The Strategic Planning Toolkit

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Sponsored by the Illinois Association of Community Action Agencies
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WHO SHOULD USE THIS TOOLKIT

This toolkit is designed for leaders of Illinois’ Community Action Agencies who are tasked with strategic planning for their organizations. It can also be used by other non-profit leaders who may be looking for a suitable process to conduct strategic planning for the first time or refresh an existing plan. The intent is not to create a definitive resource for strategic planning. Instead, it provides a simple framework and tactical tools to aid in real-time planning. If you are tasked with developing your agency’s strategic plan but have no previous planning experience, you may want to request assistance from an outside consultant. Tips on selecting a consultant can be found in the last section of this toolkit.

This toolkit has been designed as a working document. Space has been provided in the right margin of every page for any notes, comments, or reminders you may have during the process. The left margin of page 6 (The Strategic Planning Framework) as well as all of the tools have been perforated so they can be detached from the rest of the toolkit for easy use.

A BRIEF OVERVIEW OF STRATEGIC PLANNING

Strategic planning is about making choices. Choices about resources, what work gets done, and who should do the work. It is a systematic process that helps leaders make the right choices based on information collected from stakeholders – both inside and outside of the organization. Well-developed strategic plans increase the likelihood that employees are working together to achieve the desired outcome of the agency.

Effective strategic planning begins with a question – “why are we planning in the first place?” Strategic planning can be very time-consuming and require resources that can be better used in other parts of the organization. Therefore, before any data is collected or meetings set up, leaders must be clear about why they are planning. “Because I was told I had to”, is not a good reason. Leaders must figure out why they were given that directive in the first place. What did stakeholders see that led them to believe a strategic plan for your organization was needed? Simply updating last year’s plan is not a good reason either. Leaders must ferret out exactly why the old plan is outdated before they develop a new one. The bottom line is the reasons for planning must be targeted, specific, and achievable to ensure the right decisions are made during the process.

Strategic Planning is driven by data. Data provides the information leaders need to make the strategic choices stated earlier. In order to make the right choices, they need information from stakeholders, both inside and outside of the organization. Information from outside stakeholders ensure the agency is doing
the right things to serve the community; while information from inside
stakeholders ensure the agency has the right structure, processes, and people to
carry out the mission.

The data collected from stakeholders allow leaders to make decisions regarding
the future direction of the organization. A SWOT analysis (strengths,
weaknesses, opportunities and threats) informs leaders of how they might
capitalize on the organization’s strengths, minimize weaknesses, seize strategic
opportunities, and mitigate threats that might derail the mission.

Once the strategic decisions are made, it’s time to construct the plan. Most
strategic plans at a minimum include the following information:

- An introduction to the plan
- Vision and Mission Statements
- Values, Beliefs, Assumptions & Guiding Principles
- Information about Customers/Clients
- Information gleaned from stakeholders
- Core strategy, objectives and goals

The plan may also include appendices that contains more detailed information on
customer demographics, stakeholder data, or any other information that may be
relevant to anyone interested in the plan.

However, writing the plan is just the beginning. It must be executed. Executing
the plan requires a transition management. Transition management involves
communication to employees and other stakeholders; training employees on new
skills required to execute the plan; and mitigating any resistance from those who
may not agree with the plan. It is a vital part of strategic execution.

Short-term objectives must also be established in an Annual Operating Plan
(AOP). The AOP contains detailed goals, action steps, timelines and
responsibilities of those charged with executing the strategic plan.

Finally, the completed plan cannot languish on a bookshelf. It is a living
document that answers the question of how the agency fulfills its mission. It
explains why the agency does what it does and why it should be funded to do its
work. It must be monitored throughout the year and updated as events unfold.
The spot on your bookshelf with the least amount of dust is where stakeholders
should find your strategic plan.
THE STRATEGIC PLANNING FRAMEWORK

The Strategic Planning Framework is the structure that holds all of the strategic planning tools together. It outlines four (4) phases for strategic planning (that mirror the ROMA process) and seven (7) action steps.

Phases/Steps in the Strategic Planning Process

**Phase 1 – Prepare to Plan**
- **Step 1:** Develop Plan to Plan
- **Step 2:** Create/Review Mission, Vision Values

**Phase 2 – Assessment/Planning**
- **Step 3:** Collect Data
- **Step 4:** Agree on Strategic Choices

**Phase 3 – Implementation/Achievement of Results**
- **Step 5:** Develop Strategic Plan
- **Step 6:** Execute Plan

**Phase 4 – Evaluation**
- **Step 7:** Monitor Success

Although these phases and steps are listed sequentially, they are not necessarily executed that way. Various agencies may be at different points in the process. For instance, priorities may have been set (step 4) due to immediate needs and funding requirements, however, data has not been collected (step 3). In another case, an agency may have collected data (step 3) as part of their Head Start Assessment or Community Action Plan but has not developed a “plan to plan” or reviewed the mission (step 1 and 2). In these cases, agencies should simply complete the prior steps before moving through the remaining steps of the process. The key is to “start from where you are” and fill in the gaps as you go along.

Each step in the process has a deliverable (documents that signal the completion of that step).

**List of Deliverables**

**Step 1** = Plan to Move Forward  
**Step 2** = Mission/Vision/Values Statements  
**Step 3** = Data to Make Decisions  
**Step 4** = Strategic Choices  
**Step 5** = Strategic Plan  
**Step 6** = Change Plan and Annual Operating Plan  
**Step 7** = Monitoring Mechanisms
Each deliverable supports subsequent steps in the process. Steps 1 and 2 support step 3 (Data Collection); steps 3 and 4 support step 5 (Development of the Strategic Plan). Finally, step 5 support steps 6 and 7 (Execution and Monitoring Success). A graphic of the Strategic Planning Framework can be found on the next page.
PHASE 1: PREPARE TO PLAN

Phase 1 has 2 action steps:

- Step 1 – Develop Plan to Plan
- Step 2 – Review/Create Mission, Vision and Values

**Step 1**

**Develop Plan to Plan**

The deliverable for step 1 is a plan to move forward in the strategic planning process. The first task (1.1) is to identify the issues or reasons for strategic planning. The questions that need to be answered during this task are:

- What do we want to accomplish as a result of our strategic planning? What would success look like?
- What choices need to be made?
- When it comes to choices, are there any issues that are non-negotiable?
- How well are we executing our mission?
- Is the agency financially secure? How can we ensure we maintain our long-range financial security? Do we have effective financial management systems in place?
- Do we have the organizational capacity to support our programs and services? What would it take to build our capacity (human resources; leadership; culture; communications; technology; facilities, etc.)
- How effective is the board at executing their fiduciary responsibilities? What needs to change? How can we help them fulfill their governance role?

**Tool #1.1** (Identify Planning Process Issues and Outcomes) can be used to help complete this task.

The purpose of task 1.2 is readiness assessment. In order for strategic planning to reach its goals, the board and senior leaders must be ready and willing participants. Key employees must be free to participate on committees and in data gathering activities. The agency must be willing
to commit the necessary resources and break down barriers that may hinder the planning effort.

**Tool #1.2** (Readiness Assessment) can be used to help complete this task.

Task 1.3 calls for a plan to gather the information needed to support the planning process. Data must be collected from both internal and external stakeholders. Leaders must be clear on what information they need from each stakeholder, how to gather that information, and how best to involve them in the strategic planning process.

**Tool #1.3** (Plan for Gathering Information from Internal and External Stakeholders) can be used to help complete this task.

The final task of step 1 (1.4) is to design the plan to move forward with the strategic planning process. The “plan to plan” should answer questions like:

- Who will make decisions during the strategic planning process? How will the board be involved?
- What other stakeholders should be involved?
- How long should the process be?
- Whether to use an existing group or form a new strategic planning committee?
- Who will lead the process?
- Who will write the plan?

**Tool #1.4** (Design a Plan to Plan) can be used to help complete this task.
Step 2
Review/Create Mission, Vision, Values

The deliverables for step 2 are Mission, Vision, and Values statements. The first task (2.1) is a review of the agency’s mission statement. This task is designed to answer questions like:

- What need or opportunity is our organization here to fill?
- Who are our customers/clients?
- If we are successful, what impact will it have on the community?
- What are the assumptions on which our organization does its work?
- What are our primary services?

**Tool #2.1** (Create a Mission Statement) can be used to help complete this task.

The next task (2.2) involves revisiting or creating a vision statement for the organization. It is an aspirational statement that includes both the internal and external vision for the agency.

**Tool #2.2** (Create a Vision Statement) can be used to help complete this task.

The purpose of task 2.3 is to affirm the organization’s values, beliefs, and guiding principles. It involves identifying the values, beliefs and guiding principles that influence the board and staff. Then, listing the behaviors that they must commit to in order to build the culture needed to execute the strategy.

**Tool #2.3** (Affirming Your Organization’s Values, Beliefs and Guiding Principles) can be used to help complete this task.

The final task (2.4) is to review the mission, vision, values, beliefs and guiding principles with the board.
PHASE 2: ASSESSMENT/PLANNING

Phase 2 has 2 action steps:

- Step 3 – Collect Data
- Step 4 – Agree on Strategic Choices

**Step 3**

**Collect Data**

The deliverable for step 3 is the data that will support the strategic choices that will be made in step 4. The first task (3.1) is to review the previous and current strategies adopted by the organization. Questions like:

- Is the current strategy effective?
- Was the previous strategy effective?
- What parts of the current strategy should be carried over to the future strategy?

**Tool # 3.1** (Review Previous and Current Strategies) can be used to help complete this task.

The purpose of task 3.2 is to review data about the external environment. Most Community Action Agencies have already collected environmental data for other purposes, i.e., their Community Action Plan (CAP) and their Head Start Community Assessment. The same data can be used to support strategic planning.

**Tool #3.2** (Review Data from CAP and Head Start Community Assessment) can be used to help complete this task.

Task 3.3 involves gathering input from key stakeholders, i.e. the board and key staff members. The information is gathered in the form of a SWOT analysis to help leaders understand the internal and external forces that will impact the strategy.
**Tool #3.3** (Stakeholder Feedback of Organization’s SWOT) can be used to help complete this task.

The purpose of task 3.4 is to evaluate the effectiveness of the agency’s current programs. Each program should be evaluated separately by staff member(s) with a comprehensive knowledge of the program’s mission, target audience, metrics, and impact to the community.

**Tool #3.4** (Evaluate Current Programs) can be used to help complete this task.

Task 3.5 is a summary analysis of all of the data collected in this phase of the process. The data can be summarized by category: mission; money; administration; and governance; or by strategic issue.

**Tool #3.5** (Summary of Data and Analysis of Possible Considerations for the Future) can be used to help complete this task.

### Step 4

**Agree on Choices**

The deliverable for step 4 is a list of strategic choices based on the data collected in step 3. The first task (4.2) is to develop a program portfolio. Programs are ranked in four categories:

- High mission impact, low financial viability
- Low mission impact, low financial viability
- High mission impact, high financial viability
- Low mission impact, high financial viability

**Tool #4.1** (Developing a Program Portfolio) can be used to help accomplish this task.
Task 4.2 requires that you summarize future programs and strategies. The following issues are addressed in this task:

- The current program’s level of activity
- The proposed growth strategy
- The program’s projected future level of activity
- The obstacles facing the agency when implementing new strategies
- How to respond to those obstacles

**Tool #4.2 (Summary of Future Program Portfolio and Core Strategies)** can be used to help accomplish this task.

Task 4.3 is a summary of administrative, financial and governance priorities. Here, overall goals and long term objectives regarding plan support will be listed.

**Tool #4.3 (Summary of Administrative, Financial, and Governance Priorities)** can be used to help accomplish this task.

**PHASE 3: IMPLEMENTATION/ACHIEVEMENT OF RESULTS**

Phase 3 has 2 action steps:

- Step 5 – Develop Strategic Plan
- Step 6 – Execute Plan

**Step 5**

**Develop Strategic Plan**

The deliverable for step 5 is the Strategic Plan. It is the culmination of step 3 (data collection) and step 4 (strategic choices). However, before the strategic plan is written, leaders must create a long-range financial plan (task 5.1). This entails using the data from tool #4.2 (Summary of Future Program Portfolio and Core Strategies) and estimating the direct costs to operate at the desired scope and scale.
**Tool # 5.1** (Long-Range Financial Projections) can be used to help complete this task.

Writing the strategic plan is task 5.2. A sample table of contents for the plan may include:

- An introduction
- Mission, vision and values
- History of the agency
- Summary of core strategies
- Program goals and objectives
- Financial, administrative, and governance goals and objectives
- Appendices (as appropriate)

**Tool #5.2** (Developing a Strategic Plan) can be used to help complete this task.

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**Step 6**

**Execute Plan**

The deliverable for step 6 is a change management plan. Task 6.1 is designed to develop the transition plan to effectively manage the change from the old strategic plan to the new one. It includes:

- Communicate the vision for the new strategy
- Develop the skills the staff needs to execute
- Provide the appropriate level of incentives and enthusiasm for the plan
- Provide the resources needed to execute
- Create an action plan to move forward

**Tool # 6.1** (Managing the Transition) can be used to help accomplish this task.
In task 6.2 leaders will create an Annual Operating Plan (AOP) with a supporting budget. The AOP is an important step to ensure the strategy is executed. It is a detailed plan that includes objectives, action steps, timelines, and responsibilities.

**Tool # 6.2 (Annual Operating Plan) can be used to help complete this task.**

**PHASE 4: EVALUATION**

Phase 4 has 1 action step:

- Step 7 – Monitor Success

**Step 7**

**Monitor Success**

The deliverable for step 7 is monitoring mechanisms to increase the likelihood that your strategic plan is a success. Task 7.1 is an evaluation of the strategic planning process itself. The purpose is to uncover any defects in the process and suggest ways to improve it in the future.

**Tool # 7.1 (Evaluate the Strategic Planning Process) can be used to help accomplish this task.**

The final task (7.2) requires monitoring and updating the strategic plan annually. An annual review of the plan includes:

- Accomplishments to date
- Actions that have not been accomplished
- An assessment to determine if the agency is still on track to complete the strategic plan
- An update on the external environment
**Tool # 7.2** (Monitor and Update Strategic Plan) can be used to help accomplish this task.

**TIME REQUIRED TO DO STRATEGIC PLANNING**

The amount of time needed for strategic planning will vary from one organization to the next. It depends on a number of factors:

- How committed to the mission the board and staff are
- The amount of data that needs to be gathered
- The level of agreement on priorities
- The level of trust and involvement of stakeholders
- The size of the organization
- The availability of resources

The strategic plan can be written in a matter of a few hours at no cost or over the course of a year at a cost of thousands of dollars. It really depends on what’s going on in the organization and the resources available to planners. It is the reason why the first phase of the strategic planning process is “Prepare to Plan.” If you execute that phase effectively it will help determine appropriate time requirements.

**USING A CONSULTANT**

This toolkit is designed for staff members who have some skill or experience in strategic planning. However, there are a number of CAAs whose staff members may not have those skills. In which case, they may consider hiring a consultant to assist them in their planning activities.

Given that strategic planning is so important to the survival or the organization, any consultant that is considered should possess certain competencies.

- They should be a skilled group facilitator
- They should also have experience in both facilitating and executing strategic plans
- They should have expert knowledge of how organizations work
- They should be an effective change agent
Organizations must be careful to check both experience and education levels of any consultant to ensure they have both the practical and theoretical experience to be successful.
STRATEGIC PLANNING TOOLS

1.1 Identify Planning Process Issues and Outcomes
1.2 Readiness Assessment
1.3 Plan for Gathering Information from Internal and External Stakeholders
1.4 Design a Plan to Plan
2.1 Create a Mission Statement
2.2 Create a Vision Statement
2.3 Affirming Your Organization’s Values, Beliefs and Guiding Principles
3.1 Review Previous and Current Strategies
3.2 Review Existing Data
3.3 Staff and Board Perceptions of SWOT
3.4 Evaluate Current Programs
3.5 Summary of Data and Analysis of Possible Considerations for the Future
4.1 Developing a Program Portfolio
4.2 Summary of Future Program Portfolio and Core Strategies
4.3 Summary of Administrative, Financial, and Governance Priorities
5.1 Long-Range Financial Projections
5.2 Developing a Strategic Plan
6.1 Managing the Transition
6.2 Annual Operating Plan
7.1 Evaluate the Strategic Planning Process
7.2 Monitor and Update the Strategic Plan
Tool # 1.1
Identify Planning Process Issues and Outcomes

**Purpose:** To ensure staff and board members agree on the reasons for strategic planning.

**Who Should Participate:** Executive Director; Board President; Key Board and Staff Members with relevant input

What would success look like at the completion of the strategic planning process?

What issues need to be addressed during the process?

- **Mission:** How well are we executing our mission? How can we have a greater impact?

- **Financial:** Are we financially sound? How can we ensure our long term financial stability? Do we have effective financial management systems in place?

- **Administrative Capacity:** Do we have the administrative capacity to support our programs and services? Do we have the right structure; processes; metrics; people; leadership; and culture to support our programs and services in the future?

- **Governance:** How effective is our board? How can we develop our board now and in the future?
Tool #1.1 Continued

What specific strategic choices need to be made during the process?

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<th>Long-term  (in the form of a question)</th>
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<th>Short-term  (in the form of a question)</th>
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Are there issues that are non-negotiable (not open for discussion)? What are they?

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Tool # 1.2
Readiness Assessment

Purpose: To assess how ready the agency is to undergo a strategic planning process

Who Should Participate: Executive Director; Board President; Key Board and Staff Members with relevant input

<table>
<thead>
<tr>
<th>Are the following conditions in place for a successful planning process?</th>
<th>Yes</th>
<th>No</th>
<th>Unsure or NA</th>
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<tr>
<td>Commitment, support, and involvement from senior leadership – especially the Executive Director and Board President</td>
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<td>Clarity on roles, expectations, input and who will make decisions in the process</td>
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<td>The ability and willingness to gather the information needed for the SWOT and current programs</td>
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<td>The commitment to assemble a planning committee and the willingness of staff and board members to participate</td>
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<td>An adequate commitment of resources to complete the process</td>
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<td>Both the board and staff understand the strategic planning process</td>
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<td>Senior leaders and the board are willing to consider recommendations made during the process</td>
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<td>There are no high-impact decisions to be made by an external source in the next 6 months</td>
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<td>No merger or other strategic partnerships are underway</td>
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<td>A commitment to allocate sufficient resources to support the implementation of core strategies and programs</td>
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How will we address issues or concerns uncovered by this assessment?
Tool # 1.3
Plan to Gather Information from Internal & External Stakeholders

Purpose: To develop a plan to gather information from key stakeholders and gain buy-in for the strategic planning process

Who Should Participate: Strategic Planning Committee identifies the key stakeholders

<table>
<thead>
<tr>
<th>Internal Stakeholders</th>
<th>Method to Gather Information (interview, survey, etc.)</th>
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<tbody>
<tr>
<td>Name/Group</td>
<td>Information Needed</td>
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<th>External Stakeholders</th>
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Page | 21
Tool #1.3 Continued

Which of the following documents would help provide important background information to help make the right strategic choices?

<table>
<thead>
<tr>
<th>Mission related documents</th>
<th>Administrative documents</th>
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<tbody>
<tr>
<td>□ Program descriptions/workplans</td>
<td>□ Mission, vision, values statements, previous strategic plans, annual plans</td>
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<tr>
<td>□ Needs assessments</td>
<td>□ Program descriptions and workplans</td>
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<tr>
<td>□ Client satisfaction survey results</td>
<td>□ Organization charts</td>
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<td>□ Benchmarking data</td>
<td>□ Newsletters or other internal communications</td>
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<td>□ Personnel policies and performance management documents</td>
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<td>□ Previous organizational effectiveness survey results</td>
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<td>□ Volunteer management documents</td>
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<td>□ IT Plans</td>
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<td></td>
<td>□ Facilities/equipment information</td>
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<th>Finance documents</th>
<th>Governance documents</th>
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<tr>
<td>□ Fund raising materials</td>
<td>□ Board minutes</td>
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<td>□ Fund raising plans</td>
<td>□ Board rosters</td>
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<td>□ Budget reports</td>
<td>□ Committee structures</td>
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<td>□ Audits</td>
<td>□ Board self-evaluations</td>
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<td>□ Financial reports</td>
<td>□ Governance manuals</td>
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<td>□ Finance policies/procedures</td>
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Other documents or information needed:
Tool # 1.4
Design a Plan to Plan

**Purpose:** To develop a plan to move forward with the strategic planning process based on the organization’s previous experience; choices to be made; and current level of activity in the organization

**Who Should Participate:** The Strategic Planning Committee develops the plan and the board approves it

What has worked well in past strategic planning processes?

What has not worked well in past strategic planning processes?

☐ Who will make the strategic decisions in the process?
☐ How much input/feedback should come from the board?
☐ Should external stakeholders be involved?
☐ Should an existing committee be used or should a new strategic planning committee be formed?
☐ If a new committee is used, who should be on it?
☐ Who will lead the process?
☐ Who will be the primary writer of the plan
☐ Should a consultant be used? If so, in what role?
### Planning Committee Membership

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<thead>
<tr>
<th>Name</th>
<th>Key Stakeholder Group Represented</th>
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### Key Milestones

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<th>Action/Deliverable</th>
<th>Person Responsible</th>
<th>Deadline Date</th>
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Tool # 2.1
Create a Mission Statement

**Purpose:** To create a compelling mission statement for the organization. If a mission statement already exists, ensure these 5 components are represented in the current statement.

**Who Should Participate:** A sub-committee of the strategic planning committee should construct the statement with input from the board and key staff members. Final approval rests with the board. If a mission statement already exists, the strategic planning committee reviews the mission statement while the board approves any changes.

**We exist to** (primary purpose of the organization):

**for** (primary clients or customers listed in order of significance):

**in order to** (core programs and service):
**Tool # 2.1 Continued**

**believing that** (critical values):

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**so that** (key outcomes that determine success):

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*Combine these 5 elements into a compelling mission statement.*
Tool # 2.2
Create a Vision Statement

**Purpose:** Create an aspirational vision of the organization

**Who Should Participate:** A sub-committee of the strategic planning committee should construction the statement with input from the board and key staff members. Final approval rests with the board. If a vision statement already exists, the strategic planning committee reviews the statement while the board approves any changes.

**Vision Exercise**

*Its 5 years in the future. The programs and service that your organization provides has changed the community. People who moved out of the community 5 – 10 years ago return and can hardly recognize it. Improvements are everywhere – all due to the efforts of your organization.*

*As a result, a local newspaper has decided to do a feature article on your agency’s success. They are sending over a reporter tomorrow and you’re asked to show her around. What will you tell her was the key to your agency’s success? What programs and services will you show her? What facilities will you take her to? When she talks to others in the organization, what will they say? What will the headline read the next day?*

**Construct a statement based on your compelling vision of the future**
Tool # 3.1
Review Previous and Current Strategies

**Purpose:** Determine what previous strategies have been effective; which must be modified; and which were ineffective

**Who Should Participate:** Strategic Planning Committee with input from the board and key staff members

<table>
<thead>
<tr>
<th>Strategies (previous or current)</th>
<th>Effectiveness (H, M, or L)</th>
<th>Continue (y/n)</th>
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</table>
Tool # 3.2
Review Existing Data

Purpose: Review existing documents containing information about the internal and external environment of the organization that can be used in the strategic planning process

Who Should Participate: Strategic Planning Committee and other key staff members as appropriate

What existing documents contain information that can be used to support strategic planning?

☐ Community Action Plan
☐ Headstart Community Assessment
☐ Employee Survey data
☐ Others: (list below)

Relevant data from the Community Action Plan:
Tool # 3.2 Continued

Relevant data from the Headstart Community Assessment:

Relevant data from the Employee Survey Results:

Relevant data from other sources:
**Tool # 3.3**  
**Staff and Board Perceptions of SWOT**

**Purpose:** Uncover the strengths, weaknesses, opportunities and threats to the organization based on existing data

**Who Should Participate:** Executive Director; Board President; Board Members; and key staff with relevant input

<table>
<thead>
<tr>
<th>Internal Forces</th>
<th>External Forces</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strengths:</td>
<td>Opportunities:</td>
</tr>
<tr>
<td>Weaknesses:</td>
<td>Threats:</td>
</tr>
</tbody>
</table>
Tool # 3.4
Evaluate Current Programs

**Purpose:** To evaluate current programs for efficiency, effectiveness, and financial viability

**Who Should Participate:** Strategic Planning Committee; Program Leads; selected staff

*Note: A separate program evaluation must be completed for each program*

**Program Information**

<table>
<thead>
<tr>
<th>Program or service name:</th>
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</table>

<table>
<thead>
<tr>
<th>Name of person completing the assessment:</th>
<th>Date:</th>
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<table>
<thead>
<tr>
<th>Description of program or service:</th>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Unit of service/number of people served (including demographic information if appropriate):</th>
<th>Total Annual Expenses:</th>
</tr>
</thead>
<tbody>
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<table>
<thead>
<tr>
<th>Total Annual Revenue:</th>
</tr>
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</table>
Impact of Program

What community need does this program fill?

Who is the target audience that the program serves?

What impact does this program currently have based on the need cited above?

☐ High  ☐ Medium  ☐ Low

What are the program outcomes?
Tool # 3.4 Continued

What are the program’s success indicators? (metrics, customer/client feedback; benchmarks)

How should future success be measured?

<table>
<thead>
<tr>
<th>Program Strengths</th>
<th>Program Weaknesses</th>
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</table>
Tool # 3.4 Continued

Program Improvement

What are the current trends (political, social, technical, demographic, etc.) that can potentially effect the program?

How can cost effectiveness be improved?

How can we improve program effectiveness?
Tool #3.4 Continued

How can we better market the program?

Is there potential for collaboration or outside partnerships? If so, with whom?

<table>
<thead>
<tr>
<th>Partner (s)</th>
<th>Role in Partnership</th>
</tr>
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</table>

Competitive Analysis

How is the program aligned with the mission and vision of the organization?

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</table>
Tool #3.4 Continued

Does the program have:

- A good logistical delivery system? □ Yes □ No
- Large client base? □ Yes □ No
- Community loyalty? □ Yes □ No
- Past success securing funding? □ Yes □ No
- Strong potential to raise funds? □ Yes □ No
- Superior service delivery record? □ Yes □ No
- Large market share? □ Yes □ No
- Better service than competition? □ Yes □ No
- Superior management? □ Yes □ No
- Better cost delivery? □ Yes □ No

Who is providing similar services or programs in the same demographic area?

What is this program’s competitive advantage?
Tool # 3.5
Summary Data and Analysis of Possible Considerations for the Future

**Purpose:** Summarize the data that has been collected during the strategic planning process

**Who Should Participate:** Strategic Planning Committee; selected staff

**Mission**

What are the current and future trends of the community?

How is the organization positioned to address those trends now and in the future?
Tool 3.5 Continued

Who else is providing similar products/services? What is our competitive advantage over them?

<table>
<thead>
<tr>
<th>Competitor</th>
<th>Our Competitive Advantage</th>
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<tbody>
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</table>

What should we stop doing; what should we start doing; what should we continue doing (that’s working well); and what should we modify?

<table>
<thead>
<tr>
<th>Stop</th>
<th>Start</th>
<th>Continue</th>
<th>Modify</th>
</tr>
</thead>
<tbody>
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Finance

Are operations financially viable? If not, what are our issues?

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</table>
Tool #3.5 Continued

How will we ensure the long-term financial stability of the organization?

Are there effective financial management systems in place?

☐ Yes  ☐ No

If no, what do we need to do to ensure financial monitoring and accountability?
### Tool #3.5 Continued

<table>
<thead>
<tr>
<th>Financial Strengths?</th>
<th>Financial Opportunities:</th>
</tr>
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<tbody>
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<table>
<thead>
<tr>
<th>Financial Weaknesses:</th>
<th>Financial Threats:</th>
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</table>

What are the emerging priorities that could affect financial capacity?

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</table>
**Administrative Capacity**

<table>
<thead>
<tr>
<th>Administrative Strengths:</th>
<th>Administrative Weaknesses:</th>
</tr>
</thead>
</table>

Do we have the administrative capacity to support our programs and services?

☐ Yes  ☐ No

**Governance**

<table>
<thead>
<tr>
<th>Board Strengths:</th>
<th>Board Weaknesses:</th>
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</table>
How might the board’s composition, responsibilities, and processes need to change to support the long-term goals and objectives or the organization?

Composition Changes:

Responsibility Changes:

Process Changes:

Other changes or development needs:
Tool # 4.1
Developing a Program Portfolio

**Purpose:** Identify high impact and financially viable programs that should be part of the organization’s services

**Who Should Participate:** Strategic Planning Committee; selected staff

<table>
<thead>
<tr>
<th>High Mission Impact</th>
<th>High Mission Impact</th>
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<tbody>
<tr>
<td>Low Financial Viability</td>
<td>High Financial Viability</td>
</tr>
<tr>
<td><em>(Keep but contain costs)</em></td>
<td><em>(Invest in continued growth)</em></td>
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</table>

<table>
<thead>
<tr>
<th>Low Mission Impact</th>
<th>Low Mission Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low Financial Viability</td>
<td>High Financial Viability</td>
</tr>
<tr>
<td><em>(Discontinue)</em></td>
<td><em>(Improve Impact)</em></td>
</tr>
</tbody>
</table>
Tool # 4.2
Summary of Future Program Portfolio and Core Strategies

**Purpose:** Develop a detailed list of core programs and strategies moving forward

**Who Should Participate:** Strategic Planning Committee; selected staff

### Programs

<table>
<thead>
<tr>
<th>Program/Service</th>
<th>Current Level of Activity (existing programs only)</th>
<th>Proposed Growth Strategy (expand; maintain; decrease; eliminate; modify, etc.)</th>
<th>Projected Level of Activity</th>
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</table>

### Core Future Strategies

<table>
<thead>
<tr>
<th>Proposed Strategy</th>
<th>Assumptions/facts that support proposed strategy</th>
<th>Obstacles</th>
<th>Response to Obstacles</th>
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</thead>
<tbody>
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</table>
Tool # 4.3
Summary of Administrative Financial, and Governance Priorities

**Purpose:** Summarize the administrative, financial, and governance short and long-term goals and objectives that should be included in the strategic plan.

**Who Should Participate:** Strategic Planning Committee; Executive Director; Board President; selected staff members

<table>
<thead>
<tr>
<th>Administrative Functions</th>
<th>Goal(s)</th>
<th>Long-Term Objective(s)</th>
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<tr>
<th>Financial Functions</th>
<th>Goal(s)</th>
<th>Long-Term Objective(s)</th>
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<tr>
<th>Governance Functions</th>
<th>Goal(s)</th>
<th>Long-Term Objective(s)</th>
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</table>
Tool # 5.1
Long-Range Financial Projections

**Purpose:** Estimate the direct and indirect costs to operate programs at the desired scope and scale

**Who Should Participate:** Strategic Planning Committee; other selected staff (which may include staff from the finance function)

### Estimated Future Costs

<table>
<thead>
<tr>
<th>Estimated Costs</th>
<th>Program A</th>
<th>Program B</th>
<th>Program C</th>
<th>Program D</th>
</tr>
</thead>
<tbody>
<tr>
<td>FTEs</td>
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<tr>
<td>Salaries &amp; Benefits</td>
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<tr>
<td>Logistics</td>
<td></td>
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<tr>
<td>Facilities</td>
<td></td>
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<tr>
<td>Other Costs (<em>specify)</em></td>
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</table>

**Total Direct Costs:**

### Indirect Costs

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<tr>
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<th>Program A</th>
<th>Program B</th>
<th>Program C</th>
<th>Program D</th>
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</table>

**Total Indirect Costs:**

### Future Revenue

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<tr>
<th></th>
<th>Program A</th>
<th>Program B</th>
<th>Program C</th>
<th>Program D</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grants</td>
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<tr>
<td>Corporate Contributions</td>
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<tr>
<td>Individual Contributions</td>
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<tr>
<td>Special Events</td>
<td></td>
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<tr>
<td>Bequests</td>
<td></td>
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<tr>
<td>Gifts</td>
<td></td>
<td></td>
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<tr>
<td>Other Sources of Revenue (<em>specify</em>)</td>
<td></td>
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</tbody>
</table>

**Total Revenue:**

Page | 47
Tool # 5.2
Developing a Strategic Plan

**Purpose:** Provide the format and minimum contents of a strategic plan

**Who Should Participate:** Strategic Planning Committee or a sub-committee tasked with writing the strategic plan

<table>
<thead>
<tr>
<th>Section</th>
<th>Purpose of Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Introduction</td>
<td>A brief overview of the process; summary of the plan; and vision of the future</td>
</tr>
<tr>
<td>2. Mission Statement</td>
<td>The reason the organization exists; its clients; and how it lives up to the mission</td>
</tr>
<tr>
<td>3. Vision</td>
<td>A compelling view of what the organization will accomplish in the future; not just a vision statement</td>
</tr>
<tr>
<td>4. Statement of values, beliefs, and guiding principles</td>
<td>The assumption under which the agency operates</td>
</tr>
<tr>
<td>5. History of the organization; who we serve; and priority clients for the future</td>
<td>The context in which the organization operates; details of who they serve; and who may be future clients</td>
</tr>
<tr>
<td>6. Context of decisions</td>
<td>A summary of the SWOT analysis</td>
</tr>
<tr>
<td>7. Competitive Services</td>
<td>Details of organizations who serve the same clients as well as your agency’s competitive advantage</td>
</tr>
<tr>
<td>8. Summary of Core Strategies</td>
<td>Summarizes the primary focus of the agency and its resources for the next 3 – 5 years</td>
</tr>
<tr>
<td>9. Detailed core strategies</td>
<td>Detailed description of each of the core strategies agreed upon during the strategic planning process; why those strategies were chosen; specific goals and objectives</td>
</tr>
<tr>
<td>10. Appendix</td>
<td>May include: List of stakeholders who contributed to the process; demographic data; needs assessments, etc.</td>
</tr>
</tbody>
</table>
Tool # 6.1
Managing the Transition

Purpose: Develop a Change Management Plan to help manage the transition from the old strategic plan to the new one

Who Should Participate: Strategic Planning Committee; selected staff

Overview

In order to manage the transition to the new strategic plan effectively, leaders must understand the 5 most common reasons staff may resist the new plan. They include:

- They don’t understand the new direction of the agency
- They don’t have the skills needed to execute the new strategic plan
- They feel they don’t have a stake in the future so there is no incentive
- They don’t have the resources
- They don’t have a detail action plan – what comes next

Instructions for Using Transition Management Checklist

Following is a checklist of activities focused on providing direction; skills; incentive; resource; and action plan for staff to quickly and effectively transition to the new strategic plan. It may not be necessary to adopt all of these activities nor is this checklist comprehensive. The intent is to structure your thinking about how to help staff members overcome the anxiety that a change like this can create.
Tool 6.1 Continued

Transition Management Checklist

Direction

Have you:
- Articulated the compelling reason for the transition
- Established key roles and who is responsible
- If necessary, created temporary roles, reporting relationships, and structures necessary to get through the transition
- Communicated the desired end state of the agency
- Given people accurate information – again and again
- Reviewed the agency’s structure and how it must change

Skills

Have you:
- Ensured staff members involved in the new direction have the appropriate skills
- Scheduled process reviews to promote learning and ensure the strategic plan is on target

Incentive

Have you:
- Studied the transition carefully and identified who is likely to lose what
- Found ways to compensate people for their loses
- Defined clearly what is over and what isn’t
- Identified potential roadblocks to implementing the strategic plan
- Identified and gave everyone a part to play in the transition
- Found ways to reward desired behaviors

Resources:

Have you:
- Clustered other changes in the organization together to make the transition more meaningful
- Ensured appropriate resources were in place to get the job done
Tool 6.1 Continued

Action Planning:

Have you:
- Included mechanism for feedback
- Established reasonable goals and objectives for the desired transition
- Built in quick successes to build staff member’s confidence
- Built in ways to celebrate key milestones
Tool # 6.2
Developing an Annual Operating Plan

**Purpose:** Convert the strategic plan into a first year detailed plan to ensure coordination and translation into specific goals and objectives

**Who Should Participate:** Strategic Planning Committee; Executive Director; selected staff responsible for implementation of goals and objectives

There are three important characteristics of an effective operating plan:

- Enough detail to guide the work, but not so specific that it becomes overwhelming or constrains flexibility
- A format that allows periodic reporting and progress toward goals and objectives
- A structure that clearly shows alignment with the strategic plan

Below is a sample Annual Operating Plan.

**Annual Operating Plan for XYZ Program**

**Overall agency goal:** *Enter the appropriate goal(s) from the strategic plan*

**Program goal:** *Enter the program goal(s) that aligns with the overall goal of the agency*

<table>
<thead>
<tr>
<th>Task</th>
<th>Measure</th>
<th>Staff</th>
<th>Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enter the tasks required to accomplish the program goal</td>
<td>Enter the measure of success (how will you know when the task is completed correctly)</td>
<td>List specific staff or group responsible for the task</td>
<td>Enter the date the task should be completed</td>
<td>Monitor the status at regular intervals throughout the year and update plan</td>
</tr>
</tbody>
</table>
Tool # 7.1
Evaluate the Strategic Planning Process

**Purpose:** Identify lessons learned during the strategic planning process and how the process can be improved next time

**Who Should Participate:** Strategic Planning Committee; Executive Director; selected Board Members; selected Staff

**Strategic Plan**

*Check all boxes that apply:*

- [ ] Provides guidance for both short-term and long-term priorities
- [ ] Helps the organization allocate resources
- [ ] Is understandable by people who did not participate in the development of the plan
- [ ] Responds to the internal and external environments as defined by the data
- [ ] Was developed from a consensus and commitment-building process
- [ ] Has been formally adopted by the board

Comments or suggestions for future strategic plans

![Comment Box]

**Annual Operating Plan**

- [ ] Has both process and outcome objectives specified
- [ ] Has been developed by staff members who are responsible for the implementation of goals and objectives
Tool # 7.1 Continued

☐ Provides an easy implementation, monitoring, and reference tool
☐ Operationalizes the strategic plan – helps ensure that the strategic plan will be implemented
☐ Has a realistic budget to support the operational plan

Comments or suggestions for future annual operating plan

Planning Process

The planning process met the following criteria:

☐ Was an effective way to surface the needs and interests of both internal and external stakeholders
☐ Allowed sufficient time to reach agreement on strategic choices
☐ Allowed sufficient time to perform SWOT analysis and assess programs
☐ Reached the outcomes identified in phase 1 of the process

Comments or suggestions for future strategic planning process
Tool # 7.2
Monitor and Update the Strategic Plan

**Purpose:** Review the strategic plan, noting both accomplishments and disappointments; assess changes in the environment since the last strategic planning meeting; make necessary changes to the plan

**Who Should Participate:** Executive Director; senior and selected staff

*Note: This tool can be used to update the entire strategic plan or specific strategies or goals.

What goals or objectives have been accomplished?

What goals or objectives have not yet been accomplished?
Tool # 7.2 Continued

Reason why goals and objectives have not been accomplished (*be specific to each that has not been accomplished*).

Are we on track to accomplish all goals and objective?

☐ Yes  ☐ No

How has the environment changed since we last reviewed the plan?

<table>
<thead>
<tr>
<th>Previous Assessment</th>
<th>Current Assessment</th>
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<tbody>
<tr>
<td>Strengths</td>
<td>Strengths</td>
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<tr>
<td>Weaknesses</td>
<td>Weaknesses</td>
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<tr>
<td>Opportunities</td>
<td>Opportunities</td>
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<td>Threats</td>
<td>Threats</td>
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</tbody>
</table>
Tool # 7.2 Continued

Updates needed to plan
REFERENCES


Philip T. Anderson, Ph.D.

BKD Consulting, LLC

Dr. Anderson incorporated BKD Consulting after fifteen years in the field of Organization Development and Change Management. BKD is an abbreviation for Be, Know, Do – a leadership mantra adopted from the U.S. Army where leadership is a way of life. At BKD, we show leaders how to be the change they would like to see in others; transfer skills so they know how to change their organizations; and finally do – take the actions necessary to bring about real change. BKD has helped leaders improve organizations in all sectors of our economy – public, private, for profit, not-for-profit, and the federal government. BKD’s services span the Organization Development and Change Management fields, specializing in:

- Organizational Culture Alignment
- Employee Engagement
- Leadership Development
- Employee Training & Development
- Team Development
- Change Leadership
- Strategic Planning
- Performance Management
- Talent Management/Succession Planning

Prior to founding BKD, Dr. Anderson held a number of senior leadership positions in Organization Development at companies like: Abbott Laboratories – where he was the Global Director of Organization Development; JohnsonDiversey, Inc., (an SC Johnson Family Company) where he was the Global Director of Organization Effectiveness; the National YMCA where he was head of Executive and Board Development; and ManpowerGroup, Inc. where he lead the Change Management efforts for that company’s Business Transformation by integrating a robust change management methodology with the lean sigma process. During his career as an internal consultant, Dr. Anderson was known for producing measurable results in both individual and organizational performance.
Dr. Anderson retired from the United States Army in 1998 after 20 years of active duty service. During his career, he held various positions in the field of Human Resources eventually serving as the Chief Administrator for the Office of the Commander-In-Chief, United States Army, Europe. His career culminated as a Training and Organizational Effectiveness Advisor for the Army Readiness Group at Fort Sheridan, Illinois. In that role, Dr. Anderson was responsible for preparing National Guard and Reserve Forces for deployment to Bosnia-Herzegovina.

While serving in the Army, Dr. Anderson earned a Bachelor’s Degree in Workforce Education & Development from Southern Illinois University. Upon his retirement, he received a Master of Education (Ed.M) degree in Human Resource Development Leadership from the University of Illinois at Urbana. He earned a doctorate (Ph.D.) in Organization Development in 2005 from Benedictine University in Lisle, Illinois.

Dr. Anderson’s work has been published in a number of books and journals. They include:

- International Organization Development (Sorensen & Yaeger, 2004)
- Global & International Organization Development (Sorensen, Head, Yaeger & Cooperrider, 2004)
- Global Organizational Development: Managing Unprecedented Change (Yaeger, Sorensen, & Head, 2006)
- Client/Consultant Collaboration (Buono, 2009)
- Contemporary Trends in Organizational Development & Change (Yaeger & Sorensen, 2009)
- Critical Issues in Organization Development (Johnson, Sorensen & Yaeger, 2013)

As an educator, Dr. Anderson has taught at a number of universities including: Northwestern University in Evanston, Illinois; The Chicago School of Professional Psychology in Chicago; Roosevelt University in Chicago; Colorado Technical University; and Benedictine University in Lisle, Illinois, where he currently serves as an adjunct faculty member in the Management & Organization Behavior Program as well as the Ph.D. Program in Organization Development. His courses include: Strategy,
Structure & Decision Making; Change Management; Organizational Culture; Leadership; Organizational Behavior; Organization Development for HR Professionals; and Organizational Politics. He is a sought after industry expert who has presented his work at places like the Academy of Management; Linkages Annual Organization Development Conference; and the Organization Development Network.

Dr. Anderson resides in Grayslake, Illinois – a northern suburb of Chicago with his wife of 32 years. His son attends Illinois State University in Normal, Illinois, where he majors in Criminal Justice.

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