

UNIVERSITY
OF
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Strategic Planning Handbook



This handbook outlines a strategic planning process developed by the Strategy and Program Management Office (SPMO) for the University of California, Office of the President (UCOP) divisions. It was piloted in 2015-16 with both the COO and CFO divisions and has since been rolled-out to the Division of Agriculture and Natural Resources (ANR) and the Division of Academic Affairs and UC Health. The enclosed timeline and process outline have been adapted to reflect best practices and lessons learned. Naturally, all components may be amended to suit the needs of a particular division/unit. SPMO staff would be happy to facilitate and/or assist with each division's strategic planning process. Corresponding presentation materials, templates and instructions are also available for use if self-facilitation is desired. In order to ensure the greatest overall organizational cohesion, it is highly recommended that key components of all UCOP division strategic plans (e.g.; strategic objectives, core values, plan components) be aligned with those already in place.

[For questions or assistance, please contact the Strategy and Program Management Office:](#)

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OUTCOMES & DELIVERABLES

Upon completion of this strategic planning process, participants will have the following in hand, heart and head:

➤ HAND

- A. Full Strategic Plan document
 - 1. Background/Market Conditions
 - 2. Mission, Values, Vision
 - 3. Strategic Objectives
 - 4. Division Goal Summaries
 - a. Goal Statement
 - b. Owner
 - c. Priority
 - d. Opportunity (problem statement)
 - e. Proposed Solution
 - f. Benefits
 - g. Key Strategies w/ timeline
 - h. Assumptions
 - i. Metrics and Targets
 - j. 5-year Project and Operational Financial Estimates
 - k. Additional Information
 - 5. Division Goal Timeline
 - 6. Monitoring Plan
 - 7. Communication Plan
- B. Associated 5-Year Financials
- C. Associated 5-year estimated FTE summary
- D. Departmental Action Plans (Smartsheet)

➤ HEART

- A. Commitment to vision, values, the Plan itself, and the team

➤ HEAD

- A. Clear understanding of the purpose, value and process of planning
- B. Clear understanding of plan components, steps to implementation and evaluation

STAKEHOLDER INPUT

This planning process was designed specifically for UC's decentralized academic environment. Steps have been inserted to elicit directional input from staff and campus/location stakeholders before the planning process begins and again at key intervals before the plan is finalized. Financial estimates, including one-time project costs, annual costs and annual revenue/savings, for each goal are included in the plans in order that both OP and campuses/locations may evaluate the associated cost/benefit.

PLANNING PROCESS TIMELINE

The timeline below outlines a schedule for completing the strategic planning process within four months (16 weeks) of the first workshop. **Note:** the number of workshops and overall timeline will vary depending upon participant availability, organizational complexity, number of locations, holidays, key competing events, etc.

TIMELINE	STEPS
Week 0 1 hr	SPONSOR INTERVIEW
Week 0 2 -3 wks	SCHEDULING & PREPARATION
Week 1	COMMUNICATION TO STAKEHOLDERS
Weeks 1-3 3 wks	SURVEY STAFF & CAMPUS/LOCATION STAKEHOLDERS
Week 2 4 hrs	WORKSHOP I - Setting the Stage <ul style="list-style-type: none"> • Introduction • Situation Assessment • Core Values Discussion • Create Division Mission • Values List Generation
Week 3 5 hrs	WORKSHOP II – Develop the Foundation <ul style="list-style-type: none"> • Hone Mission • Define Core Values • SWOT Analysis • Begin Division Vision (BHAG & Vivid Description)
Week 4 6 hrs	WORKSHOP III– Develop the Strategic Direction <ul style="list-style-type: none"> • Hone Vision (BHAG & Vivid Description) • Product/Service Exploration • Review Staff & Stakeholder Input • Draft Strategic Objectives • Division Goals – begin discussion • Introduce HWK 1 – Goal Summaries
Weeks 4-6 2 wks	HOMEWORK I - Division Goal Summary Creation
Week 6 5 hrs	WORKSHOP IV– Division Goal Critique & Discussion <ul style="list-style-type: none"> • Refine Mission, Vision, Values, Strategic Objectives • Goal Critique and Discussion (carousel activity) • Introduce HWK 2 – Goal Summary Refinement & 5-Year Financials
Week 6-9 3 wks	HOMEWORK II – 1-on-1 Goal Summary Refinement & 5-Year Financials
Week 10 4 hrs	WORKSHOP V – Division Goal Presentation & Prioritization <ul style="list-style-type: none"> • Presentation & Refinement of Draft Goals – keep/amend/eliminate? • Group Goal Prioritization • Introduce HWK 3 – Final Revisions to Goal Summaries & Financials if/as needed
Week 10-12 2 wks	HOMEWORK III – Final Revisions to Goal Summaries & Plan Components
Week 13 1-2 hrs	DIVISION LEADER TOUCHBASE – Final Goal Review & Prioritization

May be combined/split into longer or shorter sessions

TIMELINE	STEPS
Week 14 4 hrs	WORKSHOP VI – Status Check and Presentation Practice <ul style="list-style-type: none"> • Final Mission/Vision/Values/Strategic Objective Revisions • Review Draft Strategic Plan • Presentation Practice & Final Amendments
Week 15-19 4 wks	ELICIT FEEDBACK FROM PRESIDENT, STAFF AND STAKEHOLDERS
Week 20 4 hrs	WORKSHOP VII– Stakeholder Feedback & Implementation Steps <ul style="list-style-type: none"> • Review Stakeholder Feedback to decide keep/amend/eliminate • Introduce Departmental Action Plan • Integration w/ Individual Performance Goals • Determine Monitoring process • Determine Communication Plan
TBD	COMMUNICATE PLAN TO ALL STAFF & STAKEHOLDERS

PLANNING PROCESS DETAIL

Each step of the planning process is outlined below. Actual workshop contents and activities will vary depending on the length of time available and the processing preferences of each group. Some planning teams may prefer to hone drafts outside the group setting while others will find the collective editing process more rewarding/enriching. This outline is intended to provide general guidance on content and sequencing of activities in the planning process. Corresponding presentation and facilitation materials are available upon request.

- I. **SPONSOR INTERVIEW (1 hr.)** – gain mutual understanding/agreement on the following:
 - A. **Purpose of Strategic Planning** – sponsor’s expectations and perceived purpose
 - B. **Product/Outcome** – at the conclusion of the planning process, what will participants have in hand, heart, head?
 - C. **Participants (Guiding Coalition)** – Who will participate in the process? (recommend direct reports to division leader plus one designee each)
 - D. **Process** – Review/agree upon the outlined steps
 - E. **Sponsor’s Role** – discuss role that will allow greatest participation
 - F. **Probable Issues** – What key topics / issues will likely come-up/need to be discussed?
 - G. **Preparation** for “Situation Assessment”
 1. What data for Situation Assessment (see IV.B below)?
 2. Who will provide/gather?
 3. Who will present the data?

- II. **SCHEDULING & PREPRATION (2-3 wks)**
 - A. **Define Participant List**
 - B. **Schedule all Workshops**
 - C. **Stakeholder Pre-Survey**
 1. Define Stakeholder List
 2. Develop & Approve Survey Questions & Distribution Email
 - D. **Determine** (and possibly schedule) **Stakeholder Feedback Sessions**
 - E. **Assemble “Situation Assessment” Data/Information for Workshop I**
 - F. **Prepare and Approve Communication to All-Staff**

- III. **STAFF/STAKEHOLDER COMMUNICATION AND INPUT SURVEY (3 wks)**
 - A. **Elicit input via Survey Monkey**
 1. Staff (optional; if included, target = 10-50 respondents depending upon population size)
 2. Key campus/location stakeholders = include respondents whose input is important to the development of division goals
 - B. **Send All-Staff Communication** (same day that survey goes out to stakeholders)

- IV. **WORKSHOP I – Setting the Stage (4 hrs.)**
 - A. **Introduce Strategic Planning Process**
 1. Purpose
 2. Product
 3. Timeline

- B. **Situation Assessment** –Where are we today? Review/examine pertinent data to provide a common set of information about the organization’s internal/external environment that will serve as a solid foundation from which to plan. For example:
 1. Previous strategic planning prep work (if any)
 2. Previous surveys or interview data (if any)
 3. Presidential Priorities
 4. Budgets
 5. Industry Trends
 6. Key stakeholders list
 7. Other Relevant Data
- C. **Develop Division Mission** = a statement of the overall purpose of the organization; describes *Our Cause* - who/what/where we serve, *Our Actions* - what we do, and *Our Impact* – changes for the better.
 1. Clearly define division role vis-à-vis campuses/locations
 2. Mission Matrix Exercise – create mission statement
- D. **Values List Generation**
 1. Develop list of possible division values (Lucy video w/ blue/yellow post-it exercise)

V. **WORKSHOP II (5 hrs.) – Develop the Foundation**

- A. **Hone Division Mission**
- B. **Define Core Values** = what are our division’s guiding principles – that we as a group will adhere to no matter what? Merge with CFO/COO values list if/as possible.
 1. Review values list from previous workshop
 2. Values “test” exercise (Jim Collins)
- C. **SWOT Analysis** w/ prioritization (dots exercise)
- D. **Begin Creation of Division Vision = picture of the “preferred future” (10-15 yrs. out); a statement** that describes how the future will look if the organization achieves its ultimate aims.
 1. Future Article exercise (Jim Collins) w/ PPT examples (Kotter)
 2. Extract “snippets” for Vivid Description
 3. Brainstorm possible BHAGs
 4. Elicit volunteers to create draft BHAG and Vivid Description as homework (optional, see below)

VI. **WORKSHOP III (6 hrs.) – Develop the Strategic Direction**

- A. **Hone BHAG & Vivid Description**
 1. Provide strawman examples from previous workshop brainstorm – edit as a group
 2. Note: some groups will prefer to do this draft wordsmithing outside/in advance of the workshop; if so, elicit volunteers to work on a draft at previous workshop
- B. **Product/Service Exploration** = Given trends and SWOT:
 1. What can be added to our best products/services?
 2. What products or services should we change or eliminate?
 3. What new products or services should we consider?
- C. **Review Staff and Stakeholder Survey Input**
- D. **Draft Strategic Objectives (3-8)** = broad, long-term aims that move the division towards actualizing its vision (not stated in SMART terms at this point); (build from CFO/COO strategic objectives)

- E. **Division Goals Begin Discussion** = specific, quantifiable, realistic targets that move the division towards accomplishment of a strategic objective over a specified period of time; (SMART - strategic, measurable, achievable, realistic, time-bound).
 - 1. Assign an “owner” to each goal generated; that person will create corresponding goal summary (see HWK 1 below)
- F. **Introduce HWK I - Two-Page Goal Summaries** (use *Goal Summary Instructions*)
 - 1. Goal Statement – SMART
 - 2. Opportunity (Problem Statement) – what problem will be alleviated if you achieve this goal?
 - 3. Proposed Solution - describe the proposed solution, its scope and how it will address the stated problem
 - 4. Benefits –specific positive outcomes that will accrue if this goal is achieved
 - 5. Key Strategies – key activities required to achieve the goal, control a critical success factor, or overcome a barrier (SMART).
 - 6. Assumptions = major items (often not in our control) that must “go right/work/be effective” in order for us to achieve a specific goal.
 - 7. Metrics and Targets = what key metrics will be used to measure success?
 - 8. Priority – Goal owner assigns color-coded rating to each goal to illustrate relative impact and urgency. These ratings may also carry implications regarding precedence for short-term resource allocation.
 - : High Impact and/or High Urgency
 - : High/Moderate Impact and Moderate Urgency
 - ◆: High/Moderate Impact and Less Urgency

VII. **HOMEWORK I - Division Goal Summary Generation (2 wks.)**

- A. In addition to the division goals generated as a group, think about critical key goals for your department that will move the division towards its vision. For each goal, complete a draft Goal Summary (template and instructions provided). Do not include financials at this time.
- B. Elicit input/help (as appropriate) from department stakeholders in the development/ completion of Goal Summaries and on other draft plan components if/as desired.
- C. Goal Summaries due at least one week before next workshop

VIII. **WORKSHOP IV (5 hrs.) – Division Goal Critique & Discussion**

- A. **Present Goal Statements** - by strategic objective (goal owners read)
- B. **Critique Goals** - carousel activity
 - 1. Review goal summary contents and format; provide instructions on how to critique
- C. **Add/merge/amend goals** - discussion/observations
- D. **Revisit Strategic Objectives** – amend if/as needed
- E. **Hone Vision, Mission, Values/** if/as needed and as time allows
- F. **Introduce HWK II** – Goal Summary Refinement & 5-Year Financials Worksheet

IX. **HOMEWORK II – 1-on-1 Goal Summary Refinement & Financials (3 wks.)**

- A. **One-on-One PMO + Goal Owner Consultations** to review/refine goal summaries (30-60 min. each)
 - 1. Invite other department stakeholders if/as necessary

2. Complete 5-Year Financials Worksheet for each goal (template and instructions provided)
3. Elicit input/help (as appropriate) from department stakeholders in the development/ completion of Goal Summaries and on other draft plan components if/as desired.
4. Division Leader (and/or designee) begins work on introduction pages of the plan (samples given; provides background information to support the inclusion of the particular goals within the plan)
5. Revised goal summaries and financial worksheets due at least one week before next workshop

X. WORKSHOP V (4 hrs.) – Division Goal Presentation & Prioritization

- A. **Goal Owners Present Goals:** (3 min each; timed)
 1. Goal Statement
 2. Problem Goal is Addressing
 3. Key Strategies
 4. Anticipated Benefit/s
- B. **Review master goal spreadsheet which outlines:**
 1. Goal Statements
 2. Key Strategies
 3. Financials (OP and Campus/Location)
 4. Goal Owner's Prioritization
- C. **Determine whether to keep/amend/eliminate** listed goals
- D. **Re-visit Strategic Objectives** if/as needed
- E. **Hone Vision, Mission, Values** if/as needed and as time allows
- F. **Group prioritization of goals**
- G. **Introduce HWK III** – Final revisions to goal summaries as needed

XI. HOMEWORK III – Final Revisions to Goal Summaries if/as Needed (2 wks.)

- A. **Goal Owners Make Revisions** resulting from previous workshop discussion/decisions
 1. Revised Goal summaries due at least one week before next workshop
- B. **Division Leader (or designee) finalizes plan introduction pages**

XII. DIVISION LEADER TOUCHBASE – Final Goal Review (1-2 hrs)

- A. PMO meets with division leader for final review of the following (full goal- summary worksheet sent to division leader for edit in advance):
 1. Short Title
 2. Full Goal Statement
 3. Final Prioritization
 4. Review Financials

XIII. WORKSHOP VI – Status Check & Practice for Stakeholder Presentations (4 hrs)

- A. **Final Mission/Vision/Strategic Objective Refinement**
- B. **Review Draft Strategic Plan**
- C. **Practice Presentations and Final Amendments**

XIV. ELICIT FEEDBACK FROM PRESIDENT/PEO & STAKEHOLDERS (4 wks)

- A. **Present a draft Strategic Plan to the following groups** to elicit feedback and their priorities/commitment to goals and resources needed (Note: it is advisable that groups elicit feedback on plan components throughout the planning process):
 - 1. President/President's Executive Office (PEO) (note: draft due one week prior to presentation)
 - 2. Key Campus/Location Stakeholders (as identified by Guiding Coalition)
 - 3. Other Division Leaders
 - 4. Subject-Matter Experts (done by individual departments if/as desired)

XV. WORKSHOP VII – Review Stakeholder Feedback & Determine Implementation Steps (4 hrs)

- A. **Review stakeholder feedback**
- B. **Amend goals if/as necessary**
- C. **Introduce Departmental Action Plan** (Smartsheet) which includes:
 - 1. Goal Statement
 - 2. Key Strategies from Goal Summary (assigned to an owner)
 - 3. Departmental Actions = specific steps to be taken within a department, by whom, and when, in order to implement a strategy (SMART).
- D. **Integration with Individual Performance Goals**
- E. **Determine Division Monitoring Plan**
 - 1. What and how often? (Division Smartsheet license needed; training session/s provided by PMO)
 - a. Bi-Mo'ly – Activity (Strategies/Actions) Aligned w/ PEO Milestone reporting
 - b. Annually – Review results; revise/amend the strategic plan as appropriate
- F. **Determine Division Communication Plan**
 - 1. Who, how, when, how often will we communicate the plan and updates to all staff? To campuses?

XVI. COMMUNICATE COMPLETED STRATEGIC PLAN TO STAKEHOLDERS & STAFF

STRATEGIC PLANNING DEFINITIONS

While there are variations on labels and respective definitions used in strategic planning, the component labels below have been chosen for UCOP strategic plans.

COMPONENT	DEFINITION
STRATEGIC PLAN	A guide or roadmap to focus time, talent and resources in running a successful enterprise.
VISION	A picture of the “preferred future”; a statement that describes how the future will look if the division achieves its ultimate aims.
MISSION	A statement of the overall purpose of the division, which describes: Our Cause - who/what/where we serve Our Actions - what we do Our Impact – changes for the better
CORE VALUES	The division’s guiding principles – the guardrails that, as a group, we will adhere to no matter what. UCOP has begun the development of core values that should be used as a foundation for all OP divisions to build upon.
STRATEGIC OBJECTIVES (Level 1 Actions)	Broad-based, long-term (3-5 yrs out) aims that move <u>the division</u> towards actualizing its vision (not stated in SMART terms at this point). UCOP has already established 6 strategic objectives that should be used as a foundation for all OP divisions to build upon.
DIVISION GOALS (Level 2 Actions)	Specific, quantifiable, realistic targets that move <u>the division</u> towards accomplishment of a strategic objective over a specified period of time (SMART - specific, measurable, achievable, realistic, time-bound)
KEY STRATEGIES (Level 3 Actions)	Key activities/steps required to achieve a specific goal (SMART and assigned to a department and person)
DEPARTMENTAL ACTIONS (Level 4 Actions)	Specific steps to be taken within a department, by whom, and when, in order to implement a strategy (SMART)
ASSUMPTIONS	Major items (often not in our control) that must “go right/work/be effective” in order for us to achieve a specific goal.
GOAL SUMMARY	2-page summary of each division goal which outlines the following components: Goal Statement, Owner, Priority, Opportunity, Proposed Solution, Benefits, Key Strategies, Assumptions, 5-year Financials
OPPORTUNITY	Describes the problem/purpose/motivation behind achieving the goal
PROPOSED SOLUTION	Defines scope and objectives of a particular goal
BENEFITS	Outlines the benefits that will be derived from achieving this goal
METRICS & TARGETS	Outlines how success will be measured including associated desired targets

COMPONENT	DEFINITION
PRIORITY	<p>Color-coded ratings have been assigned to each goal to illustrate relative impact and urgency. These ratings may also carry implications regarding precedence for short-term resource allocation.</p> <ul style="list-style-type: none"> ●: High Impact and/or High Urgency ■: High/Moderate Impact and Moderate Urgency ◆: High/Moderate Impact and Less Urgency
PROJECT & OPERATIONAL FINANCIAL ESTIMATES	<p>Each Goal Summary contains high-level 5-year financial estimates. In many instances, full business cases will need to be developed to determine exact amounts. This section outlines the following 6 elements:</p> <ol style="list-style-type: none"> 1. UCOP Impact: Numbers reflect expenses and revenue/savings that will be covered by the division's budget. As with all OP expenses, new line items may impact campus assessment. 2. Campus/Location Impact: Numbers reflect expenses and revenue/savings expected to directly come from/to the campuses, labs and/or medical centers. Amounts listed are for all participating UC locations combined 4. One-time Project Costs: Total estimated project implementation costs (staff, technology, consulting, etc.) incurred from a point in time (beginning of given fiscal year) through the end of the project. Previously incurred project costs are not included. General resources (staff/other) that will be dedicated to this project but are already on a general operating budget are not included in this line item. 5. Annual Costs: Numbers represent anticipated <u>new</u> steady-state operational costs that will be incurred over and above the existing budget as a result of realizing this goal. 6. Annual Revenue/Savings: Numbers represent the anticipated annual increase in new revenue and/or savings through cost containment as a result of realizing this goal.

PLANNING HIERARCHY

Strategic plan components are developed in the following sequence; each component building on those preceding. Examples below have been taken from the COO Strategic Plan for illustration.

COMPONENT	EXAMPLE (for illustration only)
MISSION VALUES VISION	
STRATEGIC OBJECTIVES (Level 1)	Operational Excellence - Drive accountable, transparent management practices that promote service and balance risk, reputation, cost and compliance
DIVISION GOALS (Level 2)	3 In partnership w/ the CFO division, improve efficiency and leverage scale through the deployment of UCPath by December 2018
KEY STRATEGIES (Level 3)	3a Fully Deploy UCPath at all UC locations by December 2018 3b Fully operationalize the UCPath Center at all UC locations by December 2018
DEPARTMENTAL ACTIONS (Level 4 – post planning)	3a.1 KPIs and reporting in place by 6/2016 (UCPC) (J. Doe) 3a.2 Formal training programs in place for PeopleSoft and required courses to support Pilot staffing ramp by 7/2016 (UCPC) (J. Doe) 3a.3 Execute formal hiring actions against approved staffing plan for pilot by 3/2017 (UCPC) (J. Smith)

ANNUAL PLAN REVIEW PROCESS

Goal activity is generally monitored monthly by each respective goal owner. It is recommended that division leadership teams monitor goal progress every other month or quarterly. The full strategic plan should be revisited annually to measure results, identify needed course correction and outline a communication strategy to update staff and stakeholders. Prior to the annual plan review meeting, divisions may want to reach-out to campus/location stakeholders to communicate the past year's progress along with planned activity and related resource requirements for the coming year and to elicit location feedback so that this information may inform decisions regarding any needed plan amendments.

I. SCHEDULING & PREPARATION (2-3 weeks)

- A. Define Plan Review Participant List**
- B. Schedule Workshop**
- C. Make sure all Smartsheet Action Plans are up to date**
- D. Goal Owners Fill-in Annual Plan Update Worksheet (template provided)**
 - 1. Summarize past year's accomplishments for each goal against defined metrics
 - 2. List any planned/desired changes to goals or key strategies
 - 3. Outline goal-related actions and personnel/functions required of campuses/locations for coming year
 - 4. Outline/verify goal-related OP and location project (temp) and annual (perm) costs for coming year
- E. Elicit input from campus/location stakeholders if/as needed or desired**

II. ANNUAL PLAN REVIEW WORKSHOP (3 hrs)

- A. Review goal status (owner updates)**
- B. Review stakeholder input, if elicited**
- C. Confirm needed course correction - changes/additions/holds/eliminations**
- D. Update the communication strategy for the coming year (to staff and stakeholders)**
 - 1. Who? How? When?
 - 2. What?
 - a. Accomplishments
 - b. Plan Amendments
 - c. Actions and resources needed from staff/stakeholders

III. PUBLISH REVISED ANNUAL PLAN (3-4 weeks)

- A. Capture all changes to plan components**
 - 1. Insert any deleted items into Appendix
- B. Circulate internally for edits/approval**
- C. Forward copy to President's Office if/as appropriate**

IV. COMMUNICATE STATUS UPDATE TO STAKEHOLDERS & STAFF