FACILITATING STRATEGIC PLANNING

Australian Aid

PAHRODF
PHILIPPINES AUSTRALIA HUMAN RESOURCE AND ORGANISATIONAL DEVELOPMENT FACILITY

The development of this document was made possible through the support of the Australian Government through the Philippines Australia Human Resource and Organisational Development Facility (PAHRODF).

PAHRODF encourages the use, translation, adaptation and copying of this material with appropriate credit given to the Facility and its partner organisation/s.

Although reasonable care has been taken in the preparation of this material, neither the publisher and/or contributor can accept any liability for any consequence arising from the use thereof or from any information contained herein.

This guidebook, and other knowledge products are available at
www.pahrodf.org.ph

Printed and bound 2017 in Manila, Philippines.

Published by:

Philippines Australia Human Resource and Organisational Development Facility (PAHRODF)
Level 3, JMT Building, ADB Avenue
Ortigas, Pasig City
Tel. No.: (632) 638-9686
Email: hrodf@hrodf.org.ph
Website: www.pahrodf.org.ph

“IT’S NOT THE PLAN THAT IS IMPORTANT. IT’S THE PLANNING.”

Graeme Edwards

Australian Embassy
The Philippines

Message from the Australian Ambassador to the Philippines

The Philippines has had rapid economic growth over the past few years. As the country grows stronger, government services are expanding.

Strategic planning is fundamental in helping agencies effectively manage their resources to meet the needs of citizens. I am delighted to see that the Australian Government's extensive work on building strategic planning capacity through the Philippines Australia Human Resource and Organisational Management Facility (PAHRODF) has helped agencies set priorities and make informed decisions.

Australian assistance to the Department of Education, the Philippine Institute of Volcanology and Seismology, the Philippine Atmospheric, Geophysical and Astronomical Services Administration, and the National Mapping and Resource Information Authority strengthened inter-office collaboration and aligned employees goals to the missions of the organisations.

We have compiled the best practices from these interventions to create a practical guide for government agencies who wish to align and refocus their vision, mission, strategies and programs. This guidebook provides a walk-through of the planning process from a facilitators standpoint as well as templates designed specifically for government.

I hope that readers will find this guidebook helpful in creating strategies that will contribute to the continuing improvement of government services.

Salamat and Mabuhay!

Amanda Gorely

Message from the Facility Director of PAHRODF

"As for the future, your task is not to foresee it, but to enable it."
-Antoine de Saint Exupéry

The very first step one must take to enable the future is to develop a plan that will guide a person, or an organisation, towards a clearly articulated vision.

This has been one of our major undertakings at the Philippines Australia Human Resource and Organisational Development Facility (PAHRODF) in the past five years. We have helped the Department of Education (DepEd) and several government agencies concerned with disaster risk reduction plan their way towards a better educated and more resilient country.

Grounded on our successful experiences in implementing strategic planning interventions at these government agencies, we pulled together this guide to assist the rest of the Philippine bureaucracy in replicating our process in their departments and offices. The guidebook offers concrete steps in conducting strategic planning workshop as well as tips to ensure the proper implementation of the plan.

I encourage our civil service leaders, policy planners, and human resource and organisational development practitioners to use this invaluable resource for designing strategic plans in the public sector. With proper planning and the will to succeed, I believe that we shall soon attain our shared vision of a brighter future for the Philippines.

Milalin S. Javellana

TABLE OF CONTENTS

Message i

PART 1: WHAT IS STRATEGIC PLANNING? 1

Lets define Strategic Planning 1

1 What does a Strategic Plan consist of? 2

2 What are the characteristics of a Strategic Plan? 3

3 Why do organisations need a Strategic Plan? 3

4 What does a Strategic Planning Process entail? 4

5 Who should prepare the Strategic Plan and how should it be prepared? 9

PART 2: HOW DO WE MANAGE AND FACILITATE A STRATEGIC PLANNING WORKSHOP? 11

Getting Ready for the Workshop 12

1 Creating the Planning Workshop Team or Secretariat 12

2 Selecting the participants 14

3 Selecting the ideal venue 16

4 Selecting external consultants or resource persons as necessary 17

5 Preparing the materials 18

6 Designing the Planning Workshop 19

7 Preparing for the welfare of the participants 21

Conducting the Internal and External Reality Assessments 22

1 Review of Performance 22

2 Assessing Internal Reality - Capacities, Competencies and Change Readiness 23

3 Assessing External Reality 26

Facilitating the Planning Workshop Proper 29

1 Ensuring Participation in the Planning Process 29

Workshop 1: Validating the Current Reality Assessments 34

Workshop 2: Revisiting or Setting the Vision and Mission 36

Workshop 3: Developing or Revisiting the Core Values of the Organisation 41

Workshop 4: Determining Strategic Objectives or Goals 43
Workshop 5: Translating Strategic Objectives into Key Result Areas and Performance Targets 48
Workshop 6: Generating and Selecting Strategies to Achieve Objectives 53
Workshop 7: Formulating Programs and Projects 57
Cleaning and Finalising the Outputs of the Planning Workshop 63
1 Preparing a Clean Documentation of Planning Outputs 63
2 Validating the Planning Assumptions Used 64
3 Finalising the Plan Elements 65
4 Packaging and Approval of the Strategic Plan 66
PART 3 : MANAGING THE POST STRATEGIC PLANNING PROCESSES 67
Getting Ready for Implementation 68
1 Assigning Responsibility Areas for Implementation 68
2 Determining Implementation Timelines 70
3 Organising a Strategic Planning and Management Team or Unit 70
4 Operations Planning and Budgeting 71
Cascading and Communicating the Strategic Plan 75
1 Cascading the Plan 75
2 Systematically Communicating the Strategic Plan 76
Managing Risks During Implementation 77
1 Risks During Implementation 77
2 Developing a Risk Mitigation Plan 78
Institutionalising the Strategic Plan and Planning Process 79
1 Developing a Monitoring and Evaluation System for the Strategic Plan Implementation 79
2 Regularising Budgets and Resource Allocations 80
3 Linking the Strategic Plan to the Performance Management System 80
4 Providing for a Permanent Structure or Function for Strategic Planning 81

LIST OF ANNEXES **82**

Annex 1. Alignment of Vision-Mission-Goals-Strategies and Programs – The BLMI Strategic Plan **83**

Annex 2. Template for Operations Planning and Budgeting **85**

Annex 3: Communications Plan Template **86**

Annex 4: Risk Mitigation Template **86**

Annex 5: Monitoring and Evaluation Plan Temp late **87**

1 WHAT IS STRATEGIC PLANNING?

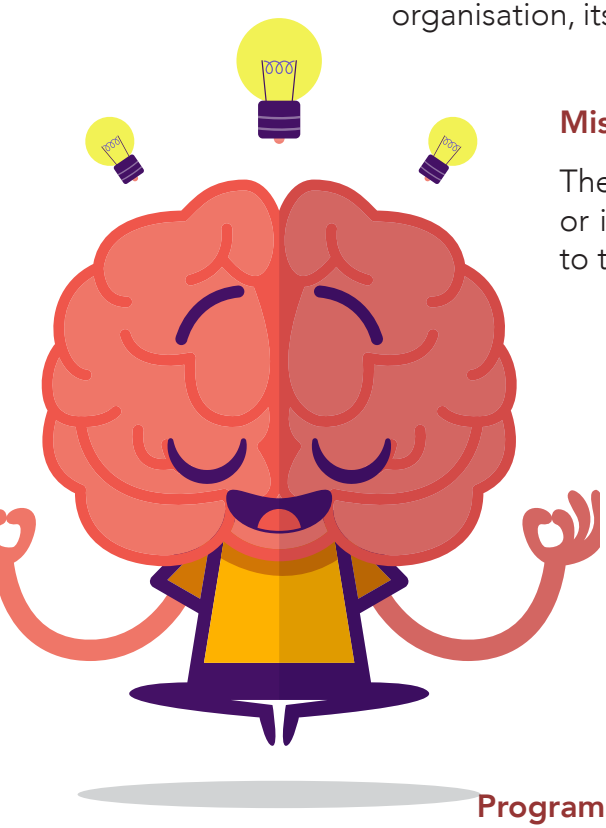
LET'S DEFINE STRATEGIC PLANNING

Strategic Planning is a systematic process of envisioning a desired future, translating this desired future (Vision) into broadly defined but measurable Goals or Objectives, and setting Strategies or broad courses of action to achieve these Objectives.

The desired future must be consistent with the role (Mission) of your organisation; its result is out of the performance of the Mission. It must also be consistent with your organisation's core values.

1. What does a Strategic Plan Consist of?

A Strategic Plan consists of the following basic elements:



Vision

The desired future; the best thing that could happen to your organisation, its products and services, and its stakeholders

Mission

The reason for being of your organisation, or its role in its sector or industry, relative to the other stakeholders

Strategic Objectives or Goals

Measurable outcomes to achieve your Vision and performance of your Mission

Strategies

Broad courses of action that guide specific activities in pursuing the Objectives or Goals

Programs, Projects or Major Activities

Flesh out strategies into detailed actions

The Vision, Mission and Objectives (VMO) are referred to as the strategic directions of the organisation.

Objectives are often detailed into Key Result Areas (KRAs) with corresponding time bound Targets to make it measurable.

2. What are the Characteristics of a Strategic Plan?

- It begins with the end in mind – the desired future determines the rest of the Plan; all elements of the plan are meant to achieve this future.
- It is long term but not the same as a simple long term forecast. The Strategic Plan defines the desired future first; the forecast projects the current into the future, assuming most of the time the same situation persists
- Depending on your organisation's Mission, the timeframe for a Strategic Plan is at least three years. For instance, a National Government Agency can have a Strategic Plan of six years corresponding to the tenure of the agency head. For organisations addressing long term concerns, such as climate change mitigation and disaster risk reduction, the timeframe can range from 10 to 25 years or longer.
- The Strategic Plan Document can be short; what is important is that it is clear and understood by everyone.

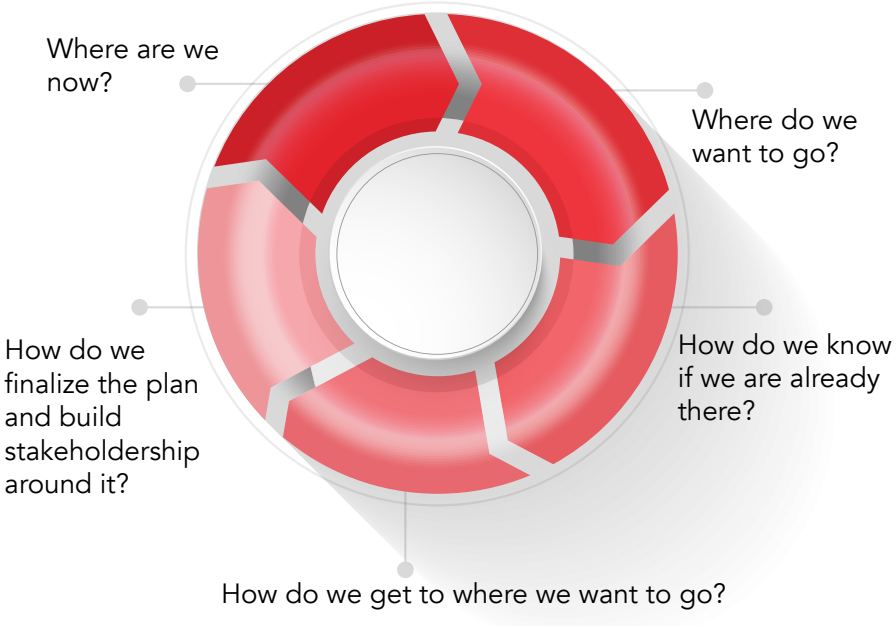
3. Why do organisations need a Strategic Plan?

The Strategic Plan serves as the supreme guide for your organisation as it performs its mandate in the foreseeable future. It serves as a rallying point and springboard for all actions. It prescribes the best means of achieving a desired future given current realities.

Organisations need Strategies to ensure that day-to-day decisions fit with the long-term target. Strategies also encourages everyone in your organisation to work together to achieve common purpose.

4. What does a Strategic Planning Process Entail?

Any planning model has five basic elements. All Strategic Planning models are variations of these basic elements, with varying degrees of sophistication and complexity.

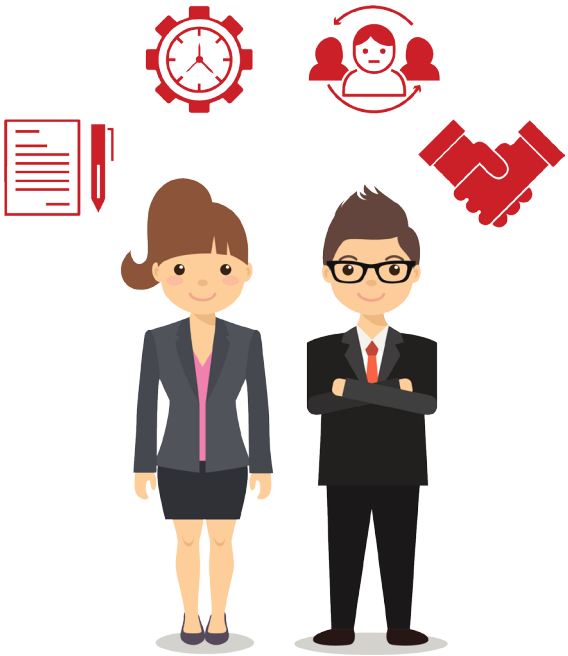


" WHERE ARE WE NOW? "

The current reality of your organisation consists of the Internal and External.

Internal Reality is the situation of your organisation's Capacities, Competencies and Change Readiness. These include structures, systems and processes and related competencies; leadership and management; attitudes and behaviors; human, financial, physical and technological resources; strengths of linkages and partnerships, etc.

Assessment of the Internal Reality reveals critical issues and concerns that need to be addressed in the Strategic Planning Process. The status of the accomplishment of previous Vision-Mission-Goals-Strategies and Programs are evaluated and determined for gaps. It also reveals the Strengths and Weaknesses of your organisation.



External Reality are factors that affect the work of your organisation but has no direct control over it. National government policies, communities and client-stakeholders, donors, politicians, natural disasters, civil society, and technological changes are some examples of the External Reality.

Assessment of the External Reality reveals aspects of your organisation's mandate that the Strategic Plan may need to address through its programs and projects. It also reveals the Opportunities and Threats which are important in the development of strategies.

The assessment of the Internal and External Realities of your organisation identifies starting points for all change and improvement activities. It enables your organisation to recognise potential risks and pitfalls to avoid along the change journey.

It is recommended that the assessment is carried out before conducting the Strategic Planning workshop.

" WHERE DO WE WANT TO GO? "

This describes the desired future state in clear and concise terms. It is expressed as Vision Statements, Mission Statements, Values, Wildly Important Goals or Long Term Objectives. Clearly defining the future state helps everyone in your organisation visualise the future; it helps build commitment towards its achievement.

" HOW DO WE KNOW IF WE ARE ALREADY THERE? "

This involves identifying Key Result Areas and Performance Targets which defines the situation, in concrete terms, when the desired future is attained. This ensures that your organisation's day to day activities are linked towards the desired future state.

" HOW DO WE GET TO WHERE WE WANT TO GO? "

These are courses of action your organisation must take to achieve its desired future state. These are strategies that must be implemented to ensure the realisation of your vision, mission, and key objectives.

A key element to Strategic Planning is generating strategic options that provide alternate routes to reach key objectives, then selecting the most appropriate options based on your organisation's capabilities while taking into consideration the opportunities and risks the external environment produce.

The previous three (3) steps are ideally done in a participatory Strategic Planning Workshop. The initial outputs from the workshop need to be validated and finalised.

" HOW DO WE FINALISE THE PLAN AND BUILD STAKEHOLDERSHIP AROUND IT? "

Once all the elements of a Strategic Plan and the assumptions used in preparing it are assembled, it needs to be validated through a consultation process with key stakeholders in your organisation. The final and approved Strategic Plan needs to be cascaded to all units and individuals within your organisation. Everyone should be informed and aware of their roles in its implementation.

5. Who should prepare the Strategic Plan and how should it be prepared?

KEY DECISION MAKERS ARE DIRECTLY INVOLVED IN DETERMINING THE CONTENTS OF THE STRATEGIC PLAN

Key decision makers are Board of Directors and members of top and middle management. They are directly involved in determining the contents of the Strategic Plan.

For large organisations, some members of middle management may be involved. For small organisations, all may be involved. Representatives from rank and file positions may also be involved in the process. Decision makers and key representatives come together in a Strategic Planning Workshop to discuss and decide the contents of the plan.

Regardless of who makes the decisions on its contents, an extensive consultation process must be conducted involving as many units or individuals from your organisation as possible. This may include external stakeholders, clients and partners. It is important to consider their points of view when developing the strategic plan. Involving as many units and stakeholders in the consultation process also facilitates buy-in of the final plan.

Consultations can be done at various stages - prior to the planning workshop to determine inputs to the plan, or afterwards, to validate assumptions made. Consultations are different from the cascading process. During the

cascading process, the final plan is communicated to the entire organisation.

The original group of decision makers and key representatives that developed the plan may be reconvened when it is finalised. A Strategic Planning and Management Team may be created from members of the group. The final plan is based on the validations conducted. It must be approved by top management before cascading it down to the entire organisation.

2 HOW DO WE MANAGE AND FACILITATE A STRATEGIC PLANNING WORKSHOP?

GETTING READY FOR THE WORKSHOP

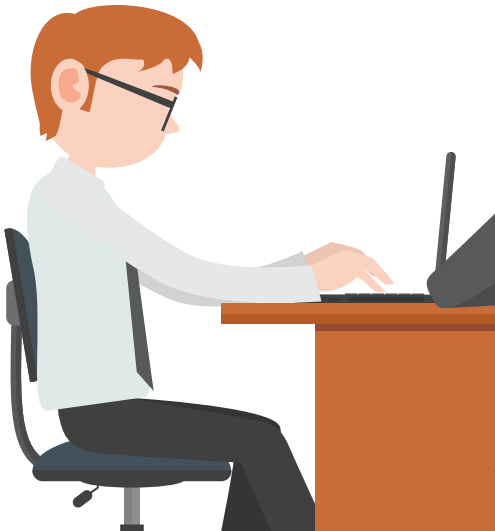
If your organisation decides to conduct a Strategic Planning Workshop, there are several preparatory activities that it must undertake to ensure the smooth conduct of the planning process.

1. Create the Planning Workshop Team or Secretariat

The Planning Workshop Team prepares and manages the Strategic Planning Process. The lead units, process owners or person/s in charge for this activity usually comes from the Planning Unit or the Human Resources Department. Alternatively, an ad-hoc team may be formed by the office of the head of your organisation, with representatives from planning, human resources, administrative and technical or operating units. This team should be authorised through a Memorandum issued by the head of your organisation.

The following are the Planning Workshop Team's tasks:

- Identify the participants for the Strategic Planning Workshop (with approval from the head of your organisation)
- Prepare the design of the planning workshop flow



- Select the venue for the planning workshop, including the food menu for the duration of the planning workshop
- Make reservations for both accommodations and transportation of participants to and from the venue
- Assign units and individuals to conduct internal and external assessments prior to the workshop proper
- Select and coordinate with external consultants or resource persons who may help in conducting internal and external assessments, designing the workshop, facilitating and preparing the draft and final versions of the plan
- Manage the conduct of internal and external assessments prior to the planning workshop
- Prepare materials and kits, including the results of the assessments, to be used for the workshop
- Establish house rules for the workshop proper
- Manage time and the workshop flow
- Document the entire workshop process through photos, including written copies of the participants' outputs

2. Select the Participants

The ideal number of participants in a Strategic Planning Workshop is 25. Large organisations can have up to 50 participants, and smaller ones can have 15 or less. What is important is that the key **decision makers** in your organisation are all involved.

The following constitute the usual participants in a Strategic Planning Workshop:

- **TOP MANAGEMENT.** They are the primary participants of the workshop, also known as the management committee. They comprise of the head of your organisation and the deputies, such as Secretaries or Undersecretaries, Director Generals and Deputy Director Generals, Administrators and Deputy Administrators, and others. If participation of the entire management committee is not possible, at least a majority of the members should be involved. It is important that the head of your organisation be involved in the process, even if only in key parts, such as the first and last days of the workshop.

- **MIDDLE MANAGEMENT.** Consists of heads of various units, attached bureaus or special offices involved in the delivery of the organisation's mandate. These may also include other key support units such as the HR and Finance Departments. For large organisation with multi-tiered middle management, only top tier heads may be invited to join. For example, only the heads of key executive units from the Central Office and Regional Directors of a national agency may be participants.

  With the top and middle management, you may have already reached 25 participants.

- **GOVERNING BODIES** of Government-Owned and Controlled Corporations (GOCCs) and Board of Directors or Board of Trustees from private organisations. These bodies have the final say in the ratification or approval of the plan, hence have to be involved in the process for early buy-in. If not all members can make it, a majority should be involved. The Chair must take part in key segments of the process.

- **Some representatives from the rank and file** may be involved in the decision making process, such as the Union President, and some staff from key operating and support units.

3. Select the Ideal Venue

The Strategic Planning Workshop is best conducted outside the office premises. Participants will be able to focus on making important decisions if they are away from the day-to-day operating and administrative concerns

An ideal venue should be spacious enough to allow for free movement, maximum interaction, and small group workshops. It should also be quiet and free from interruptions from people not involved with the workshop. A good ratio to consider is that the space should have at least three square meters per participant. For a workshop with 20 participants, the venue should be at least be 60 square meters. The area should include space for the Secretariat table, an overhead projector screen, and a coffee table. If meals are served in the venue, additional space must be alloted for a buffet table.

Ideally, a cork board or a wall that could be utilized for posting outputs as well as notes and reactions of participants should be available on either side of the workshop venue. Additionally, white boards should be available, not only for lectures and inputs but for posting outputs of the workshop. At least two large white boards are needed.

The venue should also be equipped with audio facilities, consisting of speakers and at least one microphone for every ten participants, aside from a microphone for the facilitator.

Other facilities, such as an internet connection is optional.

4. Select external consultants or resource persons as necessary

A Consultant may be enlisted to help conduct the internal and external assessments. External facilitators or resource persons may be hired for the workshop.

The advantage of having a consultant or external facilitator is that analysing issues, reviewing performance and setting targets are more objective. They could provide inputs, clean the outputs and package the plan. They can help your organisation think more provocatively and boldly about the future, especially if the participants are too enmeshed in internal problems.

The Planning Workshop Team or Secretariat will manage the entire workshop process and actively assist the consultants or external facilitators. The Team will provide critical feedback on the content and process, and ensure that the outputs are consistent with the general thinking of the participants involved.

5. Prepare the Materials

Idea cards or metacards. These may be cut from construction paper (also known as Cartolina) or an A5 coloured paper can be used. There are no standard card sizes but should be able to contain up to seven words written in large bold letters. Colours are assigned to every group to identify their outputs. If there are five groups, then five colours of idea cards should be prepared.

Coloured round stickers of three (3) different sizes. Each group will have their own coloured stickers of different sizes.

Manila paper or easel sheets. These will be used for writing down ideas in plenary, posting metacards, or for preparing templates. These may be mounted on easels, whiteboards or walls.

6. Design the Planning Workshop

Basic Strategic Planning Workshop Design
Day 1 Opening Ceremonies and Expectations Check Presentation of Inputs: • Introduction to the Planning Workshop Process and Content • What Excellent and Leading Organisations Possess and Characteristics of Visionary Organisations • Reports: Performance and Current Situation Workshop 1: SWOT ANALYSIS • External Assessment • Internal Assessment • Synthesis and determining the overall organisational reality Workshop 2: Reviewing the VISION Statement
Day 2 Workshop 3: Reviewing the MISSION Statement Workshop 4: Determining Strategic Goals, Key Result Areas and Targets Workshop 5: Developing Strategies to Achieve Goals, KRAs and Targets
Day 3 Workshop 5: (Continuation) Workshop 6: Identifying Concrete Programs/Projects or Major Activities Action Planning for Next Steps Summary and Synthesis of the Strategic Planning Workshop

The length of a Strategic Planning Workshop is usually three (3) days. Workshop sessions should be distributed over the three-day period to sustain the participants energy and interest.

The Vision-Mission-Values-Objectives or the Basic Strategic Directions workshop should be conducted on the first two (2) days. The workshop for Strategies-Programs and Activities are held on the last day. However, it may be conducted on Day 2 if a consensus or a high degree of agreement on the basic strategic directions of your organisation is achieved early.

As much as possible, the workshops should use structured learning experiences or exercises that depict concepts. Do not rely solely on lectures for inputs. Lectures should be short; use practical or applicable concepts, not abstract, as time is limited. The idea is to keep the participants on work mode, not just on learning mode.

In designing the planning workshop flow, it is helpful to refer to processes followed by other organisations and adapt them to your own organisation. An external consultant could be tapped to help design the workshop flow in order to achieve maximum participation, efficient time utilization and high quality outputs.

AN ACTIVITY TO DEPICT A CONCEPT

TOPIC: Breaking up of the Goal Statements into their component Key Result Areas (KRAs)

ACTIVITY:
Ask the groups to answer the following question:
"What food in your province do you like most and are proud to offer to visitors?
"What makes it very delicious? Identify at least 3 concrete characteristics?"

PROCESSING:
Sample out responses. Extract attributes and explain how they all constitute the totality of the food, but are individual components or attributes that are all important. Use this idea and apply to KRAs as integral parts of a goal.

7. Prepare for the welfare of the participants

Some participants have special needs. These may include first aid, medical assistance and emergencies, food and dietary restrictions, exercise, relaxation and recreation, transportation arrangements, and others. The Secretariat should prepare in advance to ensure these are quickly and properly attended to during the workshop. Designate a Welfare Coordinator from among the members of the Secretariat.

CONDUCTING THE INTERNAL AND EXTERNAL REALITY ASSESSMENTS

A critical activity prior to the actual workshop is the diagnosis of the current reality, encompassing internal and external aspects, of your organisation. Looking forward into a desired future, this activity provides a springboard for the plan by ensuring that the current needs and concerns of your organisation are considered. To a large extent, the desired future is influenced by the current reality of your organisation.

This activity is conducted by units or persons who have technical competencies in performing the required tasks. For instance, the internal assessment may be done by the HR Department with the heads of different units supplying the necessary inputs. On the other hand, the external assessment may be performed by the Planning unit with inputs from operating units.

This pre-planning assessment activity encompasses the following areas:

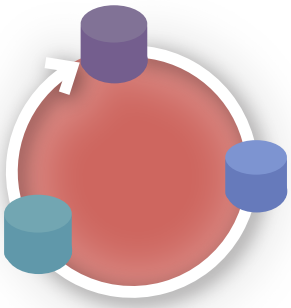
1. Review of Performance

This entails a review of the performance of your organisation from the previous plan period, or the immediate past five (5) years. This activity will be led by the HR Department. Ask the different operating and support units to submit a matrix of performance showing the percentage accomplishments of targets, and explanations for variances. Strategic issues that affect performance must be identified. These issues mainly involve the capacities and competencies in pursuing the organisation's key targets.

2. Assessing Internal Reality - Capacities, Competencies and Change Readiness

Assessing performance serves to highlight gaps in capacities, competencies and change readiness of your organisation. These gaps should be explored in depth to determine their extent and how to address it strategically.

Capacities. These are systems and processes that enable your organisation to pursue its mandate and smoothly undertake its day-to-day operations. These may include IT and accounting systems, or other systems such as policies and guidelines. All the functional areas of your organisation require such systems and processes to make work orderly and efficient. The lack of these systems create a confusing environment for supervising and decision making. If this happens, the capacity of your organisation for faster and more effective work becomes limited.



Competencies. These are knowledge, skills and attitudes related to the performance of functions on all levels of your organisation. There are several areas of competencies that are important for an organisation to be able to function well. These include planning, leadership and management, finance, human resources and organisational development, knowledge management, stakeholder relations, etc.

Change readiness. How prepared is your organisation to embrace and act on change? Readiness can come from executive sponsorship, acceptance among employees of the need for change, and the absorptive capacity of the units and employees for additional work required by the change.

The heads and representatives from different units may be asked to come together for an "Organisational Assessment" session to determine the capacities, competencies and change readiness. The session will use a diagnostic tool developed by PAHRODF which contains rating scales for the different areas. A detailed guide on conducting an "Organisational Assessment" is provided in the Guidebook on Organisational Assessment published by PAHRODF.

The HR Department will oversee the entire internal assessment activity, consolidate, then present the results during the planning workshop. The activity may draw up key strategic organisational issues and concerns which may have long term implications on the performance of your organisation. These may either facilitate or impede performance which are imperatives for strategic action. These are not the day-to-day concerns of units and departments which they themselves can resolve with their current decision making powers and resources, instead, these are issues that require more thorough thinking and may need consensus from various departments or units.

The need to widen access to the organisation's services for clients, the need to improve quality of service, the need for comprehensive competency build-up, lack of automated systems and processes, etc are some examples. The need to maintain or sustain high performance levels, customer satisfaction and cost efficiency are examples of positive concerns.

The internal assessment can also determine your organisation's Strengths and Weaknesses in performing its mandate. Strengths are capacities, competencies and change readiness factors that your organisation can rely upon as it pursues its mandate. Examples of strengths are high competency levels of technical staff, fast service delivery due to streamlined systems and procedures, multiple donor sources of project funding, etc. Weaknesses are the opposites.

The organisational issues and concerns as well as the strengths and weaknesses identified at this stage needs to be validated by the planning body during the Strategic Planning Workshop. This assessment serves as a springboard for the discussions in the workshop and provides objective information for the participants to base on their conclusions.

3. Assessing External Reality

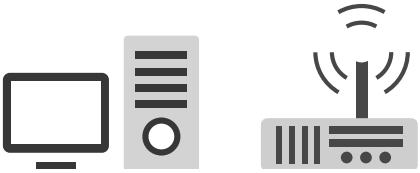
External realities are factors that are beyond your organisation's control that cannot be influenced by its own policies and decisions. Social, Political and Policy, Economic, Ecological and Technological or SPEET factors represent the external environment. These either help or impede your organisation in performing its mandate.

Social factors are services such as education, health, shelter, water and sanitation, cultural beliefs, values, customs and traditions that affect or characterise the stakeholders your organisation seeks to serve. Positive social factors such as positive cultural values or high access to social services enhance the probability of success of your organisation in serving its stakeholders, while negative social factors present problems or threats.

Political factors are laws, policies, strategies and program thrusts of the national government, public sectors, other organisations, groups and individuals that have an interest in the work of your organisation and exert influence in varying degrees. It also includes the current peace and order conditions that may affect the work of your organisation, as well as the attitude and support from the international community.

Economic factors are investments, productive assets, employment and livelihood, incomes, markets, prices, goods and services produced by and for the sectors that your organisation seeks to serve.

Ecological factors are natural, biological and physical resources and its conditions, the sustainability and quality of the services that these resources provide, and the life forces that it produce such as natural food, air, water, and nutrients. This also includes natural phenomena and hazards that affect large communities which may result in disasters and suffering.



Technological factors pertain to automation, information systems, equipment and facilities, process improvements and other developments that facilitate work and provide opportunities for your organisation to improve efficiency.

The Planning Unit of your organisation will take charge of conducting the external assessment and present the results during the Strategic Planning Workshop. Key external issues and concerns will be identified from the external assessment which your organisation can address during the course of the performance of its mandate. These findings will later be validated during the planning workshop.

The absence of an inter-agency collaboration mechanism for integrating client services, lack of standards for service delivery, insufficient access to services especially for clients in remote areas, a that is public unaware of new services and protocols, etc are a few examples of external issues and concerns that can be addressed. These are external factors that are not completely within the control of your organisation but can be addressed later on through appropriate strategies.

Opportunities and Threats faced by your organisation can also be identified during the assessment. The results will also be validated during the planning workshop. Opportunities are positive and favorable factors that are beyond the control of your organisation. Harnessing these will help facilitate the work of your organisation. National government programs that provide additional funding, new donor assistance programs, receptiveness of target clientele to new services, willingness of external stakeholders such as other government agencies, civil society organisations and the private sector open to collaborate, etc are examples of Opportunities. Worsening peace and order situation in program areas, frequent changes in national policies, disasters that impede the effects of your organisation's work, decreasing purchasing power of clients, turf disagreements between key stakeholders serving the same clients, etc are examples of Threats

FACILITATING THE PLANNING WORKSHOP PROPER

1. Ensuring Participation in the Process

Engaging meaningful participation during the Strategic Planning Workshop will produce relevant and high quality outputs that would generate support from everyone involved especially with key personnels. It is crucial that middle management and members of the rank and file are given opportunities to contribute during discussions.

The Participatory Workshop Process

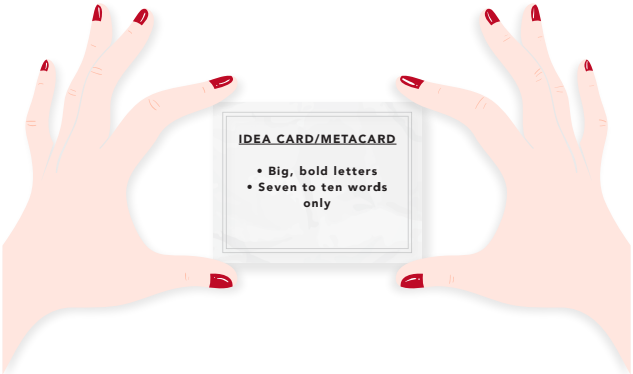
Full participation begins during the small groups workshops. This is where everyone needs to contribute and discuss ideas.

It is key that participants are allowed to brainstorm, and share their results without interruption.

Each group member should quietly write their answers to the focus questions on a piece of paper or note pad before the small group commences discussion. This should take three to five minutes.

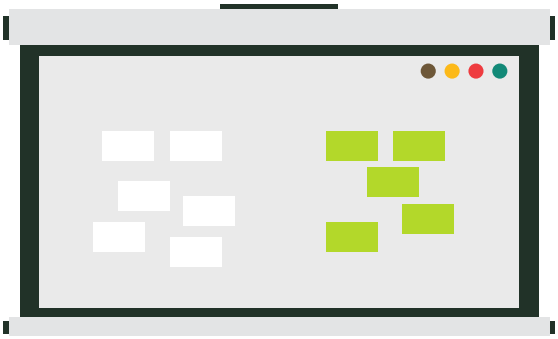
After the members have listed their answers to the workshop focus question, each one take turns reading it without any critique or interruption from other members, except for clarificatory questions. A rapporteur notes down all the answers read out. Other ideas reported are discussed one by one, based on the number of times each idea or answer is mentioned. The discussion seeks to clarify ideas, then gain consensus whether or not it will be adopted by the group. This is repeated until all the answers are discussed. The adopted answers are prioritised, then the top five to seven answers selected are reported in plenary.

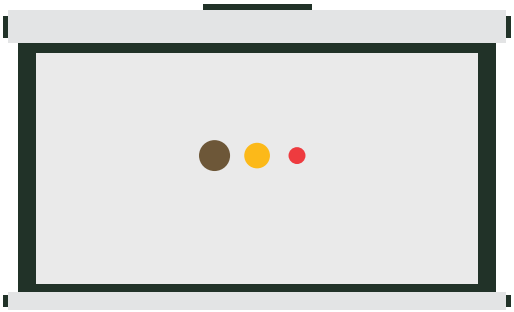
The top ideas are written on "idea cards" (also known as metacards.) Each card should contain only one idea or answer, written in big, bold letters that can be seen in plenary. Answers should be concrete and self-explanatory to avoid confusion and lengthy discussions. Each idea should only fit in a single card; limit the number of words to seven to ten. REMEMBER THIS RULE, ONE CARD, ONE IDEA.



For the plenary, select a reporter from your group to read out the cards one by one, without any critique or interruption from other groups. Questions may be made to clarify ideas after each group report. This ensures outputs are acknowledged by all the groups. Once all the idea cards from a group are read out, post each one on whiteboards or walls. Use rolled masking tapes at the upper back of the cards. Repeat until all groups have reported and the cards are clarified and posted.

The facilitator asks all participants to decide which ideas are similar. The idea cards of one group will be merged with similar ideas of other groups. This is repeated until all idea cards are clustered. Every cluster is labeled with titles that best describe it.





Once labeled, clusters are prioritised. Participants will discuss within their group the clusters' priority. Every group will have its own colour of round stickers in three sizes. Each size denotes the degree of priority; the largest size as the highest, and the smallest is the least priority. After all the groups have posted the stickers, it becomes easier to identify which ideas are prioritised. The ideas with all the different group's colors and the largest-size stickers have the highest priorities.

This workshop process will help ensure participation from every individual. It prevents a single participant from dominating the discussions and allows even the most reticent participant to contribute. Finally, it avoids having a single group decide the results of the planning workshop. It allows ideas to be combined without having lengthy and hostile discussions.

As needed, variations of the basic process are discussed in process flows for individual workshops during the planning stage.

WORKSHOP 1

Validating the Current Reality Assessments

The results of the internal and external assessments will be presented by the units or persons assigned to conduct it. These will be presented and validated during the planning workshop and used as inputs.

For the internal assessment, ratings along with key issues and concerns based on the assigned unit's analysis will be presented. For the external assessment, highlights of the findings in summary statements along with issues and concerns that may be relevant to the mandate of the organisation will be presented.

After the presentation, participants divide into smaller groups by counting off. Depending on the number of participants, a maximum of five groups may be formed. Each group is tasked to answer the focus questions.

Workshop Process

WORKSHOP 1

Validating the Current Reality Assessment

FOCUS QUESTION 1:

What are the key issues and concerns from the internal and external realities of the organisation that need to be addressed in the strategic planning workshop?

FOCUS QUESTION 2:

What strengths and weaknesses can be gleaned from the Internal Assessment that the organisation can use (Strengths) or needs to overcome (Weaknesses) as it pursues its mandate?

FOCUS QUESTION 3:

What Opportunities and Threats can be seen from external assessment that could assist or impede the work of the organisation?

Use the results of the internal and external assessments presented as reference to answer the workshop's focus questions. Follow the entire participatory process described in the previous section until the first question is fully answered, i.e., until key issues and concerns are identified. Repeat the process to answer the next two questions, i.e., until the priority Strengths and Weaknesses, and Opportunities and Threats have been identified. All ideas prioritised represent validated conclusions of the assessments.

The results of this workshop are key issues and concerns that need to be addressed in the planning process, as well as a SWOT Matrix. Keep the results of this workshop as these will be referred to in succeeding workshops.

WORKSHOP 2

Revisiting or Setting the Vision and Mission

In this workshop your organisation's leaders and key representatives develop and articulate Vision and Mission statements that unify, and serve as rallying points for performance of all its members. If a Vision and Mission exists, these are revisited and updated if necessary.

Workshop Process

Divide participants into four to five small groups by counting off. Each group answers the focus questions.

The group should list down the vision ideas or elements on cards. Remember that each idea card must only contain a single idea, not the vision statement. For a more engaging workshop, answers for the Vision question can be visually or artistically depicted. The group may convey their ideas through a skit, collage, tableau, drawing or painting, song or any other creative means. After presentation, the group's idea cards are read out, refer to the Participatory Workshop Process

WORKSHOP 2

Revisiting or Setting the Vision and Mission

FOCUS QUESTION FOR VISION

Envision the year _____. What are the most exciting things you would like to see happening to the agency/ organisation, its products and services, its stakeholders and employees, and the sector it manages?

FOCUS QUESTION FOR MISSION:

What is the reason for being of our agency or organisation? What is its distinctive role in the sector or industry we are in, relative to the other stakeholders?

section for detailed steps.

Assemble a Styling Committee to craft a Vision Statement out of the clustered ideas presented. Members of this committee may be appointed or from volunteers. They must have a good command of the language the vision is to be written, and experience in communications or writing is preferred.

The Styling Committee must not deviate from the essence of the clustered idea cards developed by the different groups. Do not add or omit ideas. The resulting Vision Statement must be faithful to the original ideas.

The resulting Vision Statement must be presented to the participants in plenary for further suggestions and refinements.

This process is repeated for the Mission Statement.

Each segment of Workshop 2 (the Vision and Mission segments) could take two to three hours to complete. The entire workshop may take at least half a day to complete. To save time, the groups may work on the Mission segment while the Styling Committee crafts the Vision Statement.

The Vision-Mission statements will be presented in plenary.

REMEMBER:

VISION

The Vision describes the desired future state of the organisation – WHERE it wants to be, and communicates both the purpose and the values of the organisation. It capture the essence of the final results the organisation wants to achieve.

- It must inspire and create a sense of destiny
- It must be clear enough to provide direction for goal setting.
- It must be challenging and provocative but reasonably attainable

MISSION

The Mission describes the purpose and primary objectives of the organisation, and answers the questions "WHAT do We do?" and 'What Makes Us Different?"

- It talks about the present state of the organisation rather than the desired future state.
- It is the reason for being of the organisation
- It declares the organisation's commitments to its key stakeholders

Examples of Vision Statements

"We dream of Filipinos who passionately love their country and whose values and competencies enable them to realise their full potential and contribute meaningfully to building the nation. As a learner-centered public institution, the Department of Education continuously improves itself to better serve its stakeholders."

"Centre of Excellence for weather related information and services."

"We envision the PCID as a globally respected think tank, dedicated to the study of Islamic and democratic thought, working towards just peace, equitable and sustainable development and genuine democracy for the Bangsamoro and for all Muslims in the Philippines and in the world."

"To become a center of excellence, building a geospatially-empowered Philippines by 2020."

Examples of Mission Statements

To protect and promote the right of every Filipino to quality, equitable, culture-based, and complete basic education where:

- Students learn in a child-friendly, gender-sensitive, safe, and motivating environment
- Teachers facilitate learning and constantly nurture every learner.
- Administrators and staff, as stewards of the institution, ensure an enabling and supportive environment for effective learning to happen.
- Family, community, and other stakeholders are actively engaged and share responsibility for developing life-long learners.

"Protecting lives, properties and livelihood through timely, accurate and reliable weather related information and services."

"We are a capacity development institute that enhances knowledge, skills and capacities of leaders, managers and organisations in the Bangsamoro homeland, consistent with Islamic principles and respectful of other cultures."

"We provide responsive and appropriate programs on leadership and management along Islamic perspectives, peace and security, integrity based governance, justice and human rights and community driven development."

WORKSHOP 3

Developing or Revisiting the Core Values of the Organisation

In this workshop the participants develop the Core Values statement that will guide the behavior or conduct of all employees and staff in your organisation. If there is an existing set of Core Values, these are revisited and updated if necessary.

The same workshop process is followed. Refer to the Participatory Workshop Process for detailed steps.

WORKSHOP 3

Developing or Revisiting the Core Values of the Organisation

FOCUS QUESTION

What are the fundamental values and principles that we believe should guide all our actions in the performance of our work and in interacting with each other in the organisation?

Examples of Core Values

VALUES	PRACTICES MANIFESTING VALUES
INTEGRITY Adherence to moral and ethical principles, demonstrated by consistency of actions and values.	Performs his/her job well even when nobody is looking Can be trusted with finances and other resources at his/her disposal True to oneself in words and in deeds, anytime, anywhere
COMMITMENT The act of binding oneself intellectually and emotionally to the agency's purpose and goals through proactive engagement and dedication.	Enthusiastically carries out one's duties and responsibilities Can be relied upon, especially during disasters Serves with utmost passion
PATRIOTISM Love and devotion to one's country and willingness to sacrifice for it.	Serves with selfless dedication and gladness Sensitive to the needs of stakeholders Renders service with full enthusiasm Serves beyond the call of duty

WORKSHOP 4

Determining Strategic Objectives or Goals

In Workshop 4, the participants translate the broad concepts of vision and mission statements into concrete terms, which are Objectives or Goals. These represent major accomplishments or outcomes that are measurable and time-bound. It directly reveals if an organisation is achieving its vision and mission. Even if Objectives are concrete, it should not be too specific at this stage. These will later be translated into more specific dimensions known as Key Result Areas.

The Objectives or Goals are big, broad and provocative statements of victories, hence, they are sometimes called BHAGs or Big Hairy, Audacious Goals.

Workshop Process

Participants may decide to work with the same group, or may regroup by counting off. They may also be grouped according to responsibility or functional areas in your organisation.

Follow the same Participatory Workshop Process in this hand book until each group agrees on the Objective or Goal ideas. A group may stop the process if they have reached five ideas.

Ideas are written on idea cards, shared in plenary, clustered and labeled. The facilitator may lead the group in formulating Goal Statements out of the clustered ideas or a Styling Committee may be assigned. Remember, do not deviate from the ideas presented.

WORKSHOP 4

Determining Strategic Objectives or Goals

FOCUS QUESTION

What are the concrete, measurable long term results or outcomes that the agency or organisation wants to achieve as it performs its mission? What are the vision elements that can be achieved within the plan period?

TIP

A good starting point for identifying goal statements is to refer to Key Issues and Concerns in Workshop 1 and the Vision-Mission ideas in Workshop 2. If any of the clustered ideas are concrete and measurable enough, then it may be adopted as a Goal or Objective. This will give coherence to the outputs of the workshop ensuring that key issues or concerns are embedded in the Strategic Plan all the way to its resolution.

REMEMBER:

GOALS

- Strategic objectives are used to operationalise the vision-mission statements.
- Objectives are end result statements that clearly specify the performance outcomes that the organisation wants to achieve
- Objectives should be measurable.
- Objectives should set the parameters of expected or desired performance.
- Objectives are within the control or influence of the organisation, and are achievable through an appropriate strategy or strategies.

Examples of Statement Goals

1. Broadened access to quality basic education
2. Produced quality graduates of basic education
3. Promoted performance excellence across all levels in the agency
4. Improved National Achievement Test (NAT) performance in Grade 6 and Grade 12.

PHIVOLCS

1. Accurately predicted and simulated geological phenomena
2. Provided highly accurate and timely warning & information
3. Developed cost-effective monitoring & warning system
4. Empowered partners to lead in reducing risks from geologic hazards down to the barangay level
5. Highly prominent, globally recognized experts
6. Motivated, rewarded and competent staff
7. Effective and efficient systems, procedures, structures

1. Highly competent BLMI Staff and selected Volunteers
2. Well functioning structures, systems and processes, and competitive facilities and amenities.
3. Financially sustainable BLMI.
4. Sustained and productive partnerships that enable BLMI to meet its thematic thrusts.
5. Appropriate training and capacity development programs are effectively and efficiently delivered to client grassroots organisations and current and future Bangsamoro leaders.

Note that Objectives may be about the organisation itself, or it could also be about stakeholders or clients that it directly serves. It may even include broader but measurable accomplishments pertaining to the sector itself, that the organisation can promote or influence. If it is too broad that the accomplishment is affected by many other factors that are not under the control or influence of your organisation, then it cannot be adopted as an Objective or Goal. Only those than can be achieved mainly by your organisation with its resources and systems can be recognised as a Goal.

WORKSHOP 5

Translating Strategic Objectives into Key Result Areas and Performance Targets

To be truly measurable, each Objective needs to be broken down into its component Key Result Areas (KRAs), which are specific dimensions of broad Objectives. Very often, a statement of Objectives contain two or more specific meanings or dimensions which lets us clearly know what we can measure. Key Result Areas are stated qualitatively.

Each Key Result Area can be measured by specific Performance Indicators (PI). These are quantitative measures of accomplishments of KRAs. Each KRA can have two or more Performance Indicators. The target accomplishment's actual level for each PI can then be set per year or at milestone years within the plan period.

Workshop Process

This part of the workshop requires familiarity with the different dimensions of a given Goal, thus participants can be grouped by functional areas or related work departments. Groups are assigned Goals based on their functional area. For instance, Financial Objectives are assigned to Finance and/or related departments, such as Asset Management. Objectives pertaining to people in an organisation is assigned to the Human Resources group. Objectives on quality and reach of services is assigned to the Operations units.

WORKSHOP 5

Translating Strategic Objectives into Key Result Areas and Performance Targets

FOCUS QUESTION FOR KRAs:

What are the key components or dimensions of the broad Objectives that can we specify and measure to let us know if the Objects are accomplished? What are these areas where victory or performance can be measured?

FOCUS QUESTION FOR PERFORMANCE INDICATORS AND TARGETS:

What are the quantitative measures that indicate accomplishment of a particular Key Result Area? What are the levels of accomplishment targeted during the plan period?

It is best to ensure that everyone can participate. Variations may be introduced to the Participatory Workshop Process. Group members may form subgroups of dyads or triads to brainstorm on the focus questions. The subgroup, being small, will give each member a good chance to input answers on focus questions. Each subgroup is given an answer sheet that contains the group's assigned Goals, with spaces for Key Result Areas, Performance Indicators and Targets. Once the answer sheet is completed, all subgroups convene to decide on the final results. Once the group has decided, fill up the answer sheet with the results. The results are shared with other groups during the plenary. Other groups may clarify or make suggestions to enhance the outputs before it is accepted.

Even if the outputs are accepted by the group at this stage, these are not yet final, especially for the targets. It still has to be subjected to technical validation using data from files and records of your organisation. A wider base of decision makers, involving affected units, especially heads and key staff may also be consulted. Once the targets are agreed by a critical mass in your organisation, the Plan can be finalised.

Examples of Key Result and Performance Targets:
BANGSAMORO LEADERSHIP AND MANAGEMENT INSTITUTE

Goal 1: Highly competent BLMI Staff and selected Volunteers					
Key Result Areas and Performance Indicators	Performance Targets				
	Yr. 1	Yr. 2	Yr. 3	Yr. 4	Yr. 4
1.1 Improved competency Levels					
% of core staff and active volunteers, judged as competent or highly competent on relevant technical and management knowledge, skills and attitudes	60	90	100	100	100
1.2 Islamic values and perspective strengthened and demonstrated					
% of core staff and active volunteers' with strengthened and demonstrated Islamic values and perspective	100	100	100	100	100

Examples of Key Result and Performance Targets:
PHILIPPINE CENTER FOR ISLAM AND DEMOCRACY

Goal 1: Timely, responsive and accurate information and knowledge about issues, challenges and concerns about Islam and Democracy.					
Key Result Areas and Performance Indicators	Performance Targets				
	Yr. 1	Yr. 2	Yr. 3	Yr. 4	Yr. 4
1.1 Updated and reliable information					
Established baseline data on ARMM - i.e. ARMManac	1	1	1	1	1
No. of time series perceptions and attitudes from surveys	1 up	do	do	do	do
1.2 Publications and scholarly papers					
No. of publications, occasional papers, journals	5	5	10	10	11
No. of manuals on best practices	2	2	5	5	5
1.3 Media products					
No. of media releases and commentaries	50 up	do	do	do	do

WORKSHOP 6

Generating and Selecting Strategies to Achieve Objectives

Your organisation has set a clear planned level of performance when Objectives are concrete enough. This workshop will determine the best ways to move forward to achieve that desired level of performance through Strategies. These Strategies prescribe how your organisation can best use its capacities, competencies, resources and systems, and acquire help from the outside to achieve the Objectives and their KRAs and PIs.

Workshop Process

The same groupings from Workshops 2 and 3 shall work on the Strategies of their assigned Objectives. Subgroups of dyads or triads can be formed for initial brainstorming.

WORKSHOP 6

Generating and Selecting Strategies to Achieve Objectives

FOCUS QUESTION

What are the best ways of organising our efforts and moving forward to achieve our Objectives? How can we use our internal strengths and external opportunities to move forward faster? How can we address our weaknesses and deal with threats that slow us down?

The SWOT Analysis is the main tool used for developing Strategies. Provide the findings of the Internal and External assessments, especially the SWOT Analysis, to the subgroups.

Working as subgroups, follow the process below:

	Strengths	**Weaknesses**
Opportunities	Quadrant 1	Quadrant 2
Threats	Quadrant 3	Quadrant 4

- Select which parts of the SWOT Analysis are relevant and critical to the Objectives you are working on. Specifically, review which Strengths can be relied on; Opportunities that can help; Weaknesses that need to be addressed or corrected; and Threats that can derail.
- Note which quadrant in the SWOT Matrix your organisation is in. Are you in quadrant 1, the S-O combination? Or in quadrant 2, the W-O combination, and so on. Each quadrant provides a strategic option on how your organisation should move forward. It represents the best ways to move forward given the internal and external realities of your organisation.

- Select a strategic option or mode of action based on the dominant quadrant. In order to achieve the Goals and their Key Result Areas, propose as many concrete actions by referring to the critical Strengths or Opportunities to be used or tapped, or the Weaknesses and Threats to be addressed or managed.
- Propose other strategies or modes of action based on other relevant quadrants where your organisation has some presence.

Once the subgroups have generated strategies for all the Objectives they are working on, their group can now convene to consolidate the outputs and agree on the strategies to adopt. These strategies may be written on idea cards or on sheets containing the Objectives where it was formulated. These are reported in plenary for clarification, refinement and acceptance by the participants.

WORKSHOP 7

Formulating Programs and Projects

In this workshop, Strategies are broken down into achievable chunks by responsibility areas or clusters of related tasks called Programs or Projects which are assigned to responsible units or persons.

A set of highly related tasks that produce an output or set of outputs within a specified time-frame are Projects. A set of related projects that contribute to the achievement of a major output, or an outcome, are Programs. In strategic planning these terms may be used interchangeably without having to worry about the fine distinctions between the two. It is important to remember that these tasks are assigned to the responsible units or persons when implemented. Accomplishing all tasks in the programs or projects leads to the accomplishment of the Objectives, KRAs and PIs. These are all part of the implementation of the Strategy.

Oftentimes, Programs or Projects are given memorable or catchy titles to get people more interested.

Activities comprise of programs and projects. These are the building blocks that create outputs, which collectively will produce the desired milestone outputs and Strategic Objectives or outcomes. All strategies, are ultimately implemented through these activities.

In Strategic Planning, however, Major Activities are sometimes used instead of Programs or Projects in translating strategies into action, especially for smaller organisations. A major activity need not be labeled a program or a project, especially if it can be completed within six months.

WORKSHOP 7

Formulating Programs and Projects

FOCUS QUESTION

What are the programs, projects or major activities that can be drawn up to implement the strategies?

The groupings from the previous workshops shall work on identifying programs and projects. Use subgroups of dyads or triads for initial brainstorming. An answer sheet is given to the subgroups. The answer sheet has the same template as the strategy formulation answer sheet but with additional columns for Issues and Concerns that need to be addressed and a column for Programs or Projects that would address it.

The results of the workshop are reported in plenary for clarification, refinement and acceptance by the participants.

The key issues and concerns discovered during the internal and external assessments are used to identify the areas that need to be solved by the programs or projects. These solutions need to be aligned with the Vision-Mission–Objectives-Strategies to ensure that when programs and projects are implemented the results are in agreement with the strategic directions of your organisation.

The BLMI Strategic Plan on Annex 1 is an example of how the elements are aligned from Vision to Programs, Projects or Major Activities.

Issues and Concerns
Programs / Projects

Examples of Key Result and Performance Targets:
BANGSAMORO LEADERSHIP AND MANAGEMENT INSTITUTE

Goal 2: Well functioning structures, systems and processes, and competitive facilities and amenities	
Strategies	Programs and Projects
1. Review and Rationalise BLMI Structure	▪ Review of BLMI Organisational Structure ▪ Review and Updating of Operations Manual
2. Fast track internal capacity building	▪ Establishment of Monitoring and Evaluation systems and processes ▪ Institutionalisation of Admin, Finance, and M&E Systems and Processes
3. Seek external support for the development of new BLMI complex and improvement of facilities	▪ Designing of new office and training complex ▪ External Resource Mobilisation Program for new complex

The Strategic Plan is essentially complete when programs, projects or major activities are identified. Any further planning involving more specific activities or tasks by department belong to the Operations Planning process, done annually by your organisation based on the Strategic Plan. Resource planning or budgeting is part of the Operations Planning process which is done after the strategic plan is finalised.

Operations Planning for the first year of implementation may be done immediately after the Strategic Plan is prepared so your organisation can prepare a budget, and know which resources to mobilise or allocate.

There is no need to wait for the last month of the year to start on Operations Planning, especially if your plan requires deployment of resources that are not part of your organisation's routine budget, or resources that require additional lobbying or mobilisation of funds.

Operations Planning is discussed further in the section “Managing Post Planning Processes”.

CLEANING AND FINALISING THE OUTPUTS OF THE PLANNING WORKSHOP

1. Preparing a Clean Documentation of Planning Outputs

All workshop outputs have to be properly documented and cleaned. Cleaning involves proper formatting and editing of the content for coherence and clarity. Additional content should not be added in the editing or cleaning process without the approval of an authorised person or committee, such as the Strategic Planning committee, discussed in the section on "Gearing Up for Implementation". A draft Strategic Plan document will be assembled from the outputs of the different workshops. The document contains only the plan itself, which consists of the V-M-V-O-KRA-PI-S-P-A. A separate document may be prepared consisting of the Internal and External Assessment Results, as well as their synthesis in terms of the SWOT Matrix and the discussion of key issues and concerns. Problem Tree Analyses pertaining to these issues may also be included in the supporting document.

2. Validating the Planning Assumptions Used

Even after the outputs of the planning workshop are cleaned, these are still not yet final, especially for the targets. It is subject to technical validation using data from the files and records of your organisation.

Technical validation involves looking at past performance of your organisation's specific targets and looking at the probability of significantly enhancing the capacities and competencies given existing, as well as foreseen improvements. It also involves asking process owners, unit heads, higher level officials and rank and file employees engaged in the achievement of the target if they would be able to achieve the aimed performance level.

The triangulation method of validation, requires a minimum of three representative stakeholders from different affected levels your organisation to affirm that a target can be achieved. An alternative, would be to ask the opinion or approval from a critical mass of affected employees in your organisation. A critical mass consists of at least one third of the affected employees. The entire Strategic Plan draft, and not just the targets, may be subject to validation by triangulation or by critical mass method before it is finalised.

3. Finalising the Plan Elements

The contents of the Strategic Plan, particularly the Performance Indicators and Targets, may be tweaked or revised depending on the results of the validation. Any revision has to be approved by a duly authorised person, such as the head of your organisation or a committee, such as the Strategic Planning Committee. If the changes are significant, the participants of the Strategic Planning Workshop may be convened for a meeting where the proposed changes are deliberated and approved.

4. Packaging and Approval of the Strategic Plan

Once all the refinements have been made, the final version of the plan is printed, packaged then submitted to the head of your organisation for approval. The document should be legible and appealing to the readers. An artist or designer can be hired to lay out the contents and design the cover.

Once approved by the head of your organisation, a ceremony may be held to announce the approval and adoption of the Strategic Plan. This can be done during a general assembly of employees, or in a meeting with top and middle level management.

3 HOW DO WE MANAGE THE POST PLANNING PROCESSES?

GETTING READY FOR IMPLEMENTATION

The efforts spent creating a strategic plan will be futile if it is not systematically implemented. Implementing the plan has to be carefully managed since this requires change in the way your organisation works.

1. Assigning Responsibility Areas for Implementation

The responsibilities for implementing the planned changes have to be clearly spelled out since these are outside the day to day duties of your organisation.

Quite often, Strategies designed to pursue Goals, KRAs and PIs tend to fall along functional lines. For instance, strategies with a goal to empower, motivate and improve productivity of the workforce fall along the functional area of Human Resources Management. Strategies that pursue financial sustainability are within the responsibility area of Finance. Therefore, it is logical to assign the responsibility for the implementation of strategies to units that are in close relation to it. In many instances, a strategy cuts across two or more functional areas and require the contribution of both units.

For example, a strategy to pursue the goal of achieving customer satisfaction from your organisation's services may require the contributions of the following:

- Operations Unit - direct service delivery
- Finance Unit - mobilising the financial resources needed to respond to customer demands
- Administrative Unit - ensuring that the internal logistical requirements in serving customers are met

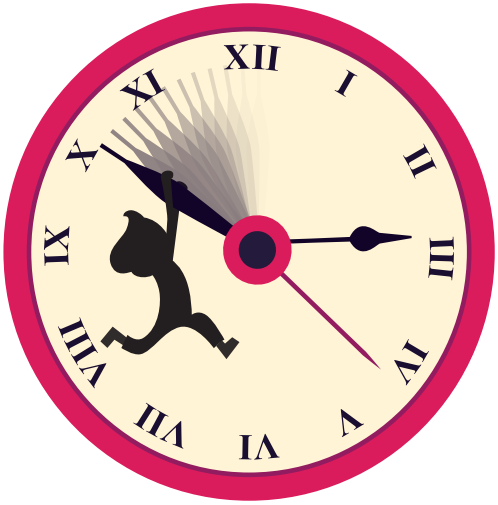
In such a situation, the units involved may do any of the following:

- Assign a lead unit
- Take turns in assuming leadership for the implementation of the strategy
- Form an ad-hoc inter-unit coordination and monitoring team that ensures that the each unit's contributions are synergistic and timely

To implement components of the strategy, a specific person or a leader of a team or sub-unit within each responsible unit may be assigned as Program, Project or Activity Cluster head. They may be given encouraging titles such as Champion, Owner, Leader, etc. Specific responsibilities within a Program, Project, or Activity Cluster can be assigned to members of the responsible unit, sub-unit or teams during the Operations Planning and Budgeting Phase.

Once the responsible units and Program, Project or Activity Cluster heads are selected, they have to be formally appointed as responsible units or persons. A Memorandum Order signed by the head of your organisation should be issued.

2. Determining Implementation Timelines



The general timeline considers milestones and shows a multi-year picture of implementation consistent with the schedule for the accomplishment of performance indicators and targets. The general timeline for the implementation of the Strategic Plan needs to be determined ahead of Operations Planning and Budgeting. .

3. Organising a Strategic Planning and Management Team or Unit

Your organisation needs to form a Strategic Planning and Management Team or Committee to manage the entire process of implementation and provide amendments to the Strategic Plan if major changes occur in your organisation's internal and external conditions. This team will take over the work of the Planning Workshop Team. The new team will coordinate and monitor the implementation of all the strategies across the organisation and tracks the accumulation of outcomes from these strategies.

The Strategic Planning and Management Team or Committee may assemble members from the Planning Workshop Team, especially members of the HR and Planning departments. Heads of units responsible for the different goals or objectives, especially those that are critical to the mandate of your organisation, should also be included. Some members of the Management Committee of your organisation may also be part of this team.

The Strategic Planning and Management Team or Committee reports directly to the head of your organisation.

4. Operations Planning and Budgeting

Annually, the Strategic Plan is detailed out into an Operations Plan and Budget for one year. This document provides in greater detail the terms of specific activities for different strategies, programs and projects, as well as their outputs, persons or units responsible, resources needed, etc

A complete Operations Plan and Budget contains the following elements:

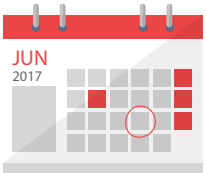
Activities. These are concrete and time bound actions that will implement a strategy, program or project. These have to be clear and detailed enough so that concrete outputs or results are determined, responsible persons are assigned, the time frame for implementation is accurately set, and resources are properly budgeted. The list of detailed activities must be appropriate and complete so that a strategy, program or project can fully be implemented, and the goals and targets achieved.

Failing to list down all the needed important activities would lead to non-accomplishment of goals and targets. This results in a design error – i.e., a series of results that are needed in order to achieve a goal and target would be incomplete, and eventually, the goal or target will not be accomplished.

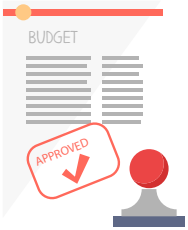
The activities, while detailed, does not need to include obvious small tasks or sub-activities. Otherwise, the Operational Plan would be very long and tedious.

Outputs and Results. These are concrete accomplishments from the activities implemented. There are various result levels. These may be direct outputs of an activity, an intermediate output from a group of combined activities, to milestone outputs that contribute to the accomplishment of a key result area. Outputs and results should be measurable and verifiable.

Responsible Persons, Units and Departments. This section identifies who shall implement which activities, and lays down accountability for results. These may be specific people for simple tasks, or units and departments for more complex or clusters of tasks. Management structures and staffing requirements of programs and projects may be drawn up first as a basis for allocating and assigning personnel and units/departments. Multi-tasking, synergies between related units, complementation and supplementation of partners should be considered when assigning responsible parties. Appropriate implementing strategies need to be drawn up to achieve optimum utilization of staff without over stretching absorptive capacities and change readiness.



Duration and Time Table. This assigns days and schedules for specific activities in the Operations Plan. The complete implementation schedule for all activities may be presented as a Gantt Chart or a PERT-CPM Schedule. The PERT-CPM is a project management tool that gives a more accurate estimate of the entire duration of a program or project by making actual sequence of activities visible.



Resources Required. These are physical and financial resources or budgets needed to fund the planned activities and personnel assigned to it. The different sources of financing, both internal and external are also identified. This is a considerable challenge as resources are generally scarce. Major planned changes may need a re-configuration of the budget of your organisation.

Support Needed from Internal and External Parties or Stakeholders. This identifies other sources that can be tapped to achieve synergy or leverage additional personnel or resources. These can be other units or departments, as well as external stakeholders such as government agencies, donors, and community organisations. This section is important because resources are generally insufficient and some implementing units may be small, inadequately financed, and understaffed.

Key Success Factors. These are internal and external factors that could facilitate easy implementation and help ensure that targets are achieved. Examples are competencies and absorptive capacities of persons and units assigned, a system to monitor progress and build accountability among implementors, openness of external parties to support, etc. These should be properly laid out in the plan as assumptions, so it could be evaluated later on; if such assumptions do not prove to be accurate, the plan is adjusted.

Risks and Risk Mitigation Measures. These are external factors that could impede, obstruct or altogether derail the implementation of planned activities.

Examples are peace and order situations that makes it difficult to conduct training and capacity building in affected areas, change in donor priorities, and delays in expected support from partner organisations. This needs to be identified and mitigation measures planned so that your organisation will know what to do to sustain implementation in case these occur.

The template for an Operations Plan and Budget incorporating all the elements described is on Annex 2.

CASCADING AND COMMUNICATING THE STRATEGIC PLAN

1. Cascading the Plan

The completed Strategic Plan needs to be communicated and cascaded to the entire organisation. Cascading is explaining the different elements of the plan to every unit down the line in your organisation, highlighting the elements that directly affect and require their unit's contribution and support in implementation.

Beyond information dissemination, the cascading process is also a continuation of the planning process. Different units conduct their own planning exercises to further detail their targets and activities that they will undertake to implement their part of the Strategic Plan. The planning process can be done all the way to the section level and down to each individual within the section. This way, the organisation is able to define performance targets at all levels that are aligned with the strategic plan. The outputs of the cascading process can then be linked to the results based performance management system of your organisation.

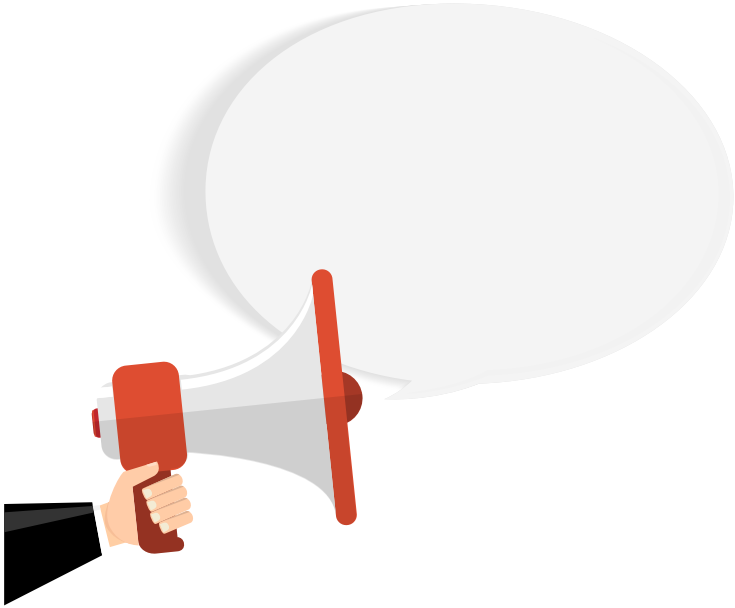
The activities identified by the different units during the cascading process should be used as take off points for the Operations Planing and Budgeting for a given year.

2. Systematically Communicating the Strategic Plan

A more tactical approach in communicating the Strategic Plan and the changes it espouses should be adopted. This entails preparing a systematic Communications Plan and implementing it as both a stand alone activity and as a companion to the cascading sessions.

A communications plan determines the different audiences that need to be convinced of the Strategic Plan, the changes it brings, and the support expected from them. It will also choose the key messages to convince the audience, and the medium of communications to be used, such as bulletins, office memos, posters, flyers, online communications, etc., during cascading sessions or meetings. This plan should be prepared ahead of the cascading sessions.

The template for a Communications Plan is on Annex 3.

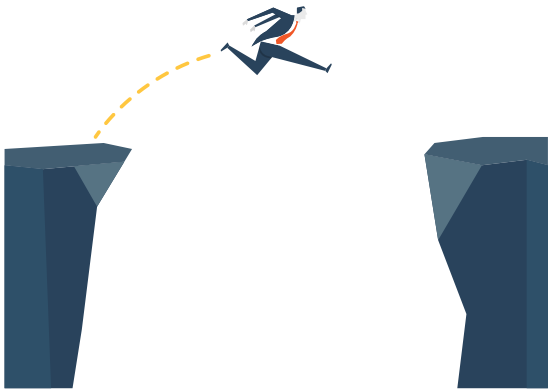


MANAGING RISK DURING IMPLEMENTATION

1. Risk During Implementation

Risks will develop during the course of the Strategic Plan's implementation. These may affect the performance of certain activities or the accomplishment of your organisation's Goals. Risks need to be managed and their effects mitigated. Here are examples that could derail your organisation's progress:

- Continued resistance of procedures and policy changes, and performance targets expected from rank and file and lower level officers such as section heads
- Divisions and factionalism among different units resulting in an unbalanced support for the plan
- Shifts in policies and directions of the national government administration which may affect priorities in the Strategic Plan
- Resource constraints, budget realignments, and cost-cutting ordered by the national government limiting the funds available for implementation



- Resignations or replacements of key officers in your organisation, especially the head, who is the Executive Sponsor of the Strategic Plan
- Political exercises, such as national elections in the middle of the Strategic Plan implementation timeline
- Emergencies, such as disasters, that may shift or refocus the work of your organisation for several months
- Technological advancements that may lead to the reconfiguration of systems and processes that implement the plan, particularly in the field of IT

2. Developing a Risk Mitigation Plan

A Risk Mitigation Plan is developed to help your organisation manage risks. This entails identifying the risks, assessing their probability of occurrence, its potential impact and the mitigating measures to lessen the impact on your organisation. The template for Risk Mitigation Plan is on Annex 4.

INSTITUTIONALISING THE STRATEGIC PLAN AND PLANNING PROCESS

The Strategic Plan and the Strategic Planning Process need to be institutionalised to provide continuity of implementation and sustain the capacity of your organisation to plan for the long term.

Institutionalisation can be done through the following measures:

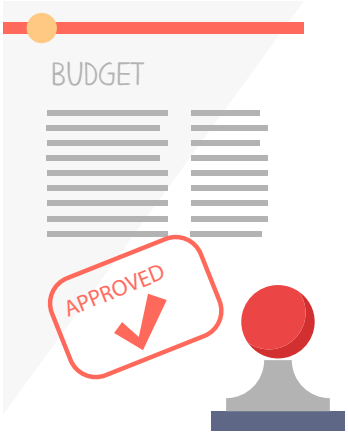
1. Developing a Monitoring and Evaluation System for Strategic Plan Implementation

A Monitoring and Evaluation System should be set up as a separate system to strengthen strategic plan implementation and management. This system will track the progress of implementation of all the Strategic Plan's activities, monitor the accomplishment of outputs and results, and periodically evaluate the likelihood of achieving the Strategic Objectives, Key Result Areas and Performance Indicators. It should be able to detect early signs of delays and prompt corrective action to keep implementation on track, produce a clear indication whether the Goals will be achieved or if re-planning is necessary to achieve the stated goals.

The template for an M and E System is on Annex 5.

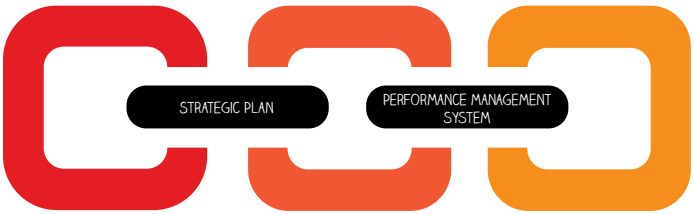
2. Regularising Budgets and Resource Allocation

Once successfully implemented, new ways of doing things, as well as new functions, and even new people may become part of your organisation's regular operations. Resources needed to continually support these activities and the people that perform it may eventually be part of the regular budget. Providing for the resources needed in the annual budget of your organisation would sustain the changes brought by the Strategic Plan.



3. Linking the Strategic Plan to the Performance Management System

A powerful way of institutionalising the Strategic Plan is linking its performance targets with the Results Based Performance Management System of your organisation. Performance Indicators and Targets set in the Strategic Plan Document would serve as the performance targets of the departments or units assigned to pursue it.



Down the line, part of the performance contracts will include the performance targets determined by the sub-units, sections, and individuals during the cascading process.

4. Providing for a Permanent Structure or Function for Strategic Planning

To institutionalise the Strategic Planning Process, a small Strategic Planning Unit may be formed. It should consist of no more than five (5) members. It may be embedded within the Planning Unit of your organisation, or as a separate unit that reports directly to the head of your organisation. The Strategic Planning Unit will replace the Planning Team or Secretariat for every Strategic Planning Activity. It will also manage the Annual Strategic Plan Review and performance evaluation with members that crafted the plan.

The unit will supply information to the Results-Based Performance Management System, update and calibrate targets, as necessary. To ensure that the annual plan does not deviate from the long term strategic plan, the Strategic Planning Unit will provide guidance to the annual Operations Planning and Budgeting. It will take charge of the monitoring and evaluation of the Strategic Plan. A new strategic planning exercise may be called major changes are revealed from the monitoring and evaluation.

ANNEXES

ANNEX 1. Alignment of Vision-Mission-Goals-Strategies and Programs - The BLMI Strategic Plan					
Vision	BLMI is a is a centre of excellence in capacity development that produces ideologically omitted, spiritually accountable, and exemplary l leaders, managers and grassroots organisations, working for just peace, freedom and progress for the Bangsamoro.				
Mission	We are a capacity development institute that enhances knowledge, skills, and capacities of leaders, managers and organisations in the Bangsamoro homeland, consistent with Islamic principles and respectful of other cultures. We provide responsive and appropriate programs along leadership and management anchored on Islamic perspectives, peace and security, integrity based governance, justice and human rights, and community driven development.				
Goals	Highly competent BLMI Staff and selected Volunteers.	Well functioning structures, systems and processes, and competitive facilities and amenities.	Financially sustainable BLMI.	Sustained and productive partnerships that enable BLMI to meet its thematic thrusts.	Appropriate training and capacity development programs are effectively and efficiently delivered to client grassroots organisations and current and future Bangsamoro leaders.
Strategies	• Develop and implement HR policy, systems and programs.	• Review and Rationalise BLMI Structure • Fast Track internal capacity building • Seek external support for the development of new BLMI complex and improvement of facilities	• Develop a core fund from long term donors and internal sources • Market to prospective donors the programs and projects of BLMI on each thematic area for multi-year funding • Create other income generating activities related to training to supplement fees • Use marketing approaches to increase patronage of training facility among target clients	• Nurture relationships with partners for long term project funding and co-implementation along thematic lines	• Strengthen the core function of training • Prioritise organisations for capacity development assistance • Partner with community based NGO's and CSO's, as well as with external experts for coaching and technical assistance

Programs, Projects or Major Activities	• Develop and establish HR policy • Establish volunteer recruitment system • Fast track training and development/ competency building of ore staff and selected volunteers • Conduct performance evaluation • Develop compensation and benefits system	• Review and Rationalisation of BLMI Organisational Structure • Review and Updating of Operation Manual • Institutionalisation of Admin, Finance, and M&E Systems and Processes • Designing of new office and training complex • External Resource Mobilisation program for new complex	• Seeks donors for Core-fund • Seek Multi-Year Donors for Programs and Projects • Selling of Souvenir items and other products • Offer BLMI as a public venue for training, conference, etc.	• Articulation of Thematic Thrusts and integration in training master plan, curricula and learning materials • Preparation of info materials, guide books and modules on thematic themes • Preparation of multi-year project proposals • Communication and Partnering with funding institution	• Training Master Plan Development • Preparation of Modules/ Training Designs, Materials and Manuals • Competency Build Up for the Management and Trainers Pool • Competency Build Up for Community Leaders • Selection of and Prioritisation of organisations • Partnering Program with CSO's

ANNEX 2. TEMPLATE FOR OPERATIONS PLANNING AND BUDGETING									
GOAL:									
KEY RESULT AREA:									
STRATEGY: PROGRAM OR PROJECT:									
Activity	Outputs/ Results	Duration	Timetable	Responsible Units or Persons	Support from others	Proposed Budget	Sources of Financing	Key Success Factors	Risks and Risk Mitigation

ANNEX 3. COMMUNICATIONS PLAN TEMPLATE					
Communications Objective	Key Messages	Audience	Communications Strategies & Outputs	Responsible Unit/ Officer/s	Resource Required

ANNEX 4. RISK MITIGATION PLAN TEMPLATE				
Risks	Probability (H, M, L)	Impact	Mitigation Approach	Responsibility for Mitigation

ANNEX 5. MONITORING AND EVALUATION PLAN TEMPLATE					
Activities, Outputs and Outcomes	Indicators and Targets	Period or Frequency of Monitoring and Evaluation	Records, Reports, other evidences	Who monitors? Who evaluates?	Who decides on action needed?

For Inquiries:

Civil Service Commission
Constitution Hills, Batasang Pambansa Complex, Diliman, 1126 Quezon City, Philippines

CSC Trunklines : 931 - 8092 / 931 - 7030 / 931 - 7935
Website : http://csc.gov.ph

Republic of the Philippines
CIVIL SERVICE COMMISSION