

UNIVERSITY
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UCOP Strategic Planning Handbook



This handbook outlines strategic planning processes developed by the Strategy and Program Management Office (SPMO) for the University of California, Office of the President (UCOP). The original process was piloted in 2015-16 and as of December 2019 has been completed by seven divisions:

- Academic Affairs
- Agriculture and Natural Resources (ANR)
- CFO
- External Relations and Communications
- UC Health
- UC Legal
- UC Operations

Building off the components of each of these strategic plans, the President and her leadership team have also developed the UCOP Strategic Framework that is informing all strategic planning efforts within the Office of the President going forward.

Three strategic planning processes are outlined in this handbook – 1. **Initial 5-year plan** for divisions completing strategic planning for the first time, 2. **Annual review** for divisions in years 2-4 of their plan, 3. **Renewed 5-year plan** for divisions entering year 5 of their plan.

The enclosed timeline and process outline have been adapted to reflect best practices and lessons learned for each process. Naturally, all components may be amended to suit the needs of a particular division. SPMO staff will be assigned to facilitate and/or assist with each division's strategic planning process.

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

Zoanne Nelson, Associate Vice President & Chief Strategy Officer
zoanne.nelson@ucop.edu; 510-987-0578

Julian Ryu, Senior Program Manager
julian.ryu@ucop.edu; 510-587-6096

Deanna Geddie, Senior Program Manager
deanna.geddie@ucop.edu; 510-987-9420

Eileen Foster, Senior Program Manager
eileen.foster@ucop.edu; 510-287-3830

Strategic Planning 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. 5-Year Financial Summary across Goals
- C. 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. For the initial plan, steps have been inserted to elicit directional input from division staff and campus/location and UCOP stakeholders before the planning process begins and again at key intervals before the plan is finalized. These consultation steps are also recommended for the annual review and renewal processes.

Financial Estimates – UCOP and Campus/Location

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 UCOP and campuses/locations may evaluate the associated cost/benefit.

Initial Planning Timeline

The timeline below outlines a schedule for completing the initial strategic planning process within about four months (18 weeks). **Note:** the number of workshops and timeline will vary depending upon participant availability, organizational complexity, number of locations, holidays, key competing events, etc.

TIMELINE	
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/op stakeholders
Week 2 4 hrs	Workshop I - Setting the Stage <ul style="list-style-type: none"> • Introduction • Situation Assessment • Core Values Discussion • UCOP Strategic Framework Review • Begin 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
Week 6-9 3 wks	Homework II – 1-on-1 Goal Summary Refinement
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 –Revisions to Goal Summaries + 5-Year Financials
Week 10-12 2 wks	Homework III – Edit Goal Summaries + 5-Year Financials
Weeks 10-12 2wks	Elicit Feedback From Staff on Plan Components (w/o Goals)
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"> • Review Staff input on Plan Components • Final Mission/Vision/Values/Strategic Objective Revisions • Review Draft Strategic Plan • Presentation Practice & Final Amendments
Week 14-17 23 wks	Homework IV – Final Revisions to Goal Summaries & 5-Year Financials
Week 17-19 3 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

Initial Planning Process Detail

Each step of the planning process is outlined below to build an initial five year strategic plan. Actual workshop contents and activities will vary depending on the length of time available and the preferences of the division. 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 will be provided.

- I. **Sponsor Interview (1 hour)** – 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** – 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. **UCOP Strategic Framework** – share framework and explain how Division will incorporate content
 - G. **Probable Issues** – What key topics / issues will likely come-up/need to be discussed?
 - H. **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 & Preparation with Chief of Staff or Equivalent (2-3 weeks)**
 - A. **Identify Planning Team**
 - 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 Process**
 - 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 online survey tool (e.g. Survey Monkey, Survey Gizmo)**
 1. Key campus/location and UCOP stakeholders = include respondents whose input is important to the development of division goals
 2. Send survey link with introduction email from Division Leader
 3. Recipient number can vary from 20-250, depending upon stakeholder distribution
 - B. **Send All-Staff Communication or Host All-Staff Meeting** (before survey goes out to stakeholders) to overview strategic planning process and areas where their input will be solicited

- IV. **Workshop I – Setting the Stage (4 hours)**
 - A. **Introduce Strategic Planning Process**
 1. Purpose, Product & Timeline

- B. **Situation Assessment** –Where are we today? Review and examine pertinent data to provide a baseline of information about the division’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. Market/Industry Trends/Challenges
 - 6. Key stakeholders list
 - 7. Internal changes
 - 8. Other Relevant Data
- C. **Review UCOP Strategic Framework** – review UCOP Mission, Values, Vision, and Strategic Objectives. Explain how components will inform Division strategic planning. Explain that UCOP Values and Strategic Objectives will adopted by all divisions.
- D. **Begin 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 draft mission statements
 - 3. Assess Division Mission against UCOP Mission
- E. **Values List Generation** - Divisions will adopt the UCOP Values from the UCOP Framework and undergo an exercise to identify additional values they may want to add
 - 1. Develop list of possible division values (Lucy video w/ blue/yellow post-it exercise)

V. **Workshop II (5 hours) – 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?
 - 1. Review values list from Lucy Video
 - 2. Review Performance Competencies and Principles of Community
 - 3. Align Division Values with UCOP Values from Strategic Framework. Division should adopt UCOP’s values but use the “test” exercise identify gap(s). Discuss with planning team on whether additional division-specific values are necessary. If UCOP Values were not identified by the division, the team should discuss how to address the gap(s).
- C. **SWOT Analysis** w/ prioritization (dots exercise)
- D. **Begin Creation of Division Vision = picture of the “preferred future” (10-30 yrs. out); a statement** that describes how the future will look if the organization achieves its ultimate aims.
 - 1. Review Vision and Mission from the UCOP Strategic Framework as an anchoring point. The division’s vision should align to the UCOP vision.
 - 2. “Future Article” exercise (Jim Collins) w/ PPT examples
 - 3. Extract “snippets” for Vivid Description
 - 4. Brainstorm possible BHAGs

VI. **Workshop III (6 hours) – Develop the Strategic Direction**

- A. **Hone BHAG & Vivid Description**
 - 1. Provide strawman created from previous workshop brainstorm – edit as a group
 - 2. Remind team of UCOP Vision and Strategic Objectives from UCOP Strategic Framework

- 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. **Revisit Strategic Objectives** = All divisions will adopt the UCOP strategic objectives and their descriptors. Ensure that the division vision aligns to the UCOP strategic objectives. However, if a UCOP strategic objective does not apply to the division (i.e. they have no corresponding goals to the objective), they may remove it.
- 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) – define the problem that 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 weeks)

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

VIII. Workshop IV (5 hours) – 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 (instructions on how to critique provided)
- 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 (3 weeks)

- A. **One-on-One Facilitator (SPMO) + Goal Owner Consultations** to review/refine goal summaries (30-60 min. each)
 - 1. Invite other department stakeholders if/as necessary
 - 2. Elicit input/help (as appropriate) from department stakeholders in the development/ completion of Goal Summaries and on other draft plan components if/as desired.
 - 3. 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)
 - 4. Revised goal summaries due at least one week before next workshop

X. Workshop V (4 hours) – 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. **Determine whether to keep/amend/eliminate** listed goals
- C. **Group prioritization of goals**
- D. **Metrics discussion and confirmation**
 - 1. Describe “Theory of Change” as framework to identify and develop metrics
- E. **Hone Vision, Mission, Values** if/as needed and as time allows
- F. **Introduce HWK III** – Final revisions to goal summaries as needed plus 5-year financials

XI. Homework III – Edit Goal Summaries & Financials (2 weeks)

- A. **Goal Owners Make Revisions** resulting from previous workshop & facilitator feedback
- B. **Complete 5-Year Financials** for each goal (Worksheet and instructions provided)
 - 1. Revised Goal summaries and financial worksheets due at least one week before next workshop
- C. **Division Leader (or designee) edits plan introduction pages**

XII. Elicit Feedback From Staff On Plan Components (2 weeks)

- A. Survey staff to elicit feedback on the following components only; feedback on actual goals will come later
 - 1. Mission Statement
 - 2. Vision (BHAG + Vivid Description)
 - 3. Values
 - 4. Strategic Objectives

XIII. Division Leader Touchbase – Final Goal Review & Prioritization (1-2 hours)

- A. Facilitator (SPMO) meets with division leader for final review of the following (draft goal summaries sent to division leader for edit in advance):

1. Short Titles
2. Full Goal Statements
3. Final Prioritization

XIV. **Workshop VI – Status Check & Practice for Stakeholder Presentations (4 hours)**

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

XV. **Homework IV – Final Revisions to Goal Summaries & Financials (3 weeks)**

- A. **Goal Owners Make Final Revisions** resulting from previous workshop & additional facilitator feedback
 1. Engage department/division budget person to review/edit financials
 2. Revised Goal summaries and financial worksheets due at least one week before next workshop
- B. **Division Leader (or designee) finalizes plan introduction pages**
- C. **Division Leader Approves Draft Plan for Distribution to Stakeholders**
 1. Distributed Plan should include Strategic Objectives and Goals at a minimum

XVI. **Elicit Feedback From President & Stakeholders (3 weeks)**

- 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/Executive Leader
 2. Key Campus/Location Stakeholders
 3. Other Division/Department Leaders
 4. Subject-Matter Experts (if/as desired)
- B. **Surveys may also be sent to elicit feedback** if the stakeholder group is very large or widely distributed

XVII. **Workshop VII – Review Stakeholder Feedback & Determine Implementation Steps (4 hours)**

- 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 facilitator/SPMO)
 - a. Quarterly – Activity (Strategies/Actions)

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/locations? To key stakeholders?

XVIII. Communicate Completed Strategic Plan To Stakeholders & Staff

Tracking And Monitoring

Following completion of the initial or renewed plan, goal activity is generally monitored monthly by each respective goal owner. It is recommended that division leadership teams monitor goal progress quarterly at a minimum.

Annual Plan Review Process

The full strategic plan should be revisited annually in years 2-4 to measure results, identify needed course correction, and outline a communication strategy to update staff and stakeholders. Prior to the annual plan update, divisions should consider informing stakeholders across campus/locations, of the past year's progress along with planned activity and related resource requirements for the coming year, and elicit feedback to inform decisions regarding any needed plan amendments. Communication/engagement with staff and stakeholders throughout the year regarding goal implementation status, planned metrics, resources needed, etc. is ideal for optimal implementation success.

I. Sponsor Scheduling & Preparation (2-3 weeks)

- A. **Identify Planning Team**
- B. **Schedule Workshops**
- C. **Confirm goal monitoring tools are up to date**
- D. **Goal Owners Pre-work: Update Goal Summaries (3rd-page goal summary template provided)**
 - 1. Summarize past year's key accomplishments against stated metrics
 - 2. List any roadblocks/challenges related to the goal
- E. **UCOP Strategic Framework** – review framework and explain how Division will incorporate content, if it has not already
- F. **Elicit input from stakeholders** if/as needed or desired

II. Annual Plan Review Workshop I (3 hours)

- A. **Review UCOP Mission, Vision, and Strategic Objectives form UCOP Strategic Framework**
 - 1. Review UCOP Mission, Values, Vision, Strategic Objectives. Explain how components will inform Division strategic planning. Explain that UCOP Values and Strategic Objectives will adopted by all divisions. If this is the first annual review since the Framework was established, discuss the transition from existing values and strategic objectives to the UCOP-wide ones.
- B. **Revisit Mission, Vision, Values to set the stage**
 - 1. If not already completed, incorporate UCOP Strategic Framework language for common values (if not already done). All divisions will adopt the UCOP values and their descriptors. Divisions may choose to add values that are specific to their mission.
 - 2. These components should *not* need revision unless there has been a significant change in leadership and/or basic function/scope of the organization
- C. **Update SWOT Analysis**
 - 1. Consider applying 'carousel' activity in which posters of Strengths, Weaknesses, Opportunities, Threats are posted around the room. The planning team broken into groups rotates to each poster to make suggested amendments
- D. **Review goal status** (owner updates)
- E. **Review stakeholder input** (if elicited)
- F. **Confirm needed course correction - changes/additions/holds/eliminations**

III. Homework I – Edit Goal Summaries & Financials (2-3 weeks)

- A. **Goal Owners revise and/or develop any new needed goal summaries**
 - 1. Update all components as appropriate

1. Key Strategies:
 - a. Add,
 - b. Edit dates
 - c. Mark those that are completed
2. **Complete 3rd pg. of Goal Summary** resulting from previous workshop & facilitator feedback
3. List end-of-year metrics on scorecard in template
4. Update financials (past year entries should be “actuals”)
- B. **Complete 5-Year Financials** for each goal (Worksheet and instructions provided)
 1. Revised Goal summaries and financial worksheets due at least one week before next workshop
- C. **Division Leader (or designee) edits plan introduction pages**

IV. **Annual Plan Review Workshop II (3 hours)**

- A. **Review & confirm proposed goal changes**
- B. **Confirm key metrics for the organization/division**
- C. **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
- D. **Confirm monitoring schedule and process for coming year**

V. **(Optional but recommended) Organizational Retreat (3 hours)**

- A. **Invite key stakeholders to 1-day retreat**
 1. Strategic Planning team + key stakeholders/staff who will be required to implement or who will be significantly impacted by implementation of the goal/s
- B. **Overview goal performance status**
- C. **Elicit input on topics of choice; e.g.:**
 1. Metrics for division dashboard
 2. Roadblocks to successful implementation
 3. Identification of their role in implementation

VI. **Publish Revised Annual Plan (3-4 weeks)**

- A. **Capture all changes to plan components**
- B. **Circulate internally for edits/approval**
- C. **Review with the President**

VII. **Communicate Status Update To Stakeholders & Staff**

Renewal Plan Process

In year five (or potentially year four) of the strategic plan, divisions should conduct a 5-year renewal plan. Prior to the renewal plan process, divisions should again elicit feedback from stakeholders to inform the five-year renewal plan. As “timeless” elements of the division, mission and values are expected to change minimally at most during the renewal process. More focus may be placed on the vision and goals. The goals should be re-evaluated and reset as part of the renewal plan. As with the initial planning process, ongoing communication/engagement with staff and stakeholders regarding goal implementation status, planned metrics, resource needs, etc. is ideal for optimal implementation success.

I. Sponsor Scheduling & Preparation (2-3 weeks)

- A. **Identify Planning Team**
- B. **Confirm renewal planning process and schedule workshops**
- C. **UCOP Strategic Framework** – review framework and explain how Division will incorporate content, if it has not already
- D. **Confirm Stakeholder list and build survey for stakeholder feedback**
- E. **Confirm staff feedback process including SWOT**

II. Staff/Stakeholder Communication and SWOT Input Survey (3 wks)

- A. **Elicit input via online survey tool (e.g. Survey Monkey, Survey Gizmo)**
 - i. Key stakeholders = include respondents whose input is important to the development of division goals
 - ii. Send survey link with introduction email from Division leader (or business unit executive)
 - iii. Recipient number can vary from 20-250, depending upon stakeholder distribution
- B. **Send All-Staff Communication or Host All-Staff Meeting** (before survey goes out to stakeholders) to overview strategic planning process and areas where their input will be solicited

III. Renewal Workshop I (4 hrs) – Establishing the New Baseline

- A. **Situation Assessment** –Where are we today? Review and examine pertinent data to provide a baseline of information about the division’s internal/external environment that will serve as a solid foundation from which to plan. For example:
 - i. Previous strategic planning prep work (if any)
 - ii. Previous surveys or interview data (if any)
 - iii. Presidential Priorities
 - iv. Budgets
 - v. Market/Industry Trends/Challenges
 - vi. Key stakeholders list
 - vii. Internal changes
 - viii. Other Relevant Data
- B. **Review UCOP Strategic Framework** – review UCOP Mission, Values, Vision, and Strategic Objectives. Explain how components will inform Division strategic planning. Explain that UCOP Values and Strategic Objectives will adopted by all divisions. If this is the first annual review since the Framework was established, discuss the transition from existing values and strategic objectives to the UCOP-wide ones.
- C. **Revisit Division Mission, Vision, Values to set the stage**
 - i. Adopt values and language from UCOP Strategic Framework common values (if not already done). Divisions may choose to add values that are specific to their vision.

- ii. Align division's vision to the UCOP vision and strategic objectives in the UCOP framework.
- iii. Not expected to have major revision unless there has been a significant change in leadership and/or basic function/scope of the organization

D. Review stakeholder input

E. Review SWOT input from division staff

F. Confirm needed course correction - changes/additions/holds/eliminations

G. Review existing goals

- i. Assess existing goals against stakeholder input and determine whether to refresh or remove goal in renewed plan

H. Identify new goals

- i. Determine new goals based on data from stakeholder input, SWOT analysis, and situation assessment.

IV. Homework I - Division Goal Summary Generation (2-3 wks.)

- A. In addition to the existing and new division goals identified and assigned as a group in the workshop, also think about any other missing goals that are needed to move the division towards its vision.
- B. For renewal of existing goals, complete a draft Goal Summary (template and instructions provided). Do not include financials at this time.
- C. For newly identified goals, determine goal statement and problem to solve. Likely will require further discussion and scoping before draft Goal Summary can be developed.
- D. Elicit input/help (as appropriate) from department stakeholders in the development/ completion of Goal Summaries and on other draft plan components if/as desired.
- E. Goal Summaries due at least one week before next workshop

V. Renewal Workshop II (4 hrs) – Division Goal Critique & Discussion

- A. **Present Goal Statements** – goal owners read
- B. **Critique Goals** – planning team provides feedback on scope of goals and on what to update.
- C. **Add/merge/amend goals** - discussion/observations
- D. **Hone Mission and Vision/** if/as needed and as time allows
- E. **Introduce HWK II** – Goal Summary Refinement & 5-Year Financials Worksheet

VI. Homework II – 1-on-1 Goal Summary Refinement (3 wks.)

- A. **Goal Owners Make Revisions** resulting from previous workshop & facilitator feedback
- B. **Complete 5-Year Financials** for each goal (Worksheet and instructions provided)
 - i. Revised Goal summaries and financial worksheets due at least one week before next workshop
- C. **One-on-One Facilitator (SPMO) + Goal Owner Consultations** to review/refine goal summaries (30-60 min. each)
 - i. Invite other department stakeholders if/as necessary
 - ii. Elicit input/help (as appropriate) from department stakeholders in the development/ completion of Goal Summaries and on other draft plan components if/as desired.
 - iii. 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)
 - iv. Revised goal summaries due at least one week before next workshop

- VII. **Renewal Workshop III – Goal Refinement**
 - A. **Critique Goals** - carousel activity
 - i. Review goal summary contents and format (instructions on how to critique provided)
 - B. **Group prioritization of goals**
 - C. **Metrics discussion and confirmation**
 - D. **Finalize Mission, Vision, Values, Strategic Objectives**
 - E. **Introduce HWK III** – Final revisions to goal summaries as needed plus 5-year financials

- VIII. **Homework III – Edit Goal Summaries & Financials (2 wks.)**
 - A. **Goal Owners Make Revisions** resulting from previous workshop & facilitator feedback
 - B. **Complete 5-Year Financials** for each goal (Worksheet and instructions provided)
 - i. Revised Goal summaries and financial worksheets due at least one week before next workshop
 - C. **Division Leader (or designee) edits plan introduction pages**

- IX. **Renewal Workshop IV – Full Plan Review**
 - A. Purpose: socialize goals, collect input on implementation, identify barriers
 - B. Participants: Strategic Planning Team + select staff + key stakeholders
 - C. Review of Mission, Vision, Values, Strategic Objectives
 - D. “Pre-mortem” for most critical goals – identify roadblocks across different dimensions

- X. **Elicit Feedback From Stakeholders (3 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):
 - i. Key Campus/Location Stakeholders
 - ii. Other Division/Department Leaders
 - iii. Subject-Matter Experts (if/as desired)
 - B. **Surveys may also be sent to elicit feedback** if the stakeholder group is very large or widely distributed

- XI. **Division Leader Touchbase – Final Goal Review & Prioritization (1-2 hrs)**
 - A. Facilitator (SPMO) meets with division leader for final review of the following (draft goal summaries sent to division leader for edit in advance):
 - i. Short Titles
 - ii. Full Goal Statements
 - iii. Final Prioritization

- XII. **Finalize New Plan and Publish**
 - A. Review plan with President
 - B. Review plan with Division Leaders and Chancellors
 - C. Share plan with division staff

Appendix

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
Strategic Objectives	Broad-based, long-term (3-5 years out) aims that will move UCOP towards actualizing its vision. UCOP has established six strategic objectives in its strategic framework that will be incorporated into all UCOP Divisional Strategic Plans.
Values	UCOP’s guiding principles – the guardrails that, as a group, we will adhere to no matter what. UCOP has established core values that will be incorporated into all UCOP Divisional Strategic Plans.
Division Goals	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	Key activities/steps required to achieve a specific goal (SMART and assigned to a department and person)
Departmental Actions	Specific steps to be taken within a department, by whom, and when, in order to implement a key strategy (SMART)
Assumptions	Critical things (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/Problem, Proposed Solution, Benefits, Key Strategies, Assumptions, 5-year Financials
Opportunity	Describes the problem the goal will solve – the purpose and 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 what will be measured to determine progress/success, 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 2019
Key Strategies (Level 3)	3a Fully Deploy UCPath at all UC locations by December 2019 3b Fully operationalize the UCPath Center 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)