



# Organizational Standards Boot Camp

## CATEGORY 6, STRATEGIC PLANNING

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# CATEGORY SIX: Strategic Planning

- ▶ Establishing the vision for a Community Action Agency is a big task and setting the course to reach it through strategic planning is serious business.
- ▶ CSBG eligible entities take on this task by looking both at internal functioning and at the community's needs.
- ▶ An efficient organization knows where it is headed, how the board and staff fit into that future, and how it will measure its success in achieving what it has set out to do.
- ▶ This agency-wide process is board-led and ongoing.
- ▶ A “living, breathing” strategic plan with measurable outcomes is the goal, rather than a plan that gets written but sits on a shelf and stagnates.
- ▶ Often set with an ambitious vision, strategic plans set the tone for the staff and board and are a key leadership and management tool for the organization.

# Category 6 Standards



- ▶ Standard 6.1 The organization has an agency-wide strategic plan in place that has been approved by the governing board within the past 5 years.
- ▶ Standard 6.2 The approved strategic plan addresses reduction of poverty, revitalization of low income communities, and/or empowerment of people with low incomes to become more self-sufficient.
- ▶ Standard 6.3 The approved strategic plan contains family, agency, and/or community goals.
- ▶ Standard 6.4 Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process.
- ▶ Standard 6.5 The governing board has received an update(s) on progress meeting the goals of the strategic plan within the past 12 months.

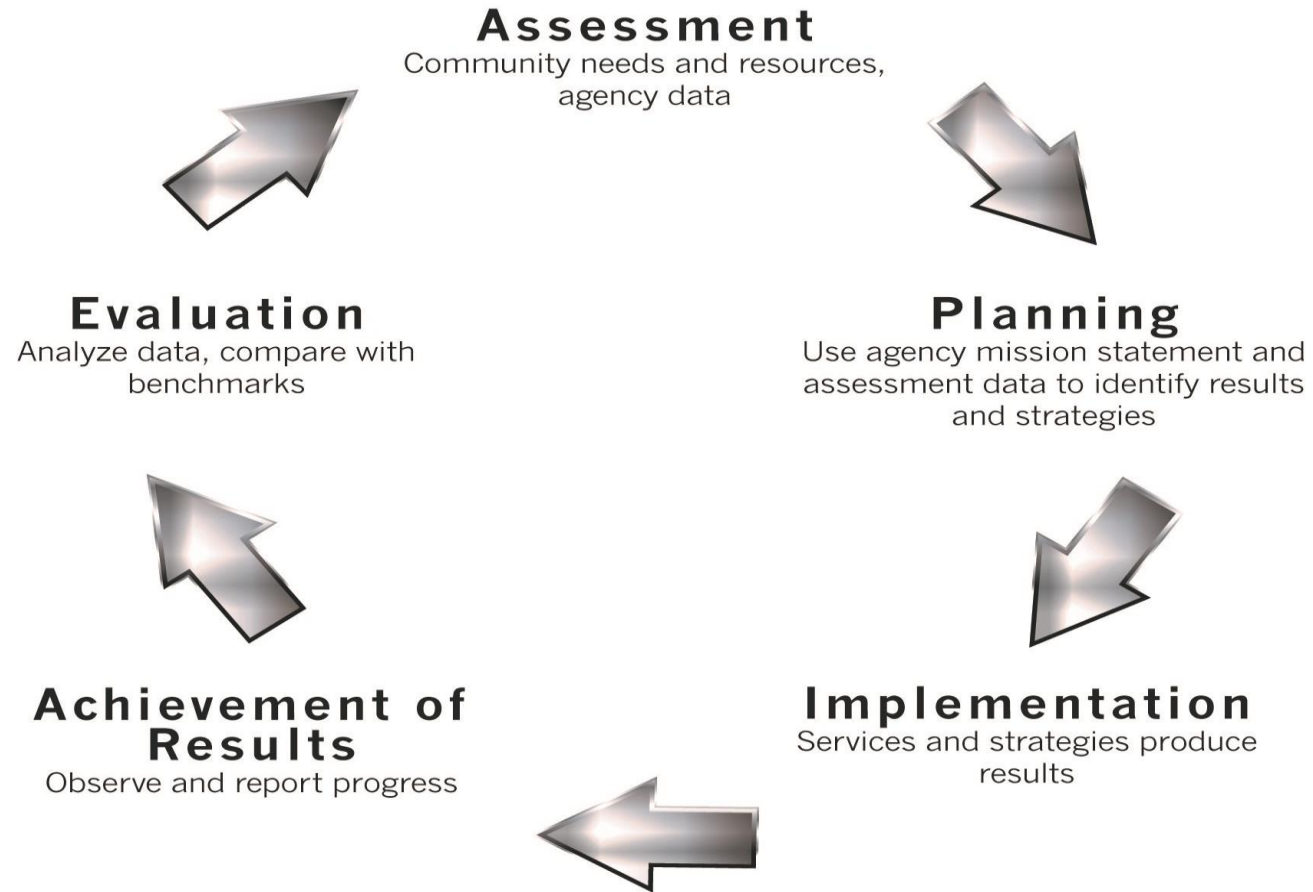
# Standards related to Strategic Planning

- ▶ There are several other Standards that relate to strategic planning that the review team should consider to coordinate with work on other categories of the Organizational Standards. Including:
- ▶ Standard 1.1
- ▶ Standard 1.2
- ▶ Standard 1.3
- ▶ Standard 4.1
- ▶ Standard 4.3
- ▶ Standard 9.3

[https://cap.iescentral.com/filelibrary/final\\_category\\_6\\_revised\\_10\\_2016.pdf](https://cap.iescentral.com/filelibrary/final_category_6_revised_10_2016.pdf)

# The Results Oriented Management and Accountability Cycle

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The ROMA Cycle graphic was developed by the National Peer to Peer (NPtP) ROMA Training Project, based on guidance regarding Core Activities for States and CSBG Eligible Entities provided by OCS Information Memo 49. From Planning for Results © 2006, J. Jakopic and B. Mooney, Community Action Association of PA. Curriculum

# Plans are based on needs

- ▶ The stronger your community needs assessment, the stronger your plan!
- ▶ A comprehensive needs assessment should include both qualitative and quantitative data, information about community resources, customer satisfaction data, and the agency's own internal report data. This ensures that you have a rich data set to use to develop your plan.
- ▶ Whose need is it?
  - ▶ Needs should be identified as Family, Agency, or Community level needs.
  - ▶ Needs are then prioritized.
  - ▶ Needs identified in the assessment should be connected to outcomes that are included in your planning documents.
  - ▶ Plans should include services or strategies that connect to the needs.
  - ▶ Needs, outcomes and services should all 'match'.

# Matching levels of need, outcome and service

## Need

Individuals in our community do not have high school diplomas. (F)

Our community lacks a public transportation system that can properly serve the needs of its residence ©

Our agency needs additional resources to provide parent education programming. (A)

## Outcome

Individuals in our community obtain their high school diploma or equivalent. (F)

Our community has a public transportation system that can properly serve the needs of its residence. ©

Our agency obtained resources to provide parenting education program. (A)

## Service/Strategy

Individuals attend and complete GED prep classes. (F)

ABC Public Transporters expanded bus runs from 5p.m. to 10p.m. ©

Apply for Nurturing Parent grant(A)

### Standard 6.1

Private, Non profit

The department has a strategic plan, or comparable planning document, in place that has been reviewed and accepted by the tripartite board/advisory body within the past 5 years. If the department does not have a plan, the tripartite board/advisory body will develop the plan.

### Standard 6.1

Public

The department has a strategic plan, or comparable planning document, in place that has been reviewed and accepted by the tripartite board/advisory body within the past 5 years. If the department does not have a plan, the tripartite board/advisory body will develop the plan.

### Guidance:

- This is intended to be an organization-wide document, not a list of individual program goals
- This would be met through the Board voting on a motion to accept the strategic plan at a regular board meeting and documenting this in the minutes.

### Documents:

- **Board Minutes** that clearly indicate that the plan has not only been reviewed, but that the plan has been accepted as well.
  - Example, “On today’s date, in accordance with Organizational Standard 6.1, Ms. Smith presented the full strategic plan to the board for their review and approval.” Provide statements in your minutes that reflect the discussion that occurred, as well as document that voting procedures were followed and that the plan was accepted.
- **Strategic Plan**
  - You may wish to say on the top of your Plan, “In accordance with Organizational Standard 6.1, this Strategic Plan was reviewed and accepted by the board/advisory body on July 1, 2017.”



# 53% of Agencies are currently meeting Standard 6.1

## Areas of strength

- ▶ Completion of a department-wide strategic plan within the past five years (include date of completions);
- ▶ Documentation that the full board has formally approved the strategic plan (Tripartite board/advisory body minutes that reflect formal approval of the completed strategic plan by the full board)

## Area of concern

- ▶ Agency did not have a strategic plan in place
- ▶ Agency only had a strategic plan for a particular program and not agency-wide
- ▶ No clear documentation that governing board reviewed **and** voted to approve strategic plan

## Standard 6.2

The approved strategic plan addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient.

Private, Non profit

## Standard 6.2

The approved strategic plan, or comparable planning document, addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient.

### Guidance:

- These are the purposes of CSBG as laid out in the Act.
- These specific terms are not required, but the Plan needs to include one or more of the themes noted in the standard.

### Documents:

- **Strategic Plan**
  - Example, use headers in your plan to show that, “In accordance with CSBG Organizational Standard 6.2, this plan addresses the reduction of poverty, revitalization of low income communities, and/or empowerment of people with low incomes to become self sufficient.”
  - If you do not use that specific language, make sure that the language you do use clearly reflects that your plan is addressing at least one of the themes noted in the standard.

# Example

- ▶ Agencies need to draw a clear connection between the overall goals of their strategic plans and one or more of the three objectives.
- ▶ For example, a strategic plan goal to increase fundraising by 50% over three years or to strengthen the capacity of the agency's information technology system may result in an outcome that in turn supports other efforts to reduce poverty, but in and of itself does not directly address that objective.
- ▶ A strategic plan that is composed of goals that do not directly involve the programs, services, and related activities an agency uses to achieve its anti-poverty mission risks failing to comply with this Standard.

# 62% of Agencies are currently meeting Standard 6.2

## Areas of strength

- ▶ A strategic plan with goals that incorporate one or more of the three objectives listed in Standard 6.2
- ▶ A section in the strategic plan or summary statement that clearly explains how one or more of the strategic plan goal directly addresses one or more of the three objectives.

## Area of concern

- ▶ Agency did not have a strategic plan in place.
- ▶ Agency strategic plan did not address reduction of poverty; revitalization of low-income communities or empowerment of people with low incomes
- ▶ No clear documentation that governing board reviewed and voted to approve strategic plan. 6.1

## Standard 6.3

Private, Non profit

The approved strategic plan contains family, agency, and/or community goals.

## Standard 6.3

Public

The approved strategic plan, or comparable planning document, contains family, agency, and/or community goals.

### Guidance:

- These goals are set out as part of ROMA, referenced in IM 49, and provide the framework for the National Performance Indicators.
- These specific terms are not required, but the plan must address one or more of these dimensions.
- There is no requirement to address all three: family, agency, and community.

### Documents:

- **Strategic plan**
  - Example, organize your document so that it is clear which dimension/s are being addressed.

# Example

Agency level Need	National Goal (Family, Agency, or Community)	Agency Level Outcome	Agency Level Strategy	Indicator
CAA does not have experienced staff to work with the increased number of customers struggling with drug related issues.	Goal 5: Agencies increase their capacity to achieve results. (agency level goal)	Agency has sufficient and appropriate staff to meet demand for drug abuse related issues.	Agency will apply for “we give you all the money to spend on staff development” grant	15/30 staff will receive Substance Abuse Counselor Certification by July 30, 2017.

# Beyond compliance

- ▶ Standard 6.3 underscores the importance of thinking how the agency can go beyond compliance. Simply including the three types of goals in the plan is only one aspect of the ROMA framework and cycle.
- ▶ The agency needs to know whether the goals have been achieved and have a way to evaluate related successes and challenges
- ▶ As the old management saying goes, “What gets measured gets done.”
- ▶ If the agency lacks a process for tracking whether it achieves the goals of its strategic plan (e.g. a strategic plan scorecard), it becomes extremely difficult to evaluate success.
- ▶ Additionally, if there is no structure in place (e.g. a strategic plan implementation or evaluation committee) to assess results and make changes when necessary, the agency risks using a piecemeal – or worse – approach to keeping the strategic plan on track

# 59% of Agencies are currently meeting Standard 6.3

## Areas of strength

- ▶ A copy of strategic plan objective that explicitly includes a family, agency or community goal.

## Area of concern

- ▶ Agency strategic plan objectives did not clearly include family, agency and/or community goals
- ▶ Agency has a strategic plan but does not include family, agency and/or community



## Standard 6.4

Private, Non profit

Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process.

## Standard 6.4

Public

Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process, or comparable planning process.

### Guidance:

- This standard links the community assessment with strategic planning.
- There is no requirement to do additional data collection.
- Please see guidance and glossary under Customer Engagement for more information on customer satisfaction and customer input.
- The standard may be documented by references to the analysis of customer satisfaction data and input within the plan, or by including the analysis of customer satisfaction data in the plan or its appendices, with a brief explanation of how it was used.

### Documents:

- Strategic plan including appendices
- Notes from strategic planning process
- Customer input data/reports
- Customer satisfaction data/reports
- Public comment/hearing summaries

# What is customer satisfaction data?

- ▶ Customer satisfaction data is different than customer need data.
- ▶ Customer satisfaction data shows the level of satisfaction that customers have with the services that they received from your agency.
- ▶ Gathering customer satisfaction data and input is also another way that CAAs act on the value – and requirement – of maximum feasible participation. The low-income community should be afforded every reasonable opportunity to participate in the planning, implementation, and evaluation of the programs and services the agency provides.
- ▶ Collects and analyzes: Once the data is collected and documented, the agency reviews the data and notes trends, findings, and other information either in the Assessment or its appendices.

# 44% of Agencies are currently meeting Standard 6.4

## Areas of strength

- ▶ Evidence that customer satisfaction and input is gathered as part of the community needs assessment
- ▶ Illustration of how it is included in the strategic planning process

## Area of concern

- ▶ No clear documentation of customer satisfaction data and input as part of the needs assessment process
- ▶ No documentation of analysis in the strategic planning process from the collection of customer satisfaction data and input during the needs assessment.

## Standard 6.5

Private, Non profit

The governing board has received an update(s) on progress meeting the goals of the strategic plan within the past 12 months.

## Standard 6.5

Public

The tripartite board/advisory body has received an update(s) on progress meeting the goals of the strategic plan/comparable planning document within the past 12 months.

### Guidance:

- The CSBG Act requires that Boards be involved with assessment, planning, implementation and evaluation of programs; this standard supports meeting that requirement.
- The standard would be met by an update provided at a regular Board meeting, or a planning session, and documented in the minutes.
- The update provided to the tripartite board/advisory board may be written or verbal.
- The update provided to the tripartite board/advisory board should include goals outlined in the strategic plan and any progress made over the course of the last year, or by another period of time as determined by the board that is less than one year.

### Documentation:

- Strategic plan update/report
- Board/advisory body minutes
- Board materials/packet

## Keep in mind:

- ▶ The intent of this Standard is for the agency to provide its board with a complete picture of its successes and challenges in meeting strategic plan goals.
- ▶ Periodic reports that cover results from some but not all goals risk failing to comply with this Standard.
- ▶ The annual (or more frequent) report to the board on strategic plan progress should address every goal included in the strategic plan.

# 56% of Agencies are currently meeting Standard 6.5

## Areas of strength

- ▶ Board minutes indicating the update was provided within the last year
- ▶ Confirmation that progress on all strategic plan goals was received by the board (Provide a list of the goals to be addressed that show progress towards the strategic plan)

## Area of concern

- ▶ No clear documentation supporting governing board received an update on the progress of meeting the goals listed in strategic plan

# Strategic planning toolkit from Community Acton Partnership:

- ▶ <https://www.communityactionpartnership.com/menus/organizational-standards.html#CEODevelopedTools>
- ▶ [https://cap.iescentral.com/filelibrary/final\\_category\\_6\\_revised\\_10\\_2016.pdf](https://cap.iescentral.com/filelibrary/final_category_6_revised_10_2016.pdf)

