

# King County Strategic Planning Guidebook

Guidance, Techniques, and Tips for Creating a Strategic Plan

February 2016

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# 1 Executive Summary

*“If you fail to plan, you are planning to fail.”*

*- attributed to Benjamin Franklin*

Strategic planning is a management practice widely used by successful organizations. It improves performance, enables goal achievement, and is used by organizations ranging from small work units to major multinational corporations. Strategic planning helps you figure out where you are today, where you want to be in the future, and what steps are needed to get you there. This guidebook offers guidance, techniques, and tips for creating a strategic plan and provides additional resources that can be called upon for further information.

The guidebook is organized into chapters that correspond to the arrow graphic at the bottom of each page. You can quickly see where you are in the document by noting which arrow is highlighted. The guidebook is best used as an online resource, as there are numerous external links and references throughout. However, it is formatted for printing if that is preferred.

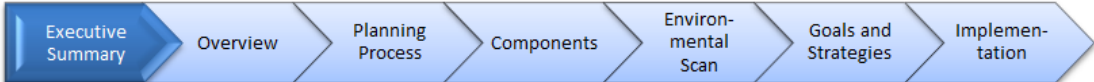
There were many individuals that have reviewed and offered edits, comments, and encouragement throughout the development of this guidebook. In particular, thanks are due to Michael Jacobson and Lisa Voight. Additionally, significant content in this guidebook was originally created by the consulting firm O’Brien & Company, notably Andrea Lewis and Justus Stewart, and I would like to acknowledge their contributions and perseverance in this endeavor.

If you have any suggestions for improving the content of this guidebook, please let me know.

I hope you are able to use this resource and I wish you success on achieving your strategic goals!

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## 2 Overview

What is a Strategic Plan? This section gives a brief overview of the key principles involved and how to use this guidebook.

### 2.1 Introduction

The *King County Strategic Plan* established this vision:

*King County: a diverse and dynamic community with a healthy economy and environment where all people, businesses, and organizations have the opportunity to thrive.*

How is such a vision developed and how will it be achieved? What are the steps along the path to this destination—a community where everyone can thrive? What do we need to do bring about *transformational change* in the way we do our work and how do we solve complex problems? What tools and practices are available?

This document is intended to help answer those questions. It houses King County’s best practices, techniques, resources, and recommendations to conduct strategic planning.

*“You can’t solve problems with the same thinking that created those problems.”*  
– Albert Einstein

Strategic Planning is a “deliberative, disciplined effort to produce fundamental decisions and actions that shape and guide what an organization (or other entity) is, what it does, and why it does it.” (Bryson, 2011) Strategic Planning helps an organization determine where they are now, where they would like to be some time in the future, and how to get there. Usually, strategic planning is conducted to develop long-range goals and strategies, for example 5 – 10 years in the future.

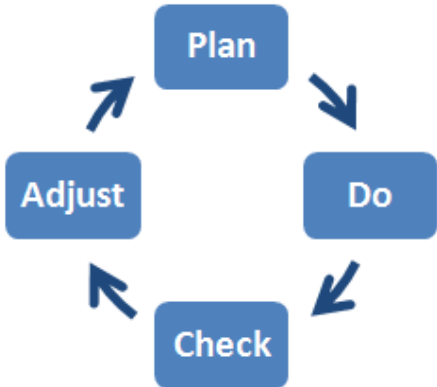
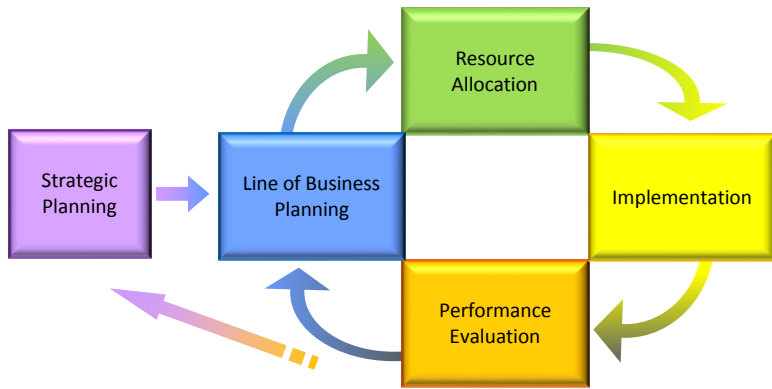


Figure 2-1 Plan-Do-Check-Adjust cycle

### 2.2 Context

Planning is one component of a larger Plan-Do-Check-Adjust (PDCA) cycle, which is an iterative four-step performance management method used in the continuous improvement of processes and products. The continuous cycle emphasizes that after the plan is completed and implemented, the original plan will likely need to be modified based on what is happening. (See figure 2-1)



Strategic Planning is specifically identified as a distinct component in the King County Management Model, which itself is a form of a PDCA continuous improvement cycle.

Figure 2-2 King County Management Model

### 2.3 The ABCs of Strategic Planning

John Bryson summarizes what strategic planning is about in Figure 2-3 (Bryson, 2011). *Circle A* represents where your organization is today, *Circle B* depicts where the organization wants to get, and *Circle C* is figuring out how to get there. Leaders, managers, staff, and stakeholders of the organization participate in developing *A*, *B*, and *C* as they formulate, resolve, and clarify their strategic plan. This guidebook will provide many details and options that can be used to help plan and get you from *A* to *B* using *C*.

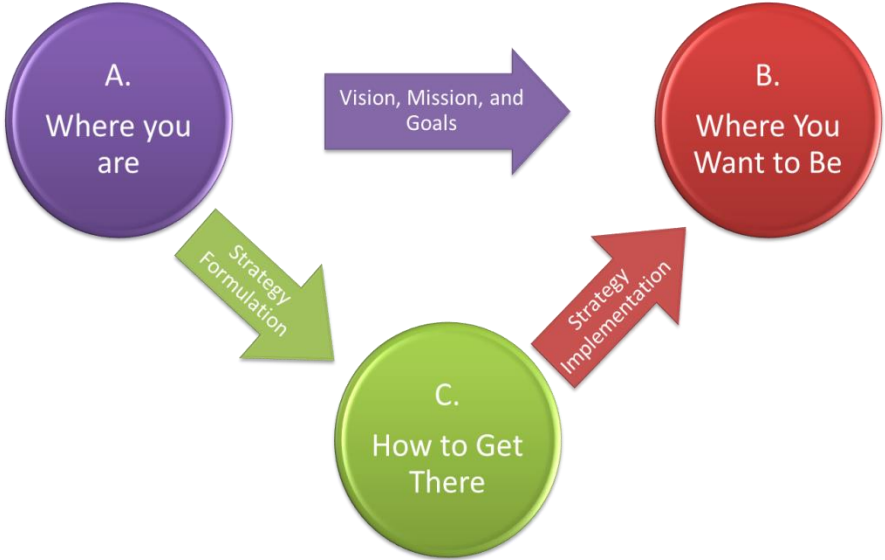


Figure 2-3 Bryson's ABCs of Strategic Planning

## 2.4 Levels of Strategic Planning

King County conducts strategic planning at many different levels:

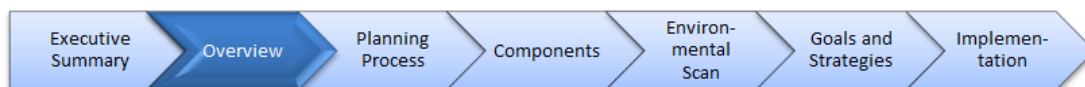
- **County-wide strategic planning** – The King County Strategic Plan (KCSP) is a key component of the King County Management Model. It embodies the priorities of the residents of King County and the values of the elected officials in the King County government. More information about the KCSP can be found at the website: <http://www.kingcounty.gov/exec/PSB/CountyStratPlan.aspx>.
- **Cross functional strategic planning** – Conducted by a coordinated team made of multiple departments or agencies within King County or with outside partners to solve complex challenges. These may be designated as “Strategic Innovation Priorities” or SIPs. SIP planning uses the same tools and techniques provided in this guide. For more information about SIPs, please see [Appendix A - Strategic Innovation Priorities](#)
- **Line of Business planning** – These significant planning efforts that occur within a specific Line of Business (LoB) are standardized and specifically formatted strategic plans. They are based on a ten-year future forecast of revenue and capacity and are designed to identify problems, analyze alternatives, and develop solutions that improve the delivery of county services and products. The Office of Performance, Strategy, and Budget supports the LoB planning process. More information about the process can be found on the King County internal SharePoint site: [www.tinyurl.com/kclob](http://www.tinyurl.com/kclob)
- **Other strategic planning efforts** – Various county organizations – agencies, departments, divisions, and work units - may use a strategic planning process to determine their current environment, create shared goals for the future, generate strategies to help close the gaps, and develop an implementation plan to manage the process and ensure success. They are usually found on the web pages of the agencies or departments.

## 2.5 How to Use this Guide

This guide is meant to provide an overview of strategic planning and some common tips, tools, and techniques for developing and implementing a strategic plan. If you are the sponsor of a strategic plan, a project manager tasked to lead the planning process, or a member of a team that is conducting strategic planning, you should review and use those parts that you find helpful. There are additional references cited in this guide book that provide more in-depth material and background on various aspects of the strategic planning process if you need to delve into the process more thoroughly.

This guide is a companion to the course, “Introduction to Strategic Planning” taught by staff from the Office of Performance, Strategy, and Budget. The course is offered quarterly through [King County Learning and Development](#) and is free for county employees. It is also offered for County Partners through the [Training and Development Institute](#).

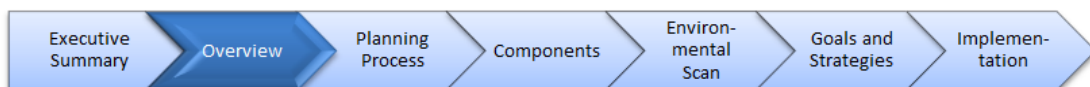
This guide does *not* attempt to provide a prescriptive pathway for “how to create the perfect strategic plan”. Each strategic plan will have a different set of challenges and opportunities, and each team will bring a different set of perspectives, expertise, and familiarity with strategic planning to the process. Leverage what your leadership, team and support system bring to the table, and look to this guide to accelerate and improve the process.



## 2.6 Key resources

There are several resources and tools that compliment this guidance, and may prove useful in developing your strategic plan. These include:

- The current version of the [King County Strategic Plan](#), which provides the high level vision, mission, goals and objectives for the County government and its agencies.
- [King County's Equity and Social Justice Initiative \(ESJ\)](#) is referenced throughout the guide. The principles underpinning this initiative are of utmost importance for strategic planning, as are the tools and resources that have been developed to support active implementation and consideration of equity and social justice issues in King County decision making.
- Various tools and resources are available at the [ESJ Tools and Resources](#) section of the ESJ website that will help assess the ESJ impact on the communities we serve. The Community Engagement toolkit is very important to consider when doing public engagement work as part of a strategic plan.
- Other strategic planning references, resources, and templates are cited throughout this guidebook and are included in [Appendix B - Resources](#).



## 3 Strategic Planning Process

This chapter will provide some tips, techniques, and best practices for developing a strategic plan. Although each strategic planning process will be different, they should be modeled on proven techniques and methods. Some of the key steps of a strategic planning process include:

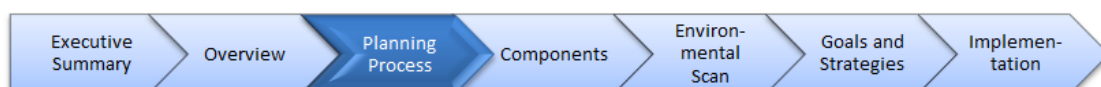
- Drafting a Charter
- Planning team setup and management
- An environmental scan, including stakeholder and customer outreach and engagement
- Analysis of current conditions, ESJ impacts, and best practices
- Identifying and prioritizing outcomes, goals, measures, and strategies
- Plan development
- Plan approval and communication

### 3.1 Strategic Plan Charters

A *strategic planning process* is a temporary endeavor (it has a start and end date) that is undertaken to create a unique result – an organizational strategic plan or one that will address and solve a specific problem area. This means that the strategic planning process is a *project*. And well managed projects require a plan. They should also have a charter that is approved by the sponsor as part the early phases of the strategic planning process. A charter is a formal document that gives authorization for the strategic planning process and outlines major components of the work, including appointing a strategic plan sponsor and a project manager to manage the work. A “Tip Sheet” and an example of a strategic plan charter are found in [Appendix B](#).

### 3.2 Planning Team Setup and Management

Success often hinges on the people behind the process. A successful strategic planning process will require the engagement and participation of a great team. This section provides guidance and resources for building that great team, including key considerations for team structure and team management.



### 3.2.1 Team Structure

Consider the following roles in developing your team, which may need to be adapted to meet your needs.

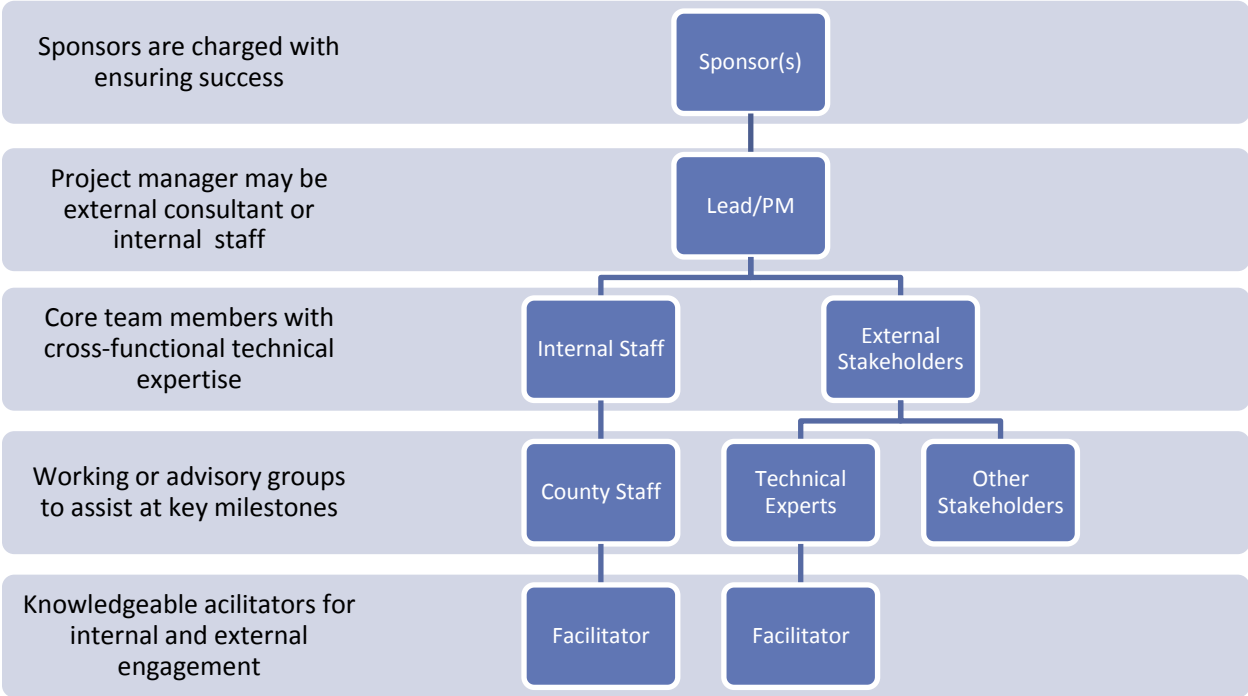


Figure 3-1 Strategic Plan Team Structure Example

Every strategic plan is different, and so there is no required ‘template’ for setting up the best team. However, there are a number of key questions to consider during the team building process. In Appendix B, we’ve included a Checklist with some of the Key Considerations when choosing the Project Manager and the Core Team members.

As with each step in the process, ensuring alignment with the [Equity and Social Justice \(ESJ\) Initiative](#) should be considered when establishing a team, and particularly when considering how various stakeholder groups are involved in the planning process.

### 3.2.2 Responsibilities

Everyone involved with the Strategic Planning process has unique roles and responsibilities. It is vital that these responsibilities be understood and that people are accountable to fulfilling their obligations. In [Appendix B](#), you will find a Tip Sheet with some guidance for the various members of the planning process team.

### 3.2.3 Team Management

After decisions are made about team membership, it will require active management to keep on track, especially within the more complex scope of strategic planning. Clear communication and well-defined expectations are crucial to success. Understanding and agreeing ahead of time what ground rules the team will follow and how communications will be handled critical to success. These considerations

should factor into what kinds of communications methodologies and protocols are established for the team. You may wish to consider developing a Responsibility Assignment Matrix to help guide communication protocols. A widely used model is the RACI matrix (Responsible, Accountable, Consulted, and Informed) which is described at [this link](#). A template of a RACI matrix can be found in [Appendix B](#).

### 3.3 Getting Started: “Planning to Plan”

The development of a strategic plan is a complex undertaking. Like any complex project, advance planning will offer a firm first foothold to success. This section addresses some foundational elements that strategic planning teams may find useful in planning and managing their work.

#### 3.3.1 Project Management

Because the development of a strategic plan is a temporary endeavor to create a unique product, it is by definition a project. As part of the planning phase, the strategic plan lead should address several fundamental elements of project management to help the team achieve their objectives, such as scope definition and management, communication management, change management, schedule, etc. A basic knowledge and use of project management fundamentals is critical to the success of the strategic planning process. This can be gained through on-line or class room instruction or experience working on similar large-scale projects. A Tip Sheet with some project management considerations when conducting a strategic planning process is included in [Appendix B](#).

#### 3.3.2 Process Design

The strategic planning process defines the strategies the strategic plan team will use and how they will implement them to get to the final objective of developing a strategic plan. Designing and planning that process takes time, resources and the right set of skills, and may be an iterative process. An advisory group or “Design Team” can be established to provide feedback to the core team on the design of the strategic planning process. Ideally, this group would have a sound understanding of the organization or the issue area itself, along with strategic and organizational planning skills. Because the process itself may evolve over time, the group should be engaged throughout the strategic planning process so that they can proactively look ahead to where the planned process may need to evolve.

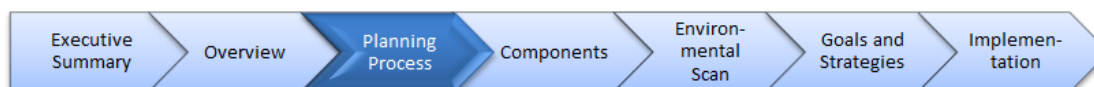
#### 3.3.3 Establish guiding principles for the process

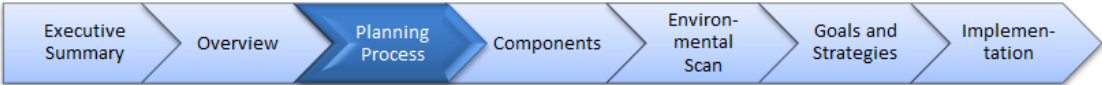
Similar to how setting ground rules early on will improve and enhance team performance, setting guiding principles for the work at hand will help keep the group focused on what matters and is meaningful, both in terms of process and the resulting product. Guiding principles can be established for the entire body of work to be performed (and in some cases included in the development of ground rules), or be developed for discrete portions of the work.

For example, in the Homeless Youth and Young Adult Initiative, guiding principles were set during the development of the initiative’s logic model, as a calibration tool for the work being done to guide the development of the model, but also as a reference for the work that would follow.

### 3.4 Developing the Plan

If you have been successful in establishing a good planning team and have established a good strategic planning process, you are well on the way to developing the strategic plan. The next sections discuss what components are typically found in a strategic plan and how they are developed.







## 4 Components of a Strategic Plan

A good strategic plan will result from developing and carrying out a good planning process and will also provide a solid foundation for implementing that plan. This section focuses primarily on the kind of content and information that would typically be included in a strategic plan. There is no specified template that must be used – it will be up to the planning team to create a plan will get through the approval process and ultimately be useful as the plans recommendations are implemented.

### 4.1 Current and Historical Context

*Answers the question: “What are the issues and problems faced, and why does it matter?”*

Evaluate and summarize existing King County services and best practices for delivering the service being analyzed. Following the planning process, you should be able to articulate the current state of the core issue, and identify not only *symptoms* of the issue but *root causes*. Summarize past efforts (if they exist), how they contribute to the solution and where they may not be adequate.

**Opportunity for Transformative Change**

Identify the leverage points identified through the planning process to produce transformative change, and the *urgency* surrounding the opportunity, in other words, why now as well as why we can’t wait.

**\*\*Tip\*\***

- ❖ Good data is important and can go a long way in presenting why an issue is important, but stories can make that data go even further. Tell a real story to show what the issue at hand really means to people in our region. Stories about us, our place, and our culture will resonate more than walls of data and numbers, especially for issues that have future impacts that may seem too far off to really think about, or too big to tackle.

### 4.2 Strategic Plan Development Process

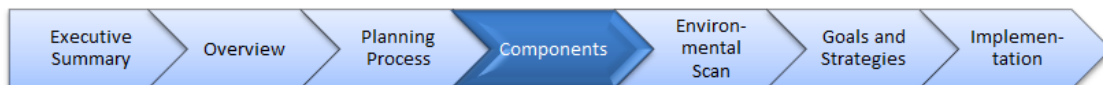
*Answers the question: “How was this plan developed?”*

**Background**

Describe the work that led up to the designation as a strategic plan. This background is important to show both the support and buy-in of leadership, the community, ESJ impacted groups, and other key stakeholders to the planning process and plan itself.

**Planning Process**

Provide an overview of the methodology and approach behind the creation of the strategic plan. Transparency is critical for garnering support once the plan is launched. It will also help maintain the plan as a living document. The history behind the plan (think ‘who, what, why, and how’) will help those charged with implementation who may need to revisit the process to update and take the plan even further.



### 4.3 Mission Statement

*Answers the question: “What does our organization do?”*

If you are developing a strategic plan to help guide your organization, it will usually include the mission statement for the organization. A mission statement defines who you are, your products and services, your customers and your overall strengths. Good mission statements are straightforward and meant to be enduring. Everyone in the organization should understand the mission, and know what part they play in accomplishing the mission.

Mission statements assist with decision making in the organization. It defines what the organization will do and what do – the scope of their business model.

Mission statements should contain two elements (Allison & Kaye, 2005):

- Business – Describes what the organization does
  - Primary methods (programs/services) used by the organization to achieve its purpose
  - Frequently includes a description of the customer
- Purpose – Describes the ultimate result the organization is trying to achieve
  - Answers the question “Why does the organization exist?”

### 4.4 Vision and Desired Outcomes

*Answers the question: “What are we trying to achieve with this strategic plan?”*

**\*\*Tip\*\***

- ❖ The vision should to be an integral and an authentic product of the planning process. While research of how similar issues were resolved in other parts of the country offer *insight* to what could be, rarely will they be so fully replicable that they can become *your* vision.
- ❖ Carry any real life stories from the problem statement through to show how *this vision* will impact that story.

**Vision**

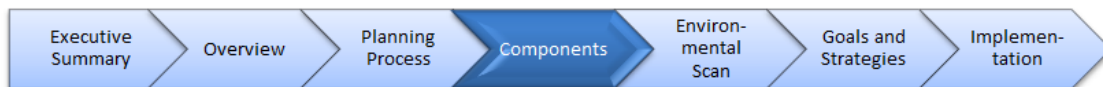
A brief description of desired future state. In short, ‘what could be’? The vision is used as a beacon, and all efforts in the plan should support attaining the vision. The vision should be clear and compelling, creating a common understanding of what the plan is working towards and why that vision is worth the effort.

**Goals**

Outcome-oriented goals describe a desired future condition that contributes to the shaping of the overarching vision. They may represent key milestones along the way to attaining the full vision.

**Guiding Principles**

Also known as “values,” Guiding Principles describe what an organization is willing, and not willing, to do in support of its customers. They identify how the organization carries out their mission while they are working towards their vision. Framing the plan with the guiding principles helps to introduce the suite of strategies, and keep the intent of each present.



**Objectives**

Objectives are the set of measureable outcomes that represent progress towards the goal – and ultimately, they define what success looks like. Objectives help substantiate progress towards the goals, and are more specific and focused in nature. Multiple objectives may be developed for a goal, and objectives can be supportive of multiple goals. They are most effective when they follow the “SMART” guidelines, meaning objectives should be:



Figure 4-1 "SMART" Objectives

**4.5 Equity and Social Justice (ESJ) Alignment**

*Answers the question: “How will implementing this strategic plan improve equity in King County?”*

The county’s Fair and Just ordinance is incorporated into all of our work at King County. It is imperative that strategic plans specifically consider and include strategies which will improve the equitable outcomes for all those in living the communities we serve. A further explanation of the how to review ESJ impacts and gather important stakeholder information can be found in [Section 5.4](#).

**4.6 Measuring Success**

*Answers the question: “How will we determine whether our efforts are succeeding?”*

**Measures of Success**

The plan needs to define what success looks like, and what those critical success factors are, to help calibrate the

**\*\*Tip\*\***

- ❖ As you develop and consider what measures to use, try to keep it to a manageable and explainable set. Too many measures can dilute the message on what actions should be prioritized.

implementation team towards what’s really important and what matters.

**Benchmarking**

Benchmarks are established performance thresholds against which progress can be evaluated. Benchmarks typically represent best practices from a comparable scenario (whether that be a comparable county, municipality, or even industry).

*“However beautiful the strategy, you should occasionally look at the results.”  
– Winston Churchill*

## 4.7 Strategies that achieve the outcomes

*Answers the question: “What are we planning to do to achieve the vision?”*

**Strategies**

A strategic plan will typically have several strategies that direct the work of achieving strategic plan goals and overall vision. Individually, strategies are a way to group and direct discrete actions. Together, they work towards achieving all aspects of that vision.

Strategies should maximize the strengths and opportunities, and minimize the weaknesses and threats identified during the planning process.

Examples of strategic groupings could include:

- Leverage existing efforts
- Create (or avoid) system interventions or disruptions
- Build or redefine relationships and partnerships
- Positioning or repositioning of an organization’s role
- Changing or restructuring organizational or operational efforts or culture
- Building internal or external capacity around the strategic plan

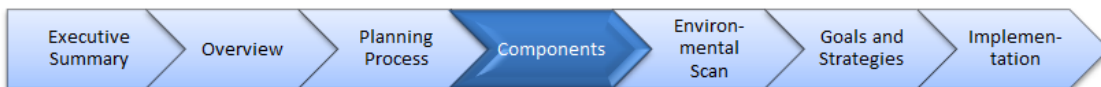
**Actions**

Actions are the activities or interventions needed to achieve objectives and outcomes, ultimately working towards achieving the goals and vision. Actions are typically organized or grouped within the set of strategies outlined, and are more detailed in nature. Actions are the level where identifying necessary resources and scheduling will likely be the most accurate.

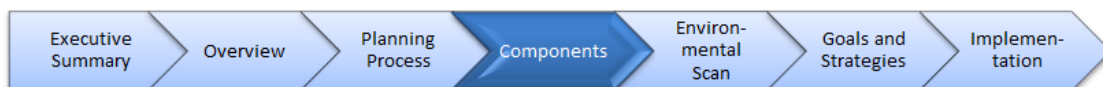
*“If you are planning for one year, grow rice. If you are planning for 20 years grow trees. If you are planning for centuries, grow [people].”  
– Chinese Proverb*

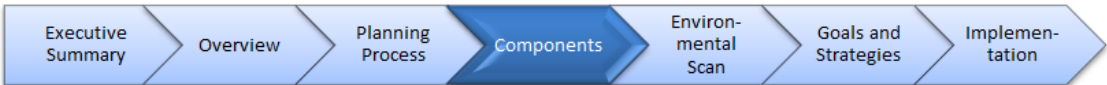
## 4.8 Implementation and Action Plans

*Answers the question: “How are we going to get this done?”*



The purpose of strategic planning is not just to produce a strategic plan. However, many well-intentioned and noteworthy strategic planning efforts have resulted in an impressive plan that ends up sitting on the shelf gathering dust, while the organization fails to implement any of the recommended changes or achieve their goals. To be successful requires a broad implementation plan and a more detailed action plan that delineates who is responsible for doing what and when. During the planning process, the team will need to consider how the plan will be implemented and include this as part of the final document produced. More information about implementation is found in chapter 7 on Implementation.





## 5 Environmental Scan

*“What and Why before How”* is a good shorthand for the Environmental Scan. If your team finds itself immediately marching down the path of proposing solutions for a problem, it’s a good time to step back and make sure you fully understand *what* the problem is – and then fully understand *why* it’s a challenge, *why* current efforts aren’t sufficient, and *why* it could have significant impact if tackled.

The environmental scan is the crucially important first stage of the process. It allows the team to gather information about the larger context in which the strategic planning process takes place. This should include everything from researching previous similar efforts to cataloguing the team’s expertise and available resources to identifying and confirming stakeholder needs. This is a necessary first step for the team to truly understand and come to agreement on the goals and outcomes of the planning process, and can help illuminate key questions such as who the plan is intended to serve and how best to structure the planning process.

Often, the end goal of the discovery process will be a much clearer understanding of *“what”* the strategic team can focus their planning process around – the boundaries of what the strategic plan will address and the requirements for the strategic plan itself to be accepted by all the stakeholders.

### *Falling in love with the problem...*

Albert Einstein coined the phrase *“falling in love with the problem,”* essentially stating that if he had an hour to spend coming up with a solution to a challenge, he’d spend the first 55 minutes really getting to know and understand every aspect of the problem, which would enable him to come up with a solid solution in just the remaining 5 minutes.

### 5.1 Evaluation of Existing King County Services and Best Practices

In order to achieve transformative change, you must know where you are starting from. What are the services currently being delivered and why is a change needed? Are the services too expensive given budget constraints? Are the services not used by our customers, or are they not satisfied with what is being delivered? What are other counties or municipalities doing differently that results in better outcomes?

Many of these questions will require data gathering and research. Work with stakeholder agencies to assemble applicable performance measures for the services and products being delivered including cost, quality, and timeliness of delivery. Gather results from past customer feedback surveys and community engagement efforts to find out what your customers think about the services being delivered.

Determine if there are any established benchmarks for these measures and indicate where King County is performing in comparison to the benchmarks or to other organizations delivering these services. Look for trends in the data and potential problem areas such as an increasing demand for services but decreasing resources. Research how other governments or organizations may have developed solutions to similar problems.

Once you have collected this information, begin organizing and collating it to help the strategic planning core team better understand the problem and begin to think about solutions. This will also help identify

gaps in your understanding which will inform what information we need to collect in the next phases of the planning process.

## 5.2 The right amount of information

When collecting information during the Environmental Scan, many planners begin to wonder “how much is enough”? Nationally recognized strategic planning experts Michael Allison and Jude Kaye caution against collecting too little information, too much information and failing to achieve a consensus on the meaning of the assessment results prior to proceeding. Use the following guidance for determining how much information is needed:

- Too little information: Relying on what staff already knows without looking at data to substantiate that knowledge or gathering information to round out that knowledge may lead to distorted perceptions of the current situation.
- Too much information: “Paralysis by analysis.” It can be easy to get stuck in the data collection phase or lost in all the information. Balance having enough information for an accurate big picture view with ensuring the different perspectives are represented in the data.
- Lacking Consensus on the Meaning of the Information: At times, one source of information may contradict another source of information. Discussions and possibly further data/ information may be necessary to help clarify and agree on the meaning of the information. (Allison & Kaye, 2005)

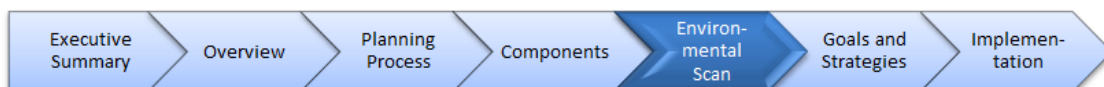
## 5.3 Equity and Social Justice Framework

The Equity & Social Justice ordinance ([Ordinance 16948](#)) establishes definitions and identifies the specific approaches necessary to implement and achieve the "fair and just" principle that is embedded as a core element of the goals, objectives and strategies of the countywide strategic plan. It is imperative to use an ESJ framework in the strategic planning process and plan development in order to achieve our shared vision of providing equitable opportunities for all people and communities.

A key aspect will be to understand the current conditions of equity. The [Determinants of Equity Report](#) (January 2015) is a catalog of community-level indicators and King County data covering the 13 external-facing Determinants of Equity. This report can be used in the strategic planning process to help determine applicable equity measures for the services being explored in the strategic. This can help highlight where problems may exist and further the understanding of the scope and depth of inequities in our community.

Several other ESJ tools exist in the “[Tools and Resources](#)” section of the King County ESJ Web Site that will be useful references for teams to use during strategic planning and development. Additionally, strategic planning teams should be familiar with the Executive’s [translation order](#), which “outlines steps departments should take to ensure that public communication materials and vital documents can be understood by the target audience—including people with limited English proficiency.”

The Equity & Social Justice [Inter Branch Team](#) (IBT) is another valuable resource available to the strategic planning team to assist with identifying and managing the ESJ aspects of strategic planning process and development. The IBT is composed of the directors or their designees of all branches, departments, agencies and offices of county government and their role is to champion ESJ within county





government and in the community. The purpose of the IBT is to “[help] facilitate accountability of and coordination by all branches of county government regarding implementation of the fair and just principle of the countywide strategic plan. This work includes tool development, *public and community engagement*, training and work plan creation.”

## 5.4 Stakeholder Engagement

The Environmental Scan and ESJ evaluation may have identified gaps in our understanding of the problems we are trying to solve with the strategic plan, and engaging with various stakeholders will be required to fill in these gaps. How these stakeholders are engaged is a key part of the overall strategic planning process and needs to be thoughtfully designed and carried out. This chapter identifies three phases to consider while conducting stakeholder outreach and engagement: Identification, Assessment, and Engagement Planning.

### 5.4.1 Stakeholder Identification

*Stakeholders* are those individuals, groups, or organizations that *could impact or be impacted by the strategic planning process or by a recommendation, decision, activity or outcome of the strategic plan*. It is not always immediately evident who all the stakeholders are for any particular planning process. Identifying the appropriate stakeholders is especially important to ensure the process appropriately incorporates equity and social justice considerations as well as avoiding or minimizing ‘after the fact’ engagement for stakeholder groups accidentally left out.

Most of the services and products delivered by King County impact some or perhaps all of the members of the King County community, so community engagement will frequently be required to better understand the needs of the customer. Other stakeholders include those internal to King County government (such as elected and non-elected leadership, agency management, bargaining units, and our work force) and those external to the county government (such as cities within King County or partner organizations delivering services to community members).

The project charter, environmental scan, process design, and core team can all contribute to the development of a **Stakeholder Register** that charts out internal and external stakeholders. Strategic planning teams should use the *Community Engagement Guide* and the *Community Engagement Worksheet* from the [Tools and Resources](#) section of the King County ESJ Web Site to help identifying and engaging ESJ impacted stakeholders during the planning process. These tools provide specific questions and suggestions for identifying stakeholders of a particular project. The Worksheet includes logistical considerations, such as how best to engage communities that have Limited English Proficiency.

### 5.4.2 Stakeholder Assessment

Once stakeholders are identified, taking time upfront to assess the likely interests, needs, interrelationships and potential impacts they may bring to the strategic planning process will contribute to effective and manageable engagement. There are numerous approaches to mapping out your stakeholders’ current position with regards to the strategic plan, which will prove useful in determining the best way to engage and communicate with a given stakeholder / stakeholders throughout the process.

One commonly used framework for stakeholder assessment is the ‘Power-Interest’ grid (or Influence-Interest grid, or similar). This framework uses a basic matrix approach to plotting the location of a given

stakeholder on a grid, where one axis represents their current level of interest of involvement, and the other axis represents their current level of influence—their ability to affect the process or its outcomes. An overview of this framework can be found [here](#).

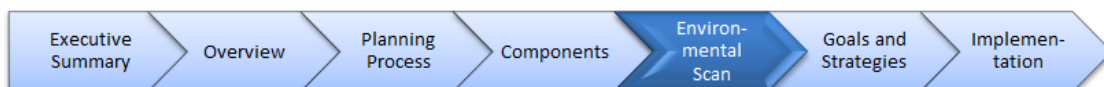
The Equity & Social Justice [Inter Branch Team](#) (IBT) also supports public and community engagement, and can be a key resource in planning and engaging those stakeholders and communities that may be traditionally underserved and underrepresented in public engagement activities.

### 5.4.3 Stakeholder Engagement Planning

Once stakeholders are identified and their needs and interests assessed, it is helpful to develop a plan for how you will approach stakeholder engagement and involvement. The *Stakeholder Engagement and Involvement Plan* is an internal document, and should include the following:

- Differentiating appropriate outreach and engagement methods / approaches for different stakeholder groups;
- Listing and explaining appropriate engagement and communication tools;
- Describing how the outreach and engagement approach aligns with or supports increased access to the determinants of equity, and other equity and social justice objectives.

Another resource available from the County’s Equity & Social Justice website is the [Community Engagement Guide](#), which includes the Community Engagement Continuum shown in Figure 5-1. See the Community Engagement Guide for a full discussion of the Continuum elements.



Levels of Engagement

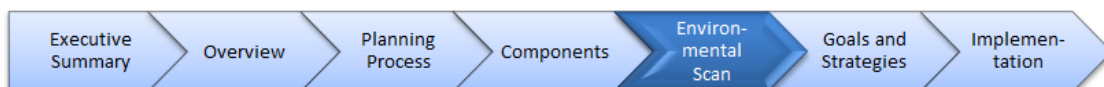
County Informs	County Consults	County engages in dialogue	County and community work together	Community directs action
King County initiates an effort, coordinates with departments and uses a variety of channels to inform community to take action	King County gathers information from the community to inform county-led interventions	King County engages community members to shape county priorities and plans	Community and King County share in decision-making to co-create solutions together	Community initiates and directs strategy and action with participation and technical assistance from King County
<b>Characteristics of Engagement</b> <ul style="list-style-type: none"> <li>Primarily one-way channel of communication</li> <li>One interaction</li> <li>Term-limited to event</li> <li>Addresses immediate need of county and community</li> </ul>	<ul style="list-style-type: none"> <li>Primarily one-way channel of communication</li> <li>One to multiple interactions</li> <li>Short to medium-term</li> <li>Shapes and informs county programs</li> </ul>	<ul style="list-style-type: none"> <li>Two-way channel of communication</li> <li>Multiple interactions</li> <li>Medium to long-term</li> <li>Advancement of solutions to complex problems</li> </ul>	<ul style="list-style-type: none"> <li>Two-way channel of communication</li> <li>Multiple interactions</li> <li>Medium to long-term</li> <li>Advancement of solutions to complex problems</li> </ul>	<ul style="list-style-type: none"> <li>Two-way channel of communication</li> <li>Multiple interactions</li> <li>Medium to long-term</li> <li>Advancement of solutions to complex problems</li> </ul>
<b>Methods</b> Media releases, brochures, pamphlets, outreach to vulnerable populations, ethnic media contacts, translated information, staff outreach to residents, new and social media	Focus groups, interviews, community surveys	Forums, advisory boards, stakeholder involvement, coalitions, policy development and advocacy, including legislative briefings and testimony, workshops, community-wide events	Co-led community meetings, advisory boards, coalitions, and partnerships, policy development and advocacy, including legislative briefings and testimony	Community-led planning efforts, community-hosted forums, collaborative partnerships, coalitions, policy development and advocacy including legislative briefings and testimony

Figure 5-1 Community Engagement Continuum

## 5.5 Organizing the Information from the Environmental Scan

Once you have completed the environmental scan, you may have collected quite a bit of information. The data now needs to be compiled, sorted, organized, and summarized in a way that will make it easier to present and analyze. Consider who will be reviewing the data. The staff and other stakeholders involved in reviewing the data may be at various educational and experience levels when it comes to working with data. Consider assigning the sorting task to a smaller subset of the planning team. They should have experience working with and communicating findings, if possible. Also, if a large amount of qualitative data was collected, such as through focus groups or community meetings, the Planning Team may need to seek additional help and knowledge about how this data should be sorted and analyzed. There are several possible organizing frameworks:

1. **Organize by crosscutting themes.** Once you begin reviewing the data collected, you should be able to identify and sort the information by major themes that emerge. It is important to note if the theme was repeated from multiple sources, as this helps to prioritize what is the most important issues that need to be addressed in the Strategic Plan.
2. **Organize the data by the input source.** For instance:
  - community-at-large
  - staff members
  - governing body
  - funders
  - customers and others
3. **Organize the findings in a SWOT or a similar framework.** SWOT stands for Strength, Weakness, Opportunity, and Threat. SWOT analysis is a simple but powerful sorting and organizing tool commonly used in Strategic Plans. It will be discussed in greater detail in [section 6.1](#).



## 6 Analyzing and Developing Goals and Strategies

Identifying and prioritizing the issues you will address in the strategic plan is a milestone - once these have been identified, the path to completing the strategic plan will become much clearer and easier to follow. This is perhaps the most exciting stage as well, because you can expect good healthy debates, especially with respect to setting the priority of the strategic issues. The important point to remember at this stage is to remain focused on the identification of the strategic issues, not on problem resolution because that is the next step.

Teams that start focusing too early on the potential solutions to a problem, without truly identifying and understanding the root causes of the problem, frequently recommend strategies that will not fully address or resolve the issue. Another misstep is to develop a plan that is meant to justify a predetermined solution or one that is already in place. This step may need an outside facilitator to keep the process moving and on topic. It is also suggested that this step take place no more than two weeks after the SWOT Analysis, while it is still fresh in the strategic planning Team's minds.

At the end of this stage, the strategic planning team should present their recommendations to the sponsors and consider reengaging the community and other involved stakeholders to verify that the priorities and direction are agreed upon. The rationale for this is twofold; it keeps the sponsors and the community informed on the process and it provides a forum to discuss the relevancy and ranking of the issues and whether these are agreed upon. If there are major differences or other issues identified, the planning team has the opportunity to reevaluate their issues and if necessary modify them. This will also increase a greater buy-in or acceptance of the work of the strategic planning Team.

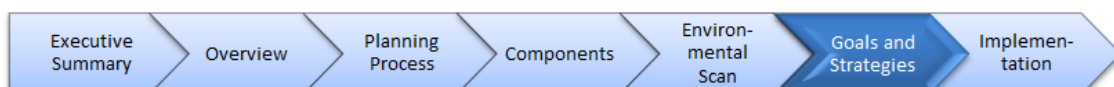
### 6.1 SWOT /SWOC Analysis

SWOT analysis is a tool that has long been used to identify positive and negative factors within businesses, organizations and governments to assess Strengths, Weaknesses, Opportunities, and Threats. Some prefer to use the term SWOC analysis, which stands for assess Strengths, Weaknesses, Opportunities, and Challenges. The two are interchangeable.

Strengths and Weaknesses are internal factors within an organization, while Opportunities and Threats are external factors stemming from community or societal forces. SWOT analysis is usually conducted as a collaborative process to organize the inputs and findings developed during the environmental scan.

When you are developing a strategic plan, the team will be exploring for ways to achieve transformative change to solve a complex problem. This focus on a particular challenge or issue can help prioritize the inputs to the SWOT analysis. In other words, identifying strengths and opportunities that have no relevance to solving the specific problem will not be that helpful. However, be careful not to limit the analysis too quickly as this may prevent the team from developing new strategies if they are relying on the same old thinking. By looking at a broader list of SWOTs from a different perspective, the team may create breakthrough strategies that allow new methods that will solve the most complex problems.

There are many internet resources available that provide more complete descriptions, examples, and the pros and cons of using SWOT analysis. Additionally, in [Appendix B](#) you will find a Tip Sheet that provides a more complete synopsis of this powerful tool.



## 6.2 PEST and PESTEL Analysis

Another method often used to organize and analyze the external factors which may help improve goal and strategy development is known as PEST analysis. PEST analysis consists of reviewing the Political, Economic, Social and Technological factors in the external environment of an organization which can affect its activities and performance. PESTEL is similar but adds in Environmental and Legal factors. There are several other variations on this theme as well, including:

- STEEPLE = PESTEL + Ethical
- STEEPLED = STEEPLE + Demographic
- PESTLIED = PEST + Legal + International + Environmental + Demographic
- LONGPEST = Local + National + Global factors + PEST

PEST type analysis consists of gathering or sorting the external information into the categories, then identifying and prioritizing which of these factors represent opportunities or threats. A good discussion and examples of a PEST analysis can be found [here](#).

## 6.3 Setting Targets for success

A critical element of successful strategic plans is to set targets and timelines that define what success would look like. These enable leaders and implementers to know if they are making progress to achieve the goals.

To improve the likelihood of achieving your goals, you need to establish SMART objectives (see Figure 4-1). This requires that you be able to measure the objective, and that it is specific and time bound. Therefore, you need to develop targets and deadlines for those targets to be reached. That way, the implementation team and leadership will know exactly what they are accountable to achieve, and are much more likely to work towards goal achievement. This is a basic principle of performance management.

But how do you set targets? There is not an easy answer to this question. You need to develop targets that are achievable (the “A” or SMART) but also help work towards the established goals and vision. The targets will need to be agreed upon by leadership and those that will be tasked with implementing the plan to achieve the objectives. Reaching that agreement can be a very difficult process. Some considerations when selecting your targets for your SMART objectives are:

- ***Make them bold but achievable*** – shoot for results that show real progress, but are not so far out of reach that they are unattainable. Plotting out wins and milestones along the way will keep momentum going, and help with external reporting.
- ***Align with priorities and requirements*** – consider setting targets that represent achievements in highly significant areas, including charter requirements.
- ***Include equity and social justice principles*** – set targets that ensure fair representation of everyone impacted, not just certain groups.

### **Metrics**

Indicators are more discrete, measurable variables that can be tracked during plan implementation to show progress towards objectives and goals. Multiple metrics can be provided for one objective, and

some metrics may show progress towards multiple objectives. When selecting indicators to track progress, consider the following:

- **Data sources** – Does a reliable, unbiased and trusted source exist that can provide consistent data for tracking indicators?
- **Relevancy** – Are the indicators selected directly relevant to the goals represented in the strategic plan?
- **Easily understood** – Some aspects of the strategic plan may have fairly technical indicators, but if these are reported to non-technical audiences they may not be helpful. Take into consideration the different levels of ‘translation’ that might be needed for different indicators, audiences and reporting needs.
- **Qualitative or quantitative** – if the measurement of progress is not numeric, define how you will assess qualitative information in advance so over time, the indicator is consistently tracked.
- **Frequency** – How frequently must data be gathered to appropriately track and measure progress? Different indicators will likely have different frequency of data collection.
- **Ease** – Account for the level of effort required to gather data to track the indicator, and what resources are available to do so during implementation.

It’s also useful to assess the set of indicators established as a whole to make sure they help tell the whole picture of progress towards goals. You may want to consider a mix of leading and lagging indicators (leading help predict future outcomes, while lagging shows patterns from the past). Finally, make sure that the number of indicators is manageable for those tasked with implementation.

### **\*\*Tip\*\***

- ❖ In addition to just reporting the data and progress towards the targets on a routine basis, you should explain the data to provide context and explanation for any jumps, gaps, stalls or trends in data.

### **Tracking Methodology**

Document the methodology for measuring progress on indicators as part of the strategic plan or an accompanying implementation plan to ensure consistency over time, and through staff changes that occur during implementation. This can be simple, but should include at minimum:

- Who gathers the data
- Format of the data
- How frequently data should be gathered
- How and where to record the data

## 6.4 Developing Strategies to achieve your vision and goals

During the strategic planning process, the team will begin to get a better understanding of the scope of the problems and the challenges faced in finding solutions to these demanding problems. How does the team develop strategies that will be successful to overcome these challenges?

Numerous models and frameworks for transformative change exist that purport that “the process is the solution.” The planning team may want to research and use one or more of these models in helping to

explain the issues and begin to develop solutions. What follows is a brief overview of several frameworks that take slightly different approaches to working through complex challenges to identify solutions. There is overlap in the different models, and they can work in tandem or feed into each other at different points in the process. You will find a table summarizing these models in [Appendix B](#).

### 6.4.1 Theory of Change Model

The theory of change (TOC) model is a process and framework to bring about desired outcomes. It is used frequently by philanthropic and other not-for-profit organizations and governments to develop strategies that will promote change. The model involves working backwards from a goal or set of goals to identify the necessary interventions and preconditions needed in order to achieve the desired goal outcomes, and then identifying the necessary indicators that will measure progress along the way. The model creates direct linkages between *how* and *why* a desired change is expected, not just what action to take. The theory of changes focuses heavily on identifying what preconditions are needed along the path to transformative change, identifying where interventions are possible, and tracking that progress to achieving interim perconditions and the ultimate goal with specific indicators. A lengthier discussion about this model, including examples and step by step instuctions for develpoing a TOC can be found at this [link](#).

### 6.4.2 Logic Model

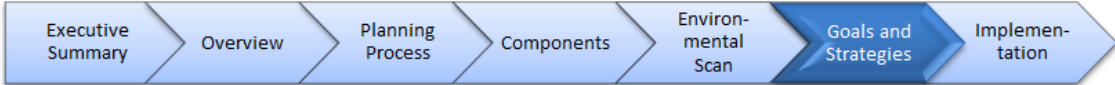
A logic model is a concise visual depiction showing the interconnectedness of the many moving parts of strategic plan components, specifically the inputs, activities and outcomes. It’s a powerful way to show the tactical approach of how a plan or initiative intends to create transformative change, and can be used as a ‘living model’ throughout different phases of an effort, from planning through implementation and evaluation and reporting.

The University of Kansas ‘Community Tool Box’ has an [online suite](#) of resources for understanding and developing logic models, and offers this description of their value: *“More than an observer’s tool, logic models become part of the work itself. They energize and rally support for an initiative by declaring precisely what you’re trying to accomplish and how.”*

**Logic models in King County**

The King County Homeless Youth and Young Adult (YYA) Initiative Logic Model shows how both theory of change and logic models can work together. A final logic model product was developed and included an enhanced set of components, adding specific indicators to the model, and incorporating a Theory of Change statement to provide added context and justification for *why* and *how* actions that support the transformative change desired. The logic model also documented the guiding principles used for establishing the model and for measuring progress through implementation.

A copy of the YYA Logic Model is included in [Appendix B](#).





### 6.4.4 Collective Impact Model

The collective impact model is a relatively new way of approaching complex, large scale social issues in a way that engages and creates alignment towards a desired outcome across multiple organizations or communities.

Commonly accepted rules or conditions for collective impact interactions are described in Figure 6-1 Collective Impact Model, provided by one of the leading research organizations in understanding collective impact, the [Stanford Social Innovation Review](#).

The Collective Impact model can be very powerful, especially when working with multiple, cross-functional agencies within the County or convening a group of County partners and stakeholders that work together to provide services to communities. In these circumstances, the efforts of the whole can result in greater collective impact and improved outcomes than the individual groups would be able to achieve working separately.

### 6.4.5 Results Based Accountability™

Results Based Accountability™ (RBA) is a framework that provides a disciplined way of thinking and taking action that focuses on results using measurements. RBA complements the Collective Impact model in many ways. Collective Impact literature sets out conditions for the success of community change efforts, and RBA provides specific methods to help partners meet those conditions. A key principle of RBA is that you would start at the end to determine what you are seeking to achieve (the results) and work backwards using data (indicators and the stories behind the data) to map out the means and the strategies, which are then measured using performance indicators. Another principle of RBA is to identify the role that the organization plays in the community and to establish partnerships that agree upon the results and will help achieve greater community-wide impacts for the customers being served. RBA was developed by Mark Friedman and described in his book *Trying Hard is Not Good Enough*. (Friedman, 2005) You can find more information about RBA at this [link](#).

#### Achieving Large-Scale Change through Collective Impact Involves Five Key Conditions For Shared Success

**Common Agenda:** All participants have a **shared vision for change** including a common understanding of the problem and a joint approach to solving it through agreed upon actions

**Shared Measurement:** **Collecting data and measuring results consistently** across all participants ensures efforts remain aligned and participants hold each other accountable

**Mutually Reinforcing Activities:** Participant activities must be **differentiated while still being coordinated** through a mutually reinforcing plan of action

**Continuous Communication:** **Consistent and open communication** is needed across the many players to build trust, assure mutual objectives, and appreciate common motivation

**Backbone Support:** Creating and managing collective impact requires a separate organization(s) with staff and a specific set of skills to **serve as the backbone for the entire initiative and coordinate participating organizations and agencies**

(Source: Stanford Social Innovation Review; *Understanding the Value of Backbone Organizations in Collective Impact* July 17, 2012)

Figure 6-1 Collective Impact Model

### 6.4.6 Hoshin Kanri

Hoshin Kanri is a *strategic management system* for ensuring that the strategic goals of an organization drive progress and action at every level within that organization. This method has been used successfully by Toyota and other companies in Japan since the 1960s and some top-tier companies in the United States and elsewhere, and is one component of a Lean organization. Hoshin Kanri strives to get all members of the organization pulling in the same direction at the same time. It achieves this by aligning the top level goals of the organization with the plans of middle management and the work performed by all members of the organization. This is usually done as an annual goal and target setting process. Some of the key principles of this system include:

- Visionary strategic planning (focusing on the things that really matter)
- Catchball (building workable plans through consensus)
- Measuring progress (carefully selecting metrics that will drive the desired behavior)
- Closing the loop (using regular follow-up to keep progress on track)

A primer on Hoshin Kanri can be found here: <http://www.leanproduction.com/hoshin-kanri.html>

### 6.4.7 Shingo Model™

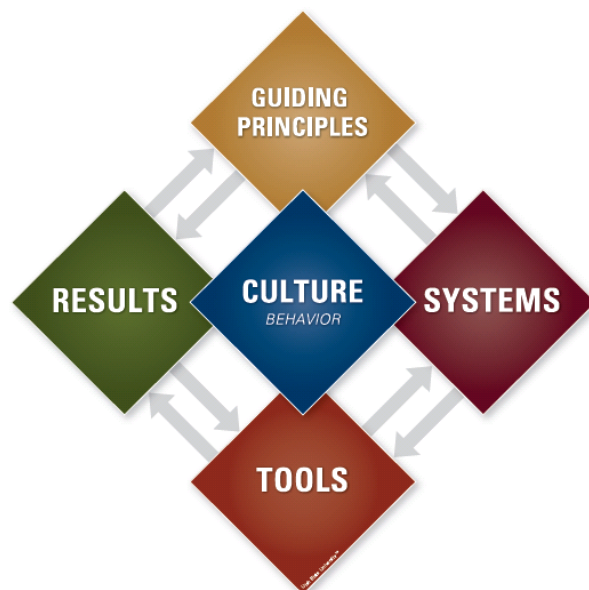


Figure 6-2 The Shingo Model (TM)

The [Shingo Institute](#) describes its model as “not an additional program or another initiative to implement; rather, it introduces Guiding Principles™ on which to anchor your current initiatives and to fill the gaps in your efforts towards ideal results and enterprise excellence.”

A key component of the model is recognition that organization culture is at the core of improving performance and getting results. Unfortunately, it is often ignored as leaders focus on implementing systems and tools. Following Dr. Shigeo Shingo’s counsel to “think in terms of categorical principles,” we have divided the ten Shingo Guiding Principles™ into four dimensions: Cultural Enablers, Continuous Improvement, Enterprise Alignment and Results. For more details on the Shingo Model, visit the [Shingo Institute](#) website.

*“If today is going to be any different from yesterday, we must blaze new trails every day.”*  
—Shigeo Shingoty

## 6.5 Prioritizing Strategies

While all aspects of the plan’s implementation will be important, some may be more critical to its success than others. During the planning process, the team should prioritize which strategies or actions should come first, or get more resources. This is an important and often difficult part of the planning process.

Be transparent in your reasoning behind why certain goals or strategies were prioritized above others. It may be valuable to create a prioritization filtering decision matrix to agree upon criteria for setting priorities, and identify which meet the criteria to qualify as priorities.

Considerations for which efforts to prioritize should include:

- Strategies and actions that offer early wins to help gain immediate support
- When funding will be available to accomplish the strategies – lower cost or “low hanging fruit”
- Strategies that offer ongoing wins, to keep momentum going
- The sequential dependencies of strategies – some strategies rely on the success of a previous strategy
- Those that generate critical results and are most important for your stakeholders
- Those strategies that offer improved equity for communities or people that don’t have equal opportunity to thrive

There are several methods to conduct formalized prioritization, including:

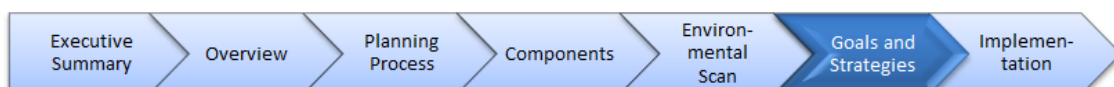
- Multi-voting Technique
- Strategy Grids
- Nominal Group Technique
- The Hanlon Method
- Prioritization Matrix

The *National Association of County and City Health Officials* has developed an excellent summary of each of these methods in their “Guide to Prioritization Techniques”, which can be found [here](#). Although it is geared and the examples are from the public health community, it is easily translated to other strategic issues and goals.

## 6.6 Implementation Planning

### **Schedule and Milestones**

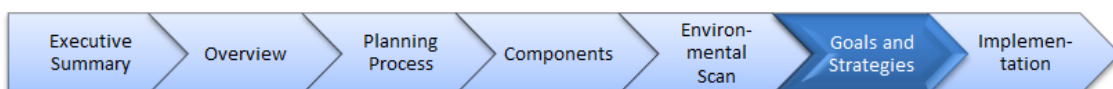
Including a timeline or schedule in the plan will ground it in reality and create accountability for implementation. The timeline may need to be an iterative process, developed and refined as early work begins and sheds light on the implementation challenges and opportunities of latter work.



The strategic plan needs to create a horizon for those tasked with implementation. Projects that tackle really big issues that might not generate tangible results for many years are often candidates for fizzling momentum and focus. Using interim milestones will create a shorter horizon for the work, and keep the sense of urgency alive, along with providing reasons to celebrate progress as milestones are achieved.

***\*\*Tips\*\****

- ❖ Progressive elaboration – providing a more specific schedule for what’s known early on (for example, a monthly timeline), and a more general timeline for later work (such as a quarterly timeline) may be a reality for the SIP Plan. This is fine – so long as the timeline and the Plan are active, living documents that are frequently reviewed and updated.
- ❖ Tying milestones to funder or sponsor requirements (such as proviso requirements, or funder’s budget cycles) may be necessary, but the milestones will be more meaningful (and motivational) if they represent progress that demonstrates measureable and real successes tied to the objectives and goals of the plan.



## 7 Implementation

An oft-made claim is that 90% of all strategic initiatives fail. That largely comes from a book by Robert Kaplan and David Norton, where they wrote, ““In the early 1980s, a survey of management consultants reported that fewer than 10% of effectively formulated strategies were successfully implemented.” (Kaplan & Norton, 2000). Other surveys have made estimates of up to 70% failure rate of strategic initiatives, even those that were well formulated. Most of these don’t strategies don’t fail due to a poor strategic plan – they fail once they reach the implementation phase. How can your team help ensure the success of your plan once you have completed the planning process?

### 7.1 Keys to successful implementation

#### 7.1.1 Implementation Team

The same principles and best practices outlined earlier related to creating and developing a good team for the strategic planning process apply when setting up an implementation team. Some of the best planning efforts fail due to poor implementation of the recommendations and strategies. Additional considerations particular to the implementation phase may include:

- **Continuity** – It is crucial that those charged with implementing the plan be represented on the initial planning team. This has invaluable benefits, particularly in the beginning. The importance of handoff from planning to implementation team becomes even more important if there is not continuity on the team.
- **Commitment** – The implementation process itself may be a much longer time horizon than the planning. Some roles may be shorter, while some may be more of an ongoing shepherding.
- **Skills** – Similar to what it takes to assess the right person or groups for developing a robust plan, it might take a different set to execute it successfully. Knowing the culture and context of the organization will help identify what it will take to lead the implementation. Soft skills play a big role in implementation.
- **Future Line of Business participants** – involving representatives that may eventually take on the effort once it transitions from a strategy to a standard practice may be valuable.

#### 7.1.2 Sponsor and Leadership Support

Perhaps the most critical aspect that will determine whether a plan will achieve its goals is strong support from leadership. If leadership is not committed to act upon the bold and transformative change initiatives being recommended, they are likely to fail. This support and commitment is most noted when leadership follows through and conducts regular check-ins and receives updates on the implementation plan, including tracking progress on achieving the milestones and targets that have been set. They should ask questions when progress is insufficient, and help remove any barriers that may be encountered. They should also celebrate success with the team and ensure those involved are recognized when milestones are met and targets achieved.

### 7.1.3 Communication

Frequent, open communication about the strategic plan and the status of the implementation efforts is crucial to gaining understanding and buy-in. Depending on the scope of the changes you are trying to implement, it may be worthwhile to seek help from communications experts within or external to King County to help create and deliver messaging that will be direct, easy to understand, and accurate.

### 7.1.4 Funding sources

Beyond the funding for the strategic planning process, the actual plan needs to articulate what known and needed funding sources exist for executing the plan. Map out where and when funding sources are available and any parameters associated with the funding source (such as how funding may be applied).

Be sure to connect any reporting requirements from the funding source to the measurement and tracking section of the strategic plan. Examples may include:

- New or reallocated county departmental or interdepartmental funding
- County provisos
- State or federal funding, such as grants
- External funding sources
  - Community partner organizations
  - Donors

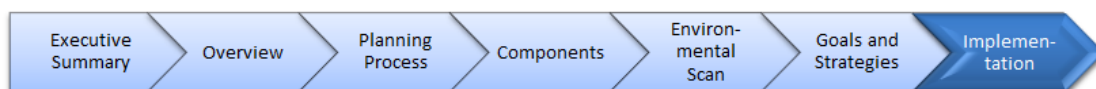
### 7.1.5 Companion Implementation Tools

The strategic plan will be the master guiding resource for implementation, but identifying ways to make discrete components more bite size and actionable may help execute the plan. Consider the following as companion tools to either develop or recommend as part of the implementation team's scope:

- **Action Plan** – Sequence out the activities that need to occur, resources needed, responsibility, schedule and deliverables in a simple and easily navigable way.
- **Logic Model Updates** – If a logic model was developed as part of the planning process, it can be used as both a communication tool during implementation and should also be updated as metrics and strategies evolve.
- **Capacity building and training needs** – Identify in advance what kinds of capacity building may exist for implementation and map them to available resources and training or experience building opportunities.
- **Communication and briefing tools** – Consider the different audiences that will be interested in knowing about the strategic plan, and their different interest levels (from awareness to active engagement). Providing some basic briefing materials (even if just an executive summary) can be a valuable resource for the implementation team.

## 7.2 Making adjustments to the plan

As part of the Plan-Do-Check-Adjust Cycle (see Figure 2-1), it is imperative to review the plan frequently to determine what is working and what is not. When the strategies that were developed in the original plan are not achieving their intended outcomes, the implementation team and sponsor needs to



determine why not. Have the strategies been adequately funded? Are there “roadblocks” that need to be removed? Are there alternative strategies that may work better? This is part of the “check” phase of the PDCA cycle, and when necessary, adjustments need to be made to continue making progress towards goal achievement.

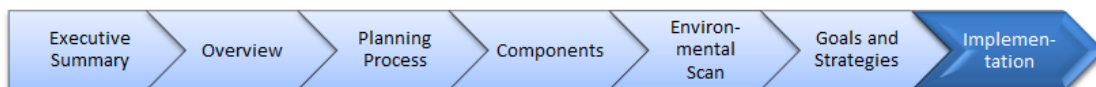
### 7.3 Transition to Line of Business

In many cases, one outcome of strategic plan implementation will be a transformation of the way the County does business. With that transformation complete, the changes will become adopted into standard line of business practices and planning. Build this transition planning into the plan as a way to pass the torch from strategic plan implementation to standard practice within the existing Lines of Business of King County.

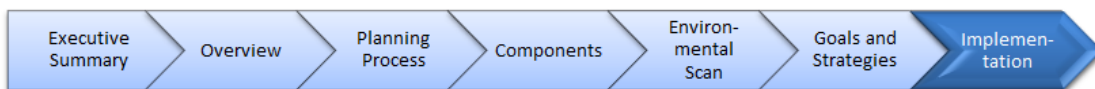
### 7.4 Achieving the Goals established in the Strategic Plan

This guidebook has covered many factors and offered many tips to help you be successful at developing and implementing your strategic plan. Although not a guarantee of success, by following these proven principles you will have a greater chance at achieving the transformational goals you have established. A summary of these principles is presented as a Tip Sheet in [Appendix B](#).

Good luck in your journey!



# Notes





## References

- Allison, M., & Kaye, J. (2005). *Strategic Planning for Nonprofit Organizations: A Practical Guide and Workbook, Second Edition*. Hoboken, NJ: Wiley and Sons.
- Bryson, J. M. (2011). *Strategic Planning for Public and Nonprofit Organizations: A Guide to Strengthening and Sustaining Organizational Achievement*. San Francisco: Josey Bass.
- Friedman, M. (2005). *Trying Hard is Not Good Enough*. Victoria, BC: Trafford.
- Kaplann, R. S., & Norton, D. P. (2000). *The Strategy-Focused Organization*. Cambridge, MA: Harvard Business Review Press.

## External Links Found in this Document

Chapter 2	
King County Strategic Plan	<a href="http://www.kingcounty.gov/exec/PSB/CountyStratPlan.aspx">http://www.kingcounty.gov/exec/PSB/CountyStratPlan.aspx</a>
King County Line of Business SharePoint site	<a href="http://www.tinyurl.com/kclob">www.tinyurl.com/kclob</a>
King County Learning and Development	<a href="http://www.kingcounty.gov/audience/employees/learning-development.aspx">http://www.kingcounty.gov/audience/employees/learning-development.aspx</a>
King County Training and Development	<a href="http://www.trainingdevelopmentinstitute.org/">http://www.trainingdevelopmentinstitute.org/</a>
King County Equity and Social Justice Website	<a href="http://www.kingcounty.gov/elected/executive/equity-social-justice.aspx">http://www.kingcounty.gov/elected/executive/equity-social-justice.aspx</a>
King County Equity and Social Justice Tools and Resources	<a href="http://www.kingcounty.gov/elected/executive/equity-social-justice/tools-resources.aspx">http://www.kingcounty.gov/elected/executive/equity-social-justice/tools-resources.aspx</a>
Chapter 3	
King County Equity and Social Justice Website	<a href="http://www.kingcounty.gov/elected/executive/equity-social-justice.aspx">http://www.kingcounty.gov/elected/executive/equity-social-justice.aspx</a>
RACI Matrix	<a href="http://www.brighthubpm.com/templates-forms/53552-constructing-a-raci-matrix/">http://www.brighthubpm.com/templates-forms/53552-constructing-a-raci-matrix/</a>
Chapter 5	
King County Equity and Social Justice Ordinance	<a href="http://your.kingcounty.gov/mkcc/clerk/OldOrdsMotions/Ordinance%2016948.pdf">http://your.kingcounty.gov/mkcc/clerk/OldOrdsMotions/Ordinance%2016948.pdf</a>
King County Determinants of Equity Report	<a href="http://www.kingcounty.gov/~media/elected/executive/equity-social-justice/2015/The_Determinants_of_Equity_Report.ashx?la=en">http://www.kingcounty.gov/~media/elected/executive/equity-social-justice/2015/The_Determinants_of_Equity_Report.ashx?la=en</a>
King County Equity and Social Justice Tools and Resources	<a href="http://www.kingcounty.gov/elected/executive/equity-social-justice/tools-resources.aspx">http://www.kingcounty.gov/elected/executive/equity-social-justice/tools-resources.aspx</a>
King County Executive Translation Order	<a href="http://www.kingcounty.gov/operations/policies/executive/itao/inf142aao.aspx">http://www.kingcounty.gov/operations/policies/executive/itao/inf142aao.aspx</a>
King County Interbranch Team	<a href="http://www.kingcounty.gov/elected/executive/equity-social-justice/team.aspx">http://www.kingcounty.gov/elected/executive/equity-social-justice/team.aspx</a>
Participatory Planning, Monitoring & Evaluation “Influence – Importance”	<a href="http://www.managingforimpact.org/tool/influence-and-importance-matrix">http://www.managingforimpact.org/tool/influence-and-importance-matrix</a>
King County Equity and Social Justice Community Engagement Guide	<a href="http://www.kingcounty.gov/~media/elected/executive/equity-social-justice/documents/CommunityEngagementWorksheet.ashx?la=en">http://www.kingcounty.gov/~media/elected/executive/equity-social-justice/documents/CommunityEngagementWorksheet.ashx?la=en</a>

## External Links Found in this Document (continued)

Chapter 6	
PEST Analysis: Definition, Examples & Templates	<a href="http://www.businessnewsdaily.com/5512-pest-analysis-definition-examples-templates.html">http://www.businessnewsdaily.com/5512-pest-analysis-definition-examples-templates.html</a>
Center for Theory of Change	<a href="http://www.theoryofchange.org/what-is-theory-of-change/">http://www.theoryofchange.org/what-is-theory-of-change/</a>
University of Kansas 'Community Tool Box'	<a href="http://ctb.ku.edu/en">http://ctb.ku.edu/en</a> and type "Logic Model" in the search bar
Stanford Social Innovation Review	<a href="http://ssir.org/articles/entry/collective_impact">http://ssir.org/articles/entry/collective_impact</a>
Results Based Accountability Implementation Guide	<a href="http://raguide.org/">http://raguide.org/</a>
Lean Production site – online resource for Lean tools	<a href="http://www.leanproduction.com/hoshin-kanri.html">http://www.leanproduction.com/hoshin-kanri.html</a>
Shingo institute Website	<a href="http://shingo.org/">http://shingo.org/</a>
Appendix A	
King County Code section 2.10.020	<a href="http://www.kingcounty.gov/council/legislation/kc_code/05_Title_2.aspx">http://www.kingcounty.gov/council/legislation/kc_code/05_Title_2.aspx</a>
King County Health and Human Services Transformation Plan	<a href="http://www.kingcounty.gov/exec/HHStransformation/~media/exec/HHStransformation/KCHealthandHumanServicesTransformationPlan2013.ashx">http://www.kingcounty.gov/exec/HHStransformation/~media/exec/HHStransformation/KCHealthandHumanServicesTransformationPlan2013.ashx</a>
King County Strategic Plan for Road Services July 2014 Update	<a href="http://www.kingcounty.gov/~media/transportation/kcdot/roads/SPRS/SPRSUpdateJuly2014.ashx?la=en">http://www.kingcounty.gov/~media/transportation/kcdot/roads/SPRS/SPRSUpdateJuly2014.ashx?la=en</a>
King County Equity and Social Justice Website	<a href="http://www.kingcounty.gov/elected/executive/equity-social-justice.aspx">http://www.kingcounty.gov/elected/executive/equity-social-justice.aspx</a>
King County Regional Transit Task Force Report	<a href="http://www.kingcounty.gov/transportation/TransitTaskForce.aspx">http://www.kingcounty.gov/transportation/TransitTaskForce.aspx</a>
Comprehensive Plan to Prevent and End Youth and Young Adult Homelessness in King County	<a href="http://www.kingcounty.gov/~media/socialServices/housing/documents/YA/YA_Comprehensive_Plan_Final_Report_Sept_2013.ashx">http://www.kingcounty.gov/~media/socialServices/housing/documents/YA/YA_Comprehensive_Plan_Final_Report_Sept_2013.ashx</a>

## Appendix A Strategic Innovation Priorities

### A.1 What is a Strategic Innovation Priority?

While the King County Strategic Plan establishes countywide strategic priorities and objectives, a Strategic Innovation Priority (SIP) is defined in legislation as follows:

King County Code 2.10.020.L defines a SIP as follows:

*“Strategic innovation priorities” means the prioritized cross-functional strategic planning efforts or activities that have the greatest likelihood of advancing the goals identified in the vision and policy priorities.*

*Strategic innovation priorities are:*

- 1. The County's immediate planning priorities for the next biennium that will require significant cross-functional planning and resource coordination;*
- 2. Reflected in the subsequent executive's proposed budget and council adopted budget; and*
- 3. Based on recommendations of the council and in consideration of the recommendations of the cross-functional strategic teams.*

[Link to legislation](#)

Figure A-1 Legislative Definition of a SIP

### A.2 SIP Funding and Planning

Once SIPs are selected by the Executive and Council, the Executive will submit a budget with proposed funding for SIP resources. Depending on the nature of the SIP, this may include funding for planning activities, including consultant support, public outreach and engagement, or additional staff that may be needed for the full development of a SIP Plan.

In reviewing and approving the budget and funding sources, the Council may take public input into consideration, and may also put forth a “Proviso” which would direct the Executive to provide a report, project charter, or some other formalized action prior to releasing the funding requested in the budget.

Once a SIP is designated, a SIP Plan is the expected product. A SIP Plan is a strategic plan, and SIP Planning is primarily a strategic planning process, as described in this guidance. It may incorporate higher level and perhaps multiple sponsors, as both the Executive and Council have a role to play. Additionally, separated elected agencies may be involved and need to have a sponsorship role, depending on the scope of the SIP.

Additionally, as SIPs are defined as a cross-functional effort, the planning team and advisory teams would need a broader membership to ensure all aspects of the current state and future goals are being

examined. This will make team management and decision making more complex, as the level of trust will need to be established. Using team building exercises and check-ins during the planning process will help smooth the team dynamics and may lead to better results.

### A.3 What is a SIP Plan

SIP Planning is...	Non-SIP Planning is...
<ul style="list-style-type: none"> <li>• <b>Transformational – change is needed to delivery of County services</b></li> <li>• <b>Cross-functional or cross-agency</b></li> <li>• <b>Usually directed and approved by the Council and/or the Executive</b></li> <li>• <b>Challenging <u>what</u> services need to be delivered to achieve desired outcomes</b></li> </ul>	<ul style="list-style-type: none"> <li>• Usually within a particular agency or Line of Business</li> <li>• Usually directed and approved by agency leadership</li> <li>• Used when you are trying to improve <u>how</u> to deliver existing services</li> </ul>
<p><b>An example of SIP Planning is to <i>change the way the County delivers public health and human services to improve the health and well-being outcomes for King County residents. This required a new approach to transform delivery across the Department of Public Health and the Department of Community and Human Services, while working collaboratively with county partners. This example is illustrated in the <a href="#">Health and Human Services Transformation Plan</a></i></b></p>	<p>An example of Non-SIP planning is to <i>develop a plan to address a major shortfall in the County’s road fund, which required a change in the way that the Roads division of the Department of Transportation maintains the roads and bridges in the unincorporated areas.</i> This type of detailed planning within a specific agency is illustrated in the <a href="#">Strategic Plan for Road Services July 2014 Update</a></p>

SIP Plans have specific attributes delineated in King County Code, and therefore some minimum standards are needed to ensure consistency in the final deliverable that will be presented to the Executive and Council. SIP Plans should contain the following elements whenever possible:

- Evaluation of existing King County services and/or best practices for delivering the services (if a new or different service is being recommended)
- Outcomes to be achieved
- Explicit consideration of and alignment with the County’s [Equity and Social Justice Initiative \(ESJI\)](#)
- Metrics, targets and timelines that define what success would look like
- Strategies to achieve the outcomes
- The scope and responsibilities for the plan (e.g., what services will be delivered by the County and what will be delivered by County partners)
- Implementation timeframe and resources and budget required to accomplish the strategies
- “Hand-off” process to the existing King County Lines of Business

Figure A-2 Minimum Standards for a SIP Plan

## A.4 Examples of SIP Planning

The following are two ‘snapshots’ of previous planning efforts, which illustrate the kind of complex and cross-boundary issues that might be identified as SIPs. Both examples demonstrate some of the best practices discussed in this planning guidance.

### A.4.1 Snapshot 1: Regional Transit Task Force

The [Regional Transit Task Force](#) (RTTF) was convened in 2010 by the King County Council and Executive “for the purpose considering a policy framework to guide the potential future growth and, if necessary, contraction of King County’s transit system.”

#### **What makes it a SIP?**

First and foremost, the charge given this task force was to make recommendations to Metro on how best to address several major system-wide financial and operational issues. Put another way, recommendations for how to implement large-scale and potentially transformative changes in the way the County delivers a vital regional service – exactly the type of challenge for which SIPs were created.

In addition, the breadth and complexity of the issues assigned to the task force required a cross-disciplinary team of engaged stakeholders – the kind of team that a SIP planning process is likely to require. The RTTF was asked to address six ‘key transit system design factors’ (to which they added a seventh) covering a broad range of impact areas: Land use; Social equity and environmental justice; Financial sustainability; Geographic equity; Economic development; Productivity and efficiency; and Environmental Sustainability.

#### **Why/how did it start?**

The group was convened by the County Council and Executive in response to two major stresses on the Metro transit system: the national recession of 2008/2009 and resulting decline in sales tax revenue, and rapidly increasing ridership during the same period (including projected continuation of both trends, which pointed towards an ever-widening gap between operating revenue and demand on the system).

#### **What was the County’s role?**

The County played three roles in this process: Convener, Funder, and Technical Expert. The County created the task force and funded the process, and county staff participated as task force members. It is worthwhile pointing out that this is why the graphic in Figure 1 1 is shown as a spectrum; it is not uncommon for the County to play multiple roles during the process.

#### **What were the outcomes?**

## A.4.2 Snapshot 2: Comprehensive Plan to Prevent and End Youth and Young Adult Homelessness

Another example that would qualify as a SIP was the [Comprehensive Plan to Prevent and End Youth and Young Adult Homelessness in King County](#). This was a large-scale, multi-stakeholder effort supporting the Ten Year Plan to End Homelessness in King County.

### What makes it a SIP?

As with the RTTF example, the scope, complexity, diversity of stakeholders, and potentially far-reaching changes to how the County provides services, are exactly the criteria that would make this effort a SIP—especially when all those criteria are present within the same issue, as in this case.

The Comprehensive Plan includes a vision statement for the plan itself, principles for achieving that vision, and measures for assessing progress—with numeric starting points for each measure. The plan covers a broad range of implementation targets, such as family reunification and education and employment; it identifies a broad range of potential partners, such as schools, and the juvenile justice, child welfare and health care systems; and it suggests an ambitious timetable for implementation. Finally, the plan suggests changes impacting a broad range of county services and county partners, from housing to health care, employment to chemical dependency services.

### Why/how did it start?

In 2011, Youth and Young Adult (YYA) homelessness was identified by the Committee to End Homelessness of King County (CEHKC) as a community issue requiring new and more effective solutions. While recognizing the commitment and good work that had been done up to that point, the group realized they were unable to answer several key questions related to YYA homelessness, such as the total number in King County, which housing or service interventions were most effective with this population, and therefore whether any progress was being made.

### What was the County's role?

King County participated in this process as an Information Provider and Technical Expert, via staff participation on the CEHKC (specifically, the King County Department of Community and Human Services (DCHS), which provides an array of services for the homeless, both YYA and adults).

### What were the outcomes?

Creation of the Comprehensive Plan itself was the main outcome, but the process also yielded a number of insights and lessons learned. The group found that the Collective Impact model worked well for this effort (this model is discussed in more detail in [Section 6.4.4](#)); the group also discovered that developing a Logic Model for the plan was essential to defining success and provided milestones against which progress could be measured (Logic Models are also discussed in more detail in [section 6.4.2](#)).

Other lessons learned included the importance of clearly identifying roles and responsibilities and implementation timelines; the importance of having the right stakeholders at the table to ensure active partner engagement; and the importance of identifying priority actions, with associated budgets and—where possible—funding sources.

## A.5 SIP Plan Scope

*Answers the question: “What services will be delivered by the County and what will be delivered by county partners?”*

### **Boundaries of the strategic plan**

“What’s in and what’s out” should be clear by the time the plan is drafted. Most strategic plans won’t address every element or driver that feeds into a SIP, as by definition, SIPs are typically complex and multi-dimensional issues that need a whole systems approach. In a strategic plan that includes county partners and other stakeholders performing some of the work to accomplish the goals, this section should clearly delineate who will be responsible for what actions. If the expectation is that partners will perform work alongside the County, it is critical that these partners were consulted and fully participated in the SIP planning effort in order to get their support when the Plan is released.

By demonstrating an understanding of the landscape and clearly communicating what parts the strategic plan commits to address, the SIP team can help set realistic expectations for what’s to come from implementation, as well as rally support for what else must be done in future phases.

### **Relationships to Related Efforts**

Show how the strategic plan will align with, leverage, or feed into other efforts addressing the issue to demonstrate that the plan is thoughtfully crafted and part of a holistic approach that makes the most of the region’s resources in creating collective change. Describe how the collective impact of the interrelated efforts is creating synergy and improving performance in the goal areas.

### **Logic Model and/or Change Model**

A logic model or change model may be developed relatively early in the actual planning process and can frame the context of the SIP and evolve over time as the team narrows in on ‘what’s in and what’s out’ of the plan.

By the time the plan is complete, the logic model will fully map out the plan’s strategies within the scope of the system, and how they work towards achieving the plan’s goals and specific measurable outcomes. A logic model can transform from a tool used for planning to a tool used for communicating the plan and tracking implementation.

### **Roles**

Articulating in broad strokes those involved in carrying out the plan’s strategies is key to demonstrating that the breadth and depth of the plan is well supported. Specific roles may be further delineated as strategies are elaborated in the plan, and even more so in accompanying implementation materials like Action Plans.



## Appendix B Resources

<b>Resource</b>	<b>Page</b>
<a href="#"><u>B.1 - 3.1 Example - HHP Integration Project Charter</u></a>	B-3
<a href="#"><u>B.2 - 3.1 Tip Sheet - Strategic Plan Charter</u></a>	B-13
<a href="#"><u>B.3 - 3.2.1 Checklist - Planning Team Considerations</u></a>	B-15
<a href="#"><u>B.4 - 3.2.2 Tip Sheet - Planning Team Responsibilities</u></a>	B-17
<a href="#"><u>B.5 - 3.2.3 Template - Planning Team RACI Chart</u></a>	B-19
<a href="#"><u>B.6 - 3.3.1 Tip Sheet - Project Management Considerations</u></a>	B-21
<a href="#"><u>B.7 - 6.1 Tip Sheet - SWOT Analysis</u></a>	B-27
<a href="#"><u>B.8 - 6.4 Tip Sheet - Review of Strategic Planning Framework</u></a>	B-29
<a href="#"><u>B.9 - 6.4.2 Example - Homeless YYA Initiative Logic Model</u></a>	B-31
<a href="#"><u>B.10 - 7.4 Tip Sheet - Principles of Success</u></a>	B-3



## B.1 3.1 Tip Sheet - Strategic Plan Charter Components

**The Strategic Plan Charter** is a document that is prepared by the Project Manager/Project Team and approved by the sponsor that formally documents the authorization to conduct the strategic plan, authorizes use of resources to develop the plan, and identifies the strategic plan Lead.

### Key Components of a Project Charter

#### Context

- Defines problem statement or opportunity at hand
- Includes relationship to Strategic Plan and to other SIPs
- Identifies interdependent issues, including potential impact on equity and social justice

#### Objectives

- Desired outcomes
- Definition of success

#### Scope and limitations

- Outline role of County in addressing the SIP
- Boundaries of what the SIP Plan will and will not address

#### Preliminary roles and responsibilities

- Sponsors
- SIP Plan team lead
- Core team
- Stakeholder groups

#### Assumptions

- Factors that were taken into consideration that could impact the SIP Plan process

#### Preliminary risk and opportunity identification

- Known risks and opportunities to the SIP Plan process
- How to manage those risks and opportunities (such as avoid, mitigate, leverage)

#### Preliminary schedule

- Progress reporting
- Phases of work
- Key milestones

#### Resources

- Budget (including information on when budget is available)
- Funding sources
- Staffing
- Consultant support
- Resource gaps

#### Approvals and Signatures



## B.2 3.1 Example – HHP Integration Project Charter

*(Note, this was a very complex charter and required a significant amount of pre work and coordination amongst the stakeholders and sponsors – the charter reflects this. Not all charters will require this many sections of narrative)*

January 17, 2013

### PROJECT CHARTER: Health and Human Services Integration (Motion 13768 and Proviso Responses)

#### A. Context

- The King County Strategic Plan calls for King County to provide equitable opportunities for all individuals to realize their full potential, in part by ensuring a network of integrated and effective health and human services is available to our community.
- A December 2012 “scoping” process by leadership identified seven<sup>1</sup> time-sensitive priorities for 2013 that warranted careful tracking to assure tight coordination, accountability, and success.
- This Charter, for internal county use, lays out the objectives, structure, milestones, and roles associated with two of those seven priorities: # 1 (Motion Response) and # 2 (Proviso Response).
- The Motion and Proviso activities fall under the same charter because the outcome of the Motion should inform the response to the Proviso, and staffing and communication strategies are linked.
- Once completed, the work under this Charter related to the Motion will be incorporated in the 2013 Health and Human Potential (HHP) Goal Plan. The Integration Sponsors will oversee the development of the goal plan which is an opportunity to propose revisions to HHP objectives and strategies, update performance measures, set performance targets (where appropriate), and identify emerging priorities and next steps for advancing HHP outcomes.

#### B. Objectives

- (1) *Integration plan (Motion Response)*. Develop a plan for an integrated, accountable and sustainably funded system of health and human services that supports all individuals in King County in realizing their full potential; and

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<sup>1</sup> (1) Motion 13768 Response; (2) Budget Proviso Response regarding PHSKC and DCHS organization; (3) Coverage and Capacity; (4) High Risk Population System Design; (5) MIDD Prioritization; (6) Integration pilot – North/Neighborcare; and (7) Hospital Community Benefit coordination. Priorities 3-7 have separate workplans.

(2) *Departmental organizational structure (P-6 Proviso Response)*. Develop options for effective, efficient county departmental organizational structure for public health and community and human services that support service integration, reduce unnecessary duplication, and maximize accountability for outcomes, quality, and cost.

**C. Executive Sponsors**

The “Integration Sponsors” group is responsible for successful achievement of the objectives for both the Motion response and Proviso response. For 2013, serves as the Health & Human Potential Strategic Plan Goal Team.

**Members:** **Fred Jarrett (lead)**, Rhonda Berry, Carrie S. Cihak, Dwight Dively, David Fleming (Chrissy Russillo), Jackie MacLean (Terry Mark)

**Meetings:** Weekly beginning January 11, 2013. Meet through June 2013 and then re-evaluate. Receive and review materials in advance; use meeting time for high level progress, issues, and strategy review.

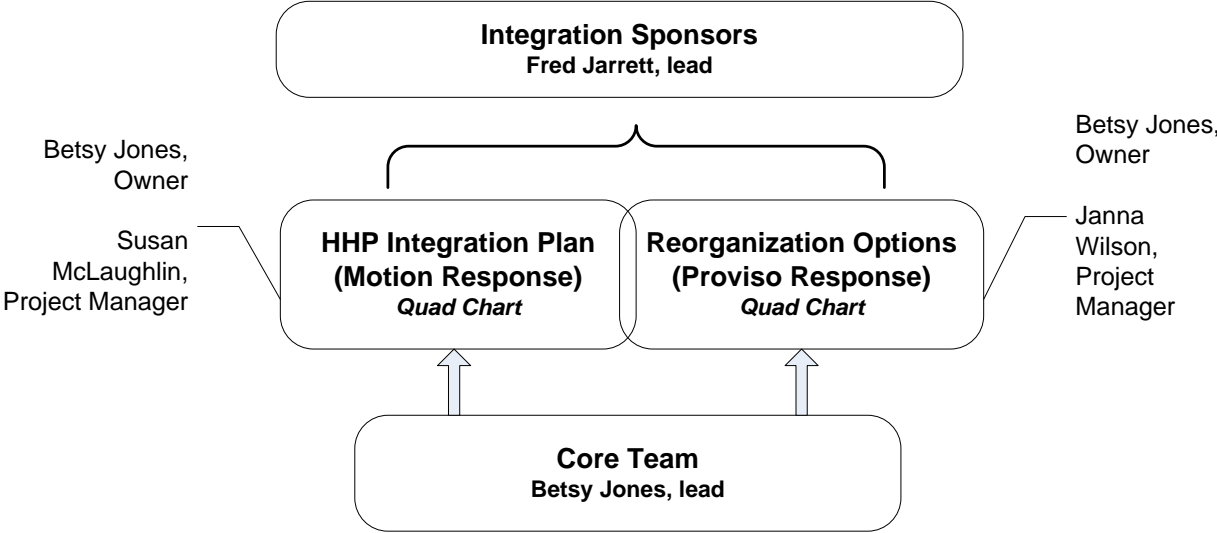
**D. Core Team**

The Core Team staffs the Integration Sponsors and is accountable for effective project management and strategy to achieve Quad Chart deliverables on schedule, and for associated stakeholder, communications, and resource management.

**Members:** **Betsy Jones (lead)**, Gretchen Bruce, Jennifer DeYoung, Susan McLaughlin, Janna Wilson, Michael Gedeon, Tyler Running Deer, Kelli Carroll. *Technical advisor-legislative strategy:* Genesee Adkins

**Meetings:** Twice weekly beginning January 4, 2013. The Core Team works as a single group to guide the work to complete Motion and Proviso objectives, drawing in technical experts as needed. Due to the volume of work, separate Quad Charts have been prepared although the work is linked.

The following graphic depicts these relationships:



## E. Assumptions

### E.1 Motion Response

Develop the Motion Plan response in a manner that:

- Assures a broad population-level frame of integration. Won't succeed if we design solely around low-income or most "in need."
- Balances attention to both downstream (addressing highest need) and upstream (prevention focus) strategies in order to capture strategic opportunities/resources.
- Builds on the work already done with stakeholders, but acknowledges the need to expand the circle of stakeholders to achieve integration.
- Uses a stakeholder panel in an advisory capacity, bringing design elements to them for review and feedback.
- Drives toward equity and social justice.
- Creates and sustains buy-in for a model that will be implemented over time, in phases.
- Achieves support among majority of state legislators for King County revenue/taxing authority.
- Articulates the future model that we intend to build towards, and then carefully focuses on the priority implementation strategies, opportunities, and the alignment of resources – both existing and new—to move us there.
- Builds on experiences and best practices from across the country.

### E.2 Proviso Response

Develop the Proviso Response in a manner that:

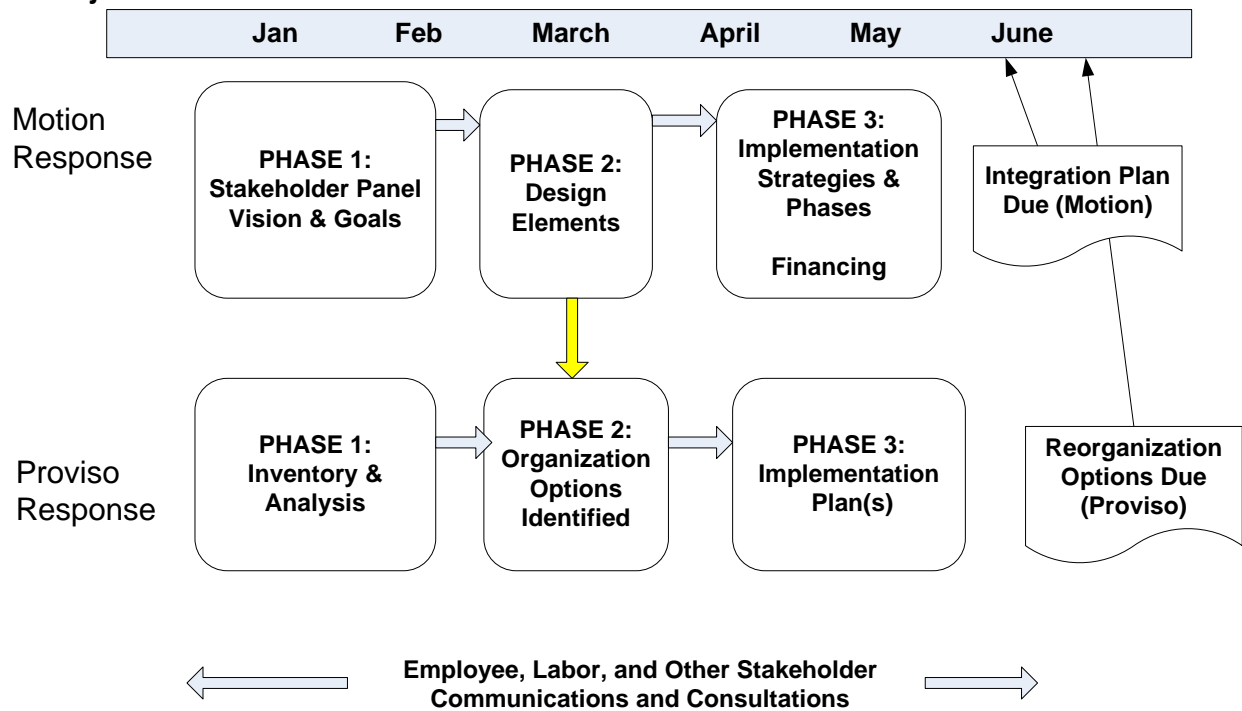
- Focuses on the goals of creating an organizational structure that allows for more effective and efficient services to residents and other customers, addresses unnecessary duplication, and identifies cost savings.
- Learns from the successes and challenges of other government entities that reorganized human services and public health functions.
- Assures that reorganization option(s) create best possible structure for advancing and sustaining the integrated system of care that's being designed in response to the Motion, and the overall achievement of the Strategic Plan Health and Human Potential goal.
- Assures that customers help to identify both what is valued and working well, and where waste and inefficiencies may be present.

- Commits to designing organization options that allow for the best from both of the existing departments and cultures to be shared, carried forward, and thrive.
- Designs and sustains a strong, shared communications strategy to achieve consistency in high-level messages both to internal audiences and to external partners.
- Works proactively to reduce employee anxiety, sustain morale, and take steps to fuel enthusiasm for the benefits of integration.

### F. Estimated Schedule and Milestones 2013

The work under this Charter will begin on January 1, 2013 and conclude on June 30, 2013 unless otherwise extended.

**Major Phases of Work:**



When	Motion Response Milestones	Proviso Response Milestones
January	Consultants engaged. Communications plan (end of January)	Mutually agreed outline for collecting information on business & admin functions (Jan 14 target date) Communications plan (end of January)
February	Stakeholder Panel convened (Estimated mid-February) Learning Session (Estimated late February)	Complete business/admin functions inventory (Feb 27)



When	Motion Response Milestones	Proviso Response Milestones
March	<i>[Further milestones to be inserted following consultant input]</i>	Complete program/services inventory (March 11) Integration Sponsors select options for which to prepare implementation plans (Mar 28)
April	<i>[Further milestones to be inserted following consultant input]</i>	<i>[Milestones for implementation plan to be itemized in March]</i>
May	Draft plan issued for community review (early May)	Assessment report & implementation plans drafted (late May)
May	Schedule briefings for all Councilmembers (for briefings that would occur in mid-June); brief jointly on the Motion & Proviso	
By May 17	Submit package to Executive	N/A
By June 1	Plan transmitted to County Council	N/A
By June 12	N/A	Submit package to Executive
By June 26	N/A	Assessment Report & Implementation Plans transmitted to County Council

### G. Role Matrix

	Motion Response Role	Proviso Response Role
<b>INTEGRATION SPONSORS, CORE TEAM, &amp; CONSULTANTS</b>		
Integration Sponsors Fred Jarrett, Lead  Rhonda Berry, Carrie S. Cihak, Dwight Dively, David Fleming (Chrissy Russillo), Jackie MacLean (Terry Mark)	Executive Sponsorship	
Betsy Jones, Exec Office	Core Team Lead Quad Chart Owner	Core Team Lead Quad Chart Owner
Susan McLaughlin, DCHS	Project Manager	Core Team Member
Janna Wilson, PHSKC	Core Team Member	Project Manager

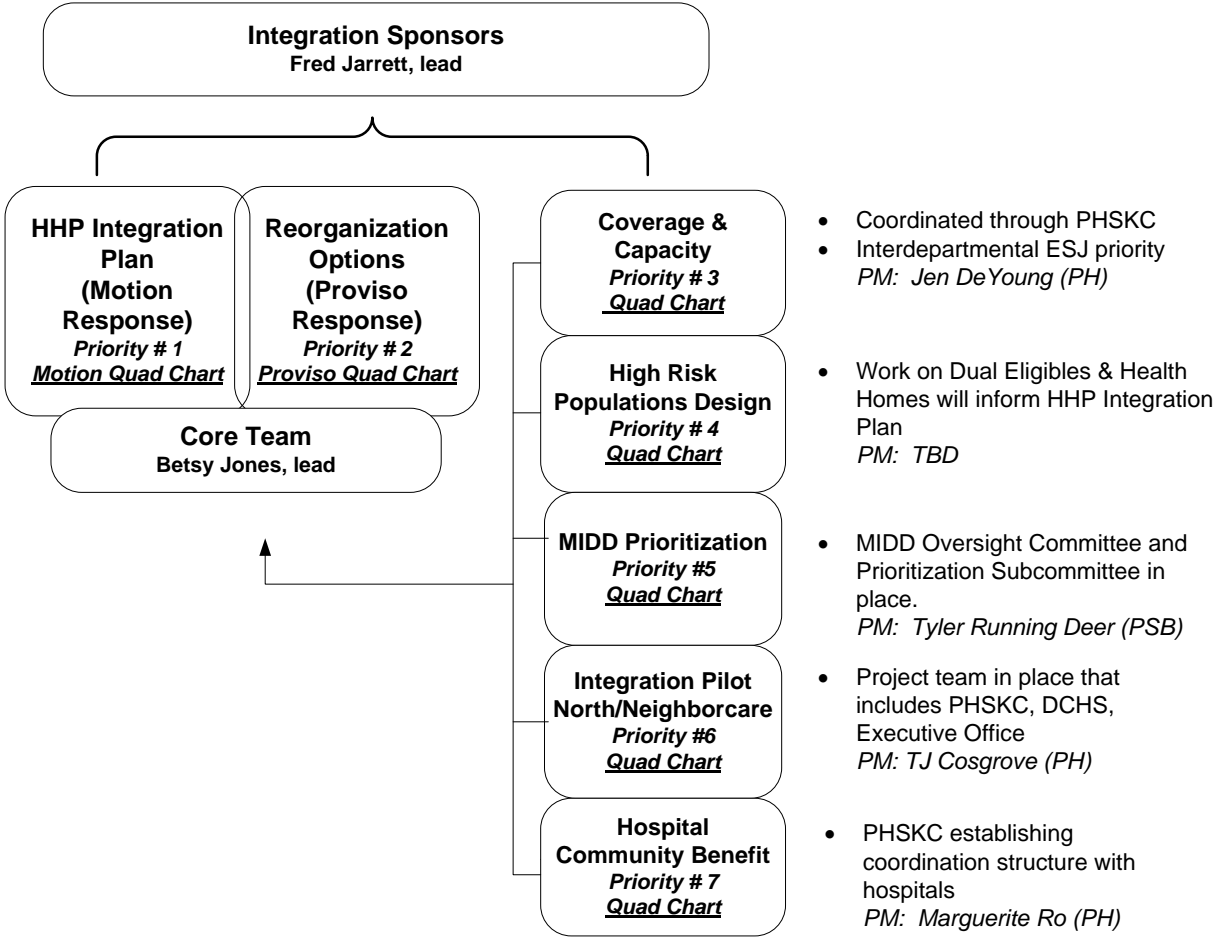
	Motion Response Role	Proviso Response Role
Jennifer DeYoung PHSKC; Gretchen Bruce, DCHS; Tyler Running Deer, PSB; Michael Gedeon, PSB.	Core Team Member	
Kelli Carroll, Council Staff	Core Team Member (may attend Sponsors Meetings where agenda warrants)	
Genesee Adkins	Technical advisor, legislative strategy	Kept Informed
Consultants-Clegg & Associates	Consultant Roles Per Contract (facilitation; stakeholder outreach; analysis)	<i>Limited:</i> may incorporate information gathering as part of stakeholder interviews
Other technical advisors as needed	Communications staff and others TBD	Communications staff and others TBD
<b>KING COUNTY DEPARTMENT &amp; COUNCIL STAFF</b>		
Ben Leifer, PHSKC Susan Eisele, PHSKC	Kept informed	PH Lead for Business/Admin Inventory (Eisele through end of Feb 2013)
Marty Lindley, DCHS	Kept informed	DCHS Lead for Business/Admin Inventory
Labor Representatives	<i>[Consult with Patti Cole-Tindall]</i>	<i>[Consult with Patti Cole-Tindall]</i>
Council staff for Board of Health, LJHS, Budget Committee, Regional Policy Committee	Consulted and Kept Informed	Consulted and Kept Informed
All Staff in PH & DCHS, unless roles specified elsewhere	Kept informed	Consulted about opportunities to improve customer service & efficiencies  Consulted about impacts of options  Kept informed

	Motion Response Role	Proviso Response Role
<b>STAKEHOLDERS</b>		
Stakeholder Panel (Motion)	Advises the Executive and Council in the development of the integration plan and implementation strategies; reviews proposed approaches and provides feedback and guidance to achieve the policy goals specified in Motion	<i>Indirect role:</i> Motion work will inform options and impacts.
Funders and other key informants (those not on Stakeholder Panel)	Consulted as needed.	Consulted as needed.
Consumers / residents	Consulted via their roles in Board/Councils, and through focus groups and targeted outreach.  Kept informed.	Consulted about impacts; Kept informed
Health, Human Services, & Prevention Coalitions and Associations	Consulted via representatives on Stakeholder Panel  Kept informed	Consulted about impacts of options  Kept informed
Health Reform Planning Team (group of ~30 primarily external CBOs, health plans, providers)	Consulted via representatives on Stakeholder Panel  Kept informed	Kept informed
Other local jurisdictions and Community Service Areas (Seattle, suburban cities, rural areas)	Represented on Stakeholder Panel	Consulted about impacts; Kept informed
Relevant Boards, Commissions, Councils <sup>2</sup>	Consulted as appropriate; Kept informed.	Consulted about impacts; Kept informed

<sup>2</sup> Board of Health; Mental Health Board; Substance Abuse Board; Developmental Disabilities Board; Women’s Advisory Board; Veteran’s Board; Vets & Human Services Levy Boards; MIDD Oversight; Joint Recommendations Committee; HRSA Planning Councils (Health Care for Homeless, Ryan White HIV/AIDS); Committee to End Homelessness; Area Agency on Aging

**Project Management Roles for Level 1 Master Scope Priorities # 3 -7 and Coordination with Motion & Proviso Work**

**Note:** Items 3-7 will each have quad chart or comparable tool for monitoring progress.



## H. Resource Plan

Resource Available	Activities Supported
<p>1. PSB HHP Goal Team Funding (\$25-35K) for Clegg and Associates (Judith Clegg &amp; subcontractor Dale Jarvis)</p> <p><i>Approximately 100 hours</i></p>	<ul style="list-style-type: none"> <li>Facilitation of stakeholder steering committee, focus groups, and analysis related to model development</li> </ul>
<p>2. \$100,000 from Council allocated to Executive for work on integration, including work under Motion &amp; Proviso</p>	<ul style="list-style-type: none"> <li>To be determined</li> </ul>
<p>3. <i>Core Team/Department staff support:</i> Part-time support from members of core team.</p> <p>Other department staff to be assigned as needed.</p>	<ul style="list-style-type: none"> <li>Core Team staffing &amp; participation; workplan management</li> <li>Analysis related to model development and Proviso response</li> <li>Research, analysis, and writing plan sections</li> <li>Some admin/logistics support</li> </ul>
<p><b>POTENTIAL GAP</b> Resources from # 2 may be source?</p>	<ul style="list-style-type: none"> <li>Additional consultant hours to support the work of the stakeholder panel.</li> </ul>
<p><b>POTENTIAL GAP</b> Resources from # 2 may be source?</p>	<ul style="list-style-type: none"> <li>Support for financing options analysis – Motion (PSB)</li> <li>Support for Proviso response analysis (PSB)</li> </ul>
<p><b>POTENTIAL GAP</b></p>	<ul style="list-style-type: none"> <li>Communications and website support</li> <li>Logistics support for Proviso response work</li> <li>Capacity for outreach/enrollment work (priority # 3) and high-need system design (priority #4)</li> </ul> <p><i>[Note, Veterans &amp; Human Services Levy Strategy 3.3 exists to support reform-related activities as of 2013]</i></p>

## APPENDICES – Resource Documents

- A. Text of [Motion 13768](#).
- B. Text of Budget Proviso (See next page)

## **APPENDIX B: Language from 2013 BUDGET: Proviso requiring Assessment Report and Implementation Plans, regarding the Integration of DCHS and PHSKC**

Purpose of integration as described in 2013 budget preamble:

**“Prioritizing and creating true efficiencies in combining health and human services:** With increasingly limited resources available for the health and human services safety net, this budget calls on the executive to develop and transmit to the council a plan for an integrated public health and human services department. The goal of this change is to create a new integrated model that provides more effective and efficient services, addresses unnecessary duplication of services and identifies associated cost savings.”

Date by which Executive must transmit to Council: June 26, 2013

### **Assessment Report**

1. A summary of potential reorganization options for the department of community and human services and public health - Seattle and King County, including an options for integrating the two departments into one department
2. A summary of potential impacts of each potential reorganization option
3. A summary of potential impacts to clients, providers, and the community for each reorganizational option;
4. A summary of potential impacts to federal and state contracts and revenue streams, including reporting requirements for each reorganizational option

### **Implementation Plan for each option, that shall include but be limited to:**

1. Identification of duplicative programs and administrative structures and how integration will resolve duplication of programs and administrative structures;
2. Identification of potential cost reductions to be achieved by integration of the two departments, reflecting a significant reduction in overhead expenditures and specifying what overhead expenditures would be reduced;
3. Identification of potential new or increased expenditures associated with integration of the two departments;
4. A draft organizational structure specifying reporting relationships and management duties of the merged departments;
5. Identification of potential issues involved with integration of the two departments and how the issues will be successfully managed or resolved, enabling integration to move forward;
6. A list of King County Code changes necessary to effectuate the integration of the two departments;
7. A schedule for integration of the two departments that specifies milestones, a timeline and phases of integration; and
8. Coordination with other county initiatives such as the health and human potential goal area of the county’s strategic plan.

## B.3 3.2.1 Checklist - Planning Team Considerations

### Project Manager / Planning Lead

Should the project manager / planning lead be internal staff, or an outside consultant? Once a Strategic Plan is approved and moved into the planning phase, someone will be primarily responsible for overseeing its completion. This role will often be filled by county staff; however it may be appropriate to hire an outside consultant to manage the process.

Key Considerations for selecting a Strategic Planning Plan lead	Yes	No
Are there political sensitivities related to this strategic plan that would require navigation by a PM with insider knowledge and information?		
Will it require in-depth knowledge of related county planning efforts, past and current?		
Will the process directly benefit from historical knowledge of this issue within the County?		
<p><i>Answering yes to any of these indicates that utilizing existing county staff may be a more appropriate choice for managing the planning process.</i></p> <p>If none of those, or similar, considerations present barriers for a consultant to manage the process, consider the following situations in which hiring a project manager can be beneficial:</p> <ul style="list-style-type: none"> <li>• Limited staff capacity to manage a long-term high-effort planning process;</li> <li>• Limited available expertise in process management, especially in cases where the topic is politically sensitive or highly complex;</li> <li>• Bringing an 'outsider' perspective to the topic, which could be a new approach to topics the County has previously tackled, or just a fresh or creative approach to the planning process;</li> <li>• Stakeholder perception, where county history with a particular topic or stakeholder group presents a potential impediment, which an outside manager could help to overcome.</li> </ul>		

### Core Team

There are a number of considerations in assembling the core planning team, which will assist the project manager in Strategic Plan development from inception to implementation. Leverage any information you have that defines the Strategic Plan goal, such as the Charter, or Scope of Work if developed, when identifying potential team members.

Key Considerations for selecting the core team	Yes	No
<i>Do you have the right breadth and depth of technical expertise related to the strategic plan topic?</i>		
<p>Remember that some outside technical expertise will come through working or advisory groups; however, you do not want to have to rely on those groups to answer fundamental questions related to the plan topic. You will want core team members to have direct experience with the topic(s) addressed by the plan.</p>		
<i>Do you have appropriate diversity of representation from pertinent county branches and agencies?</i>		
<p>Diversity is crucial not only for sufficient technical or topical expertise, but also to build buy-in and participation from other branches and agencies likely to be affected by the outcome of the Strategic Plan, or whose support and involvement will be needed during plan implementation. Consider whether you will</p>		

<p>need staff representing the County Council on your core team, to ensure Council-level buy-in. Another crucial diversity-related consideration is that one or more of your core team members is well-versed in the importance and function of the county’s Equity and Social Justice Initiative.</p>		
<p><i>Are selected team members available for the time period and level of commitment needed?</i></p>		
<p>Understanding the availability of your team members is critical when assigning them to a strategic planning team. If the most qualified individual has too many other competing priorities, they may not be the best candidate to support a core team effort.</p>		
<p><i>Will individual team members selected need additional support to fully participate in the process?</i></p>		
<p>Recognize upfront that team members may be pulled from their ongoing responsibilities to participate, may also be new to this kind of collaborative planning process, for example. There may be ways that a team lead can help smooth the transition, such as working with the project sponsor to help garner support from the individual’s department or manager, or offering training or just additional one-on-one support early on in the process. Remember that individuals have personalities too – and some require more energy to manage than others, and some groups of individuals working together may need more support than others to be successful as a team</p>		
<p><i>Do you wish to include external stakeholders (outside of King County staff) on the core team?</i></p>		
<p>It is not necessary to include external stakeholders on the core team, as the strategic planning process includes a stakeholder outreach and engagement phase, and furthermore may make use of advisory or working groups. However, including external stakeholders on the core team can bring benefits similar to those described above: increased diversity, outside perspective, and increased buy-in from effected communities whose involvement in and support of the process is crucial to success.</p>		

**External stakeholders on the core team**

One of the difficult aspects of bringing external stakeholders to the planning team is that it is typically an individual participant who will join the process, speaking on behalf of a stakeholder group or constituency. If external stakeholder participation on the strategic planning team is deemed important, take the time to identify the right individual from the group is involved.

Key Considerations for external stakeholders as core planning team members	Yes	No
<i>Does the representative have the support of the stakeholder group to participate and reflect the group’s position?</i>		
<i>Does the representative have the appropriate level of authority to speak on behalf of the stakeholder group?</i>		
<i>Do they have the appropriate technical expertise needed, if any?</i>		
<i>Are they able to commit what you need to the effort, such as time, resources, or an endorsement?</i>		
<i>Are there risks to including this representative in the planning effort, and if so, how can you manage those risks?</i>		
<i>How will you communicate expectations of participation to the representative, particularly if any of the information is confidential in nature?</i>		



## B.4 3.2.1 Checklist - Planning Team Responsibilities

### Sponsors

Depending upon the plan you are creating, the sponsors that back the charter may include representation from the Executive Office or the Council or perhaps both. Depending on the plan, it may be wise to include other elected officials or impacted stakeholders as part of the sponsor group. Sponsor support is critical for a strategic plan to be effective once implemented, as the actions outlined in the plan may require leadership level involvement, approval for new or revised legislation, policy recommendations, changes to the budget, or changes to Line of Business services or other standard County practices.

Continued engagement with the sponsors throughout the planning process is vital to ensure their understanding and to receive their feedback as well as getting their support and commitment to champion the process through any roadblocks. Keeping the executive branch and council informed during the design and planning process, along with any impacted agencies and labor groups, will result in better collaboration on the strategic plan development and follow-on agreement with recommendations and decisions. This is a key principle in successful change management techniques and will be critical if the strategic plan is trying to achieve significant, transformational change.

### Project Manager / Planning Lead

Should the project manager / planning lead be internal staff, or an outside consultant? Once a strategic plan process is approved and moved into the planning phase, someone will be primarily responsible for overseeing its completion. This role will often be filled by county staff; however it may be appropriate to hire an outside consultant to manage the process. The lead will also need strong project management skills to keep the team focused and on track, and will need to frequently communicate with the Sponsor Group to ensure key stakeholders are kept informed of progress being made and any obstacles encountered during the planning process.

### Core Team

There are a number of considerations in assembling the core planning team which will assist the project manager in strategic plan development from inception to implementation. A diverse team made of staff, various stakeholders, and subject matter experts will help get the work done while providing a variety of skills and experiences that will enrich the group's productivity. It is also critical that those charged with implementing the plan be represented on the core planning team, as this will be key to successful buy-in of the plan's recommendations and strategies. The general conclusion is that an ideal team size is roughly between seven and eleven people. Be mindful that:

- Large teams may have difficulty reaching a common understanding of a problem
- Overly large meetings reduce team collaboration
- Team decision making is difficult and oftentimes lengthy to resolve
- Some people don't like to actively participate in large groups
- Discussions can be dominated by just a few team members
- It is more difficult for large teams to gain trust, understanding, and appreciation for each other

### External stakeholders on the core team

One of the difficult aspects of bringing external stakeholders to the planning team is that it is typically an individual participant who will join the process, speaking on behalf of a stakeholder group or constituency. If external stakeholder participation on the strategic planning team is deemed important, take the time to identify the right individual from the group is involved.

### Working Groups or Advisory Groups

The names working group and an advisory group are often used interchangeably and other names for these type groups may be used (core team, design team, etc.). However there is a real distinction that can help inform the strategic planning process:

A **Working Group** focuses on executing targeted sections of the work at hand, which could include conducting research, focusing on one aspect of the issue, reporting back to the group findings and recommendations, and even writing portions of the plan. Working group efforts happen outside of core team meetings. Working group members also often provide technical expertise and content review. ‘Working Group’ usually suggests greater involvement in the process.

An **Advisory Group** includes individuals tasked with more of a consultation role, advising the project manager and core team with technical or process expertise or review. They do not typically conduct any work outside of regularly scheduled meetings, and also typically meet less often. Advisory groups are often a fit for individuals with a great deal of expertise, but limited time to commit.

### Outside Facilitators

Another question is that of process facilitation. It is a common assumption even when undertaking a complex planning process that the project manager is responsible for facilitation of all team interaction: meetings, working groups, or public outreach. As with other team decisions previously discussed, there are several key considerations in assessing whether your process would benefit from a professional consultant to staff and facilitate parts of the strategic planning process.

#### ‘Pros’ of using an outside facilitator

- Frees capacity for staff to avoid doing ‘double duty’ as both participant and facilitator;
- Brings in outside facilitation / process expertise;
- Potentially provides objectivity—removed from sensitive political considerations;
- May be less expensive (in a shorter facilitated process)

#### ‘Cons’ of using an outside facilitator

- Learning curve: may lack necessary information or contextual understanding and require training to get up to speed;
- May be more expensive (in a longer facilitated process)

## B.5 3.2.3 Template – Planning Team RACI Chart

**RACI** is a common tool to help teams understand communication and decision protocols. It is short for:

(R) **Responsible:** Those who execute the work associated with the task or activity. At least one and potentially several individuals will be responsible for completing the activity.

(A) **Accountable:** Typically there is only one individual noted as accountable for the task/activity. This person typically delegates to those responsible, and also approves the completed work. Note: This template is formatted to highlight the Accountable cell in green.

(C) **Consulted:** This role is often assigned to subject matter experts, and indicates that their opinions and feedback are sought in a two-way dialogue .

(I) **Informed:** This role is for those not directly participating in the activity but will benefit from updates on progress, even if only task completion. This role typically indicates a one-way communication (informing the individual of status).

**To download this template as an Excel Spreadsheet, click here:**

<http://www.kingcounty.gov/~media/exec/PSB/documents/3-2-3TemplatePlanningTeamRACIChart.ashx?la=en>

You will also find a few other tools on the spreadsheet, such as separate worksheets for Key Considerations for communication planning, and a Roles and Responsibilities Matrix.

RACI Chart							
Strategic Plan name	<Insert SIP Plan Name>				Updated	<Enter date updated here>	
Strategic Plan Lead	<Insert Name>				Sponsor	<Enter sponsor name here>	
	<Name>	<Name>	<Name>	<Name>	<Name>	<Name>	<Name>
Task/Activity	Project Sponsor	Strategic Plan Lead	Team Member 1	Team Member 2	Team Member 3	Team Member 4	Team Member 5
<Insert Task/Activity Name>							
<Insert Task/Activity Name>							
<Insert Task/Activity Name>							
<Insert Task/Activity Name>							
<Insert Task/Activity Name>							
<Insert Task/Activity Name>							
<Insert Task/Activity Name>							
<Insert Task/Activity Name>							



## B.6 3.3.1 Tip Sheet – Project Management Considerations

Because the development of a Strategic Plan is a temporary endeavor to create a unique product, it is by definition a project. As part of the planning phase, the Strategic plan lead should address several fundamental elements of project management to help the team achieve their objectives.

*(Note that other core Project Management elements, including Team Development, Communications, and Stakeholder Engagement are addressed in separate sections in the Strategic Planning Guide.)*

### Scope

#### *Develop a scope*

The project scope is a detailed description of the project that will result in the final strategic plan. It elaborates beyond what is defined in the Charter to describe specific activities, major deliverables and their acceptance criteria, what will be included and excluded from the project.

#### *Strategic Plan project scope and Strategic Plan Charter – the same thing?*

While the scope and charter may contain similar elements they serve different purposes and contain a different level of detail.

The charter serves to formally initiate the strategic plan project with key information known at the time to outline what the work will entail and the kind of transformational change desired as a result. It is a static document.

The charter will certainly inform the scope, but the scope will go into more detail and may be progressively elaborated, with proper controls to manage scope creep, over time as the work becomes better understood.

#### *Create a work breakdown structure*

The total scope involved in developing a strategic plan will likely be multi-faceted and multi-phased – and therefore a bit overwhelming as a planning tool. A valuable Project Management step is to break down the scope from the highest, top level into more manageable groupings organized by key deliverables, types of activities, or project phases. These groupings can be further paired down to define discrete ‘work packages’ that contain more specific activities that strategic plan Leads can use to more easily define who will do the work, how much it will cost, and how long it will take. This graphic depiction, called a ‘work breakdown structure’ of all of the different work packages is a visual way to see all the different components of the work in one place.



**Example Work Breakdown Structure Organized by Activity Groupings**

**Plan scope management**

While the scope may be an iterative document, that does not mean it should not be closely managed. Planning and documenting in advance how the scope will be managed is critical for avoiding scope creep.

Key Considerations for Planning Scope Management
<i>How will the project scope be managed, and who is responsible?</i>
<i>How stable is the project scope? Can you estimate how likely it is to change, how frequently, and how much?</i>
<i>How will changes to the scope be identified, documented, and approved?</i>
<i>How will changes to the scope be integrated into the project?</i>

**Schedule**

Estimating the duration and sequencing of activities is best done once work packages have been identified. Steps involve:

- Break down the work packages into the specific activities to perform the work. Some work packages may have more activities than others.
- Sequence the activities in the order that they need to occur. This step helps to identify key relationships between the work being performed, such as activities that are dependent on each other, or activities that can happen in parallel, as well as where leads (activities where you can get a head start) or lags (wait time or delays) can be planned for.
- Identify the type, quantity and characteristics of resources (for strategic plan development, resources will generally be people with specific kinds of expertise or knowledge) needed to perform the activities.

- Estimate the duration for each of the activities. The most accurate way to estimate duration is a ‘bottom up’ approach, where you estimate length of time for the most discrete activity possible. This approach is also the most time consuming to do, so consider the level of accuracy needed when assessing how you will go about estimating. Another commonly used estimating approach includes comparative estimating (look at what it took to do a similar task on another project).
- Develop the actual project schedule. From this schedule, you can map out the critical path – that is, the sequence of activities that represent the longest path through the project – which will help you also see areas where there is flexibility in the schedule.

Consider the project schedule as a baseline and recognize that it may be adjusted or elaborated as the SIP planning progresses.

## Budget

The Charter will have authorized funding for the strategic plan development process. Understanding how much funding is available and if there are any constraints or requirements attached to the funding will be critical to developing and managing the strategic plan budget.

The scope and schedule are key inputs to the development of a budget. For each of the activities identified, estimate the costs for all resources required to perform the work, including people, materials, equipment, services, and other incidentals like facilities or materials. Similar to schedule development, there are a range of cost estimating techniques, with the most robust and accurate being a bottom up approach that looks at each component of the work.

As with the scope and schedule, the budget is a baseline of the aggregated cost estimates to perform the work, and needs to be actively managed.

## Risk and Opportunity

While it’s impossible to foresee every potential disruption or synergy, take the time to identify known potential risks and opportunities the planning process may encounter.

Grouping risks and opportunities into common categories will help to facilitate, and later organize and manage the identified risks. One common set of categories is: technical, organizational, external and project management risks and opportunities. Examples for each of these categories for strategic plan development could include:

Technical	Organizational	External	Project Management
Conflicting technical expertise	Changing political tides, such as elections	Lack of stakeholder group support	Schedule conflicts

As you map out these risks and opportunities, plan for what your team could do in advance to minimize or maximize the possibility of it occurring (depending on if it is desirable or undesirable) and how your team would respond should it occur.

## Project Monitoring

### *Understand and track against project requirements*

Often the Charter or associated proviso will identify core requirements or milestones that must be met for the planning process and product to be considered successful. Make sure those requirements are well understood by the strategic plan team, documented, and monitored.

The proviso may also include commonly cited county benchmarks to strive for, such as:

- Number of county residents surveyed as part of public engagement;
- Number of staff hours
- Consultant hours/cost

Such benchmarks should also be included in the project tracking, and will likely be a component of any project reporting requirements established. Tracking against these benchmarks can also help the County identify updates to existing benchmarks or where new benchmarks are needed, for future related SIP efforts.

### *Quality Assurance / Quality Control*

Plan and document in advance what activities the strategic plan team will use to measure and assure the strategic plan and development process meets the quality requirements established (quality assurance) and what techniques or activities will be used to ensure the products meet requirements and expectations (quality control).

### *Change management*

“The only thing that is constant is change” – it’s a commonly cited quote, and quite true for ambitious and complex endeavors such as strategic plans, it will hold true. While you can’t anticipate what the changes will be, you can plan for how to manage them. Documenting how changes will be received, reviewed, approved or rejected, communicated and implemented will prove invaluable as the project proceeds. Words of wisdom are ‘document, document, document’ – ensure that change requests and decisions are documented in a change control log. Varying levels of information may be included in the documentation, but planning in advance will create consistency through the project.

### *Evaluation and reporting*

King County’s has a long history of leadership in creating and contributing to transformative change and expects to maintain that leadership in the future. Continuous evaluation and transparency in process are key aspects to ensuring that the successes, challenges and lessons learned from this strategic plan development processed are leveraged in future efforts.

Reporting typically takes several forms, which have different approaches and desired outcomes:

- **Reporting to the strategic planning team** keeps members actively engaged and is a good way to keep momentum going, encourage ownership in the process, and develop effective course-correcting strategies.
- **Reporting to project sponsors, Council, and other oversight or approval bodies** will provide accountability and buy-in to the process, and keep leadership engaged, committed and aware of any added resources or support the strategic planning team may need.
- **Reporting to stakeholders** will also help maintain transparency in process and ensure that key opportunities for engagement are not missed.



- **Documenting lessons learned**, best practices and resources identified is an immeasurable internal asset to future teams tasked with developing strategic plans. A best practice that will save headaches down the road is to document lessons learned as you go, rather than relying on memory to recount them at the end of the process.

Plan in advance reporting expectations and processes, including who is responsible for reporting, and what kind of reporting format is expected.



## B.7 6.1 Tip Sheet - SWOT Analysis

Excerpt from STRATEGIC PLANNING: A TEN-STEP GUIDE  
McKay, Emily Gantz (July 2001)

SWOT Analysis usually includes an external component -- identifying and assessing opportunities and threats in the external environment -- and an internal component -- assessing organizational strengths and weaknesses. This process is often referred to as "SWOT": strengths, weaknesses, opportunities, and threats.

- **The external component of the environmental scan should include a review of the target or service community and the broader environment in which the organization operates, to identify the opportunities and threats facing the organization.** This might include the following:
  - Consider forces and trends in the broader community, political, economic, social, and sometimes technological (See Bryson, Strategic Planning for Public and Nonprofit Organizations). Look at changing demographics, political trends, community values, economic trends, the implications of new or changing laws and regulations affecting the organization, communications and other technological trends -- and consider their impact on your organization and the population it serves.
  - Look carefully at the immediate target community or service area to determine its status and needs, and specifically those of current and potential clients and beneficiaries of the organization's services and advocacy. ...
  - Consider opportunities and challenges related to resources and funders. ...
  - Look at actual and potential collaborators and competitors, including organizations which may serve the same neighborhood and/or target population or may seek funds from the same funding sources, public or private.

This process may involve something as extensive as a community needs assessment with interviews, focus groups, and fax or e-mail surveys that is conducted by a consultant, or may be limited to a small number of informal discussions with clients and other community residents, heads of organizations focused on ESJ issues, public officials, funder representatives, and other appropriate individuals.

- **The internal component of the environmental scan includes an assessment of the organization's strengths and weaknesses.** This may include a number of components or approaches. ...
  - You may want to assess current organizational performance in terms of financial and human resources (inputs), operating methods or strategies (processes), and results or outcomes (outputs). If the organization does not have extensive objective measures of its outcomes, perceived performance can be partially determined through asking clients and stakeholders. Try to understand how key players or stakeholders in the broader community -- as well as

constituents or clients -- view the organization. Sometimes, brief written forms are sent to, or interviews conducted with, key stakeholders; interviews are best conducted by a consultant, to assure frank and honest responses. Once you have this information, be sure to further analyze the reasons -- in terms of inputs and processes -- for perceived weaknesses in outcomes. ...

- It is often valuable to identify critical success factors for the organization. This step is not always included in strategic planning, but can be very useful. Try to understand what factors are necessary to the future and continued success of the organization. These may be factors like relationship with target community/constituency, resources, program strategies, governance structure, and staff skills and style. This may be done directly, or the organization might try a method suggested in the Aetna Management Process, which is to use "reverse logic," to identify the elements – the activities, attitudes, assumptions, etc. – that would cripple the organization and keep it from fulfilling its mission. Then use this to identify the critical determinants of success. Both Board and staff can provide useful input to this process. ...
- The organization might want to review or formalize organizational values and operating principles. Some organizations have written values and principles which guide their decision making and their ongoing activities. These can be very helpful in "defining" the organization.

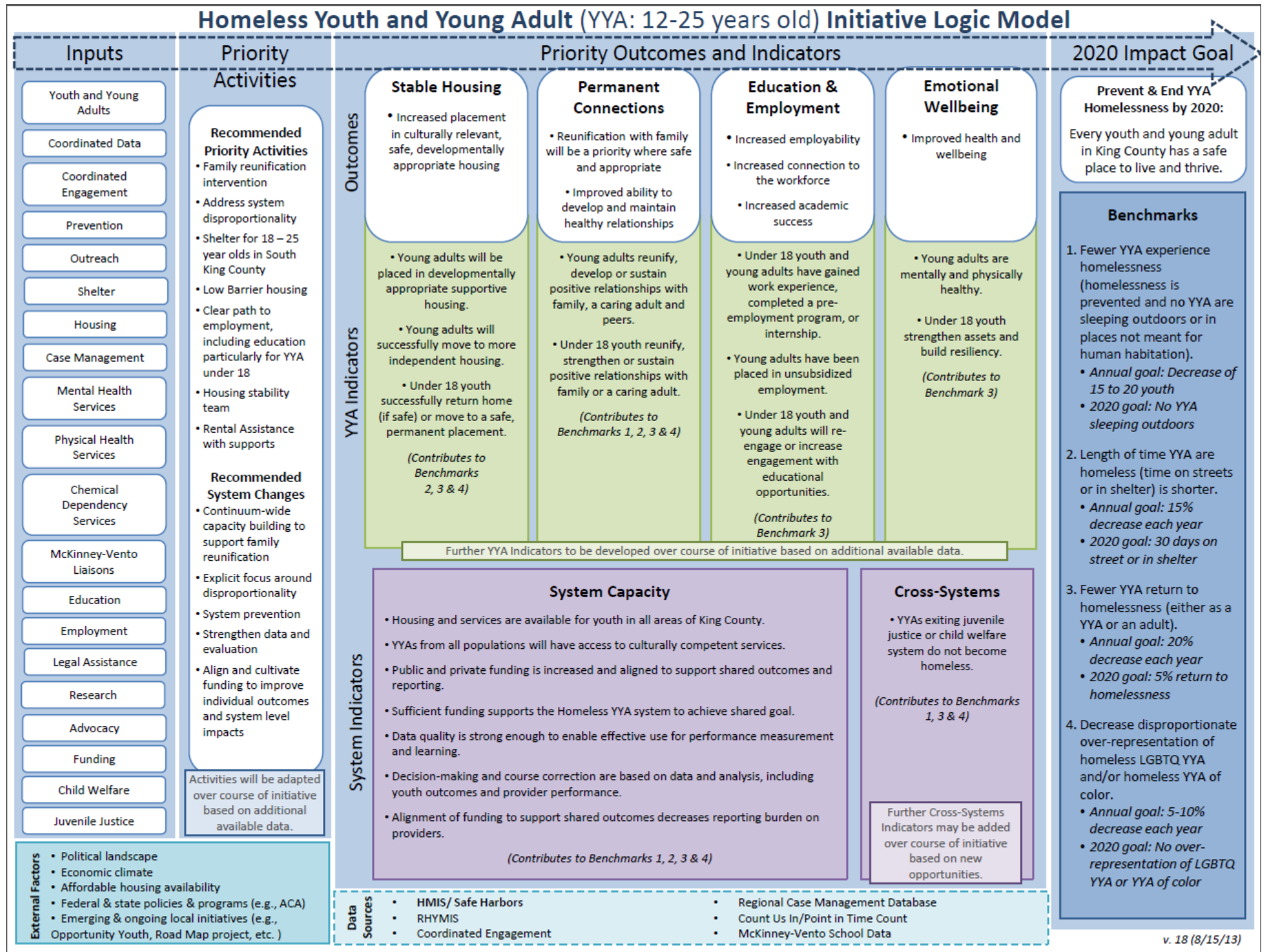
A consultant can be hired to assist with the environmental scan, contacting stakeholders to provide an external view and staff to obtain an internal assessment. An organization that is open in its communications may be able to obtain this information without outside assistance, through a staff retreat or a series of meetings with staff in various components and at various levels within the organization. The committee responsible for the strategic plan should work with staff to plan the environmental scan, help to conduct external interviews with community leaders – especially if no consultant will be used, and assure that the Board receives a full report on the results of the environmental scan process.

The result of the environmental scan should be an analysis of organizational strengths and weaknesses and external opportunities and threats. This may be oral or written, and requires careful review and discussion by the strategic planning committee. Often, your strategic planning retreat will begin with a presentation of results of the environmental scan. Sometimes, results are presented at a Board or Board-staff session prior to the retreat. In either case, the Board and staff should be familiar with the findings before strategic planning decisions are made

## B.8 6.4 Tip Sheet – Review of Strategic Planning Framework

Framework	Used for	Features	Reference
<b>Theory of Change Model</b>	Used frequently by not-for-profit organizations and governments to develop strategies to promote change	Working backwards from a goal or set of goals to identify the necessary interventions and preconditions needed in order to achieve the desired goal outcomes.	Center for Theory of Change: <a href="http://www.theoryofchange.org/">http://www.theoryofchange.org/</a>
<b>Logic Model</b>	Can be a powerful tool to visualize how your strategies will lead to desired outcomes, particularly larger community focused outcomes.	A concise visual depiction showing the interconnectedness of the many moving parts of strategic plan components, specifically the inputs, activities and outcomes.	University of Kansas ‘Community Tool Box’: <a href="http://ctb.ku.edu/en">http://ctb.ku.edu/en</a> and type “Logic Model” in the search bar
<b>Collective Impact Model</b>	Working with cross-functional groups or across agencies and community partners	Five key conditions for shared success: common agenda, shared measurement, mutually reinforcing activities, continuous communication, and backbone support	Stanford Social Innovation Review: <a href="http://ssir.org/articles/entry/collective_impact">http://ssir.org/articles/entry/collective_impact</a>
<b>Results Based Accountability</b>	Working with community partners or directly with affected communities to measure success and achieve change	Complements the Collective Impact model, provides a disciplined way of developing and using mutually agreed upon measures. Starts at the end and work backwards using data and stories behind the data	RBA Implementation Guide: <a href="http://raguide.org/">http://raguide.org/</a>
<b>Hoshin Kanri</b>	Within organizations to develop and implement strategic goals of the organization	Aligning top level goals and deploying them throughout the organization using a series of “catchball” iterations and consensus building, then regularly following up on progress towards achievement	Lean Production site – online resource for Lean tools <a href="http://www.leanproduction.com/hoshin-kanri.html">http://www.leanproduction.com/hoshin-kanri.html</a>
<b>Shingo Model™</b>	Within organizations that need to focus on culture and change management to achieve goals	Includes the Shingo Guiding Principles™ while working on goals and strategies. Focus on organizational culture is key to implementing significant changes.	Shingo institute Website: <a href="http://shingo.org/">http://shingo.org/</a>









B.10 6.1 Tip Sheet – Principles of Success

Principles of Success for Achieving Transformational Change



**Obtain authority or approval to pursue**

Approval provides the flexibility to pursue without prescriptive oversight; Backed by budget, formalized through a project charter



**Appoint a champion to shepherd the process**

Skills of the right leader  
Ability to gather a strong team



**Understand the broader system or landscape of the issue**

Within County purview  
Outside of County purview  
Implications of change on other issues (ie. Social justice, other SIPs)



**Engage the full scope of stakeholders at the right level**

**Stakeholders:** direct and indirectly related groups (including people, organizations, geographic representation, and representatives of related goals ie, social justice)

**Inclusive:** Include 'high risk' as well as 'known' stakeholders  
Role clarity to guide level of involvement and function: (input, expertise, convene, fund, decision maker, etc.)

More than just the right groups, you need the right people at the table (core attributes)



**Allow for emergent instead of predetermined solutions**

Solutions emerge through inclusive, iterative processes rather than following a prescriptive paths to a predetermined solution



**Set a common agenda**

A shared vision for change including a common understanding of the problem and a joint approach to solving it through agreed upon actions.  
Clear definition of the scope of the effort



**Agree on measurable definitions of success**

Shared and early understanding of what success means  
Use of benchmarks that define desired outcome, that all actions and activities roll up to SMART (specific, measurable, achievable, realistic, time bound)



**Create learning opportunities through each step of the process**



**Put in place a horizon to maintain interest**

Focus efforts within the time frame  
Allows for iteration, recalibration and emergence of other solutions to focus on next



**Focus and phase the effort**

Targeting small, focused efforts to figure things out over a tight timeline.



**Put a reporting structure in place early on**



**The SIP Plan will enable alignment of the King County Strategic Plan and the county's highest priorities into the existing Lines of Business service delivery.**



**The SIP Plan should look to change what King County delivers, not just how or how much.**



**The SIP Plan should evaluate and make recommendations on best and emerging practices.**

Icons from Wilson Joesch, Krisada, Wilson Middleton, Matthew Hall, Laurent Patain, Murali Krishna, Huu Ngyuen, Luis Prado, and Dmitry Sunseifer of the Noun Project





