

TOWARD A SHARED VISION:



A STRATEGIC PLANNING TOOLKIT

PREFACE

Executive managers in California state government have designed an innovative management development program, the Data Processing Managers Academy. The Academy prepares mid-level managers to face senior and executive level assignments. The program's major benefits are the self-growth and increased management capabilities the participants achieve through sharing ideas, developing a deeper understanding of statewide issues, and establishing effective working relationships that extend beyond classroom and organizational boundaries.

The training program results are demonstrated in the group project each Academy class completes. Recognizing the importance of building for the future and of resolving the critical issues facing all managers, Academy IV has chosen to focus on the strategic planning process.

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This toolkit was developed as a class project by the California State Data Processing Managers Academy IV. It was first published in May 1992, and introduced at the Government Technology Conference '92 West in Sacramento, California.

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INTRODUCTION

The State of California faces extreme challenges due in part to a severe budget crisis and an increasingly turbulent future. Strategic planning helps meet these challenges by turning visions into reality, threats into opportunities, and weaknesses into strengths. Strategic planning cannot guarantee success, but enhances the likelihood of success when it is effectively planned, supported and executed. Any effort expended on strategic planning is a positive step for your organization.

To help government agencies initiate and carry out strategic planning, the Data Processing Managers Academy IV members chose to develop a strategic planning toolkit. The Toolkit is intended to serve as a guide and to reduce the amount of background research needed when undertaking a strategic planning project. To build the Toolkit, the Academy IV members received strategic planning training, held interviews with State executives and performed extensive research of strategic planning publications. By filtering the data, the Toolkit attempts to present comprehensive and useful information in an easily understood format.

For those who are relatively unfamiliar with strategic planning, the Toolkit provides an overview of the subject; for others, it may serve as a refresher. The Toolkit relates strategic planning to other formal planning processes, identifies the scope of commitment and describes the benefits to



be derived from this planning. The document contains useful hints, potential pitfalls, and references to strategic planning publications.

The Toolkit focuses on assisting government agencies with the vital task of strategic planning. It provides a starting point and a road map along with concepts and common terminology. The Toolkit may reduce, but not fully replace, the advance research necessary to initiate strategic planning. The Toolkit is not intended to provide a comprehensive study of all strategic planning methodologies, nor is it a step-by-step plan.

The Toolkit maintains a departmental business perspective, but provides information and guidelines to all organizational levels. It stresses management's ongoing commitment and personal involvement throughout the strategic planning process. The Toolkit identifies who in the organization is involved in each stage of the planning process, the tasks they must perform and their required level of commitment.

The Academy IV members present this Toolkit as a common vehicle for strategic planning to help your agency develop a shared vision of the future. We hope that you derive as much benefit from reading this document as we have in developing it.



WHY DO STRATEGIC PLANNING?

Strategic planning can:

Establish an organizational focus and a common direction. Strategic planning and thinking focuses on long-term direction rather than day-to-day operational problems. Once a direction is established and understood, everyone can concentrate on working toward the common goal.

Identify internal and external factors directly affecting the success of the organization's mission. If the impact of social, economic and technological trends are considered during the planning process, the plan will better reflect the full range of opportunities and threats affecting the fulfillment of the mission.

Set a common foundation for developing and evaluating all other planning efforts. A sound strategic plan establishes a framework for all organizational decisions including policy, fiscal, priority, resource allocation and project management. This provides consistency and continuity within the organization.

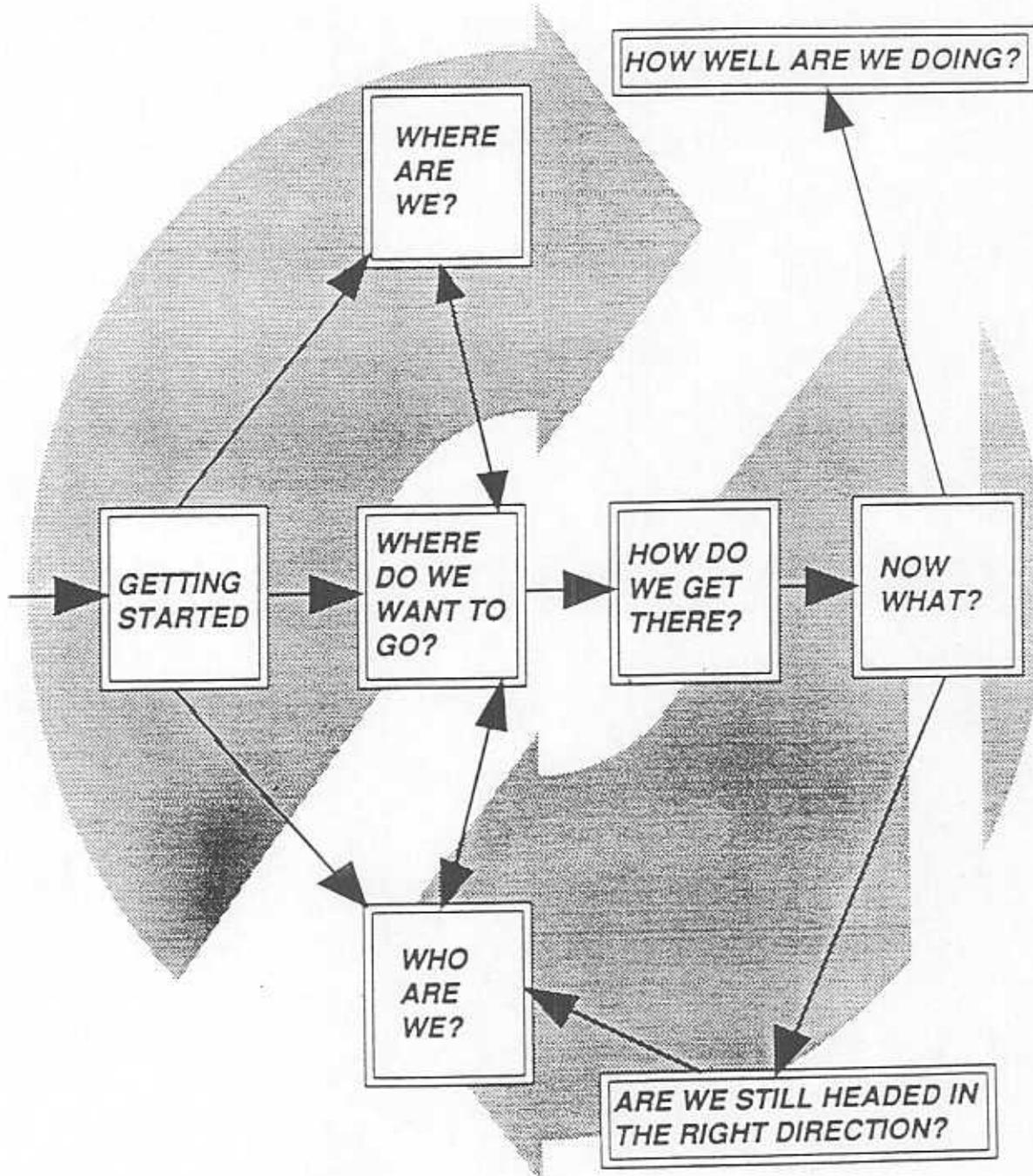
Provide the opportunity for an organization to transform both its business and its culture. An organization can establish new policies, new values or it can totally change the way it does business. An organization can use strategic planning to take control of its destiny.

Allow the opportunity to challenge existing paradigms. Creative thinking is the key to providing new and innovative services. For example, if the telephone company never challenged the idea that "telephone books contain only telephone numbers", today the telephone book would not include city and zip code maps, bus routes, airport and stadium information. Strategic planning promotes creative thinking.



A STRATEGIC PLANNING PROCESS

The next sections contain a strategic planning process. We developed this process from information gathered while researching the Toolkit; it is not intended to follow a specific formal methodology. Each section describes a planning phase by first identifying the activities, participants, techniques and deliverables for that phase. Major components are then highlighted, and are followed by a discussion of important considerations. After each section we included examples of the deliverables from that phase. Finally, we provided a chart that summarizes the roles of the participants in the process.



GETTING STARTED

The director and the executive team must decide how strategic planning will benefit the organization's business, how it will affect the planning process, and who needs to do what.

ACTIVITIES

- Decide to do strategic planning
- Commit the resources for research
- Investigate the strategic planning process
- Commit the resources for strategic planning
- Develop a plan for strategic planning

PARTICIPANTS

- Director
- Executive team
- Strategic planner

TECHNIQUES

- Read available literature
- Secure a management consultant
- Attend professional seminars
- Visit other organizations

DELIVERABLE

- Plan for strategic planning



UNDERSTAND THE BASIC CONCEPTS AND PRINCIPLES OF STRATEGIC PLANNING.

Before the department director decides to use a strategic planning approach, he or she must understand how strategic planning differs from other planning and what the benefits are. The best way to obtain an understanding of strategic planning and the wide variety of approaches is to conduct independent research using as many sources as possible. If the executive team cannot do this research, then the strategic planner can assume the tasks of education.

COMMIT THE RESOURCES TO INITIATE THE PROCESS.

If the decision makers do not understand that strategic planning is an executive task requiring continuous executive priority and participation, the strategic plan will only be another staff product to be filed away.

ACQUIRE AN UNDERSTANDING OF THE STRATEGIC PLANNING PROCESS.

The executive team must understand that each step of the planning process is a building block to the next step. Once they recognize that the process is as important as the product, the team will ensure that each phase is completed with the energy, care and thoughtfulness necessary for successful strategic planning.



PLANS FOR PLANNING

CALIFORNIA BOARD OF EQUALIZATION 1989 STRATEGIC PLAN

1. *Definition of mission and goals*
2. *Articulation of the organization's operating philosophy and vision of the future*
3. *Environmental analysis*
4. *Issue identification and strategy formulation*
5. *Implementation of the strategies*



CALIFORNIA FRANCHISE TAX BOARD 1989 STRATEGIC PLAN (PARAPHRASED)

1. *Establish mission and values*
2. *Clarify our objectives*
3. *Identify the issues and strategies*
4. *Manage the issues*
5. *Develop the operational and program plans*
6. *Develop and evaluate the budget*



WHO ARE WE?

The planning team must develop a shared understanding of the organization's mission, philosophy, values and culture.

ACTIVITIES

- Identify current mandates
- Review current mission
- Describe current philosophy, values and culture
- Identify your customers and stakeholders

PARTICIPANTS

- Executive team
- Strategic planner
- Managers
- Employees

TECHNIQUES

- Facilitated work sessions
- Focus groups
- Interviews
- Surveys

DELIVERABLES

- Mission statement (new or revised)
- Value statement (new or revised)
- Philosophy statement (new or revised)



Review critical legislation and regulations applicable to your business.

Be aware of current and proposed legislation, and the political and social environment. If the executive team starts to plan without a consensus of why the organization does what it does, it will be very difficult to reach a consensus on the mission.

Ask the executive team to define the organization's mission.

A mission statement should be short, yet lofty and purposeful. It should identify the clients your organization serves and express the values of your organization. The mission should distinguish your organization from all others, and above all, it must be meaningful to your employees and the people you serve.

Determine who uses your services and products.

This task is best assigned to the strategic planner. Although it may take longer, the planner can involve the entire organization in determining who may use your services and products. If the executive team makes intuitive assumptions about who the clients and customers are, the list will probably be incomplete.

Assess the organization's "soul": philosophies, values and culture.

The executive team needs to identify the existing culture and values of the organization. There is a risk in not considering those values in the planning process; a realistic appraisal of the culture may reveal that it must be changed before the organization can improve.



MISSION STATEMENTS

APPLE COMPUTER

To make a contribution to the world by making tools for the mind that advance mankind.

CALIFORNIA STATE BOARD OF EQUALIZATION

The dual mission of the State Board of Equalization in the administration and collection of taxes is:

- To provide informative and responsive services to the taxpayer*
- To provide fair, firm and uniform treatment of the taxpayer*

and to perform these functions with quality and efficiency.

FOOD DISTRIBUTION PROGRAM

Hunger hurts. It denies dignity, lessens human energy, erodes community stability and impairs the potential of people and societies to achieve their greatness. Long the land of the plenty, America now faces a crisis of hunger. An increasing number of its citizens are without food for the first time in their lives. For those of all ages who now confront hunger, sustenance must be provided and solutions sought.

We are providing sustenance and finding solutions.



VALUE STATEMENTS

GIRO SPORT DESIGN

- *Customer satisfaction is first and foremost.*
- *Commitments are made to be fulfilled.*
- *Integrity is not to be compromised: be honest, consistent and fair.*
- *Teamwork should prevail: think "we", not "I".*

CALIFORNIA FRANCHISE TAX BOARD

Quality: We value a job well done and strive to constantly improve the services we provide to each other, our customers and other organizations.

Cooperation: We work cooperatively with each other and our customers.

Communication: We work hard to communicate clearly, accurately and promptly.

Relationships: We treat everyone with fairness, honesty, courtesy and respect.

Teamwork: We strive to make each individual a part of the team, working together toward a common goal.

Individuality: We respect the individuality of each employee and foster an environment in which creativity and productivity are encouraged, recognized and rewarded.

Trust: We foster individual responsibility and integrity in an environment of trust.



WHERE ARE WE?

Evaluate how well you are performing your mission within your current environment. Ask which products and services are really meeting your customers' needs, and whether any needs are not being met.

ACTIVITIES

- Analyze your customers and clients
- Evaluate current services and products
- Evaluate current financial and competitive situation
- Scan the environment; identify Strengths, Weaknesses, Opportunities and Threats (SWOT)
- Evaluate effect of SWOT on Vision and Mission

PARTICIPANTS

- Executive Team
- Strategic Planner
- Operational Managers
- Employees
- Customers and clients
- Other stakeholders

TECHNIQUES

- Compare current activities to mission
- Evaluate quality of services and products
- Interview sessions
- Surveys

DELIVERABLE

- Understanding of SWOT



Learn as much as you can about your stakeholders (employees, customers, the public, etc.).

When the executive team sees the mission through the eyes of each stakeholder, they understand the needs and wants of those stakeholders. Find out who uses your products and services, why they use them, and whether this is changing. Ask your customers what they like and don't like about the way you do business. The executive team should review the stakeholders' perceived value of your services and products in order to judge the impact of changes.

Conduct an honest appraisal of the strengths and weaknesses of the organization.

Ask the employees what they like and don't like about the organization, and what the problems are. The executive team must recognize where weaknesses exist before those problems can be addressed. Conversely, acknowledging strengths will boost morale and allow the strategic plan to use those strengths.

Do not ignore or underestimate the external factors that affect the success of your business.

The planning team must thoroughly survey the external environment, or many opportunities and threats may be missed. Do not limit consideration of strategies to past experience. Your external environment is probably changing much more rapidly than your organization and must be continuously monitored.

When forming your vision, incorporate as much information as possible from the Strength, Weakness, Opportunity and Threat (SWOT) analysis.

The executive team must be creative and open to change. Clearly, the better informed the executive team is, the better the vision will be.



SWOT (STRENGTH WEAKNESS OPPORTUNITY THREAT) ANALYSIS

STRENGTHS:

Research and development group has a high level of expertise.

Employee morale and commitment is high.

New director has background in both management and program.

WEAKNESSES:

A wide variety of services is managed by a centralized unit.

Services are provided for which demand is low.

Frequently requested services and products are not available.

Information infrastructure is almost nonexistent.

Recruitment of qualified staff, especially with natural science skills, is almost impossible.



OPPORTUNITIES:

Federal government is willing to provide funding for special projects.

GIS (Geographic Information Systems) technology offers potential for substantial cost savings.

The new administration has made our programs a high political priority.

THREATS:

Public groups are lobbying to eliminate our organization.

We have a terrible relationship with the press.

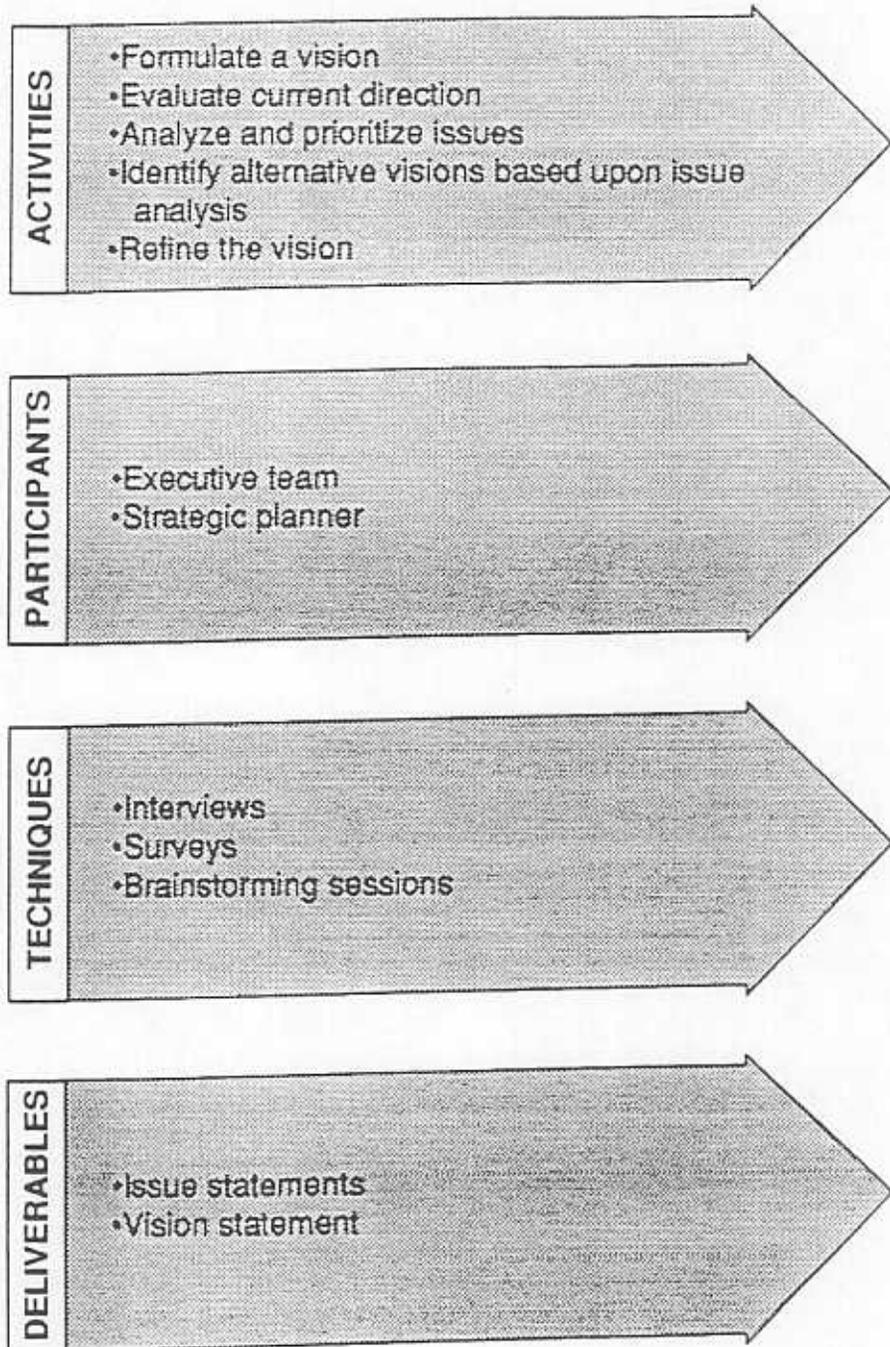
Another agency is marketing a service we provide.

Growth in demand for our services may soon exceed the capacity of our infrastructure.



WHERE DO WE WANT TO GO?

Develop a long-range vision while openly considering all possible information and options. You must be willing to change the direction of the organization so that as many needs as possible are met, opportunities are explored, threats are minimized and your mission is accomplished.



Brainstorm to propose a variety of visions that take advantage of all the possibilities.

This is when the executive team can be most creative and visionary.

Be optimistic when choosing the vision.

The executive team may find that this is the most difficult task. After years of planning based on budget cycles or changing political administrations, a far-sighted goal may seem unattainable, especially when they know that priorities change constantly.

Compile the previously-gathered information about problems, strengths, weaknesses, opportunities, threats, customer needs and wants, and stakeholder concerns.

When the volume of information is huge, support staff can be assigned to sift the wheat from the chaff and impose a consistent format.

Organize the information into broad issue categories.

Define clear categories that have meaning to the executive team, such as workforce issues, information technology issues, and program issues. Incorporate information about strengths, weaknesses, opportunities and threats into issue statements.

Take a hard look at the current focus and direction of the organization.

Once the executive team has reviewed the mission, recognized the culture and values, identified the stakeholders and completed a SWOT analysis it can determine whether or not the current direction is appropriate and correct.

Review your vision.

The executive team should review the original vision and decide if it is too conservative or too intangible. Is the vision focused? Is it futuristic? Does it communicate the dreams, hopes and aspirations of the organization? Refinement of the vision is an ongoing process.



VISION STATEMENTS

MARTIN LUTHER KING, JR.

I have a dream that my children will one day live in a nation where they will not be judged by the color of their skin, but by the content of their character.

I have a dream that [our nation] will be transformed into an oasis of freedom and justice.

I still have a dream. It is a dream deeply rooted . . . that this nation will rise up and live out the true meaning of its credo that all men are created equal.

FORD MOTOR COMPANY, HENRY FORD

I will build a motor car for the great multitudes. It will be so low in price that no man making a good salary will be unable to own one — and enjoy with his family the blessing of hours of pleasure in God's great open spaces. The horse will have disappeared from our highways, the automobile will be taken for granted [and we will] give a large number of men employment at good wages.

UNKNOWN MANAGER

We will be respected and admired by our peers. Our solutions will be actively sought. People will give unsolicited feedback that they love what they are doing. People will always think "we" rather than "I". People will willingly work hard because they want to . . .



ISSUE STATEMENTS

CALIFORNIA FRANCHISE TAX BOARD

Work Force

Challenges in the way we do our work and in the work force require that we improve the recruitment, development, use and retention of our employees to maintain a qualified work force.

Customers and Communication

The complexity of the law and the diverse needs of our customers will require changes in the way we communicate in order to improve self-compliance.

Technology

The demand for current technologies and the challenges and opportunities in the future require that we reevaluate the assumptions, methodologies and resources directed at technology.

Legislation

The increasing number and significance of proposed tax legislation require that we develop a greater capacity for the timely and accurate analysis of the proposals and the effective implementation of new laws.

Tax Administration

Judicial decisions and the changing business and legislative environment require that the current methods of taxation of businesses be examined and adapted to new conditions and events.

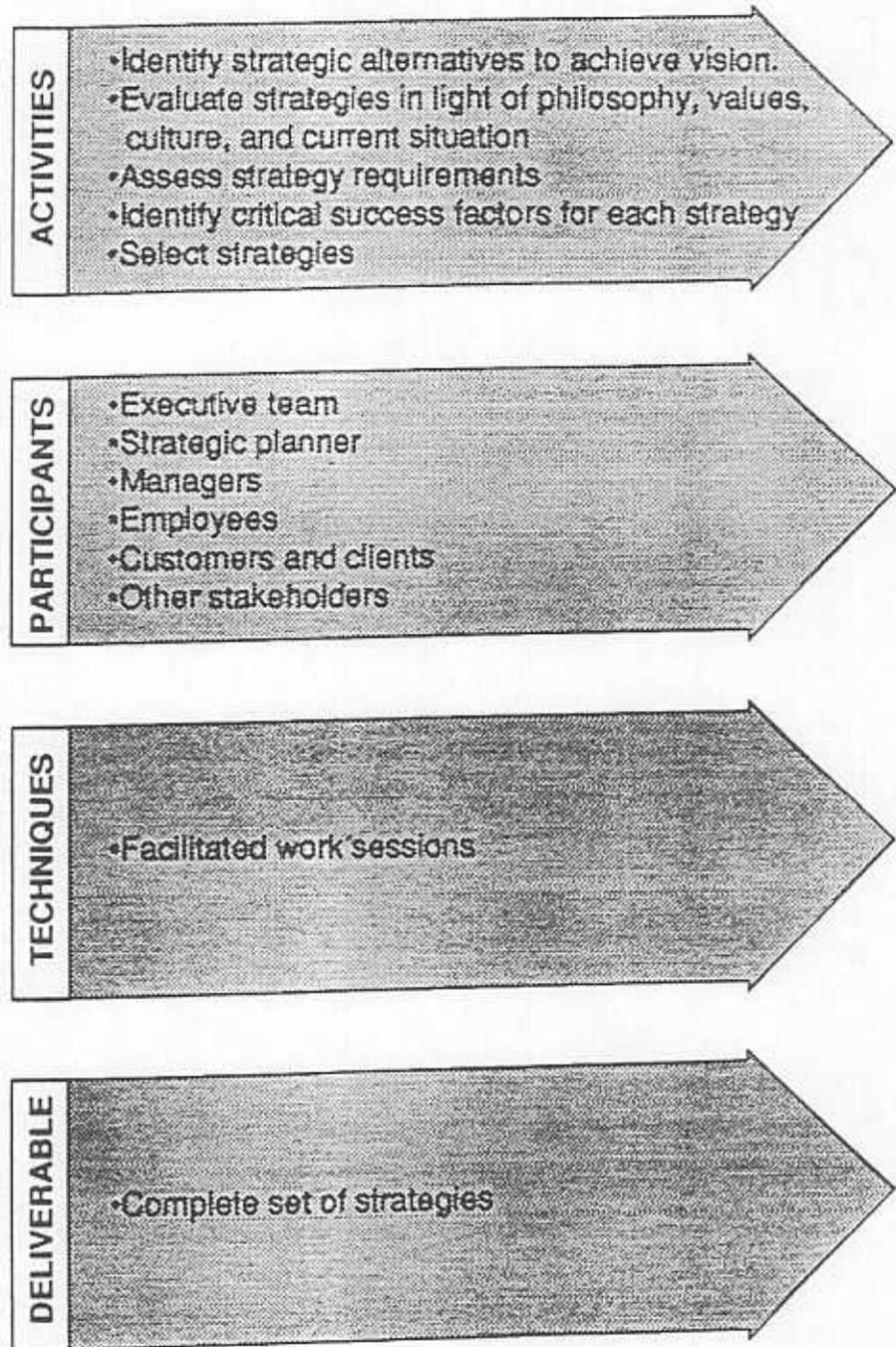
Noncompliance

The level of noncompliance with the tax laws remains unacceptably high; therefore, we need to continue to develop objective methods for both identifying and addressing areas of noncompliance.



HOW DO WE GET THERE?

Develop, evaluate, and select your strategies. You've already determined WHO you are, WHERE you are now, and WHERE you want to be. Now, you have to identify all possible paths and select the best path to achieve your vision.



Identify and research all potential strategies.

Identify all requirements for implementing each strategy along with the associated pro's and con's. The executive team must determine the critical success factors and risks associated with each of the strategies. With this information, the executive team can determine which strategies they want to pursue, and develop the plans for implementing each strategy.

Evaluate strategies in light of philosophy, values, culture, and current situation.

Prioritize the selected strategies according to logical and temporal order. Consider the factors that make a strategy a priority, the consequences of failure to address the issue in a timely manner, and the overall value of the strategy to the organization.

Document all strategies considered.

It is important to document all strategies considered, and the reasons for selection or rejection. At some later date, the situation may change so that the reasons for rejecting a strategy are no longer valid.



STRATEGIES

BOARD OF EQUALIZATION 1989 STRATEGIC PLAN

STRATEGIES FOR CREATING A QUALITY WORKPLACE:

Identify needs and establish policies and methods to improve security for personnel, data, equipment and facilities including disaster recovery planning.

Identify and pursue options for relocating and unifying headquarters staff.

Develop better methods to project and meet current field staff office needs.

Explore ways to meet the public's need for service through innovative workplace concepts.



FRANCHISE TAX BOARD 1989 STRATEGIC PLAN

STRATEGIES FOR THE WORKFORCE:

Develop plans to give us a competitive edge in the recruitment and retention of employees.

Enhance our training, development and recognition processes to provide for positive reinforcement of employees.

Evaluate the way we organize our work and our existing work space, equipment and facilities. Implement improvements to provide for a positive physical environment.

Recognize employees' unique personal needs and provide opportunities so that they may use their abilities to contribute to the department's success.

Improve internal communications, emphasize team building and encourage employee participation and commitment to a unity of effort within the department.



NOW WHAT?

Propose changes and projects based on strategies to help implement your vision. You have a vision that can be communicated and understood. Now you must turn the vision into tangible plans.

ACTIVITIES

- Publish strategic plan
- Propose legislative actions
- Propose and implement supporting policies
- Develop tactical plans
- Develop project plans to implement strategies
- Develop contingency plans for each strategy
- Translate the detailed plans into budgets

PARTICIPANTS

- Executive team
- Strategic planner
- Managers
- Employees
- Customers and clients
- Other stakeholders

TECHNIQUES

- Budget planning (BCPs, TBAs, etc.)
- Legislative changes
- TQM program
- Project proposals (schedules, FSR's, etc.)

DELIVERABLES

- Strategic plan
- Tactical plans
- Operational plans
- Legislation
- Policy change
- Organizational change



Make the required decisions.

The executive team must begin by supporting the decisions required to implement the plans. You must educate your employees, customers, State control agencies, and the Legislature on your organization's vision and strategic plan.

Consider a new organizational structure.

The executive team may have also identified strategies which require organizational changes. This is the time to implement those changes and to secure necessary resources. But remember that a reorganization is disruptive and should only be done when the existing structure is part of the problem.

Solicit support and participation during tactical planning.

The executive team must present the plan, issues and strategies to all managers, and enlist their assistance in building the tactical plans that will implement the strategies. They must compile a list of potential projects, assess the available resources, and select those projects that will provide the most payback toward achieving your strategic vision.

Develop the operational plans.

At this point, the operational managers assume the responsibility for carrying out the strategies. They develop the project schedules, allocate and obtain the resources, manage the resources and track the progress. They must understand how their projects relate to the issues and strategies and how important their projects are to achieving the vision.



TACTICAL AND OPERATIONAL PLAN

EMPLOYMENT DEVELOPMENT DEPARTMENT 1990-1995 LONG RANGE PLAN

Issue:

Foster Quality Through Every Service

Strategy:

To identify innovative and cost effective ways to make quality inherent in all that we do.



Tactical plan:

All department employees are responsible for providing quality services. We will respond to the State's changing demographics and economic conditions by designing and implementing quality programs and systems for service delivery.

Operational plan:

Each branch will develop its own quality program, reflecting its needs and operational concerns. Each branch will coordinate with other branches to ensure quality of all systems and to enhance the potential benefits of each.



HOW WELL ARE WE DOING?

Gauge your progress on projects and strategies related to your strategic plan. You need to evaluate how well the strategies are working, and whether they are helping you accomplish your mission.

ACTIVITIES

- Develop a strategy-oriented status report for projects and changes
- Monitor progress of tactical and operational plans
- Evaluate progress by strategy
- Publish strategic planning progress reports

PARTICIPANTS

- Executive team
- Strategic planner
- Managers
- Employees
- Customers and clients
- Other stakeholders

TECHNIQUES

- Surveys
- Interviews
- Expert consultants
- Seminars

DELIVERABLES

- Progress-reporting mechanism
- Knowledge of your progress toward your vision



Determine what the status reports should contain, who should do them, and how often.

The executive team needs to receive periodic progress information on the changes and projects selected. The reports should be structured so that each project is associated with its strategy and major issue.

Designate executive team members as issue managers.

The executive team must take responsibility for evaluating progress toward the vision. The executive team should be able to determine whether the selected strategies are addressing the original issues.

Evaluate progress on the strategies.

How well are the selected strategies dealing with the issues and the accomplishment of the organization's mission? The assigned issue manager should complete periodic issue reports. Remember that any strategy is only as good as the operational plans that support it.

Publish periodic progress reports on the strategic plan.

The executive team should keep all staff informed on the activities and progress of the organization's strategic planning process. This allows all staff to see how their projects and other activities relate to the organization's mission, vision, and strategic plan.



ISSUE AND STRATEGY STATUS REPORTING

CALIFORNIA FRANCHISE TAX BOARD SUPPLEMENT TO 1989 STRATEGIC PLAN

Issue:

Work Force

Changes in the way we do our work and in the work force require that we improve the recruitment, development, use and retention of our employees to maintain a qualified work force.

Strategy:

Develop plans to give us a competitive edge in the recruitment and retention of employees.

Tactical plan:

Improvements in working conditions should lead to better retention of employees.



Operational plans:

Offered option of telecommuting

Retained "9/8/80" program as a permanent work schedule option.....

Annually Since 1989, Held "Educational Faires" onsite to allow employees to become familiar with the educational opportunities available in the Sacramento area—from 14 to 18 educational institutions have participated each year.

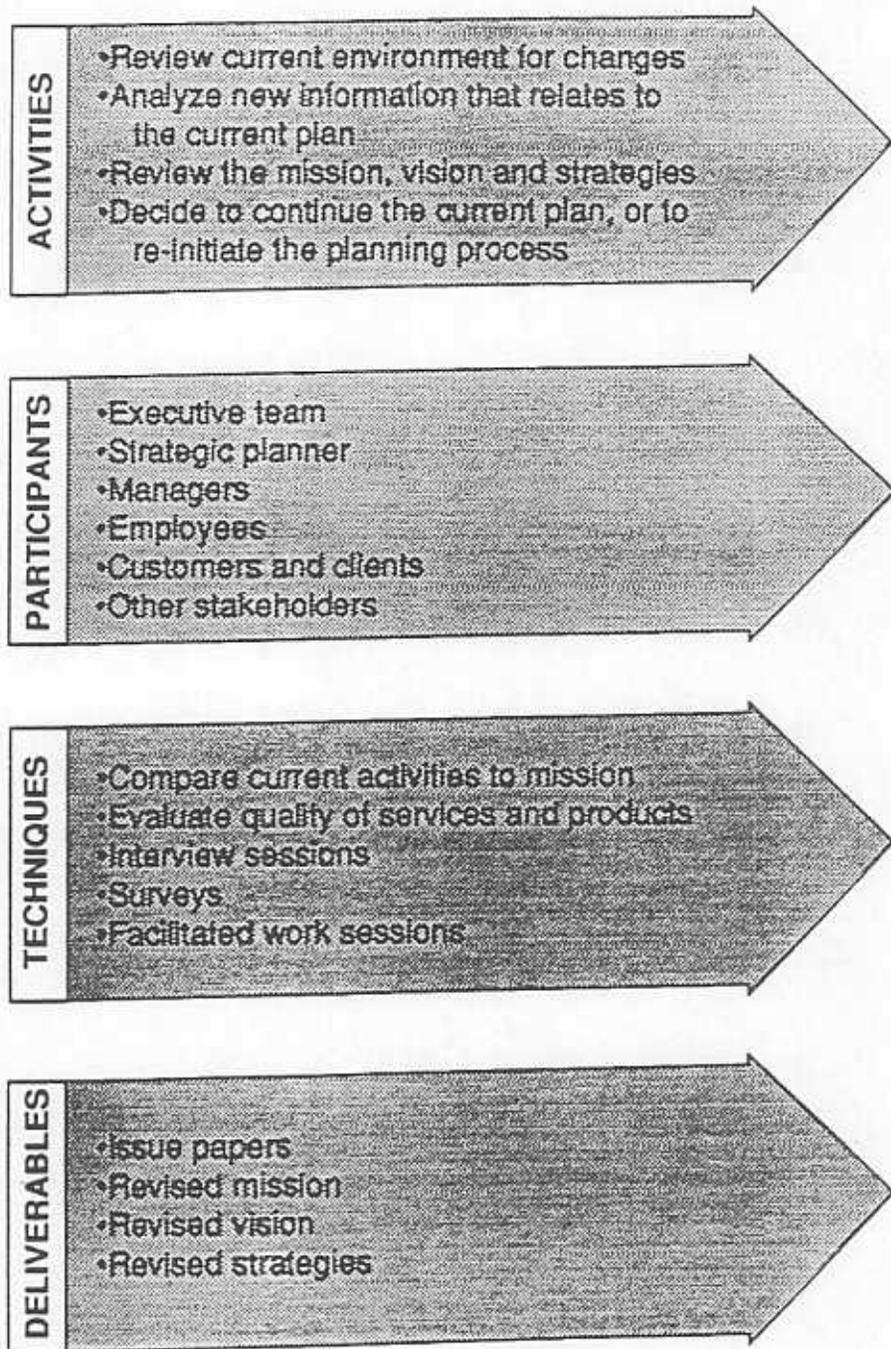
Strategy status:

Some preliminary indicators suggest that our strategies are producing positive results: turnover rates and employee grievances have declined over the past 3 years; many highly qualified individuals have been successfully recruited by the department.



ARE WE STILL HEADED IN THE RIGHT DIRECTION?

Determine whether your vision and strategies are consistent with today's operations and the external environment. You need to determine whether the organization still serves and satisfies your customers' needs.



Review the current environment for change.

The environment changes constantly as new opportunities or threats emerge. Monitoring these trends will help identify any change that could affect the strategic plan. One of the easiest and simplest ways of monitoring change is to schedule expert seminars regularly.

Analyze new information as it relates to the current plan.

Review new information to determine its relevance and impact on the current plans. Analyze and submit pertinent information to the executive team as issue papers. The executive team should review the issue papers and take action to adjust the plan as needed.

Review the mission, vision and strategies in light of the new information.

In the extreme case, the mission or vision statement may need revision. In most cases, however, new information may simply require new strategies or revised tactical or operational plans.

Decide to continue the current plan, to modify or add strategies, or to re-initiate the strategic planning process.

Usually, only major trend changes or new critical issues will require the re-initiation of the strategic planning process. Regular revisions to the the strategic plan will make it less likely that a complete rewrite will become necessary. If consensus is reached that a new strategic plan or major revision is needed, begin the process with the first planning step: **WHO ARE WE?**



KEYS TO SUCCESS

Strategic planning is a way of thinking and planning. It never ends and should become a way of doing business. Successful strategic planning requires:

A Champion: A person who has the conviction and belief that the strategic planning process is the way to truly achieve your organization's vision.

Commitment: A dedicated and serious decision to implement a strategic planning process.

Priority: Active executive consensus, commitment and ownership.

Education: Common and realistic expectations and understanding of the strategic planning process, products and value.

" Be patient. Let strategic planning evolve.

It takes a lot of time to decide who you are as a department and where you want to go.

Then you can decide how you want to get there."

Del Pierce,
Undersecretary
Business, Transportation Housing Agency



WHO DOES WHAT?

The chart on the next two pages identifies who in the organization is involved in the major strategic planning steps. Participation may vary depending on how strategic planning is done in a particular organization, but the responsibility for decisions and alternative analysis should always remain with the executive team. We used the following definitions of participant groups throughout the Toolkit:

Director: The highest level executive in the department.

Executive Team: Together with the director, the team includes the chief deputy director, deputy directors and key program managers.

Strategic planner: A group including either the executive team or a strategic planning unit. When the executive team acts as the strategic planner, each executive member is responsible for his or her own staff work. When a strategic planning team is established, its responsibilities include both practitioner activities (conducting interviews, compiling information) and support staff activities (arranging seminars, finalizing reports). The executive team would still be required to participate in any discussions or decisions that would affect the strategic planning direction.

Managers: Includes all levels of management responsible for the department's activities.

Employees: Includes all employees: managers, supervisors and staff.

Customers: Includes anyone who uses the department's services or products.

Other Stakeholders: Any individuals, groups or organization other than employees and customers who are affected by how well the department meets its mission: vendors, government agencies, the public and related professionals (doctors, scientists, auditors, etc.).

Practitioner: The group or individual responsible for a decision or product.



	DIRECTOR	EXECUTIVE TEAM	STRATEGIC PLANNER	MANAGERS	EMPLOYEES	CUSTOMERS	OTHER STAKEHOLDERS
GETTING STARTED							
Decide to do strategic planning	P	I					
Commit the resources for research	P	I					
Investigate the strategic planning process		P	P				
Commit the resources for strategic planning		P	P				
Develop a plan for strategic planning		P	S				
WHO ARE WE?							
Identify current mandates		P	S				
Review current mission		P					
Describe current philosophy, values and culture		I	P	I	I		
Identify your customers and stakeholders		I	P	I	I		
WHERE ARE WE?							
Analyze your customers and clients		P	S	I	I	I	I
Evaluate current services and products		P	S	I	I	I	I
Evaluate current financial and competitive situation		P	S	I	I		
Scan environment to identify Strengths, Weaknesses, Opportunities and Threats		I	P	I	I	I	I
Evaluate effect of SWOT on vision and mission		P	S				
WHERE DO WE WANT TO GO?							
Formulate a vision		P					
Evaluate current direction		P					
Analyze and prioritize issues		P	S				
Identify alternative visions based upon the issue analysis		P					
Refine the vision		P					

P = Practitioner
I = Information source
S = Support staff



	DIRECTOR	EXECUTIVE TEAM	STRATEGIC PLANNER	MANAGERS	EMPLOYEES	CUSTOMERS	OTHER STAKEHOLDERS
HOW DO WE GET THERE?							
Identify strategic alternatives to achieve vision		I	P	I	I	I	I
Evaluate strategies in light of philosophy, values, culture and current situation		P	S				
Assess strategy requirements		I	P	I	I	I	
Identify critical success factors for each strategy			P				
Select strategies		P	S				
NOW WHAT?							
Publish strategic plan			P				
Propose legislative changes		P		P	I	I	I
Propose and implement supporting policies		P		P	I		
Develop tactical plans		I		P	I		
Develop project plans to implement strategies and contingency plans for each strategy		I		P	I		
Translate the detailed plans into budgets		I		P			
HOW WELL ARE WE DOING?							
Develop a strategy oriented status report		I	P				
Monitor progress of tactical and operational plans		P	S	I	I	I	I
Evaluate progress by strategy		P	P	P	P		
Publish strategy progress reports		P	P				
ARE WE STILL HEADED IN THE RIGHT DIRECTION?							
Review current environment for change		I	P	I	I	I	I
Analyze new information that relates to the current plan		P	P	P			
Review the mission, vision and strategies		P	S	I			
Decide to continue the current plan or reiterate the process		P	S	I			

P = Practitioner
I = Information source
S = Support staff





APPENDICES

The following sections contain background information we've gathered that may assist you as you learn about strategic planning. We've tried to do some of the legwork for you, reading long and sometimes murky academic texts, surveying your peers for their experiences and acquired wisdom about strategic planning, and then condensing it all to save you valuable time and effort.



INTERVIEW AND SURVEY RESULTS

We surveyed and interviewed state department officials to learn how they planned, and what factors they felt contributed to success or failure. What follows is a summary of our findings.

BACKGROUND:

We selected the state departments to be interviewed by categorizing them according to size, type of business, customer base, fiscal resources, and political sensitivity. We selected a representative group from each category for personal interviews and developed a questionnaire. We sent this same questionnaire to sixty-five departments that are members of the California Forum on Information Technology (CFIT).

The interviews and survey had the following objectives: 1) to ascertain the extent of strategic planning being done within the state government; 2) to discern the benefits of strategic planning to these agencies; 3) to learn what problems are typically encountered during strategic planning; and 4) to determine the reasons for strategic planning success or failure.

FINDINGS:

While the departments interviewed varied in size, function, customer base and fiscal resources, we found no correlation between these factors and the departments' strategic planning efforts. Planning histories varied from ten years to "currently under development". Strategic planning horizons also varied, with most covering three or more years into the future. Those departments with the longest experience with strategic planning tended to have the longest planning horizons.

Departments with a degree of planning success took a top-down approach. In most cases someone, typically a member of the executive staff, assumed the role of process champion. The champion informed all department executives, managers, and staff of the importance of strategic planning.

Departments sometimes brought a facilitator on board to guide the planning process. Occasionally, such facilitators were recruited from within the department; but often an outside consultant familiar with the public sector was employed. While some department officials expressed



satisfaction with the results of consulting, others thought the consultants were a waste of time and money. Facilitator involvement generally was limited to planning initiation, and did not extend over a long period.

Several organizations formed strategic planning units. The units functioned best when they served as staff resources for the executive team, and were not delegated responsibility for developing the plan. Early department efforts at strategic planning frequently expected the planning units to develop a functional process in the absence of executive commitment and involvement. Those efforts failed.

Strategic planning typically was undertaken on a department-wide basis. This involved staff at all levels and enhanced their commitment to the process. The most common method used to initiate the planning process was an executive brainstorming session. Brainstorming was felt to create ownership and focused direction. Through this process, executives developed organizational values, missions, goals and objectives. The executive team identified various internal and external department-level issues, and established a department-level vision. This vision was distributed among department staff to obtain feedback, and then expanded into operational and tactical plans. This process provided staff with a clear sense of purpose and helped them understand how their daily tasks contributed to the department vision.

Departments used a structured process to initiate and implement strategic planning. They viewed strategic planning as a vehicle to change their organizational culture, set priorities, provide consistent direction and meet their goals and objectives. Some departments also used the process to anticipate future business relationships, trends, and opportunities.

Most departments documented and published a formal strategic plan. They found the formal plan beneficial; however, they did not believe that production of a formal plan was essential for the success of a planning process. One department had an effective process but did not



document a formal plan. Executives there relied on a series of issue papers to make the process effective.

Updates to the plans were generally triggered by new issues, changes to the business environment, and new administrations. The most common method of update was to review the plan on a scheduled basis. Experienced planners felt that executive ownership should continue throughout the plan update process. The executive owner should be held responsible for progress reports and the long-term success of the plan.

Almost all of the departments were aware of strategic planning and its benefits. Nevertheless, strategic planning did not seem to be part of most departments' business cultures. Only a few departments devoted resources to implement a strategic planning process. The overall focus of most formal planning efforts seemed to be on shorter-term tactical and operational objectives rather than on long-term strategic positioning of services.

The most common reason given when departments were dissatisfied with the results of strategic planning efforts was that there had been insufficient executive-level commitment. Other officials cited a lack of priority, insufficient time or staff resources, inadequate follow through, and the delegation of planning responsibility to a low organizational level. Departments also reported that planning processes tied to a department's budget cycle, administration changes, or any other short-term external constraint ran the risk of becoming ineffective.

Executive involvement in the strategic planning process was widely seen as an absolute must. The successful executive teams were committed to strategic planning on an ongoing basis, assigned the process a high priority, and looked continually for ways to improve the process. Departments with a vision-oriented, long-term and flexible strategic planning process were most often successful.



ADVICE FROM INTERVIEWS AND SURVEYS

High level management priority is essential.

Strategic planning is a management process, not a project.

Emphasize opportunities for department-wide solutions to problems.

Be bold in your vision; be realistic in how long it will take to realize it.

The mission and vision should come from the top (executive management); the values should come from the bottom (employees).

Train staff and obtain a common understanding of what strategic planning is.

Talk with all clients, and listen to their needs.

Both the process and the product have value; the value of each will depend upon the organization.

A strategic planning process that involves people allows them to feel they are in control.

Have a key person, knowledgeable in strategic planning, to facilitate the process.

The document is not as important as the discussion it requires.

Realize the plan is a dynamic document; let it evolve before judging it for success or failure.

Develop a shared vision for where you want to be.



STRATEGIC PLANNING

DO's

Rules for successful strategic planning from our interviews, surveys, and readings:

Do start it now. There will never be enough time or resources, but the benefits of even a flawed effort outweigh the negatives.

Do make the strategic planning process an executive process with executive ownership.

Do start with a brainstorming session to establish clear and open communications, common vocabulary and understanding of program issues.

Do define a creative, inspiring vision statement.

Do use a department-wide perspective during planning.

Do use all levels of staff especially while assessing current issues.

Do tailor the planning process to fit your organization's management culture.

Do develop a reporting process to evaluate the progress and direction of strategies.

Do keep the plan flexible. Once the plan is completed, allow for changes in all segments.

Do publicize and market the process and the products.



... AND DON'T'S

Don't wait until there is time to do planning; make time now.

Don't use changes in administration or unrelated programs as an excuse not to do strategic planning.

Don't initiate the strategic planning process lower than the executive level.

Don't delegate strategic planning to a consultant or the strategic planning unit. Executive involvement and ownership is crucial.

Don't underestimate the value of an offsite executive team brainstorming session.

Don't rush the planning process but don't lose momentum.

Don't let the budget cycle or administration changes set the planning horizon.

Don't eliminate strategic planning components arbitrarily.

Don't carry out strategic planning in isolation.

Don't keep the process or its results secret.

Don't value the plan over the planning process.



GUIDES TO STRATEGIC PLANNING:

This table summarizes our evaluations of several texts and journal articles that we found helpful for understanding strategic planning. Brief abstracts of each are included in the following bibliography.

	reading ease	method effectiveness	ease of implementation	relevance to government
Corporate Cultures; the Rites and Rituals of Corporate Life	5	*	*	5
The Executive Guide to Strategic Planning	5	4	4	5
Strategic Planning - What Every Manager Must Know - A Step by Step Guide	4	5	4	4
Strategic Management	3	5	3	3
The Manager's Guide to Strategic Planning Tools and Techniques	3	*	4	3
Practical Strategic Planning: A Guide and Manual for Line Managers	5	5	4	3
Strategic and Long - Range Information Resource Planning	5	4	4	3
Strategic Choices	3	3	4	3
Strategic Planning for Public and Nonprofit Organizations	3	5	3	5
A Strategic Planning Guide for Cities and Counties	5	5	4	3
Hoshin Planning, The Developmental Approach	3	5	1	4**
Strategic Planning Made Easy	5	3	5	2
Are You a Strategist or Just a Manager?	3	*	4	4
The Successful Business Plan: Secrets & Strategies	3	2	4	2

Scaled from 1 to 5; 5 is best

* Subject not covered in publication

** Subject less applicable to agencies not using TQM statistical tools



BIBLIOGRAPHY

Title: **Corporate Cultures, the Rites and Rituals of Corporate Life**
Author: **Terrence E. Deal, Allen A. Kennedy**
Pages: **232**
Publisher: **Addison-Wesley Publishing Company, Inc (1982)**

Deal and Kennedy demystify the analysis of corporate culture. The authors describe the rites and rituals and the importance of them in the organization. They explore visionary heroes and how they impact the corporate culture. The book provides practical advice on how to 'read' the corporate culture and how to manage change within the organization. The book also includes an analysis of the ways that information is communicated throughout an organization.

Title: **The Executive Guide to Strategic Planning**
Author: **Patrick J. Below, George L. Morrisey, Betty L. Acomb**
Pages: **125**
Publisher: **Jossey-Bass, San Francisco, (1987)**

This book is quick reading and provides thought provoking ideas for strategic planning. The authors identify strategic planning as the first step of an integrated planning process. Readers will learn the seven elements of planning, their relationships to each other, and the most effective approach to developing a plan. A key objective stressed is the importance of the involvement and commitment of the CEO and executive team. The final chapters deal with the who, what, where, when, why and how of planning, implementing and communicating the plan. Also, the authors provide a useful annotated bibliography.



Title: **Strategic Planning - What Every Manager Must Know - A Step by Step Guide**
Author: **George A. Steiner**
Pages: **383**
Publisher: **The Free Press (1979)**

George Steiner provides a comprehensive study of the strategic planning process. He defines strategic planning and contrasts it with operational and tactical planning. This book contains several models for strategic planning with explanations of the major components. The author provides a helpful list of "do's" and "don'ts" which will assist in avoiding the common pitfalls found during strategic planning. Also included are steps for implementation of a strategic plan.

Title: **Strategic Management**
Author: **Thomas L. Wheelen, J. David Hunger**
Pages: **406**
Publisher: **Addison-Wesley Publishing Co, Reading Massachusetts, (1990)**

While Strategic Management is aimed at private enterprise, there are a number of topics directly applicable to the public sector. The authors detail strategic management concepts, research and theories. Also described are the roles and responsibilities of executive and other key managers in strategic management assignments. Strategic Management looks at Strengths, Weaknesses, Opportunities and Threats (S.W.O.T.) from internal and external viewpoints including societal environment. Although the book reads like a college text book there are a number of easy to grasp charts which summarize the strategic planning process. Likewise, there are several check lists to help planners ensure that essential areas are considered.



Title: **Strategic Planning for Public and Nonprofit Organizations**
Author: **John M. Bryson**
Pages: **283**
Publisher: **Jossey-Bass, San Francisco, (1991)**

Bryson describes an eight-step generic strategic planning process designed specifically to help public and nonprofit organizations think and act strategically. To illustrate key points of this strategic planning process, the experiences of one nonprofit and three public organizations are documented throughout the book.

The "Comparison of Private-Sector Approaches to Strategic Planning and their Applicability to the Public and Nonprofit Sectors" matrix lists nine approaches including key features, assumptions, strengths, weaknesses, and applicability to the public and nonprofit sectors.

Also included are resource sections such as sample strategic planning worksheets, an approach to identify external threats and a detailed sample for dealing with strategic issues.

Title: **A Strategic Planning Guide for Cities and Counties**
Author: **L. Sorkin, Nancy B. Ferris, James Hudak**
Pages: **75**
Publisher: **Public Technology Inc.**

This strategic planning guide explains strategic planning techniques adapted from the private sector. This guide is written so the reader can learn as much as needed about the process of strategic planning. The methodology described was intended for local governments; however, the conceptual framework can be easily adapted to any type of government organization or agency.



Title: **Hoshin Planning, The Developmental Approach**
Author: **Bob King**
Pages: **224**
Publisher: **Goal/QPC, Methuen, Maryland (1989)**

Hoshin translates to 'target and means'. The defined targets are important, but the means of achieving the targets receive the emphasis. The Hoshin planning method incorporates the philosophy and tools of Total Quality Management (TQM). The tools used in planning promote continuous improvement, breakthrough in thought, and means for implementation. Customer driven, Hoshin brings the total organization into the planning process using both top-down and bottom-up techniques.

The Hoshin process differs from other approaches in that other methods develop goals and objectives but fail to address the means for reaching the targets. With Hoshin, a plan is developed once with continual review and revision. There are five major components of Hoshin planning: the five year vision, the one year plan, deployment to departments, execution of the plan and monthly diagnosis.

While Hoshin planning appears similar to other methods of strategic planning, it differs by incorporating the use of statistical tools and charts that appear complex, tedious, and confusing to those who are not practitioners of TQM. Prior to adopting this method, governmental agencies need to develop a high comfort level with TQM philosophy and statistical tools.

Title: **"Strategic Planning Made Easy"**
Training and Development Journal,
April 1991
Author: **Gary Hines**
Pages: **4**

Gary Hines presents a simplified approach to strategic planning. He suggests that if planning models are kept simple and expectations reasonable, an agency's chances for creative, productive and even enjoyable planning are maximized. This article can serve as an excellent introduction to strategic planning for those new to the concept.



Title: "The Manager's Guide to Strategic Planning
Tools and Techniques"
Planning Review, Vol 17, No 16, November/
December 1989

Author: James L. Webster, William E. Reif, Jeffrey S.
Bracker

Pages: 13

The Manager's Guide acquaints planning managers with potent tools and techniques for developing and focusing strategy. The author addresses several strategic planning pitfalls and ways to avoid them. Some pitfalls to watch for include less than full commitment from top management, too little emphasis on building the database and failure to integrate planning with budgeting. The Manager's Guide was designed to help planners examine the merits of specific tools and techniques that were developed to avoid the pitfalls of the strategic planning process. While several of these tools are not applicable to state government, the majority can be applied to any planning environment.

Title: **Practical Strategic Planning: A Guide and
Manual for Line Managers**

Author: **William P. Anthony**

Pages: **198**

Publisher: **The Greenwood Press, Westport, (1985)**

William Anthony presents current thinking and research on strategic planning in a usable, concise, readable, and practical form geared toward line managers. The author states five elements of strategic planning. He then describes a workable strategic planning process which identifies planning as a line management responsibility, and not something that can be fully delegated to staff. The book contains concrete examples and field tested methods based on the author's business and governmental consulting experience. The author also discusses theoretical methods for environmental forecasts such as the Nominal Group Technique (NGT) and the Delphi Method Action.



Title: **"Strategic and Long-Range Information
Resource Planning"**
Auerbach (1984)
Author: **Philip N. James**
Pages: **11**

This Auerbach article provides a comprehensive overview of the strategic planning process. Philip James defines what a strategic plan is, why it is needed and what the document should contain. The article includes what steps to take for an effective strategic plan and ways to place the plan into action. The author also defines the various types of planning: strategic, tactical, operational, long range and short range.

Title: **Strategic Choices**
Author: **Kenneth & Edward Primozić, Joe Leben**
Pages: **190**
Publisher: **McGraw-Hill Inc. (1991)**

Strategic Choices claims to be a "revolutionary new approach to gaining competitive advantage in today's world". The authors describe the strategic planning process in detail. A successful strategic planning process begins by defining the recommended roles and responsibilities for the CEO, middle management, and operations staff. The authors' "make no assumptions" technique evolved from senior management at IBM and executives of IBM's major customers. In addition to a strategic planning technique, the authors provide convincing arguments as to why strategic planning is a necessity and include examples of companies that effectively use strategic planning.



Title: **"Are You a Strategist or Just a Manager?"**
Harvard Business Review, Vol 70, Number 1
Author: **Hans H. Hinterhuber, Wolfgang Popp**
Pages: **9**

This interesting article looks at the skill and knowledge behind the mystery of strategic planning. It is good reading for anyone thinking about initiating a strategic planning effort. Before undertaking strategic planning, managers need to ask themselves whether their organization is prepared to build a plan. Managers can gain perspective on the issue from the thoughts of Helmuth von Moltke, chief of the Prussian and German General Staffs from 1858 to 1888. Two characteristics made him a superior strategist: the ability to understand the significance of events without being influenced by current opinion, changing attitudes or his own prejudices; and the ability to make decisions quickly and to take the indicated action without being deterred by a perceived danger. The authors offer ten questions based on concepts of Helmuth von Moltke. These questions can give managers some idea about their own strategic management competence or that of their staff. The authors reiterate Moltke's point that strategy is common sense and is not something that can be taught.

Title: **The Successful Business Plan: Secrets & Strategies**
Author: **Rhonda M. Abrams**
Pages: **303**
Publisher: **The Oasis Press, Grants Pass Oregon, (1991)**

Rhonda Abrams provides the reader information on the steps, layouts, and language needed for building or evaluating a business plan. The author defines the business goals and strategies that make the business plan persuasive and compelling. This book is written from the private sector viewpoint; nevertheless, it offers interesting and useful insights to the strategic planning process. According to the author, the business concept is a cornerstone of the business plan. Factors critical to securing a successful business plan are outlined and include: the business concept, capable management, consistent business focus and anticipating change. These elements are also very applicable to the strategic planning process. Also included are worksheets for readers to use in defining their business and their plans.



GLOSSARY

Definitions of terms used in the Toolkit. You may encounter these words used in several different ways; we've provided the most common usages.

Business Plan: A document identifying an organization's goals, objectives and critical success factors; a one to two year plan that emphasizes fiscal considerations.

Critical Success Factors: Factors which are judged to have a high probability of occurrence or impact on an organization; any internal or external business related events, dependencies, deliverables or other factors, which, if not considered and attained, could seriously impact the capability of achieving business or enterprise objectives; the things that must go right if the strategy is to succeed.

Culture: An organization's pattern of beliefs, expectations, values, heroes, rites, rituals, traditions and communication network; "The way we do things around here"; a system of informal rules that spell out how people are to behave.

Environmental Scan: The systematic exploration and analysis of long-term trends, expectations, and events likely to affect an organization's future environment; examination of the implications of those identified trends on various actions the organization might take; investigation and assessment of factors inside and outside the organization that could impact planning.

External Environmental Scan: An environmental scan that specifically involves the exploration of opportunities and threats outside the organization over which the organization has no control; investigation and assessment of factors outside the organization that could impact planning; external environment is made up of two parts: task environment (elements that directly affect or are affected by an organization's major operations), and societal environment (general forces - ones that do not directly touch the short-run activities but can often influence long run decisions); examples include population demographics, new



technology, environmental changes, political trends, social and economic trends.

Internal Environmental Scan: An environmental scan that specifically assesses and identifies the strengths and weaknesses inside the organization; internal factors are those things within the control of the organization; examples include culture, organizational structure, resources, salaries, physical working environment, staff skills, policy and procedures.

Issues: or Strategic Issues: Those trends and developments that are very likely to determine the future environment; any problem or opportunity that could have an impact on the organization's ability to carry out its mission and achieve its goals and which has a reasonable probability of occurrence; fundamental policy choice affecting an organization's mandates, mission, values, product, or service. Low priority issues are merely scanned, in contrast high priority issues should be monitored as strategic factors.

Long-Range Plan: A two to five year plan which assumes current trends will continue and focuses on specific goals and objectives and translates them into current budgets and work plans; a two to five year plan that addresses critical project milestones, resource allocation and other major organizational activities.

Mission: A statement that differentiates the organization from all others, expresses its purpose and values and identifies the clients or customers that are served.

Operational Plan: A one to two year plan emphasizing specific goals, objectives, projects, daily activities, responsible parties and other resource requirements; the plan that addresses the daily work activities, their management and statuses.



Opportunity: A major favorable situation in an organization's environment; such as a previously overlooked market segment, changes in competitive or regulatory circumstances, technological changes, or improved buyer and supplier relationships.

Practitioner: A person or group responsible for a planning activity and its results; individuals within an organization responsible for the deliverable or process result.

Stakeholder: Any individual, group or organization affected by a business' success or failure. Inside stakeholders include: executive officers, the board of directors, managers and employees. Outside stakeholders include: the Governor, the Legislature, control agencies, clients, the general public, vendors and public interest groups; any individual, group, or organization that can place a claim on an organization's attention, resources, or output, or that is affected by or can affect the future of an organization (e.g., taxpayers, employees, unions, governments and the community).

Strategic Plan: A five- to ten-year guide articulating organizational philosophy and vision, and defining significant issues and the strategies adopted for resolving those issues to help an organization carry out its mission and goals; a five to ten year plan that emphasizes a vision, issues and issue-oriented strategies that respond to business threats and opportunities identified by both internal and external environments.

Strategic Planning: A dynamic management process which ensures the business mission is accomplished and the goals are obtained in the face of rapidly changing circumstances; a defined process of thinking and acting that continually reevaluates who we are, what our roles are, what we do, why we do it, where we want to be, how we are going to get there and how we will deal with the threats and opportunities that are associated with the realization of our vision.



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Strategy: A selected approach which capitalizes on existing organizational strengths, reduces or eliminates organizational weaknesses and is consistent with organizational philosophy and vision; a planned course of action or process for resolving identified issues; a pattern of purposes, policies, decisions or resource allocations that define what an organization is, what it does, and why it does it; a set of activities that will address critical issues of the organization; broad statements of business directions as they relate to the specific organization's environment.

SWOT Analysis: The process of identifying, categorizing and comparing an organization's Strengths, Weaknesses, Opportunities and Threats, and their potential impact on future operations; the internal environmental scan identifies strengths and weaknesses while the external scan identifies opportunities and threats.

Tactical Plan: A plan that describes in detail projects to be carried out in the first one to three years of the planning horizon; a broad plan identifying decisions, policy changes, and resources; a plan based on strategies.

Threat: Changes anticipated or planned in the outside world which have a negative effect on the organization and the purpose of its mission; a major unfavorable situation in an organization's environment; key impediment to a current or desired state of operation. Examples include new competition, new laws, and a culture resistant to change.

Vision: A description of what an organization should look like as it successfully implements its strategies and achieves its full potential; a tangible scenario of how an organization could operate; a vivid description of an organization's mission, philosophy, values and service or product.

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