

# STRATEGIC PLANNING WORKBOOK

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## *Forward*

This Strategic Planning Workbook has been developed for practitioners. Our general approach to education is what we call *learning by doing*. In order to learn about strategic planning, you will be asked to develop a preliminary strategic plan for your own organization.

The best strategic plans are developed collectively by all members of an organization. They require specific information about an organization's history, activities, environment and mission. This Workbook will be used during the week to bring you, step-by-step, through a strategic planning exercise. We will brief you on each section of the Workbook, give you time to fill it out and then facilitate discussions of the plans you develop.

To get the most out of the strategic planning exercise, we think it would be useful for you to try to complete the Workbook before the course begins. Some of the issues may require research and the use of records that you have at your office but will not be able to access during the course. If some of the sections of the workbook seem unclear to you, please leave them blank and plan to work on those sections once we have had a chance to work with you after the course begins.

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Steve Cohen & Bill Eimicke

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## **STRATEGIC PLANNING**

### ***What is it?***

"At least three decades ago, Peter Drucker defined planning as actions taken *right now* to reach tomorrow's objectives. His definition still holds; planning means deciding what has to be done to prepare a given organization for the future."

(from Strategic Planning for Public Managers, James Mercer, p. 17)

C.W. Hoffer and D. Schendel define strategy as the basic pattern of current and planned resource deployments and environmental interactions that indicate how the organization will achieve its objectives.

"A strategy attempts to delineate the resources that will be used to pay for specific activities designed to accomplish specific objectives. Strategy formulation begins with the identification of objectives and the determination of methods for reaching objectives. These objectives and activities are then scaled to fit within resource constraints. Each element of a strategy (objectives, activities and resources) is constrained by political, social, economic and environmental variables. The objectives and activities of public organizations are constrained by the formal authority provided by statute."

(from The New Effective Public Manager, Cohen and Eimicke, p. 196)

## I. PROBLEM AND OPPORTUNITY RECOGNITION

### A. The mission statement

What is the work that you are trying to do? What is the overall mission of your organization? Write a first draft of your mission statement below and then write a second draft at the end of this section.

**1. First draft umbrella statement (15 to 30 words): should be short enough to remember; identifies the purpose that the agency's programs are intended to serve.**

--

<< *Questions associated with mission statement formulation* >>

Use the following questions [(a) through (i)] to develop your organization's mission statement.

a. WHAT PROGRAMS AND SERVICES SHOULD WE BE PROVIDING?

Identify your agency's niche and key services.

b. WHY DO WE EXIST?

How and for whom would life change if we did not exist?

c. HOW ARE WE UNIQUE?

*Examples:*

Special programs and services

Concentration of effort

Geographic locations

Nature of customers/users

Unique capacities

Type of support services

Legislative mandates

--

d. WHO ARE OUR CUSTOMERS/USERS?

Who benefits from and pays for what we have to offer?

Who benefits from and cannot pay for what we have to offer?

e. WHAT ARE THE THREE TO FIVE MOST IMPORTANT PROGRAMS WE PROVIDE, NOW AND IN THE FUTURE?  
(List them)

*NOW*

1.

2.

3.

4.

5.

*IN THE FUTURE*

1.

2.

3.

4.

5.

-  
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-

f. WHAT DO WE DO BEST, NOW AND IN THE FUTURE?

What are our core competencies?

*NOW IN THE  
FUTURE*

g. HOW ARE WE DIFFERENT FROM THE WAY WE WERE THREE TO FIVE  
YEARS AGO?

h. HOW ARE WE MOST LIKELY TO BE DIFFERENT THREE TO FIVE YEARS FROM NOW?

i. WHAT MAJOR POLITICAL AND MANAGEMENT ISSUES DO WE FACE AND HOW CAN WE MEASURE THEM?

**2. Detailed mission statement (one-half to one page long): usually begins, "In support of its mission, this organization is**

**committed to..."**

(Use information gathered in (a) through (i) to complete this section.)

--

*Mission statements are not changed very often, so it is worth the effort to formulate them correctly. When they are changed, it is a major strategic decision.*

**3. Rewritten draft umbrella statement (fifteen to thirty words): should be short enough to remember; identifies the purpose that the agency's programs are intended to serve.**

**Compare this to your first draft written on page 2.**

--

**B. Identification of current and future challenges and opportunities**

1. What are the sources of the challenges and opportunities to your organization? External or internal? You should focus your efforts on clearly definable problems and/or opportunities.

2. Why do these challenges and opportunities exist? These challenges should be recognized as a logical result of changing or dynamic forces inside and outside your organization.

--

**II. IDENTIFICATION OF PARTIES**

**A. Who is creating problems, challenges, and opportunities for our organization?**

1. What internal groups or parties are involved?

<b>Internal Parties (within our organization)</b>	
Allies	Opponents


2. What are their perspectives?

Allies/Opponents	Perspective

3. How will these parties affect our mission?

Allies/Opponents	Impact on Mission

4. What external groups or parties are involved?

<b>External Parties (outside our organization)</b>	
Allies	Opponents

--	--

5. What are their perspectives?

Allies/Opponents	Perspective

6. How will these parties affect our mission?

Allies/Opponents	Impact on Mission

### III. HISTORICAL ANALYSIS

A. What created these problems and opportunities, and how did we get here?

--

B. How have different levels of our organization and the individuals within the organization responded to key challenges and opportunities in the past?

C. How long have these challenges and opportunities existed?

D. What attempts have been made to prevent problems and exploit opportunities?

--

E. How successful/unsuccessful were these attempts? Why?

F. How have the parties involved responded to these efforts?

## IV. SITUATIONAL ANALYSIS

Having identified your organization's main challenges and overall goals, you should now set objectives for the strategic planning process. In conducting the situational analysis you should address several key questions:

1. In pursuing your objectives, what will be your organization's strengths, weaknesses, opportunities and threats?
2. What are your specific, desired outcomes for organizational change and/or growth?

Following this situational analysis, you will be ready to make concrete plans for reaching your goals and solving problems.

### A. Organization's Strengths, Weaknesses, Opportunities and Threats

Before developing a plan of action, you should conduct a thorough inventory of your organization's strengths and weaknesses, opportunities and threats. Do you have adequate human, physical and financial resources? Does your organizational structure fit your mission and services? Does your organization have specific attributes which are being, or should be exploited? The path you chart to your strategic goals must reflect organizational capabilities and should avoid areas where the organization is less well prepared. Through this inventory you can also identify problem spots in the organization where improvement may be necessary before a strategic plan can be successful.

## STRENGTHS AND WEAKNESSES

1. *Strengths and Weaknesses:* Consider all areas of your organization. Use the worksheet below to assess your status in each area using the following ratings:

1: Superior.

2: Above average. More than adequate.

3: Average. Adequate.

4: Needs improvement.

## 5: Dangerous, serious problems.

<b>Functional/Operational Areas</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Financial condition					
Prospects for future funding					
Condition of building and equipment					
Operational capacity and effectiveness					
Human resources capacity and potential					
Management systems in place (manual & automated) for operations, personnel administration and motivation, finance, accounting and cost control					
Quality of staff overall and suitability for organizational needs					
Quality of management staff					
Recruiting and succession plans					
Relationship with local/state government					
Relationship with federal government					
Sufficiency of legislative authority					
Design of policies we must implement					
Other:					

Now that you have completed the strengths and weaknesses chart, make a list of the top strengths and weaknesses of your organization and relate them to your strategic plan. Given these strengths and weaknesses, what types of programs are you likely to succeed in and where might you have problems? Use the following worksheet to record these thoughts.

## KEY STRENGTHS AND WEAKNESSES

What are our organization's key strengths?

1. 2. 3. 4. 5.

What areas most need improvement?

1. 2. 3. 4. 5.

## OPPORTUNITIES AND THREATS

2. *Opportunities and Threats:* Now go through the same type of inventory for your opportunities and threats. The worksheet below contains suggestions for each, and has space for you to add any others which might be relevant to your organization. Fill out this chart, and then consider the strategic implications of the issues you have identified.

<b>Opportunities</b>	<b>Strategic Implication</b>
1. Serving new customers	
2. Using new technologies/research methods	
3. Expanding services	
4. Finding new suppliers/contractors	
5. Identifying new needs	
6. New funding sources	
7. Improved political support	
8. Creating new partnerships	
9	

<b>Threats</b>	
1. Privatization	
2. Substitute services	
3. Slow growth	
4. Adverse government policies	
5. Interest group pressure	
6. Citizen or political dissatisfaction	
7. Changing needs	
8. Public image/perceptions	
9. Funding	
10.	
11.	
12.	

## B. Identifying Desired Goals

In determining specific changes and new developments for your organization, you should consider both short and long range needs. What are your immediate concerns? What are your current plans that you can begin implementing today? And what are your visions for the future of your organization? What are your goals which require long range planning? Think about the strategic planning elements that have preceded this section (problems, opportunities, mission, parties) and identify your goals for the next twelve months and over the next five years, and list them on the following worksheets.

12-Month Goals
1)

2)
3)
4)
5)

<b>Five-Year Goals</b>
1)
2)
3)
4)
5)

**V. STRATEGY FORMULATION**

You are now ready to craft your strategic plan. This formulation builds upon the work you did in your situational analysis. You will be looking at the short and long term goals you identified and determining the specific steps you need to take towards these goals. You should also think back to the strengths and weaknesses, opportunities and threats you identified; those issues must guide your strategy formulation.

The following worksheet consists of ten pages, one for each of your goals. Return to your list of goals on pages 25 and 26 , and write each of them on one of the following pages. On each goal page, you then should list the ten key tasks that you will have to undertake in order to accomplish that goal.

Your tasks should be specific, tangible actions to guide your work and track progress. What will success "look like"? Will certain people in the organization be working, interacting or functioning differently? Will work be assigned differently? Will the office be organized differently? Will your services change? Most importantly, all goals should be measurable, achievable objectives.

## A. Defining and Accomplishing Success:

### 12-Month Goals

Goal 1:

Key tasks for accomplishing this goal:
1)
2)
3)
4)
5)
6)
7)
8)
9)
10)

## Defining and Accomplishing Success:

### 12-Month Goals, continued

Goal 2:

Key tasks for accomplishing this goal:
1)
2)
3)
4)
5)

6)
7)
8)
9)
10)

**Defining and Accomplishing Success:**

**12-Month Goals, continued**

Goal 3:

Key tasks for accomplishing this goal:
1)
2)
3)
4)
5)
6)
7)
8)
9)
10)

**Defining and Accomplishing Success:**

**12-Month Goals, continued**

Goal 4:

Key tasks for accomplishing this goal:
1)
2)
3)
4)
5)
6)
7)
8)
9)
10)

**Defining and Accomplishing Success:**

**12-Month Goals, continued**

Goal 5: \_

Key tasks for accomplishing this goal:
1)
2)
3)
4)
5)
6)
7)
8)

9)
10)

**B. Defining and Accomplishing Success:**

**5-Year Goals**

Goal 1:

Key tasks for accomplishing this goal:
1)
2)
3)
4)
5)
6)
7)
8)
9)
10)

**Defining and Accomplishing Success:**

**5-Year Goals, continued**

Goal 2:

Key tasks for accomplishing this goal:
1)
2)

3)
4)
5)
6)
7)
8)
9)
10)

**Defining and Accomplishing Success:**

**5-Year Goals, continued**

Goal 3:

Key tasks for accomplishing this goal:
1)
2)
3)
4)
5)
6)
7)
8)
9)
10)

**Defining and Accomplishing Success:**

## 5-Year Goals, continued

Goal 4:

Key tasks for accomplishing this goal:
1)
2)
3)
4)
5)
6)
7)
8)
9)
10)

### Defining and Accomplishing Success:

## 5-Year Goals, continued

Goal 5:

Key tasks for accomplishing this goal:
1)
2)
3)
4)
5)

6)

7)

8)

9)

10)

## VI. EX-ANTE REVIEW

Once you have formulated your strategies, you should evaluate their fit and feasibility.

For each of your ten goals, it is important to consider your measures and probabilities of success. Addressing these issues before you begin implementing your plan will help prevent problems and ensure that you make the right decisions. Use the following table to list: a) your ten goals; b) a key indicator of success for each goal; and, c) your estimated probability for success in each goal.

In Part C, assessing your chances for success, use the following ranking system:

1: certain success

2: moderate chance of success

3: uncertain success

4: little or low chance of success

### A. 12-Month Goals

a) Goal	b) Key Measure of Success	c) Probability of Success (1-4)
<i>Example:</i> <i>Expanding job opportunities</i>	<i>Number of jobs created</i>	<i>3</i>
1)		
2)		
3)		

4)		
5)		

<b>B. Five-Year Goals</b>		
<b>a) Goal</b>	<b>b) Key Measure of Success</b>	<b>c) Probability of Success (1-4)*</b>
1)		
2)		
3)		
4)		
5)		

\* In Part C, assessing your chances for success, use the following ranking system:

- 1: certain success
- 2: moderate chance of success
- 3: uncertain success
- 4: little or low chance of success

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