 1: Task Checklist*

- Finalize the strategic plan and develop an initial communications plan.
- Establish an organization-wide annual plan reflecting the action priorities for each strategic objective.
- Align the budget to reflect annual priorities (to be at least 33% effective the first year – i.e., strategic budgeting).
- Build all department/division/unit/branch annual plans around the organization-wide annual priorities/goals. Hold a peer review of them.

<sup>7</sup>Both tools adapted from Scott et al. **Successful Strategic Planning**. Fifty Minute Series Book. Crisp Publications, Menlo Park, CA.

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- [Optional] Implement three-year business plans for each strategic business unit or master support division or executive via **mini or tie-in** strategic plans (e.g., over the next 12 months to verify, extend, and integrate the organization-wide plan.)
  - Set up an on-going leadership steering committee to manage the change process (meet bimonthly at first, and then quarterly).
  - Establish a task checklist and follow-up (month-by-month schedule).
  - Establish a system/coordinator to monitor, track, and report on key success factors or plan achievements.
  - Revise the performance management, appraisal, and reward systems to support the desired vision.
  - Examine your organizational structure as well as staff development planning to support the desired vision.
  - Make implementation comprehensive by implementing desired changes in both headquarters and field/site/unit locations.
  - Establish routine systematic environmental scanning systems.
  - Ensure (in writing if possible) senior management's personal commitment to a set of tasks that lead to implementation of the strategic plan.

### **Remember...**



- ✓ Strive to make your planning and implementation results-oriented.
- ✓ Use the plan effectively as a management and marketing tool.
- ✓ Ensure synergy between the organization's core mission and values, and a dynamic process of growth and change.
- ✓ Remember that change is often disconcerting and fear of the unknown can derail the best plan. Make implementation broadly participatory and report systematically on progress.
- ✓ Ensure that the plan's proposed specific deliverables, initiatives, indicators, changes, and improvements are integrated into ongoing operational planning and budgeting.
- ✓ Try to cost the plan and ensure that adequate resources are available for its implementation.
- ✓ Staff contribute to success or failure. Use the plan's shared vision as a mechanism for staff development and team building.

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# **Annex A**

## **Model Workshop Agenda**

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# **Annex A: Model Agenda: Strategic Planning Workshop**

## **Day One**

8:30 - 9:15	<b>A. Introduction</b> Welcoming or Other Remarks Introduction of Participants Purpose of the SP Exercise Description of the Process:  <ul style="list-style-type: none"><li><input type="checkbox"/> Expectations and Objectives for the Workshop</li><li><input type="checkbox"/> Workshop Norms</li><li><input type="checkbox"/> Respective Roles and Responsibilities in the Strategic</li><li><input type="checkbox"/> Planning Process(Volunteers, Staff, Facilitators)</li><li><input type="checkbox"/> Defining Key Terms</li></ul>
9:15 - 10:15	<b>B. Reviewing Vision, Organisational Mission and Mandates</b> [Use "Mission Statement Worksheet"]  <i>Working in small groups, participants will be asked to spend the full hour completing the "Mission Statement Worksheet" and identifying key elements of the organisation's mission.</i>
10:15 - 10:30	TEA BREAK (15 MINUTES)
10:30 - 11:30	<b>C. Formulating and Updating the Mission Statement</b>
11:30 - 1:00	<b>D. Assessing the external and internal environment</b>  <i>Working in small groups to analyze respective internal and external environments. Provide handouts to guide discussions.</i>
	LUNCH (1 HOUR)
2:00 - 3:00	<b>E. Conducting the SWOT analysis by posing the following major questions in small working groups.</b>  <ul style="list-style-type: none"><li><input type="checkbox"/> What are our major strengths?</li><li><input type="checkbox"/> What are our major weaknesses?</li><li><input type="checkbox"/> What major external opportunities do we have?</li><li><input type="checkbox"/> What major external threats do we face?</li></ul>
3:30 - 3:45	TEA BREAK (15 MINUTES)

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3:45 - 5:30

**F. Plenary: Outlining challenges and prospects - synthesizing our work.**

- Working group reports
- Discussion and synthesis

*Note: If the workshop is residential, use the evenings for colloquia or meetings to tackle special issues, especially those involving positioning, strategic alliances resource mobilization, cementing board-staff relationships, or establishment of sub-groups to carry elements of the plan forward.*

## **Day Two**

8:30 - 10:30

**A. What is your Vision of success? Where should we be five to seven years from today?**

*Form small buzz groups to discuss what things the organization should achieve, change strive for, or be recognized as when the next five years are over. This small group discussion should take approximately 30 minutes. Then, in a one hour plenary, participants should select the most desirable recommendations and rank them in priority order.*

10:00 - 11:00

**B. Brainstorming exercise: What are the strategic issues?**

TEA BREAK (15 MINUTES)

11:15 - 1:00

**C. Identifying strategic issues.**

*Working first in small “buzz” groups, and then in plenary, participants will identify strategic issues in four key areas:*

- Resource development and sustainability
- Expansion and program development
- Strengthening the institution
- Improving advocacy, community involvement and outreach.

*These topics will become the working group foundation for completing the revised plan. YOU SHOULD THINK UP TOPICS OR AREAS THAT ARE RELEVANT TO YOUR ORGANIZATIONS. THESE ARE ONLY SUGGESTIONS.*

LUNCH (1 HOUR)

2:00 - 3:45

**D. Plenary session: What are your organizations' key strategic issues for the next five years?**

3:45 - 4:00

TEA BREAK (15 MINUTES)

4:00 - 5:00

**Plenary session: Setting five year goals.**

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## **Day Three**

8:30 - 9:30	<b>A. Appointing the working groups and outlining remaining tasks.</b> <i>Working group assignments will be distributed at the start of this session. Tentative working groups are as follows.</i>  <ul style="list-style-type: none"><li><input type="checkbox"/> Resource development and sustainability</li><li><input type="checkbox"/> Expansion and program development</li><li><input type="checkbox"/> Strengthening the institution</li><li><input type="checkbox"/> Improving advocacy, community involvement and outreach</li></ul>
9:30 - 10:30	<b>B. Confirming the strategic issues and their priority.</b>
10:30 - 10:45	TEA BREAK (15 MINUTES)
10:45 - 1:00	<b>C. Developing strategic objectives.</b> In the four working groups, participants will develop two to five strategic objectives in their issue areas.  LUNCH (1 HOUR)
2:00 - 3:30	<b>D. Working groups continue.</b>
3:30 - 3:45	TEA BREAK (15 MINUTES)
3:45 - 5:45	Plenary session: Confirming the strategic objectives and their priority.

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## **Day Four**

8:30 - 9:30	<b>A. Using frameworks or action plans to assist in strategic planning. Pose and answer the following questions ( in the small groups or plenary). See suggested planning formats in Annex C.</b>  <ul style="list-style-type: none"><li><input type="checkbox"/> What is the recommended framework?</li><li><input type="checkbox"/> What are its components?</li><li><input type="checkbox"/> How will we use it for strategic planning?</li><li><input type="checkbox"/> How will we use it to monitor our strategic plan?</li></ul>
	TEA BREAK ( 15 MINUTES)
10: 45 - 1:00 B	<b>Beginning our frameworks.</b>  LUNCH(1 HOUR)
2:00 - 4:00	<b>C. Completing the frameworks.</b>  TEA BREAK(15 MINUTES)
4:00 - 5:00	<b>D. Plenary session: Questions and answers on frameworks, strategic issues and activities and monitoring plan.</b>

## **Day Five**

8:30 - 9:30

**A. Finalizing framework presentations.**

TEA BREAK (15 MINUTES)

11:30 - 1:00

**B. Plenary session: Presentation and discussion of proposed frameworks or action plans.**

LUNCH (1 HOUR)

2:00 - 3:15

**C. Resource implications of proposed plans.**

TEA BREAK (15 MINUTES)

3:30 - 4:30

**D. Closing session.**

*Participants will convene in plenary to voice additional concerns or recommendations. Notes from the combined financial and working group sessions will constitute and outline of the written plan.*

During this session, three additional issues should be discussed:

- a. How will we “sell” or gain support for the strategic plan both internally (within the staff) and externally to ( government ministries, and policy making bodies, NGO’s and other partners, donors or communities)
- b. What kinds of monitoring and evaluating systems for the milestones or goals contained within our strategic plan will be implemented?
- c. At what intervals will the updated strategic plan be completely reviewed and revised?

### **Additional action steps:**

- Small sub-committees or working groups should be chosen to complete the actual writing. A planning format will be recommended by the facilitators and reviewed with key headquarters staff to ensure consensus on the strategic plan’s and report, and the steps or tasks to be undertaken - and their timing.
- Set date for disseminating the draft plan to participants for their review and set a deadline for receiving their comments.

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## **Rationale for strategic planning workshop**

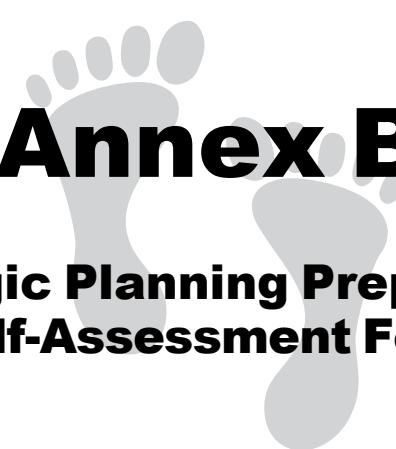
- To establish a framework for reviewing any existing strategic plan and updating it
- As part of the review, to encourage participants answer key questions about the organization, and determining strategies and ensure achievement of longer-range goals and objectives; to respond to our rapidly changing external and internal environment. These questions include:
  - ✓ What are we here for? [mission statement]
  - ✓ What are we trying to achieve? [goals]
  - ✓ How will we achieve it? [strategy]
  - ✓ What will each strategy achieve [objectives]
  - ✓ What activities does each strategy call for [activity work plans]
  - ✓ What human, financial, technical and community resources will we need?
  - ✓ How will we pay for them? What will proposed activities actually cost?

## **Steps in the strategic thinking process:**

In the strategic thinking exercise; we

1. Analyze shared values of staff and board members, and review or update our organization's mission, or purpose, statement in response to changing environments and new realities. See "Mission statement worksheet"
2. Analyze external environment (PESTs - political, economic, social, technological factors) and its internal environment (resources or in-puts; present strategy (process) and performance (outputs)).
3. Conduct a SWOT analysis: Assessing our internal strengths and weaknesses, and external opportunities and threats.
4. Create groups for more in-depth planning activities in four key areas: Resource development and sustainability, Program development and expansion, Strengthening the institution, and Improving advocacy, Community involvement and outreach.
5. Review the current strategic plan in existence to identify aspects of the plans which are still strategic, those that are longer strategic due to changing environments, and gaps or new issues that should be addressed in a revised plan.
6. Develop a vision for where the organisation should be five years from now
7. Identify the strategic issues facing the organization if this vision is to be achieved. What factors make each issue a fundamental policy question (i.e. what is it about mandates, mission, values or internal strengths and weaknesses, or external opportunities and threats that make this a strategic issue, and what are the consequences of failing to address each issue).
8. Formulate goal and strategic objective to address the major issues facing the organization and to ensure its long-term growth and sustainability.
9. Establish objectives and develop modified key activity workplans ( including specific activities and persons responsible for the activities) and major resources needed.
10. Identify next steps for resource mobilization. Formulate a financial plan that supports chosen strategies and assists the organisation to become more sustainable.
11. Prepare a detailed written outline of the five-year strategic plan, based upon the steps listed above, to be refined by a smaller working group and reviewed by policy-making bodies in the organization.

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## **Annex B**

### **Strategic Planning Preparatory Self-Assessment Form**

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# **Strategic Planning Preparatory Self-Assessment Form**

*Please note:* You are not required to provide your name, title or location. This form is designed to provide some information about the issues, concerns, successes and constraints you face in your daily work. Responses from this form will be used to help shape the focus of the upcoming strategic planning workshop. If a question does not apply to you (e.g. headquarters managers do not have a catchment area) do not answer it. Please be candid and thanks in advance for your help.

Please tick whether you work at or as a:

- HQ                     Region district branch     Volunteer (Please answer sections 5 and 6 only)

1. Catchment Area Characteristics (Please tick as appropriate)

- Rural                     Peri-Urban                     Urban  
 Densely populated     Sparcely populated     Unsure

a) In my view, my catchment area is:

- Too large                     Too small  
 About right                     In need of change

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b) In my catchment area, the major FP/RH service providers (with either clinical or community-based services [CBS] are:

- MOH                     NGO

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- Mission Hospitals  
 Other \_\_\_\_\_

- Private Practitioners

(Please specify)

2. Supervision

a) I am able to supervise project sites

- Weekly                     Every two weeks  
 Monthly                     Other \_\_\_\_\_

(Please specify)

b) The biggest problems I face in supervising project staff and activities are (tick here)

- |   |  |
|---|--|
| <input type="checkbox"/> Time   | <input type="checkbox"/> Transportation                      |
| <input type="checkbox"/> Location of sites far apart                              | <input type="checkbox"/> Lack of supervisory tools           |
| <input type="checkbox"/> Major problems recur                                     | <input type="checkbox"/> Reporting                           |
| <input type="checkbox"/> Lack of clarity about role                               | <input type="checkbox"/> Lack of training/supervisory skills |
| <input type="checkbox"/> Staff resists supervision                                | <input type="checkbox"/> Difficult to supervise volunteers   |
| <input type="checkbox"/> Lack of feedback/support from<br>senior project managers | <input type="checkbox"/> _____                               |

(Please specify)

c) I was last supervised by senior project managers:

- |   |   |
|---|---|
| <input type="checkbox"/> Less than one month ago    | <input type="checkbox"/> Between two and three months ago |
| <input type="checkbox"/> More than three months ago | <input type="checkbox"/> Rarely                           |

d) I give regular feedback to those whom I supervise

- |                                     |                                    |                                 |
|-------------------------------------|------------------------------------|---------------------------------|
| <input type="checkbox"/> Frequently | <input type="checkbox"/> Sometimes | <input type="checkbox"/> Rarely |
|-------------------------------------|------------------------------------|---------------------------------|

By: (tick as appropriate)

- |                                   |   |   |
|-----------------------------------|---|---|
| <input type="checkbox"/> Meetings | <input type="checkbox"/> Memos            | <input type="checkbox"/> Follow-up visits |
| <input type="checkbox"/> Training | <input type="checkbox"/> Field monitoring |   |
| <input type="checkbox"/> TA       | <input type="checkbox"/> Other            |   |

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e) I include supervisory observations in my monthly/quarterly reports:

- |                                 |                                    |                                 |
|---------------------------------|------------------------------------|---------------------------------|
| <input type="checkbox"/> Always | <input type="checkbox"/> Sometimes | <input type="checkbox"/> Rarely |
|---------------------------------|------------------------------------|---------------------------------|

### 3. Management

a. I have a written job description

- |                              |                             |                             |
|------------------------------|-----------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Revised on: _____<br>(date) |
|------------------------------|-----------------------------|-----------------------------|

b) Other staff have written job descriptions

- |                              |                             |                             |
|------------------------------|-----------------------------|-----------------------------|
| <input type="checkbox"/> Yes | <input type="checkbox"/> No | Revised on: _____<br>(date) |
|------------------------------|-----------------------------|-----------------------------|

c) We conduct district-level planning

- |                                   |                                    |
|-----------------------------------|------------------------------------|
| <input type="checkbox"/> Monthly  | <input type="checkbox"/> Quarterly |
| <input type="checkbox"/> Annually | <input type="checkbox"/> Other     |

d) Tick the systems you manage

- MIS
  - Supervision
  - Planning
  - Financial Management
  - Management and training
  - Procurement
  - Logistics
  - Inventory/Warehouse/Storage
  - Personal/Human resources

e) We submit our plans to HQ

- Yes       No If yes, how often?

f) I have a copy of the organizational structure/chart

- Yes       No

g) I have numerical service-delivery targets

- Yes       No

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They are set by the

- District
  - HQ
  - Donor
  - Other

They were last changed in: \_\_\_\_\_

h) The number of staff we have is

- Adequate       Inadequate       Unsure

If I could I would add (*Please list kind/number of staff desired*)

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i) I appraise my staff:

- In writing
  - Once a year
  - Orally
  - Informally
  - Every 6 months
  - Unsure

j) 1) I have a copy of my location/program budget

- Yes       No

2) I know the procedures for modifying budgets

- Yes       No

3) I report on expenditure/income:

- weekly                            Monthly  
 Quarterly                        Other

To whom? \_\_\_\_\_

(Please provide name or title)

k) Please list 3 greatest management and supervisory problems you face:

1. \_\_\_\_\_  
2. \_\_\_\_\_  
3. \_\_\_\_\_

l) Please list 3 kinds of training, support, or systems that would most help you improve management or supervision.

1. \_\_\_\_\_  
2. \_\_\_\_\_  
3. \_\_\_\_\_

4. Programs

- a. Our programs continue to meet community needs  
 Yes                                    No
- b. The community's needs have changed dramatically over the last three to five years  
 Yes                                    No

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Because of

- STDs and HIV-AIDS                    Success of CBS  
 Growing unemployment/poverty       Migration out of the community  
 Youth problems increasing            Growing competition from other programs  
 Opposition to RH programs           CBS Agent drop-outs  
 Other

c. Please list three activities that should be added to our program:

1. \_\_\_\_\_  
2. \_\_\_\_\_  
3. \_\_\_\_\_

d. Please list three activities that should be dropped or radically changed:

1. \_\_\_\_\_  
2. \_\_\_\_\_  
3. \_\_\_\_\_

e. What is most needed to make existing programs more effective?

(List three)

1. \_\_\_\_\_  
2. \_\_\_\_\_  
3. \_\_\_\_\_

5. Governance

- a. We regularly receive written briefings on organisational activities
  - Yes
  - No
- b. The Board meets:
  - Monthly
  - Quarterly
  - Annually
  - Irregularly
- c. In my view, roles and responsibilities of volunteers and staff are:
  - Clearly defined
  - Defined for only some activities
  - Unclear
  - Unsure
- d. I am regularly asked/able to give my views on activities/programs
  - Yes
  - No
- e. I have participated in resource mobilization over the past three years
  - Yes
  - No
- f. Volunteers need capacity building
  - Yes
  - No
- g. Please list the three most important things volunteers contribute.
  - 1. \_\_\_\_\_
  - 2. \_\_\_\_\_
  - 3. \_\_\_\_\_

h. Please list the three most significant issues/problems faced by :

Volunteers

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_

Board members

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_

i. What are the three most important programs/reforms/recommendations you would like to incorporate into the organization's five year strategic plan.

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_

6. Please feel free to share any additional comments or suggestions.

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## **Annex C**

### **Planning Formats**

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## ***Mission Statement Worksheet***

1. Who are we?
2. In general, what are the basic social needs we exist to fulfill (or what are the basic social problems we exist to address)?
3. In general, what do we want to do to recognize, or anticipate, and to respond to these needs or problems?
4. Who are our key clients or supporters?
5. What should our responses be to our key clients or supporters?
  - a.
  - b.
  - c.
  - d.
  - e.
  - f.
  - g.
6. What are our philosophy and core values?
7. What makes us distinctive or unique?

# Alternative Mission Statement Worksheet

## ***Questions Concerning the Organization's Mission***

- Instructions:**
- 1) Describe below your understanding of your organization's mission or "raison d'etre".
  - 2) List all your issues, ideas, or concerns about the current mission.
  - 3) Consider what might be a better mission for your organization. Describe what your organization can accomplish in future years and whom it can serve.
  - 4) Discuss your responses with the planning team and note areas of agreement or disagreement.

Present mission or "raison d'etre"

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Issues affecting the present mission

Possible changes in the mission with an eye on the future

Whom you serve – target groups

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## Swot Worksheet

<b>Strengths</b>	<b>Actions</b>
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
9.	9.
10.	10

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<b>Weaknesses</b>	<b>Actions</b>
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
9.	9.
10.	10

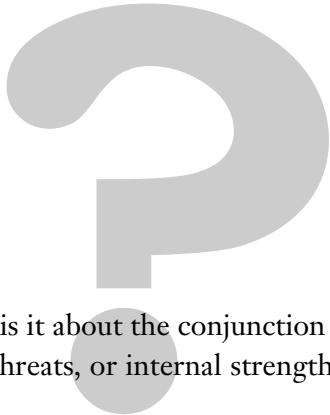
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<b>Opportunities</b>	<b>Actions</b>
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
9.	9.
10.	10
<b>Threats</b>	<b>Actions</b>
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
9.	9.
10.	10

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## *Strategic Issue Identification on Worksheet*

1. What is the issue? Be sure to phrase the issue as a question which will state or contain some sort of action that your organization can take.



2. Why is this an issue? What is it about the conjunction of mission and mandates, external opportunities and threats, or internal strengths and weaknesses that makes this an issue?

3. What are the consequences of not addressing this issue?

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### ***Describing the Organization's historic and present situation***

**Instructions:** Review the history and present situation of your organization. List the questions and tendencies or characteristics that must be addressed in planning for the future. This format may be used with the next two formats to develop a more detailed analysis of the organization's environment.

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## ***The Need of Clients, Supporters and Stakeholders***

- Instructions:**
- 1) List the needs of actual or potential clients your organization can attract. List ideas of the ways in which your organization can address those needs.
  - 2) List the most important groups of supporters or stakeholders (e.g., volunteers, donors, other service providers). Note what you can do to satisfy their needs.

Clients, users	Their needs	How are these needs addressed?
Describe existing clients or new target groups		
Other supporters or stakeholders (List the groups or persons)	Their needs	

## **Competitors and Allies**

- Instructions:**
- 1) List present and potential competitors and state how they compete with your organization. Note the advantages and the relative constraints of your organization.
  - 2) List possible alliances and how you envision your organization functioning in concert with all listed organizations, persons, or groups.

Existing competitors	How do they compete with organization?	Relative advantages	Relative constraints
Potential			
Allies	How can the organization coordinate or form a team with allies?		

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## Vision Worksheet

To help collect your thoughts, you may want to use this framework.

	<b>Present</b>	<b>Future</b>
Services or products	_____	_____
Markets/Niche	_____	_____
Clients/Customers	_____	_____
Key relationships	_____	_____
Organizational Capabilities	_____	_____
Organizational Culture	_____	_____
Competencies	_____	_____
Reputation/Image	_____	_____
Processes	_____	_____
Structure	_____	_____
Mission	_____	_____
Community Linkages	_____	_____
Innovations	_____	_____

*Planning Format - A*

### **Strategic Objective:**

## **Activities Cluster – Planning Format B**

Strategic Objective:									
Major Activities/Tactics	Time Frame for Completion							Person(s) Responsible	Targets/Expected Outcomes
	Q1	Q2	Q3	Q4	Q5	Q6	Q7		
Step A									
Step B									
Step C									
Step D									
Step E									