



**STRATEGIC PLANNING
and
MEASURING PERFORMANCE
for
Crime Victim Services**

**Arizona Department of Public Safety
Crime Victim Services**

Effective February 2006

FOREWORD

In the mid-nineties, the Governor's Office of Strategic Planning and Budgeting (OSPB) empanelled representatives from 19 state agencies to develop a model for a strategic plan that would include performance measures and communicate meaningful results. The model utilizes straightforward performance measures for capturing many characteristics about a program such as needs, required resources, efficiency, quality and outcomes. For the planner/manager/stakeholder, the model can be used to determine community need and program focus, and success is laid out in easy-to-understand terms.

The benefits derived from the OSPB project were:

- Increased confidence in programs
- Increased accountability
- Consistency of evaluation (which builds a common understanding between program and policy makers)
- A method to report purpose and outcomes to the public and stakeholders in a uniform and meaningful manner.

The Arizona Department of Public Safety (DPS) believes that employing this same model across the crime victim service industry would net service providers the same benefits. This will help solidify the services desperately needed by crime victims. Many community and government service providers already use this format.

To further implement this model, the DPS federal Victims of Crime Act Advisory Board recommended DPS provide additional technical support to service providers on strategic planning and performance measurement. This publication, re-written in crime victim service terminologies, is one response to that recommendation.

Another outcome expected of this publication is an increase in regional collaborations that build comprehensive service continuums to assist victims of violent crime.

Finally, "evaluation" means different things to different people. Stakeholders and funders (who also have their own individual interpretation of evaluation) review a wide variety of plans. Adopting a singular, uniform planning *model* will bring all involved to a common understanding of program expectations. The goal is that everyone will use the same measuring model.

How to Use This Publication

This publication is intended to serve as a reference document. It is a user-friendly guide with non-technical language and numerous examples. In addition, to help apply the concepts of strategic planning, checklists have been developed and are included. Finally, helpful hints are also provided.

If you have any questions about this publication, please contact the Department of Public Safety Crime Victim Services office at (602) 223-2414.

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Special recognition to OSPB's Bonny Walter, Strategic Management Analyst, and Leah Meyers, Director of Domestic Violence Services, Arizona Coalition Against Domestic Violence for their editorial contributions. To learn more about OSPB's and Arizona's strategic planning please visit and bookmark www.state.az.us/ospb/02_planning.cfm. For crime victim information or services visit ACADV at www.azcadv.org and the DPS website at www.azvictims.com.

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Section 1

MANAGING FOR RESULTS

STRATEGIC PLANNING

Introduction

Strategic Management is the process of positioning an organization so it can prosper in the future. Strategic Management integrates Strategic Planning with quality (or continuous improvement) efforts, budgeting, resource planning, program evaluation, and performance monitoring and reporting. In practice, strategic management may not be sequential, but there are strong inter-relationships between the various key components.

Quality Management is an approach that values customer satisfaction and is based on participation of all members of an organization in improving the processes, products, services and culture in which they work. It is evolutionary and about adaptive learning and leadership, which is necessary for an organization to survive and thrive. The emphasis is on developing a strategy to reach a vision, accomplish a mission, or achieve a goal.

The fundamental elements of Strategic Planning and Quality Management are the same. Both are systematic approaches to identifying problems and opportunities which:

- Promote quality services and products,
- Emphasize employee involvement and teamwork,
- Use performance measurements to focus on results,
- Rely on data collection and interpretation,
- Support management that is based on facts, and
- Involve efficient and effective resource allocation and management.

Successful implementation of quality management and strategic planning requires a vision, planning, and active involvement from top management. In addition, it needs support through continuous training and education, time, money, and personnel. Quality management efforts have gained popularity primarily because they improve work quality, customer satisfaction and employee morale, as well as increase productivity, empower employees, and reduce bureaucracy by eliminating duplication and streamlining work processes.

Budgeting

Good management practices always include budget considerations when conducting Strategic Planning. The Strategic Plan charts an organization's direction, while the budget provides the resources to implement the plan. A Strategic Plan that ignores fiscal reality will not be realized. On the other hand,

resource allocation without strategic thinking is shortsighted and will be unresponsive to future conditions.

Strategic Planning guides the budget process. It establishes priorities and affords management an opportunity to reevaluate existing funding allocations. Organizations will develop strategies and Action Plans that detail what will be accomplished to achieve Goals and Objectives each year. These Action Plans, together with Performance Measures, provide the strongest links between the operating and capital outlay budgets.

Planning and budgeting are interactive. The Internal/External Assessment component of the strategic planning process can be valuable in identifying trends, demand factors, and strategic issues to support budget development. Assumptions about available resources affect what can be achieved and help set priorities for resource allocation. Since funding continues to be limited, Strategic Planning can help organizations as they strive to do more with less while remaining focused on results.

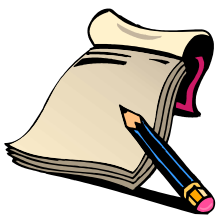
Note for public agencies: The dynamics of the checks and balances between governmental functions presents a unique set of circumstances and challenges to public sector planning processes. Funding necessary to implement the plans devised by the Executive branch is provided by the Legislative branch. Sometimes this funding is based on diverse agendas and not the logic provided in strategic plans. Plans without resources to implement are only costly doorstops. Clearly though, the plan can serve as an excellent tool for communicating with agency decision-makers.

Information Technology (IT)

Resource planning is an essential component of strategic planning. As with all other necessary resource needs, the information resource needs of an organization should be determined *during* the strategic planning process.

Why Should Organizations Conduct Strategic Planning?

Strategic planning is frequently a necessity for funding. The logic models used by DPS, Arizona Criminal Justice Commission, United Way, Governor's Office, Attorney General's Office, Department of Economic Security and many foundations capture strategic planning.



Strategic Planning is *not* the easiest process to get through, but it does get easier over time.

Why? Because Strategic Planning is common sense. It is visionary, yet realistic; it anticipates a future that is both desirable and achievable. It provides a structure for inspired but practical decision-making and follow-through.

Even if it weren't required, there are many positive and significant reasons for organizations to engage in Strategic Planning. Strategic Planning is many things.

It is **planning for change in increasingly complex environments**. Perhaps the one constant today is the notion for change. Increasing demands for services, shrinking resource bases, and greater expectations for service all combine to form a dynamic environment. However, Strategic Planning is proactive; organizations are encouraged to *seek* change, instead of simply *reacting* to change.

It is **managing for results**. It is a process of diagnosis, objective setting, and strategy building that is an essential part of results-oriented management. It relies on careful consideration of an organization's capacities and environment, and it leads to significant resource allocation decisions.

It is **an essential managerial tool**. Organizations are asked to focus on achieving and improving outcomes each year. In other words, results should begin to focus on the efficiency and effectiveness of operations. Strategic Planning enables agencies to develop a system to institute continuous improvement at all levels.

It is **future-oriented**. It involves a disciplined effort to help shape and guide what an organization becomes, what it does, and why it does it. Strategic Planning requires broad-scale information gathering, an exploration of alternatives, and an emphasis on the future implications of present decisions.

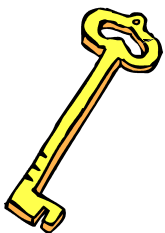
It is **adaptable**. Although planning takes a long-range approach, the use of regular reviews and updates to determine progress and reassess the validity of the plan – based on strategic issues uncovered in the internal/external assessment – keeps planning flexible. The plan can then be updated to make the adjustments necessary to respond to changing circumstances and take advantage of emerging opportunities. It sets targets for performance, incorporates ways to check progress, and provides guidance for on-going operational and capital plans, and budgets.

It is **essential for customer support**. Strategic Planning determines the things that an organization can do to address victim-customers' expectations. Organizations all across the country have come to recognize that they have customers and stakeholders. This shift in attitude is supported by the Strategic Planning process, in which identification of customers and their needs and wants is basic.

It **promotes communication**. It facilitates communication and participation, accommodates divergent interests and values, and fosters orderly decision-making and successful implementation of Goals and Objectives. Strategic Planning improves communication not only from front-line employees to the management and back, but also among other stakeholders including other service providers.

Finally,

If you fail to plan, you plan to fail. Organizations are constantly challenged to manage complex and changing programs with limited resources. Further, they need to address new, as well as ongoing, responsibilities, while containing and even reducing costs.



Strategic Planning is not a quick fix.

Like many management improvement efforts, Strategic Planning is a long-term investment with payoffs that increase over time. However, Strategic Planning is not a magic wand. In order to achieve results, boards of directors, executive management, as well as the rest of the employees, must be committed to the plan and must pay *constant* attention to implementation of the Goals and Objectives.

Successful Strategic Planning

A successful strategic planning process:

- Has the full support of the board of directors and management.
- Is participatory and is not left solely to planners. It involves staff at all levels, from executives and managers to line staff, ensuring that the plan has “buy-in” from everyone in the agency.
- Is flexible, fits the organization and is user-friendly.
- Clearly defines responsibilities and timetables, and establishes and ensures accountability for results.
- Galvanizes and produces understanding and common purpose throughout an organization.
- Stays aware of the environment in which it functions and is politically sensitive.
- Is realistic about goals, objectives, resources and outcomes, while taking personnel issues, overall fiscal conditions and budgetary trends into account.
- Develops and conveys compelling evidence for its recommendations.
- Has a method or strategy for resolving conflicts among stakeholders.
- Leads to resource decisions and acknowledges the reality of having to do more with less, often requiring tradeoffs or the redirection of resources.
- Is fresh and continuous, not stale and static. Both the plan and the planning process are reviewed and modified regularly.

Finally, a successful strategic planning process asks and answers the following:

- Where are we now?
- Where do we want to be?
- How do we measure our progress?
- How do we get there?
- How do we track our progress?

Participants in the Process

Strategic Planning is a team effort. Although Strategic Planning begins at the top, leaders should seek the input of managers, supervisors, and those front-line employees who know the services and victims best. The team should include knowledgeable individuals from all of the organization’s programs or services, yet not become so large as to be cumbersome.

As a general rule, the people who will bear the responsibility for accomplishing a part of the Strategic Plan should participate in developing that part of the plan.



The size of the team will vary with the size and complexity of the agency. In a large organization, all of the participants listed here may be involved. However, in a small organization, the executive director may be the entire planning staff.

Depending on the size of the agency, successful Strategic Planning may include the following team participants:

| | |
|---|---|
| Executive Director and Board of Directors | Provides the leadership necessary to craft the Vision, define the Mission and express the Principles of the organization. For the process to be successful, the director must provide active leadership and support. |
| Middle Managers, Program Managers and Supervisors | Individuals who have direct program involvement and can carry the planning process into the program level. These individuals can assist in defining program missions and principles, setting program goals and specific objectives, developing courses of action or strategies to achieve objectives, implementing action plans, establishing and maintaining performance measures, and determining needed resources. |
| Financial or Budget Managers | Analyze fiscal impacts of potential strategies, provide technical support, and use strategic plans to guide development of annual operating budgets and capital outlay budgets. |
| Human Resource Managers | Analyze the impact of implementing potential strategies on the organization's work force, training programs, and human resource management policies. |
| Information Technology (IT) Managers | Analyze the impact of implementing potential strategies on the organization's information resource systems. |
| Front-line Employees and Volunteers | The individuals with perhaps the best knowledge in the agency regarding the services victims need and want, as well as which processes work. This group's input can be critical in the development of program and subprogram Goals, Objectives, Performance Measures and Action Plans. |
| Members of local Boards/Commissions | Can assist in developing the Vision, Mission, and Principles of the agency and can also provide valuable feedback during the planning process. |



Leaders must recognize their own role in the planning process, as well as the roles of others in the organization.

Some leaders will be tempted to pay lip service to Strategic Planning while shunning actual involvement in the process. However, the executive who is actively involved in the process sends the message that Strategic Planning is important enough to warrant his or her involvement.

Other leaders will be tempted to prepare the whole plan on their own. However, the executive who puts together a plan with the participation of the managers, staff, volunteers, and victims produces a plan to which ALL are committed.

Components of the Process

Before an organization can develop a plan for change, it must first determine where it currently stands and what opportunities for change exist. This Strategic Planning model leads organizations through a process of asking and answering where the agency is currently, where the agency wants to be, how the agency will measure its progress, how the agency will get to where it wants to be, and how the agency will monitor its progress. These components are discussed in detail throughout the rest of this publication.

Where Are We Now?

Strategic Planning helps determine an agency's current status and evaluate its environment. It helps define the agency's products and services, as well as the customers and stakeholders of the services.

- ▶ **Internal/External Assessment:** an analysis of internal conditions and external data and factors that affect the organization.
- ▶ **Internal Assessment:** an evaluation of an organization's position, performance, problems and potential.
- ▶ **External Assessment:** an analysis of key external elements or forces that affect the environment in which an organization functions.
- ▶ **Customer/Stakeholder Identification:** formal definition of those directly or indirectly using organization services or those directly or indirectly affected by the agency's actions.
- ▶ **Customer:** anyone whose best interests are served by, or who receives or uses the products or services of a program. This will be explained in more detail in the next section.
- ▶ **Stakeholder:** any person or group with a vested interest in or with expectations of a certain level of performance or compliance from an organization.

Where Do We Want to Be?

Use the results of the internal and external analysis and customer identification to formulate the Mission, Vision, Principles, Goals and Objectives.

- ▶ **Mission:** a brief, comprehensive statement of purpose of an agency, program or subprogram.
- ▶ **Vision:** a compelling, conceptual image of the desired future.
- ▶ **Principles:** the core values and philosophies that describe how an agency conducts itself in carrying out its mission.
- ▶ **Goals:** the desired end results, generally, after three or more years.
- ▶ **Objectives:** specific and measurable targets for accomplishing goals.

How Do We Measure Our Progress?

Strategic Planning builds accountability into the process.

- ▶ **Performance Measures:** tools used to measure results and ensure accountability.

How Do We Get There?

- ▶ **Action Plan:** a detailed description of the strategies and steps used to implement a strategic plan.
- ▶ **Resource Allocation:** the determination and allotment of resources or assets necessary to carry out strategies and achieve objectives, within a priority framework.

How Do We Track Our Progress?

Finally, organizations monitor implementation of goals and objectives and use the results to periodically evaluate “Where are we now?” thereby beginning the strategic planning cycle again.

- ▶ **Tracking Systems:** monitor progress, compile management information and keep goals on track.



We are discussing **strategic planning**, not a **strategic plan**. Strategic planning is more than filling out forms or compiling a document. Most of the value of strategic planning is realized during the *process* of planning itself.

There is no fixed “cookie-cutter” process that can be used for every organization. Agencies should tailor the strategic planning process to their management needs, and organizational and program structures. Although the diagram on the next page shows a step-by-step process, strategic planning does *not* flow in a continuous direction. Sometimes the results of one step may cause the planning team to go back to a previous step because assumptions or circumstances have changed.

Strategic Planning Process

| ASK: | TO GET THE ANSWER: |
|--|--|
| Where are we now? | <p>Perform an Internal/External Assessment, which consists of an analysis of internal conditions and external factors affecting the organization.</p> <p>Perform a Customer/Stakeholder Identification, which consists of a formal definition of those directly or indirectly using the agency's services.</p> |
| Where do we want to be? | <p>Develop a Mission, which is a brief, comprehensive statement of purpose.</p> <p>Develop a Vision Statement, which is a compelling, conceptual image of the desired future.</p> <p>Develop Principles, which are the core values of the agency.</p> <p>Develop Goals, which represent the desired end results after three or more years.</p> <p>Develop Objectives, which are specific, measurable targets for accomplishing goals.</p> |
| How do we measure our progress? | <p>Develop Performance Measures, which measure results, ensure accountability, encourage the use of targets that are linked to continuous improvement, and allow benchmarking against the "best in class."</p> |
| How do we get there? | <p>Develop Action Plans, which embody the strategies and steps necessary to implement a strategic plan and lead to resource allocation.</p> |
| How do we track our progress? | <p>Develop a Tracking System, which measures progress and compiles management information.</p> |

Section 2 WHERE ARE WE NOW?

THE INTERNAL/EXTERNAL ASSESSMENTS

Before an organization attempts to chart its future, it must determine where it currently stands. The mechanism used to gauge conditions inside and outside the organization answering the question “Where are we now?” is the internal/external assessment.

- ▶ **Internal/External Assessment:** an analysis and evaluation of internal conditions and external data and factors that affect the organization.

An internal/external assessment is a basic management tool that is used not only in Strategic Planning, but also in policy development and problem solving. It provides a baseline assessment of the organization. The process of conducting an assessment is often referred to as a SWOT analysis because it involves reviewing an organization’s *internal* **S**trengths and **W**eaknesses and *external* **O**pportunities and **T**hreats. The data gathered during the assessment will often lead to the identification of strategic issues. The last component of the SWOT analysis is the identification and surveying of internal and external customers and stakeholders.



Ideally, the assessment process will be a team effort. An honest and accurate picture of the organization and the forces that affect it will emerge when it is viewed from as many different perspectives as possible. Typically, both managers and employees are involved in collecting and analyzing the data to enhance their understanding of the organization.

The SWOT analysis can be completed in any order. Management within each agency will need to determine how to best organize and conduct the internal/external assessment.

Conducting the Internal Assessment

The internal assessment, also called a situation inventory, identifies the organization’s *strengths* and *weaknesses* and evaluates capacity to respond to issues, problems and opportunities. It also reveals the paradigms (patterns or beliefs) and values that comprise the organization’s current principles and that drive (or disrupt) current operations. It throws light on administrative or managerial policies and procedures that help or inhibit quality.

- ▶ **Internal Assessment:** an evaluation of an organization’s position, performance, problems and potential.

The first step in conducting the internal portion of the SWOT analysis is to find out how your organization has been performing.

1. Where has the organization been?

- Have the needs of internal and external customers been met in the past?
- Have the products and services been of the highest quality?
- What has changed internally? Has the agency been reorganized? Have improvements been made or has the agency been stagnant or in decline? Why?
- What has been accomplished? What remains to be accomplished?

The next step is to find out the current status of the organization's performance.

2. Where is the organization now?

- Identify current programs or activities. Does the existing structure of programs make sense?
- Do existing programs or activities support one another in the organization? Are any in conflict? Are all programs and activities needed?
- What are the accomplishments of current programs or activities? What is being done well, poorly?
- Are current (baseline) performance measures established? If so, are expected levels of performance being met? Why or why not? If baselines have not been established, what plan is in place to do so?
- What do the public, customers and stakeholders think of current programs? How successfully are victims' needs being met?
- What benchmarking information can be utilized to compare the quality and cost of the agency's services with those of public or private organizations in Arizona? How does the organization compare to recognized standards?
- Are planning, budgeting, quality and other management efforts integrated?

Finally, look for areas that need to be improved, including processes, service delivery, etc.

3. What are the strengths and weaknesses of the organization?

- What is the organization's capacity to act?
- What advantages or strengths exist? How can strengths be built on?
- What disadvantages or weaknesses exist? How can weaknesses be overcome?
- What are the constraints in meeting the victims' needs and expectations?

- How are the needs and expectations of victims changing? What opportunities for positive change exist? Does the plan accommodate that change?



It can be intimidating to honestly confront an organization's internal situation (the good and the bad). To minimize fear, managers should be briefed on the purpose and methodology for the inventory. Keep in mind that the point in doing an internal assessment is not to punish failures, but rather to motivate improvement.

Now that a thorough inventory of the strengths and weaknesses has been completed, a similar process can be followed to determine the threats and opportunities facing the organization.

Conducting the External Assessment

The external assessment, or environmental scan, identifies the *opportunities* and *threats* present in the current environment and anticipates changes in the future environment. This portion of the SWOT provides an essential backdrop for strategic planning and policy development.

- ▶ **External Assessment:** an analysis of key external elements or forces that affect the environment in which an organization functions.

The first step in conducting the external assessment is to analyze the environment.

1. What is the current external environment?

- What is the current fiscal status?
- What elements of the current external environment are relevant to the organization? How?
- What elements are most critical? Which are likely to facilitate or impede the organization?
- What are the major current issues or problems? Are these local, statewide, regional, national or global in scope? Why are these issues or problems of such importance?
- What current events or policy issues have captured the attention of the public? How do these affect the organization?

Next, look at what is on the horizon – play “what if” with the environment.

Many external factors may influence an organization and its mission.



2. How might the environment differ in the future?

- What are the revenue and expenditure estimates next year, for the next five years?
- What forces are at work that might affect or alter key elements of the environment? Are trends likely to continue or is change forecast?
- What major issues or problems are anticipated? What effects could they have on the organization?
- What implications do these future forces and environmental changes (trends and issues) hold for the organization? Which is most critical?
- What are the most likely scenarios for the future?

Small Agency



Helpful Hint

Small agencies may not have the resources – or the need – to conduct an intensive internal/external assessment. While the outline of factors on the next page may be useful as a checklist to identify potential strengths, weaknesses, opportunities and threats, the assessment does not have to be conducted with a major data collection effort.

One very productive technique that small agencies can use is to bring together key staff, board members, and those who utilize agency services. This group can then generate a list of relevant internal and external factors. It's amazing how much pertinent information a group can generate in just a short period of time.

A SWOT can be very revealing, so participants may be hesitant to fully expose critical factors. To prevent “watered down” versions and help assure the real issues are addressed, it may be advisable to limit publication to select internal audiences. Organizational goals and strategic issues can more positively demonstrate opportunities and weaknesses in the plans. But don't discount the building-block value of SWOT analysis as part of developing a good planning process.

By gaining a thorough understanding of both internal and external factors, an agency will be in an excellent position to respond to the environment. Organizations may find the following list helpful. These factors are representative of relevant or appropriate issues to consider during an internal/external assessment.

Internal/External Assessment Factors

Internal: Strengths and Weaknesses

1. Overview of organization scope/functions

- Enabling State and Federal statutes, date created, i.e. VOCA (Assistance and Compensation), VAWA, mandates
- Historical perspective, significant events
- Customer/stakeholder expectations, public image
- Structure of programs and subprograms
- Agency accomplishments
- Examination of existing performance measures as the ideal gauge of success

2. Organizational Aspects

- Size/composition of work force (number of employees, minority composition, professional, technical, clerical, exempt, etc.)
- Organizational structure and processes (departments, quality and management style, key management policies/operating characteristics)
- Location of main office, field offices, travel requirements, etc., and location of service/regulated populations
- Human resources (training, experience, compensation/benefits, turnover rates, morale)
- Capital assets, capital improvement needs
- Information Technology (IT); degree of agency automation, telecommunication, quality of agency IT plans, data collection, tracking and monitoring systems
- Key organizational events and areas of change, impact on organization, agency responsiveness to change

3. Fiscal Aspects

- Size of budget (trends in appropriations and expenditures, significant events, etc.)
- Funds: grants, fundraising, foundations, etc.
- Comparing cost of operation with other organizations
- Relationship of budget to program structure
- Degree to which budget meets current and expected needs
- Proper proportion between operating and administrative budgets

External: Opportunities and Threats

1. Demographics, focus on victims

- Characteristics (age, education, geographic, special needs, impact on state's economic, political, cultural climate, etc.)
- Trends and their impact (population shifts, emerging demographic characteristics, etc.)

2. Economic Variables

- Unemployment rate, interest rate, etc.
- Extent to which customers and service populations are affected by economic conditions
- Expected future economic conditions and impact on agency, customers and service populations
- Fiscal forecast and revenue estimates
- Agency response to changing economic conditions

3. Impact of Statutes and Regulations

- Key legislation, key events, etc.
- Current government activities (identification of relevant government agencies' policies and procedures and their impact on operations, etc.)
- Anticipated impact of future government actions on organization and its customers

4. Other Legal Issues

- Impact of anticipated statutory changes
- Impact of current and outstanding court cases
- Impact of local government or foundation requirements

5. Technological Developments

- Impact of technology on current organization operations (products/services in the marketplace, telecommunications, etc.)
- Impact of anticipated technological advances

6. Public Policy Issues

- Current events
- Juvenile crime, children, family issues

Data Sources for the Internal/External Assessment

There are hundreds of sources where agencies can find useful information. The following list of sources may be useful.

Data Sources for *internal* situation inventory include:

- Quality Assessment Surveys
- Annual reports
- Employee surveys
- Annual progress review meetings
- Program evaluations
- Policy development files
- Agency audit recommendations
- Internal databases
- Performance measurements
- Budget requests
- Internal plans

Data Sources for *external* environmental scan include:

- Federal and State government statistical reports and databases
- Federal, state, and local government legislation, regulations, and executive orders or actions
- Federal, state, and local government budgets and policy statements
- Special research
- Court decisions and actions
- National and regional professional organizations or associations
- Interest or advocacy groups
- Media (both broadcast and print)
- University and college resource centers
- Agency advisory and governing boards
- Program studies

CUSTOMER AND STAKEHOLDER IDENTIFICATION

In addition to identifying all internal strengths and weaknesses, and external opportunities and threats, agencies also need to identify their customers and stakeholders.

How do agencies identify customers or stakeholders?

- ▶ **Customer/Stakeholder Identification:** Formal definition of those directly or indirectly using agency services or those directly or indirectly affected by the agency's actions.

Organizations have many different customers. Internal customers include units or employees in an organization whose work depends upon another unit or person within the same organization. For example, at a shelter victims are clearly the customers of shelter supervisors and case managers but these staff positions are also the customers of facilities management and human resources. All are customers of the financial officer. External customers include victims of violent crime, the end users of the organization's products or services, and service provider partners counting on your organization to complete its component of the service continuum.

- ▶ **Customer:** Anyone whose best interests are served by, or who receives or uses the products or services of, an organization or program. When reading this publication note how interchangeable "victim", "client", and/or "collaborator" are with "customer."

An organization or program may serve a specific clientele as well as the common good of the public. For example, a rape crisis center will care for victims and provide prevention initiatives, increasing the safety of the public.

One organization may be the customer of another, or may be dependent upon the services provided by the other. For example, one domestic violence shelter relies upon a local food bank to assist in providing meals for their clients.

- ▶ **Stakeholder:** Any person or group with a vested interest in or with expectations of a certain level of performance or compliance from an organization or program.

Stakeholders may not necessarily use the products or receive the services of a program; they may be advocates of the agency or the issue.



The identification and acknowledgment of stakeholders and customers opens the door to customer-driven quality.

For some organizations, this means a drastic change in the way business is done. Management must move from a preoccupation with inputs (number of calls, applicants, dollars, etc.) to a focus on meaningful results and outcomes. This emphasis on results profoundly changes the process of planning and budget development.

Customer/Stakeholder Identification Process

1. To identify and understand customers and stakeholders, ask:

- Who receives or uses the goods and services produced by the agency?
- Whose best interests are served by the actions of the agency?
- Who are the external customers; are they specific clientele as well as the general public?
- What do customers need from the program? What do they want?
- Do customers have other options available to obtain similar products or services? If so, what are the other options? What is the current market like?
- Who are the stakeholders and what results do they expect from the organization or program?
- Who are the internal customers?

Once customers and stakeholders have been identified, find out what they think. The best way to gather customer input and feedback is to solicit it. Is victim, customer and stakeholder feedback solicited on a formal, regular basis? If so, how is victim, customer and stakeholder feedback obtained and utilized?

2. To find out what customers and stakeholders think and want, use:

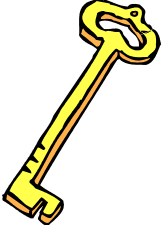
- Written or telephone surveys
- Focus groups
- One-on-one interviews
- Comment forms
- Customer advisory committees
- Public meetings and hearings

3. Incorporate victim, customer and stakeholder feedback.

A common mistake made by organizations is gathering and then ignoring input from external or internal customers. Once victim, customer and stakeholder feedback has been obtained, it must be used. Problems that have been identified need to be addressed in the strategic plan.

In addition, it is crucial to continue communicating with customers by keeping them informed about how their input is being used and what the results are.

Making Sense of the Data



As a result of conducting the situation inventory and environmental scan, participants will:

Have a thorough understanding of the internal and external factors affecting the organization, and

Know who the customers and stakeholders are.

At some point, participants in the planning process will need to review the information generated by the assessment. Keep the information as concise as possible to help participants make sense of the data.

Summary

The results of the Internal/External assessments becomes the basis for all the other phases of the strategic planning process. The situation inventory and environmental scan may also be reviewed or repeated as part of the annual update of the organization strategic plan.

INTERNAL/EXTERNAL ASSESSMENT WORKSHEET

| | | |
|--|----------------------|-------------------|
| I N T E R N A L | STRENGTHS | WEAKNESSES |
| E X T E R N A L | OPPORTUNITIES | THREATS |

CUSTOMER/STAKEHOLDER IDENTIFICATION WORKSHEET

| <i>IDENTIFICATION OF CUSTOMERS AND STAKEHOLDERS</i> | | |
|---|---------------------------------|-----------------------|
| Internal Customers | Customer Expectations | Prioritization |
| | | |
| | | |
| | | |
| | | |
| | | |
| External Customers | Customer Expectations | Prioritization |
| | | |
| | | |
| | | |
| | | |
| | | |
| Stakeholders | Stakeholder Expectations | Prioritization |
| | | |
| | | |
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| | | |
| | | |

Section 3 WHERE DO WE WANT TO BE?

MISSION STATEMENTS

A mission statement identifies what and for whom organizations and programs exist.

- ▶ **Mission:** a brief, comprehensive statement of the purpose of an organization or program.

The mission statement is an invaluable tool in directing, planning, and implementing organization efforts. The mission statement describes customers and products or services. The mission statement is part of the organization's identity, is all encompassing and rarely changes, and is the ultimate rationale for the existence of the agency or program.

When writing a mission statement, consideration should be given to these questions:

- Who are we?
- What do we do?
- For whom do we do it?
- Why do we do it?
- Why are public resources devoted to this effort?

Address these questions by looking at the organization or program *from the outside* – from the customer or stakeholder point of view.

Criteria for a Mission Statement

A good mission statement will –

- Identify the overall purpose for the existence of the organization or program.
- Identify the basic needs or distinct problems that the organization or program is designed to address.
- Identify clients, customers or users (both internal and external) of an agency or program.
- Help identify client, customer, and stakeholder expectations, requirements, services, and products provided to meet these requirements, and the processes and resources used to satisfy these requirements.
- Lead to the development of Performance Measures that reflect customer and stakeholder requirements.

Defining the Mission

To facilitate the development, review, or revision of an organization's or program's mission, use the following process:

1. Identify the original purpose for the organization or program

- Why does it exist?
- What problems were to be addressed?
- What functions, products, or services are, or should be, provided?

2. Reflect the customer and stakeholder base in the Mission Statement.

- Use the customer/stakeholder identification completed during the SWOT.

3. Identify current needs or distinct problems.

- How do current expectations differ from the original purpose of the organization or program?
- What are the primary needs or problems that have to be addressed?

4. Review and revise existing Mission Statements and draft new statements as appropriate, based upon the previous questions.

- Has the mission changed since it was originally established?
- Are program missions focused and specific?
- Are program missions compatible with the organization's mission?
- Are the missions of the organization and program clearly understood by employees, customers, and clients?

Descriptions

Besides Mission Statements, organizations should develop program descriptions for the various programs within their agency.

These descriptions should be written so that someone unfamiliar with the program will have a general understanding of what it does, whom it serves, why it is needed, and how it works. Whenever possible, avoid the use of technical terminology, abbreviations, and acronyms.

| | |
|--|--|
| E X A M P L E S | <p>Mission Statements:</p> <ul style="list-style-type: none">• Address needs in the areas of prevention and intervention, and help victims overcome challenges to lead productive and healthy lives.• To provide comprehensive services to victims and their families who are affected by crime, including domestic violence and sexual abuse, in a safe, comforting and supportive environment.• Leading Arizona in preventing and reducing family, relationship, and sexual violence. |
|--|--|

VISION STATEMENTS

Organizations are faced with the challenge of delivering services with greater efficiency, effectiveness, and quality, yet they must operate within resource constraints. Creating a Vision Statement can help redefine *how* services are provided and prepare the organization to meet the demands of the future.

► **Vision Statement:** A compelling, conceptual image of the desired future.

Great Vision Statements are conceived through a partnership between top management and all levels of the organization - in other words, those who will be implementing the Vision. The Vision Statement becomes a focal point for everyone in the agency. Ideally, the values of each employee become part of the organization's Vision Statement. By sharing this Vision, management establishes commitment to the overall Vision from employees at all levels.



Acknowledging, articulating, and sharing the organization's identity is a *unifying* process. It may be easy for management and staff of a particular program to have a pretty good idea what their identity is, but they may never really take the time to think about what the Vision, Mission, and Principles might be for the entire agency. Strategic Planning provides an opportunity for everyone to sit down in a disciplined and thoughtful manner to look at the total picture together.

A great Vision Statement, one that will inspire and challenge, is purposefully created and will provide more than a picture of the organization's *ideal* future:

- It is a critical ingredient for change
- It represents a global, continual purpose for the organization
- It electrifies and invigorates
- It is the ultimate standard toward which all progress is measured
- Its structure is less important than its effect on the values and behaviors of every member of the organization

Criteria for a Great Vision Statement

When developing the Vision Statement, keep in mind the following criteria. A great Vision Statement will be -

- Brief and memorable
- Inspiring and challenging
- Descriptive of the ideal
- Appealing to employees, customers, and stakeholders
- Descriptive of future service levels
- Idealistic, standing above the commonplace
- Enduring

In addition, a Vision Statement should answer the following questions:

- What does the agency want, and what are its aspirations?
- How does the agency wish to be known by customers, employees, and the community?
- How will the agency enhance the quality of life for those who use its services or products?



A Vision Statement, when integrated with the Mission Statement and Principles, comprises the organizational identity of an agency - and its uniqueness. Together, the Mission Statement, Vision Statement, and Principles define a desired future, accomplishments needed to get there, and the values that will guide future choices. Each element is important.

- Without a Vision, there is no inspiration.
- A Vision without a Mission is an impractical notion.
- A Mission without values could lead to an "ends justifies any means" way of thinking.

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Vision Statements:

- To be a national model providing empowering opportunities to crime victims.
- Restoring crime victims' independent decision-making, one choice at a time.
- No crime victim unassisted.

PRINCIPLES

Principles are factors that drive the conduct of an organization and guide the development and implementation of all policies and actions. Although an organization's principles may be implicitly understood, it is often helpful to explicitly state them.

- ▶ **Principles:** The core values and philosophies that describe *how* an agency conducts itself in carrying out its Mission.

Principles are often associated with a quality management culture. These include "getting it right the first time," satisfying customers, and continuous improvement. Principles also:

- Serve as criteria to guide decision-making at all levels of an agency
- Express common values that can be embraced by the entire organization
- Are powerful instruments for changing organizational culture
- Motivate employees
- Express basic beliefs about the conditions under which people work best
- Steer leaders toward putting in place the structures, systems, and required skills needed to make the Vision Statement a reality

Articulating Principles

Describing the organization's Principles represents a challenge for management. Principles should reflect the values and philosophy of both Boards of Directors and executive management teams, as well as organization-wide values and assumptions. The Principles should be compatible, comfortable and convincing for everyone inside the organization and for customers and stakeholders.

Sometimes, Principles are expressed in terms of responsibilities - to customers, employees, stakeholders, and the community in which it operates, or the physical environment as a whole. Sometimes, Principles are expressed in terms of quality or excellence in management, and the production of goods and services.

Generally, the best statements of Principles express the organization's attitude and values about three things:

- **People:** The way employees and customers are treated.
- **Processes:** The way the organization is managed, decisions are made, and products or services are performed.
- **Performance:** The expectations concerning the organization's responsibilities and the quality of its products and services.

| From Various Organizations in Arizona | | | |
|--|-------------|------|---|
| E X A M P L E S | Employees | | We care about each other, encourage growth, and recognize accomplishments. |
| | Customers | | Our first priority is to satisfy our customers. |
| | Quality | | We do the right things right the first time. |
| | Improvement | | We do the right things even better the next time. |
| | Integrity | | We are committed to the highest standards of ethical behavior. |
| | Teamwork | | TOGETHER, we make it happen. |
| | Leadership | | Leaders are inspiring and lead by example. Leadership exists at all levels. |
| | Management | | We manage by fact. |
| | Measurement | | Our Performance Measures are customer-focused, outcome-based, comprehensive, and clear. |

Principles summarize the philosophies or core values that will be utilized in fulfillment of the Vision and Mission. Thus, Principles help form a bridge between where the organization *is* and where it *wants to be*.

GOALS

Goals provide a framework for more detailed levels of planning. Goals are more specific than the Mission Statement, but remain general enough to stimulate creativity and innovation. They indicate the general changes that will have taken place in the agency or program. Goals describe the "to be" state.

- ▶ **Goals:** The desired end result, generally, after three or more years.

It is important to remember that Goals will be set at the organization and program levels. Goals represent the strategic direction for the organization as a whole, and, therefore, will be broad. Collectively, Goals will clearly chart the direction of the organization and provide a unifying theme for programs and activities.

Goals also represent immediate or serious problems or high-priority issues that merit special attention. These critical or strategic issues, which are often uncovered during the Internal/External Assessments, might be described as the "make or break" kind of issues.

Strategic Issues

Strategic issues do not necessarily fall neatly within the boundaries of a particular program. Instead, they often impact several programs or the entire organization. However, organizations may be able to consolidate these issues into a key result area, which can be a combination of many different operational or programmatic concerns. The following may help further identify strategic issues.

Strategic issues may arise as a result of an agency's Internal Assessment. For example, low customer approval ratings may result in customer service as a strategic issue for the agency.

Strategic issues may be generated by external forces. For example, sexual assault and domestic violence have received extensive media coverage, the public is demanding action, and lawmakers are considering various proposals to address the problem. These crime types would be a strategic issue for those agencies with related programs such as shelters, rape crisis, and family and child advocacy centers.

Strategic issues may be addressed in the short-term (during the fiscal year). The DPS eligibility criteria requiring victims' rights training in FY 2002 was a strategic issue for nonprofit service providers.

Strategic issues may be implemented over the long term. Capital financing for many of the state's larger shelter programs are multi-year endeavors.

Finally, strategic issues may lead to Strategic Planning Goals. However, just identifying a problem or opportunity as a strategic issue is not the same as determining the Goals or desired end result. For example, a strategic issue may be a problem with unfavorable media coverage. The Goals may be to foster better relationships with the press.

Strategic issues may emerge in an unexpected manner and become important after the Strategic Plan is completed and approved. However, a strategic issue identified after the plan has been completed and approved should not pose a problem. The agency can more easily address new strategic issues when the direction of the agency has been identified through the strategic planning process. Knowing what will be needed to accomplish an agency's Mission, Goals and Objectives will ensure a quick, effective reallocation of existing resources to handle any unexpected events.



Strategic issues represent concerns of critical importance to the organization. Often these strategic issues impact several or all of the programs in an organization. Identifying these few critical concerns can help management focus on high priority Goals of the organization as a whole.

Criteria for Goals

The following criteria will help evaluate Goals:

- Goals will be in harmony with, and clarify, the organization's Mission, Vision, and Principles.
- Goals that are achieved will fulfill, or contribute to fulfilling, the Mission of the agency and program.
- Goals will address priorities and the results of the Internal/External Assessments and may be developed in response to strategic issues.
- Goals will tend to remain essentially unchanged, until there is a shift in the environment under which they were created, or, as in the case of a strategic issue, the desired outcome has been achieved.
- Goals will normally encompass a relatively long period, i.e., at least three years or more. Keep in mind that if an agency-wide Goal can be accomplished in fewer than three years, it may be an Objective.
- Goals will address the gaps between the current and the desired level of service.
- Goals will represent a desired organization or program result.
- Goals will chart a clear direction for the organization and programs, but will not set specific milestones or strategies; Objectives and Action Plans will do that.
- Goals will be challenging, but realistic and achievable.

Keep in mind that you, as the service provider in the intervention continuum, are not going to solve our society's domestic violence problem or the sexual assault and child abuse problems. Nor will you solve the DUI or elder abuse problems. What you can do is influence a change, restoring hope and functionality to those victims presented to you. So, within your circle of influence, identify Goals which your services can achieve or integrate with other services to achieve. You can only accomplish those things within your control.

Two identical shelters with two identical empowering and enabling programs and two nearly identical victim client sets exist in two different cities. They each have identical staffing skills and experiences, and an identical Goal: Reduce recidivism 20%. This requires measurement over a long period of time.

One city has integrated services; the other does not. One's police department has an arrest policy; the other does not. Only one's prosecutor and courts take a tough stance on offenders. One monitors offender intervention training; the other does not have it. The cost of living is lower and employment chances are much greater in one shelter's community than the other. Local churches provide child support services free in one's neighborhood which also has a strong transit system and a nearby food bank. One city's police department follows up with security checks and serves Orders of Protection without a cost to the victim. Public counseling and affordable health insurance are available to one shelter's neighborhood but not the other. Plus, neither can work directly with their re-offender.

Clearly, too many external circumstances affect the recidivism rate for a shelter to be able to measure their individual impact on the outcome of recidivism. It is outside their control; perhaps recidivism should not be a goal.

It takes professional researchers, using target and control populations, three to five years to evaluate the effectiveness of a given set of interventions.

Goals that *don't* meet the criteria:

- To continue to service our customers. (not challenging)
- To eliminate domestic violence. (not realistic)
- To increase triage referrals to other comprehensive services by 5% this fiscal year. (Too specific; short-term; more appropriate as an Objective or Action Step.)

Goals that *do* meet the criteria:

- To increase the average number of days residents progress through the organization's program.
- To improve safety services for domestic violence victims.
- To improve advocacy center (or other) allied service providers' satisfaction ratings.
- To respond to the emotional and physical needs of crime victims.
- To assist primary and secondary victims of crime to stabilize their lives after a victimization.
- To assist victims to understand and participate in the criminal justice system.
- To provide victims of crime with a measure of safety and security

FUNDING HINT: The last four examples are the stated purposes of the VOCA Assistance program per the DOJ Office for Victims of Crime.

Making the Process Work

Assertive leadership by the Board of Directors or the Executive Director is essential to ensure that the Goals will facilitate meeting the agency's Mission. Follow these steps to develop or revise agency or program Goals:

1. Establish the process.

- Identify participants
- Define terminology
- Establish timeframes
- Clarify expectations

2. Review Internal and External Assessment Data

- Prior to beginning the actual Goal setting exercise, background information should be distributed and reviewed by the participants. Compilation and distribution of this information sets the stage for formulating Goals.
- Consider all the information from the Internal/External Assessments, including
 - Strengths and Weaknesses
 - Opportunities and Threats
 - Customer/Stakeholder Analysis
- Incorporate all identified strategic issues

3. Incorporate Customer and Stakeholder Feedback

- Incorporate customer and stakeholder needs
- Analyze customer and stakeholder comments and complaints to identify further need for improvement
- Establish improvement Goals
- Track, measure, and benchmark the "as is" process
- Set targets for "to be" process
- Implement improvement
- Gather and measure customer and stakeholder satisfaction with improved products and services

4. Analyze Gaps in Service

A gap analysis is the identification of the difference between the desired and current state. After examining the data gathered in the Internal/External Assessments, questions, concerns, and/or an awareness of significant deficiencies may emerge. An essential piece of information may be missing, valuable information may not currently be accessible, or some vital need may not be met. Once the difference between the desired and current state has been identified, priorities and Goals are developed for closing or eliminating each gap.

To perform the gap analysis, review all the problems identified during the Internal/External Assessments, then determine what will be needed to eliminate complaints and gaps. Then ask:

- How does the desired state of the agency or program compare with the current state?
- Are current products and/or services meeting or exceeding the primary customers' needs and expectations? If not, can any current products and/or service levels be redirected, reduced, or eliminated?
- Has the gap analysis identified the need to plan for new products and/or services?
- Have tradeoffs in assuming new products or services been considered?
- Would planned products and/or services compete for resources with existing ones?

5. Set Direction to Achieve Desired Results

Based on the results of the Internal/External Assessments, determine if the agency is headed in the right direction, or if minor changes will be necessary. By asking questions like the following, a new course can be set.

- If the organization continues in the same direction, will identified issues or problems be addressed; will identified strengths continue to be strengths?
- If the organization continues in the same direction, will the needs of external and internal customers be met? Will service to customers improve?
- Do current programs and/or activities need to change? Should some be added, eliminated or expanded? How much expansion is needed, wanted, or can be handled?
- What lines of communication, coordination, and cooperation should be developed among programs and activities, and with other organizations?

6. Draft and Refine Goals

- Review Goals developed previously and revise as appropriate.
- Develop proposed Goal statements for the planning cycle based on the Internal/External Assessments and the discussion on direction.
- Determine whether proposed Goals meet the criteria. Revise Goal statements as necessary.

- Add language to the Goal statements to clarify, if it is not obvious, who the intended recipient is or who will benefit.
- Determine if the Goals are feasible. Consider the factors or conditions that will facilitate or hinder achievement of Goals. Revise Goal statements as necessary.
- Reach consensus among all participants on the Goal statements and be committed to the completion of the Goals.
- **Optional:** Consider ranking the Goals in terms of their relative importance and the allocation of resources necessary to achieve them. Ranking Goals:
 - Provides guidance to managers and key staff members in developing other agency or program Goals and Objectives.
 - Sets priorities for resource allocation.
 - Provides an overall framework for implementing, tracking, and evaluating performance and progress.

7. Select Goals to Include in the External Strategic Planning Document

- Review all the Goals developed for each program.
- Select those key Goals that represent the most important activities.
- Consider what would be most informative to an external policy maker. For example, a strategic Goal of improving internal communications is important for an organization's internal strategic direction; however, it might not be reported in external documents.



For the agency that has never produced a Strategic Plan, Goal setting should be a joint effort.

The Board of Directors or Director, key staff and representatives from program or service areas should all be part of the team. Each agency will determine the participants, but the core group of individuals driving the effort should be small enough to facilitate effective problem solving.

Summary

Goals will usually relate to the major components of an organization's Mission. However, each organization will vary in the number and scope of the Goals set. Organizations may develop Goals for distinct programs or Goals that cross program lines. Although the scope of the Goals set at the agency level may be more general than those set at the program level, the process of Goal setting and the definition of a Goal remain the same.

The next step in planning is to develop Objectives. Objectives are more specific, quantifiable, and time-bound than the Goals they support. The next section will introduce the criteria for developing Objectives.

OBJECTIVES

The development of Objectives completes the "Where Do We Want to Be?" part of the Strategic Planning process.

- **Objectives:** specific and measurable targets for accomplishing Goals.

In contrast to Goals, Objectives are specific, quantifiable and time-bound statements of desired accomplishments or results. As such, Objectives represent intermediate achievements necessary to realize Goals.

Criteria for Objectives

Good Objectives will be **SMART**. That is, they will be:

Specific: Objectives should reflect specific accomplishments that are desired, not ways to accomplish them. Objectives should generate specific strategies or actions and be detailed enough to be understandable and give clear direction to others.

Measurable: Objectives must be measurable to determine when they have been accomplished. Accountability should be built into the planning process. A method for measuring an Objective must be in place before work actually begins.

Aggressive but attainable: If Objectives are to be standards for achievement, they should be challenging, but should not demand the impossible. For example, it would be reasonable to expect a reduction in the severity of symptoms of Post-Traumatic Stress Disorder, or to increase coping skills/mechanisms due to PTSD, but not to eliminate the disorder totally. Objectives should also be consistent with available resources.

Results-oriented: Objectives should specify a result. For example, "Respond to 90% of all hotline calls within seven rings with an annual average response of four rings or fewer." An example of an activity might be, "To increase service to the public through improved service turnaround."

Time-bound: Specify a relatively short time frame for meeting Objectives, from a few weeks to no more than a year. Objectives are generally more manageable and better integrated with the budget process if they coincide with the fiscal year.

Objectives that are *not* "SMART"

- To reduce the Order of Protection processing time. (Not specific, measurable, or time-bound.)
- To reduce recidivism. (Not specific, measurable, or time-bound, outside the circle of influence of a single organization.)
- To complete 300 safety plans and make 350 outreach contacts. (Actually two objectives, not time-bound.)

Objectives that *are* "SMART"

- To reduce the average cost of processing new hires 5% by end of fiscal year.
- By March 31 of next year, obtain baseline customer satisfaction ratings.
- To increase victim satisfaction rating 5% by end of fiscal year.
- To increase the number of group support sessions by 20% during next fiscal year.
- To increase shelter bed utilization by 5% during next fiscal year.
- To increase direct program service time 7% by end of fiscal year (has the effect of reducing administrative time.)
- To sponsor/attend four network (strengthening) meetings by end of fiscal year.
- To triage 90% of all victims received in 2003.
- To increase triage referrals to other comprehensive services by 5% in 2003.
- To increase network partner satisfaction rating 5% by end of fiscal year.

Hint: "Increase" or "reduction" objectives always require prior year data

Formulating Objectives

Objectives can be developed in many ways, and each agency will use the process that best suits their organizational style. One recommended process follows.

1. Review the Mission Statement and Goals.

- Has a clear Mission for the organization and program been established?
- Have customers and stakeholders been identified?
- Is the intent of the Goals understood?

2. Decide what results are wanted.

- Decide, given current human, technological, and financial resources, how much can be accomplished within the planning period.
- What specific, manageable parts should be achieved? Are there different results, customers, or services implied within a Goal?
- What variables or factors might influence the result?
- Are specific levels of achievement or solutions already mandated by external elements, such as Federal or State legislation, funding criteria, or court order?
- Are the proposed results consistent with organizational policies, values, and priorities?

3. Set a timeframe for achieving results.

- What is a reasonable period of time for achieving the desired results?
- How critical is immediate action?
- What are the opportunities to act now versus later?
- What are the consequences of action now versus later?
- Do federal guidelines, court orders or consent decrees, State statutes or funding criteria already mandate specific timeframes or deadlines?

4. Build in accountability.

- Review Performance Measures and targets already set for Goals.
- Identify additional Performance Measures for Objectives, if appropriate.
- Determine performance targets for each Objective.
- Assess how progress will be measured.
- Organize to gather appropriate information.

The Stretch Factor

The real art of setting Objectives is to create a challenging but achievable target. The best Objectives are those that stretch the capacities of people and programs, but are, nonetheless, possible. This not only results in genuine improvement in programs and services, but also builds employee pride and confidence. Impossible performance targets, on the other hand, discourage employees, kill initiative, and stifle innovation.

MISSION STATEMENT TEST

Mission: a brief, comprehensive statement of purpose of an agency, or a statement of purpose of a program within an agency.

For each agency or program within an agency, indicate if the mission statement meets the criteria of the test.

| MISSION STATEMENT CHECKSHEET | | |
|--|--------------------------|--------------------------|
| Agency or Program Name: | | |
| Test Questions | Yes | No |
| Does it clearly state what business you are in? | <input type="checkbox"/> | <input type="checkbox"/> |
| It is broad enough that all staff in the organization can see how they contribute? | <input type="checkbox"/> | <input type="checkbox"/> |
| Has the mission rarely changed? | <input type="checkbox"/> | <input type="checkbox"/> |
| Can the mission survive changes in administration? | <input type="checkbox"/> | <input type="checkbox"/> |
| Is the rationale for the program's existence clear? Does it articulate the ultimate outcomes you want? | <input type="checkbox"/> | <input type="checkbox"/> |
| Will it make sense to average citizens if they see it on your office wall? | <input type="checkbox"/> | <input type="checkbox"/> |
| Does it answer who we are, what and for whom we do what we do, and why it's important? | <input type="checkbox"/> | <input type="checkbox"/> |
| Is it obvious why we spend public and donated dollars on such an effort? | <input type="checkbox"/> | <input type="checkbox"/> |
| Will you be embarrassed if you see it on the front page of the newspaper? | <input type="checkbox"/> | <input type="checkbox"/> |

VISION & PRINCIPLES STATEMENT TESTS

Vision Statement: a compelling, conceptual image of the desired future.

Indicate if the vision statement meets the criteria of the test.

| VISION STATEMENT CHECKSHEET | | |
|---|------------|-----------|
| Test Questions | YES | NO |
| Does the vision statement provide a clear picture of the organization's ideal future? | | |
| Is the vision statement inspiring and challenging? | | |
| Is the vision statement brief enough to be memorable? | | |
| Will achievement of the mission help make the vision a reality? | | |

Principles: the core values and philosophies that describe how an agency conducts itself in carrying out its mission.

Indicate if the principles meet the criteria of the test.

| PRINCIPLES CHECKSHEET | | |
|---|------------|-----------|
| Test Questions | YES | NO |
| Can the principles act as a foundation for the mission and vision? | | |
| Are values included that can be embraced by every employee in the organization? | | |
| Do the principles promote employee excellence? | | |
| Do they describe the way customers should be treated? | | |
| Do the principles clarify expectations for quality performance? | | |

GOALS TEST

Goal: the desired end result, generally after three or more years.

For each agency or program within an agency, indicate if the goals meet the criteria of the test. Complete one column for each goal.

| GOALS CHECKSHEET | | | |
|---|---------------------|-----------|--|
| Agency or Program Name: | Goal Number: | | |
| Test Questions | Yes | No | |
| Does the goal support the mission? | | | |
| Does the goal address just one issue? | | | |
| Does the goal represent a desired <i>result</i> that can be measured? | | | |
| Does the goal reflect a <i>primary</i> activity or <i>strategic</i> direction? | | | |
| Is the goal challenging, but still realistic and achievable? | | | |
| Does the goal encompass a relatively long period, i.e., three years or longer? | | | |
| Is there at least one key goal for each program, but not more than can be reasonably managed? | | | |
| Is the goal important to policy makers and customers? | | | |
| Will someone unfamiliar with the program or subprogram understand what the goal means? | | | |
| When taken collectively, will the goals reflect most of the program's budget? | | | |

OBJECTIVES TEST

Objectives: specific and measurable targets for accomplishing goals.

For each goal, indicate if the objectives meet the criteria of the test. Complete one column for each objective under a particular goal.

| OBJECTIVES CHECKSHEET | | | | | |
|--|-------------------------|-----------|-----------|-----------|-----------|
| Goal: | Objective Number | | | | |
| Test Questions | #1 | #2 | #3 | #4 | #5 |
| Does the objective reflect specific, desired accomplishments? | | | | | |
| Can progress toward completion of an objective be measured? | | | | | |
| Is the objective aggressive and challenging, yet realistic and attainable within the planning period and factoring in available resources? | | | | | |
| Does the objective specify a result rather than an activity? | | | | | |
| Is there a specific time frame for completion of the objective? | | | | | |
| Does it identify who will be accountable for meeting the objective? | | | | | |
| Will completion of the objective lead to goal attainment? | | | | | |
| Is there at least one objective for each stated goal? | | | | | |
| Will someone unfamiliar with the budget unit (or program) understand what the objective means? | | | | | |

Section 4

HOW DO WE MEASURE OUR PERFORMANCE?

Why Measure Performance?

Now that the Mission, Vision, Goals, and Objectives are in place, a method for measuring the progress and success of implementation will be needed. Choosing a balanced set of results-based performance measures to gauge the success in meeting Goals and Objectives is one of the most important and difficult aspects of the strategic planning process.

Performance should be measured because:

- **Measuring performance is good management.** It provides accountability for results at each level of planning.
- **Measuring performance can enhance the quality of services.** Performance measures inform program staff of victim needs and levels of satisfaction and make it possible to identify actions to improve quality and reduce costs.
- **What gets measured, gets done.** Most people want to do a good job. Measuring performance helps managers and employees focus on what is important. By comparing actual with expected results, it enables managers and decision-makers to evaluate progress towards Goals and Objectives.
- **Measuring performance aids in budget development and review.** Performance measures are valuable in the budget development process. They allow a more accurate assessment of resources needed to support activities. They also help identify what level of product or service will be provided for the amount of funding available.
- **Measuring performance helps organizations answer the question, "Why are resources being spent on these activities?"** Performance measures also bring greater clarity to the grant or allocation process and provide citizens, victims, and stakeholders with a more meaningful sense of the results that will be attained.

Categories of Performance Measures

- ▶ **Performance Measures:** Tools used to measure results and ensure accountability.

Arizona's Strategic Planning Model incorporates five common performance measures:

- Input
- Output
- Outcome
- Efficiency
- Quality

Each category is designed to answer a different question and must often be used in combination to analyze agency or program results.

- ▶ **Input** measures the amount of resources needed to provide particular products or services.

Input measures include labor, materials, equipment, and supplies, and can also represent demand factors, such as target populations. Inputs are useful in showing the total cost of providing a service, the mix of resources used to provide the service, the demand for services, and the amount of resources used for one service in relation to other services.

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INPUT MEASURES:

- Number of victims referred by other programs.
- Number of self-presenting victims requesting service.
- Number of available bed nights.
- Number of elder abuse cases received.
- Number of victims seeking group support.
- Number of support group facilitators available.
- Number of victims seeking orders of protection.
- Number of advocates or counselors available.

- ▶ **Output** measures the amount of products or services provided.

Outputs focus on the level of activity in a particular program. Workload measures, which are designed to show how staff time will be allocated to respond to service demand, are most commonly reported. Outputs are useful in defining what a program produces. However, they are limited because they do not indicate whether the program Goals have been accomplished, and they do not reveal anything about the quality or efficiency of the service provided.

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OUTPUT MEASURES:

- Number of referred victims receiving services.
- Number of bed nights occupied.
- Number of intakes completed.
- Number of victims assisted with safety planning.
- Number of elder abuse victims receiving services.
- Number of referrals to partner agencies in the service continuum.
- Number of service units provided to elder abuse victims.
- Number of victims receiving group support.
- Number of support groups conducted.
- Number of orders of protection filed.

- ▶ **Outcomes** measure whether services are meeting proposed targets.

Outcomes reflect the actual results achieved, as well as the impact, or benefit, of programs. Both intermediate and long-term outcomes can be evaluated. Policy makers are generally most interested in Outcome measures. However, information about the ultimate result is not always available or practical to measure. In these instances, it may be necessary to use proxy or surrogate measures. For example,

completion of the 12th grade is not the same as literacy, but it may be the measurement that comes closest, and the one that can currently be measured.

| | |
|--|--|
| E X A M P L E S | OUTCOME MEASURES: |
| | • Number and percent of victims who report an increased knowledge and understanding of the criminal justice system. |
| | • Number and percent of victims who report their safety has improved. |
| | • Number and percent of discharged clients completing treatment plan objectives |
| | • Number and percent of victims who report a better understanding of local resources and how to access them for support. |
| | • Number and percent of victims report having increased functioning and feelings of well-being. |
| | • Number and percent of victims who report an increased understanding of their legal rights. |
| • Number and percent of reduction in administrative time requirements. | |

For a complete list of core outcome measures developed in partnership by Arizona stakeholders, funders and coalitions, refer to the “Core Performance Measures” addendum at the end of this manual.

Outcome measures are often mistaken for Output measures. Outcomes assess how effective or successful the program has been performing. Outputs alone cannot tell management how successful the program has been. How much work a program does is different from how well a program is working. The following illustrates the difference between Outcomes and Output.

| Output | | Outcome |
|---|--------------------|---|
| Number of therapy sessions conducted | Is not the same as | Number of victims reporting increased functioning and decrease in PTSD symptoms |
| Number of Domestic Violence presentations to children | Is not the same as | Number of children who report understanding Domestic Violence |

| | |
|---|---|
| A D V A N C E D S I D E B A R | Remember the shelters trying to track recidivism (p. 29) to measure their performance? |
| | What if they had implemented a service, all other influences from other external factors remained constant, and the recidivism rate went down and remained down for three years? Without being able to isolate the impacts of external influences on recidivism, the shelters still couldn't draw upon this measurement for their <i>individual</i> performances but clearly there is value to tracking such a measurement. Their portion (one factor) of the <i>societal</i> performance, which influences this type of measure, still affects the desired social outcome of reducing the recidivism rate. |
| | It is meaningful to the shelters to be viewed in relation to others as a factor that drives this outcome. Therefore, an <i>Indicator Type</i> Outcome can still support a family of performance measures. Further, as the recidivism rate starts to decline, it positively affects "buy-in" and implementation of this and other stretch goals. However, these probably would not be included in the set of key indicators of agency performance reported to external audiences. |

- ▶ **Efficiency** measures are also known as **productivity** measures.

Efficiency can be measured in terms of the cost per unit of Output, the ratio of Outputs per unit of Input, and the ratio of Outputs per unit of time. Ratios help express the relationships between different performance measures to convey more information about the productivity and cost effectiveness of a program.

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EFFICIENCY MEASURES:

- Output/Input: # of referred victims *receiving* services - to the number *requesting* services.
- Output/Input: # of victims *participating* in group support sessions - to the number *seeking* that service.
- Time/Output: Turnaround time - per intake process.
- Cost/Input: Cost per available bed.
- Cost/Output: Cost per order of protection.
- Cost/Outcome: Cost per group session.
- Cost/Outcome: Cost per victim connected to allied services.

Note: Cost performance measures, if used, frequently require a certain level of accounting sophistication. Clarify with your accountants the agency's capacity to allocate portions of personnel, travel, operating (including administrative costs), and capital costs (equipment and facilities) to units of service such as bed nights or to processes such as the cost to correct errors. It is important to develop meaningful measures within existing capabilities and assumptions. This must be determined during the plan development.

- ▶ **Quality** measures reflect the **effectiveness** in meeting the expectations of victims and stakeholders.

Measures of quality include reliability, accuracy, courtesy, competence, responsiveness, and completeness associated with the product or service. Lack of quality can also be measured, e.g., the resources that will be devoted to performing rework, correcting errors, or resolving customer complaints. Both the positive and negative sides of measuring quality can be important to track.

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QUALITY MEASURES:

- Percent of clients surveyed reporting overall satisfaction with services provided.
- Percent of collaborative partners reporting satisfaction with working relationships and services
- Percent of clients reporting they would recommend our services to other victims.
- Number of complaints.
- Percent of accuracy in completing intake forms, petitions for orders of protection, victim impact statements, etc.
- Cost associated with errors in correcting procedures.

For a complete list of core quality measures developed in partnership by Arizona stakeholders, funders and coalitions, refer to the “Core Performance Measures” addendum at the end of this manual.

The next step in the planning process is to determine which set of measures will provide agencies, programs, victims, and external policy makers with the information necessary to gauge progress.

MEASURING PERFORMANCE

Choosing Performance Measures

One of the most difficult aspects of Strategic Planning is choosing a balanced set of results-based Performance Measures to gauge the success of meeting Goals and Objectives. Once measures are decided upon, agencies need to define the Performance Measures, determine data requirements, identify current baselines, set realistic performance targets based on benchmarking, and compare actual performance with expected results.

A comprehensive set of performance measures will:

- Be linked to the organization's Mission
- Relate to goals and objectives
- Measure intermediate and final outcomes
- Rely on measurability
- Be valid and reliable
- Delineate clear responsibilities
- Address multiple priorities
- Be useful to staff, victims, stakeholders, and policy makers

Be careful that Performance Measures do not lead to the wrong incentives. For example, if the focus is on the number of cases processed, employees might have the incentive to accept only the easiest cases in order to generate the highest ratings. A balance of measures can help overcome this potential shortcoming. Another approach is to separate measures for internal purposes, such as by type of victim-client, customer, or by geographic area to reflect workload difficulty.

Selecting Initial Performance Measures

Review the Mission, Vision, Goals, and Objectives of the organization or program. Keep the intermediate and final Outcome in mind.



Inputs are generally easiest to collect; Outcomes tend to be the most difficult. Recognize that it is difficult to get staff and management to focus on more than activities. Try to balance the collection process to include Outcomes, Efficiency, and Quality measures, but all are not always necessary. There may be goals or objectives with only three types of measures. The "family of measures" (how they are interrelated and integrated) is more important than the balance of types.

Keep in mind that Efficiency measures can be expressed as ratios of Outputs and Outcomes to Inputs. Strive to define a balance of different types of measures for each goal. Because they are interrelated, measures cannot be considered in isolation. For example, increasing Quality cannot be accomplished without regard to cost.

Hint: Use the Family of Measures worksheet at the end of this section.

Ideally, Performance Measures will be chosen with input from relevant staff at all levels of the agency, as well as input from victims and policy makers. The most effective measures are those that represent a consensus of what is intended and expected.

Evaluating the Performance Measures

Once the entire set of Performance Measures has been chosen, a subset of key measures needs to be selected. While internal management will need programs to collect enough measures to capture all aspects of performance, external decision makers will be interested in the success of the program.

Therefore, for external planning documents, focus on the desired results, the primary measure of achievement, and a balance between external and internal focus. Review the complete list of measures for the agency and each program and select those that are the most important based upon the Mission and Goals. Identify the key or *vital few* measures for reporting on external planning documents. Recognize that Outcome, Efficiency, and Quality measures will be most useful to decision makers. Also, consider which measures could be aggregated to the next level of management for reporting purposes.

Determining Data Requirements

Once all measures have been chosen, the data needs of the agency and programs will need to be determined.

To determine what data you need to collect, ask:

- What information is currently being gathered? Does it meet agency and program needs?
- What new information needs to be collected?
- Do any data collection problems exist?
- Can needed data collection efforts be incorporated into existing efforts?
- What new (or modified) forms will be needed to collect data?
- What resources will be needed to manage performance data?
- What computer hardware and software exist to assist data collection and analysis?
- Are there any constraints to changing data collection? (For example: money, technology, tradition, politics, privacy, etc.)
- How often will the data be collected: monthly, quarterly, annually?

Performance data should be collected, verified, and analyzed at the source of service because:

- Those closest to the program's services know the program best.
- Service deliverers can identify collection problems quickly.
- It may be too costly to train someone else to collect the data.
- Service deliverers often have the best solutions to solving collection problems.

Data analysis will be most useful to those monitoring performance when:

- The data is in a usable and meaningful format.
- Adequate time exists to collect, analyze, and report the results.
- Training is instituted to help managers use performance data.
- Managers know what kinds of performance data to request for reports.

Defining Performance Measures

Good Performance Measures need to be clearly defined, including exactly what is being measured, the source of the data, and how the value is being calculated. Definitions that are clear and specific are not open to interpretation and this ensures that staff will be able to provide accurate and consistent information over time.

Determining Baseline Performance

The next step is to assess current performance (where are we now?). This information is then compared with future data to measure progress and improvement. The baseline is usually derived from the most recent one-year period. If no data is available, sometimes industry averages can be used. Otherwise, data will need to be collected to establish the initial baseline.



Don't spend a great deal of time determining the correct category for a particular Performance Measure. The definitions are not always precise and a particular measure could be described by more than one category.

Be patient while employees learn to collect new types of performance data.

Don't institute automation until you are sure the data collected is the data you need.

Don't add unnecessary steps in data collection and analysis.

BENCHMARKING

Using Benchmarking to Establish Performance Targets

Benchmarking involves seeking the best-in-class performers inside or outside the organization, studying them to determine why they are the best at what they do, and applying what is learned to your organization.

Potential benchmarking performers can be identified through:

- Previous studies
- Literature from national associations
- Awards given to organizations
- Business/government press literature
- The Internet

Benchmarking data may represent:

- Professional, national, or accreditation standards as well as quality practices
- The highest or lowest rating (whichever is more desirable) in a given issue or field
- Performance or workload levels set in statutes, regulations, or official guidelines

In a world-class organization, benchmarking is not viewed as a one-shot study, but rather as an on-going process. The benchmarking process consists of four stages.

1. Planning Stage

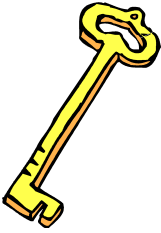
- Establish the scope of the study.
- Form a team and obtain resources.
- Document and analyze the process you want to study. This decision will be based on the process and partner organizations you have selected for your study.
- Develop preliminary methods for gathering information.
- The process does not necessarily have to be sequential, but this is a good checklist to be sure you are not overlooking important factors.

2. Data Collection Stage

- Use the first round of information you collect to identify benchmarking partners.
- Plan a new data collection instrument and strategy.
- Complete a second round of data collection.

3. Analysis Stage

- Gauge the similarities of the data between the benchmarking partners and your organization - before you decide to adopt or adapt any measures or new processes.



Generally, an organization will concentrate on a process study for the comparison of performance measures. A process is a work activity that has a discrete number of inputs, steps, outputs, and has its own feedback and results information. To begin your study, develop a list of processes and decide on the factors you wish to include. Next, create a flow chart for the "as is" process. This information will be important as you begin comparing your operations with other organizations to find opportunities for improvement.

- After comparing baseline status and the data discovered in the benchmarking process for a particular program or service, manager and staff know how far the organization must go to equal the best performers. The difference - or "gap" - between the expected performance and actual performance represents room for improvement. Benchmarking offers an organization a chance to aim for the top and to provide ideas on what it needs to do to get there.

4. Setting Performance Targets

- ▶ **Performance targets are quantifiable estimates of results expected for a given period of time.** Setting performance targets is an art. The following criteria may help.

Performance targets:

- Should be developed by those who will be held accountable.
- Should include input from victims and stakeholders.
- Should include final and annual incremental targets.
- Should be derived from benchmarking, where available.
- Should represent realistic expectations toward meeting Goals and Objectives.
- Should be adjusted based on experience and expectations.
- Will enhance productivity.



The real art of setting performance targets is to create challenging but achievable targets. The best targets are those that stretch the capabilities of people and programs, but are, nonetheless, possible - those that result in genuine improvement, while building employee pride and confidence. Conversely, impossible performance targets kill motivation and stifle innovation.

Pitfalls in Benchmarking Projects

When properly used, benchmarking has numerous rewards. However, there are pitfalls in benchmarking as well.

| | |
|-----------------------|---|
| Scope | When a project scope is too broad, there is no focus. This makes it hard to determine what companies would be comparable and what data to collect. |
| Time | The more time spent in the planning stages, the better the benchmarking project. Allow enough time for data collection. |
| Funding | Funding for a project includes time, administrative support, research, and expenses for data collection. |
| Measures | Comparable organizations often do not have commonality in reporting measures. Different organizational structures, accounting policies, and regulations can all affect the performance information that is reported. |
| Commitment | To enhance commitment, it is important to have team members see the benchmarking project as part of their normal job duties. A specific amount of time should be allocated for participation in the project. |
| Communication | Everyone involved must know the time expectations from project start to implementation. |
| Confidentiality | Some partner organizations will allow their names to be used and others will want to remain confidential - always accommodate their wishes and keep in mind the sacrifices they are making in assisting you with your project. |
| Context | Be aware of the financial, political, and legal environment in which the partner organizations operate. The political realities of each shape many of the processes or organizations. Consider the differences in operations between a pro-growth and a no-growth philosophy. |
| Blame | Do not use comparisons to benchmarks to find fault with staff. For meaningful changes to occur, it is important to have commitment, not compliance, from people. |
| Pre-conceived Notions | Finally, remember if you think you are a hammer, everything looks like a nail. If you go into a project deciding what should be done, innovative ideas will be difficult, if not impossible, to find. Think outside the box! |

Summary

The process of developing, updating, and reporting performance measures is dynamic and requires ongoing attention. Accept that the process is evolutionary, and that measures will likely improve with experience.

PERFORMANCE MEASURES TEST

Performance Measures: used to measure results and ensure accountability.

Test each performance measure to see if it meets the criteria of this test.

| PERFORMANCE MEASURE CHECKSHEET | | | | | |
|---|-------------------------------|-----------|-----------|-----------|-----------|
| Agency or Agency Program: | Goal/Objective Number: | | | | |
| | Performance Measure | | | | |
| Test Questions | #1 | #2 | #3 | #4 | #5 |
| Does the performance measure relate to the mission it represents? | | | | | |
| Does the performance measure relate to the goal it represents? | | | | | |
| Does the performance measure relate to the objective it represents? | | | | | |
| Will it be possible to collect accurate and reliable data for this performance measure? | | | | | |
| When incorporated with other performance measures, do these measures accurately reflect the key results of the agency or program? | | | | | |
| Is there at least one <i>key</i> performance measure for each goal? | | | | | |
| Does the performance measure reflect customer and stakeholder requirements? | | | | | |

FAMILY OF MEASURES WORKSHEET

| | INTERNAL | EXTERNAL |
|-------------------|-----------------|-----------------|
| Input | | |
| Output | | |
| Outcome | | |
| Efficiency | | |
| Quality | | |

Example of Performance Measures and the Relationship to Goals and Objectives

The following generic example is designed to show the relationship of Goals, Objectives, and Performance Measures. The example includes a balanced set of measures for a safety goal using Domestic Violence core performance measures.

Safety Goal

Goal 1: To provide victims of crime with a measure of safety and security.

Objective 1: During this fiscal year, 75% of victims will report their safety has improved.
(and/or):

Objective 2: During this fiscal year, 70% of victims will report they know how to plan for their continued safety.

PERFORMANCE MEASURES

Inputs: # of victims accessing services
of victims assessed needing a safety plan
of case managers

Outputs: # of victims receiving services
of victims assisted with safety planning
of victims assisted with orders of protection

Outcomes: # and % of victims that know how to plan for their continued safety
and % of victims reporting their safety has improved
and % of victims who report being able to better assess their safety needs

Efficiency: Ratio of victims referred vs. those accepting services

Quality: % of victims expressing satisfaction with services
% of collaborative partners reporting satisfaction with working relationships and services provided

Example of Performance Measures and the Relationship to Goals and Objectives

The following generic example is designed to show the relationship of Goals, Objectives, and Performance Measures. The example includes a balanced set of measures for a justice goal using the Victim Witness core performance measures.

| <u>Justice Goal</u> | |
|-----------------------------|---|
| Goal 1: | To assist victims to understand and participate in the criminal justice system. |
| Objective 1: | During this fiscal year, 80% of victims accessing services will have a better understanding of the criminal justice system. |
| (and/or): | |
| Objective 2: | During this fiscal year, 85% of the victims accessing services will understand their legal rights. |
| PERFORMANCE MEASURES | |
| Inputs: | # of victims referred for services # of advocates # of volunteers |
| Outputs: | # of victims receiving assistance # of victims assisted with court accompaniment # of referrals made to other agencies # of victims assisted with impact statements |
| Outcomes: | # and % of victims who report an increased knowledge and understanding of the criminal justice system # and % of victims who report they are satisfied with their level of participation # and % of victims reporting services reduced their anxiety about participating in the criminal justice system |
| Efficiency: | Ratio of victims referred vs. those receiving services |
| Quality: | % of victims who reported that advocacy services provided were helpful % of victims reporting connecting with other agencies after advocate's assistance % of victims who felt they had the information they needed to make informed decisions about contacting other support services |

Section 5 HOW DO WE GET THERE?

ACTION PLANS

- ▶ **Action Plans:** A detailed description of the strategies and steps used to implement a Strategic Plan.

Action Plans spell out the details of the methods, or strategies, that will be used to accomplish the Objectives, Goals, and Missions of the agency and its programs. Tasks and responsibilities are outlined in *SMART* (Specific, Measurable, Aggressive/Attainable, Results oriented, and Time bound) steps. Action Plans should contain as much detail as each level of management feels is important. The employees or individual responsible for implementing and reporting each Objective will need the most detail. However, upper management may only want to know that the Objective is being implemented on schedule and not want to know the status of each step.

Planning assumptions are often included. Planning assumptions clarify expectations about future conditions upon which the Strategic Plan is based. If these conditions significantly change, planning assumptions and, possibly, the Strategic Plan may need to be amended. This part of the process builds upon past experience, current activities, and projected trends, which could significantly impact future performance.

E X A M P L E S

Sample planning assumptions for a social service agency:

Demographic: The demand for services will continue to grow based on the state's population growth, changes in the family structure, and aging of the population.

Economic: Due to the decreasing economy, unemployment will continue to rise, creating more demand for services, and increasing fundraising difficulty.

Government/Legislative: No expected increase in (or to existing) enabling laws or policies.

Planning assumptions help the planning team choose the relevant strategies for implementing Objectives.

Formulating Strategies

In order to build an Action Plan, managers, supervisors, and other key staff members must determine how to achieve the desired results. The costs, benefits, and possible consequences of alternative courses of action, or strategies, must be evaluated. The most effective and efficient strategies should be selected. Researching successful programs in other organizations, both local and out of state, can prove helpful.



Conducted properly, brainstorming can be one of the most effective ways to generate and encourage innovative ideas. Bringing in key players to discuss possible strategies will strengthen and identify opportunities for coordination and cooperation. The team should include all staff that will have responsibility for accomplishing the Objectives.

Before a decision is made regarding the course of action that will be taken, each strategy must be weighed. The following questions can be used as a test of each suggested alternative.

- If this course of action is implemented, is it plausible that the Objective will be reached?
- What are the anticipated costs and benefits of this course of action?
- Will this course of action have a positive or negative impact on any other Objectives?
- Is this Objective dependent upon the successful implementation of any other Objective?
- Is the agency organized to implement this course of Action? If not, what must be changed to accommodate implementation?
- If changes are necessary, how long will they take? Are there other constraints that will occur as a result?
- Once implemented, will procedural changes be required? If so, what impact and how long will each step take?

Resource Allocation

The resources that will be needed to implement various strategies must also be considered.

- ▶ **Resource Allocation:** The determination and allotment of resources or assets necessary to carry out strategies to achieve Objectives within a priority framework.

To avoid creating unrealistic expectations, planning decisions must be grounded in fiscal reality. An emphasis on efficient operations and results oriented management means that, regardless of the current political and economic climate, all organizations should plan under the general assumption that future funds will be limited. Organizations should consider service delivery alternatives, processes that leverage existing resources, or resource redeployment before determining how to increase revenue.

The following questions can be used to test the resource needs of each strategy:

- Are the resources required to implement this course of action – the budget, personnel, training, facilities, hardware, software, and other equipment available? If not, how will needed resources be obtained? Can resources be reallocated within the organization?
- What will the fiscal impact of this course of action be? Will additional funding be needed?

Once the costs, benefits, possible constraints, time frames, and resources have been analyzed, select the best strategy. Next, identify the steps necessary to successfully implement the strategy in order to achieve the Objective. These are the action steps that will appear in the Action Plan.

Putting the Action Plan Together

The Action Plan is the level where the actual production of a program occurs. Action Plans are geared toward operations, procedures, and processes. The Action Plan describes who performs each step and when the step is scheduled for completion.

The following process is one way of managing the Action Plan.

1. Assign responsibility for implementation of the Action Plan.

- Who is in charge of implementing all steps in the Action Plan?
- Who will be accountable?

2. Detail the Action Plan in steps.

- The individual or team responsible for completion of the Action Plan should define the steps that must be finished in order to fully complete the Action Plan.
- Steps should be briefly described, indicate who is responsible for the completion of the step, and have an expected start and finish date.

3. Set a time frame for completion of the Action Plan.

- In the overall context of the strategy, when should the Action Plan as a whole be completed?
- Does the person or team responsible for the Action Plan believe it can be completed within the desired time?
- Is the time frame for the Action Plan as a whole consistent with individual time frames projected for steps within the Action Plan? If not, how can differences be reconciled?

4. Determine fiscal impact of the Action Plan and resources necessary to carry it out.

- The individual or team responsible for completion of the Action Plan should determine the fiscal impact and identify the resources necessary to carry out the plan.
- The Action Plan becomes the basis for developing requests for capital and operating budgets, as well as to support human and information resource management.
- In practice, it may be necessary to detail the steps of the Action Plan – including intermediate dates – before the time frame for the Action Plan as a whole is set.

Organizing the Action Plan

A numbering or lettering system is recommended for ease of identifying each particular Goal, Objective and action step. A typical method for organizing a Strategic Plan is to devise a numbering system.

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- Goals could be numbered: 1, 2, 3, etc.
- Objectives could be numbered to correspond to each Goal: 1.1 or 1-1 would represent the first Objective under the first Goal.
- Action steps could be numbered to identify which Goal and Objective they are under, e.g., 1.1.2 or 1-1-2 would be the second step required under the first Objective, first Goal.
- An agency may have a single activity that can support more than one objective.

The numbering system does not necessarily have to represent the importance of the Goal or Objective, unless the agency chooses to prioritize elements of the plan.

Since much of the information included in the Action Plan will also be used for document tracking and monitoring, agencies may want to design one format to accomplish both purposes. Sample Action Plans are provided on the following pages.

FORMAT FOR AN ACTION PLAN

PROGRAM: _____

DATE: _____

GOAL: _____

OBJECTIVE: _____

STRATEGY: _____

| Step # | Action Steps | Person(s) Responsible | Due Date Or Time Line | Resources Needed |
|--------|--------------|--------------------------|-----------------------------|------------------|
| | | | | |
| | | | | |
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| | | | | |
| | | | | |
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EXAMPLE OF AN ACTION PLAN

PROGRAM: Community Case Management

DATE: (Fiscal Year)

GOAL 1: To increase safety for victims seeking services.

OBJECTIVE 1.1: By fiscal year end, assure 85% of victims seeking services develop a safety plan.

STRATEGY: Train victims on development and implementation of safety plans.

| Step # | Action Steps | Person(s) Responsible | Due Date Or Time Line | Resources Needed |
|--------|---|---|-----------------------------|-----------------------------|
| 1.1.1 | Identify barriers to educating victims: <ul style="list-style-type: none"> • Program barriers • Client barriers | Program Administrator; Case Managers/Advocates | Program: July 30 | Work group |
| 1.1.2 | Educate Clients | Case Managers; Advocates/Supervisors | July to June | Case Managers/ Advocates |
| 1.1.3 | Assess practicality of client’s safety plan and test understanding | Case Manager | July through June | Policies/Procedures |
| 1.1.4 | Review quality of case managers assessments | Executive Director | Quarterly | Safety plan samplings |

EXAMPLE OF AN ACTION PLAN

PROGRAM: **Crime Victim Service Unit**

DATE: **(Fiscal Year)**

GOAL 1: To assure comprehensive and quality services are available and accessible statewide to victims of violent crime.

OBJECTIVE 1.1: During this fiscal year, 95% of subgrantees will be in compliance with Crime Victim Services standards.

STRATEGY: Conduct annual site inspections and provide technical assistance.

| Step # | Action Steps | Person(s) Responsible | Due Date Or Time Line | Resources Needed |
|---------------|--|------------------------------|-----------------------------------|--------------------------------------|
| 1.1.1 | Conduct introductory site visits on new agencies | Program Coordinators | July 30 | Computer, vehicle, introductory form |
| 1.1.2 | Conduct site inspections on all subgrantees | Program Coordinators | June 30 | Computer, vehicle, site visit tool |
| 1.1.3 | Prepare site inspections results report | Program Coordinators | 10 days following site inspection | Computer, policies and procedures |
| 1.1.4 | Site visit satisfaction survey | Subgrantees | 30 days following site inspection | Evaluation tool |
| 1.1.5 | Site inspection report quality assurance | Program Supervisor | 5 days following report submittal | |
| 1.1.6 | Analyze macro trends for site inspection modifications | Program Manager/ Supervisor | Quarterly | Spreadsheet |

Section 6

HOW DO WE TRACK OUR PROGRESS?

TRACKING SYSTEMS

- ▶ **Tracking Systems:** Monitor progress, compile information for managers, and keep the Strategic Plan on track.

Tracking the implementation of Goals and Objectives will normally be the responsibility of the individual or team responsible for completion of the Action Plan. Ideally, monitoring should follow a regular schedule – quarterly or monthly.

Developing a Tracking Document

Elements of a workable tracking document should include:

- Goals
- Objectives
- Performance Measures
- Action Plans (including the identification of the position, unit, section or division responsible for implementation)
- Room for comments and an explanation of the actions taken to date
- Information on current status

Remember, by adding space for comments and the current status of each Action Step, your Action Plan may work for your tracking document.



The tracking document is only as useful as the information it contains and provides to management. Remember, this report will be a tool that management will use – not only to evaluate Goals and Objectives – but also to react quickly and effectively to the unexpected.

Progress and non-progress should be reported. Report progress to date on steps in the Action Plan that are completed ahead of schedule and that are on schedule. If things are not progressing according to the Action Plan, report the reasons, as well as what is being done, to get implementation back on track.

Agencies need to develop their own methods of tracking implementation of their Goals, Objectives, and Action Plans. The document needs to track the status of each Action Step. For example, is it on schedule, delayed, canceled, ahead of schedule, or in the planning stages? Use of short, easy-to-recognize codes (e.g., “OS” for On Schedule) will facilitate use of the report. Ample space should be included for comments. Program managers should be encouraged to include as much or as little comment as is necessary to give complete information to upper management.

Monitoring Performance Measures

In addition to tracking the progress of Goals, Objectives, and Action Plans, Performance Measures should also be monitored. Data should be collected for each Performance Measure and reported at regular intervals, e.g., monthly or quarterly. Progress reports on Performance Measures could be in the form of data tables or presented in charts or graphs.



When using Performance Measures as indicators of progress, it is important to note that most Outcome measures only provide a “score” indicating how well the characteristic being measured is doing. External factors will affect the value of most, if not all, Outcome measures.

Comparison of actual performance, as reported in the monitoring document, to the “target” or expected performance provides the basis for periodic evaluation of the Strategic Plan and the planning process. Management should use the results of the monthly or quarterly reports to identify reasons for not meeting expected results and use this information to review and revise policies, procedures, Goals, and Objectives.

Tracking performance and reporting results is an important way to measure progress toward meeting the Goals in the Strategic Plan. Assist staff by articulating some boundaries.

- Designate specific cut-off times for reporting.
- Pay special attention to continuity of data collection and calculation during personnel changes. Train new staff on how to calculate the measures in accordance with previous methods.
- Be sure there are effective internal controls to be sure the information is properly collected and accurately reported. It is difficult and embarrassing to take back information once it leaves your office.

For each Performance Measure, compare actual performance with the proposed performance level, and report the results. Ask the following questions about variations in results:

- How does the reported performance compare to previous periods?
- Is the variation relevant to successful achievement of the Goal?
- Do external factors affect performance to the extent that targets may not be met?
- Is the variance due to a faulty project or performance?
- Are there anticipated effects resulting from the variance?
- How frequently and in what form will the performance information be prepared?
- What kinds of explanatory data do you think will be needed to explain trends and results?
- How will the data/information be verified and checked for accuracy? What kinds of controls, tests or audits are appropriate?
- What kinds of unintended results can you expect from implementing the strategies? How can you avoid these results?
- How will you use the data to evaluate, improve, and change your programs?
- How will you know if your program is inefficient or ineffective? What will you do to fix it?

Reporting the Results

Every organization establishes its own guidelines concerning how often performance information is to be collected and reported. At a minimum, data for each measure will have to be collected annually, but some measures may be calculated more frequently.

For example, you may want to have internal management reports on key volume/caseload indicators every month, and compile and report this information to upper management on a quarterly or semi-annual basis. For other indicators (especially if the month-to-month changes are nominal), you may want your data reporting period to be semi-annually.

External Reporting

External stakeholders, policy makers, providers, contractors, etc., want to know how well the organization and its programs are performing. If Performance Measures show a continuous improvement with positive impact on results, some of the stakeholders' concerns may be alleviated.

Reports for policy makers should be clear and concise. Reports are often easier to read if the data is presented graphically. Reporting Performance Measures can also be compiled and incorporated in annual reports.

Use explanatory information when reporting results. You can rarely measure all the variables or identify true cause-and-effect relationships. To do so would require a rigorous experimental design, which would be impossible or prohibitively expensive. Multiple factors can influence outcomes and many are beyond the control of the program manager. Recognize that your measures have some limitations, and try to explain any unexpected results.

The following may help in the communication of results.

- Include targets as well as actual results.
- Include explanations where performance varies significantly from previous levels or targets.
- Develop reports that are user-friendly and that citizens and other stakeholders will be able to understand.
- Will the information enable readers to assess the level of performance?
- How aggregated or desegregated should the reported information be?
- Is too much information being communicated?
- How will feedback on the reported information be gathered?

Internal Reporting

Internal reports can take various forms. Chief among these are program performance evaluation, planning and budgeting activities, and implementation of improvement activities. These reports for program managers can be more detailed and are usually more frequent than those for policy makers. They may also include more process information. Sometimes the data may be separated in order to clearly convey patterns. For example, results may be more meaningful if reported by geographic area.

What if the Data Shows Poor Performance?



Let the measures speak for themselves. Show people how they are doing. Ask for and offer explanations. Agencies don't always have control over ultimate results; the economy or events in people's lives can influence a program's outcome. Determine what can be done differently.

Remember, frequently individual performances aggregate to agency performance. It's okay to constructively confront substandard performance. If not, poor performance is sanctioned and opportunities to improve are limited. Poor performance should always be documented. Corrective action plans (CAP) should be documented for material poor performances. This CAP should identify deficiencies, plans for improvement and the monitoring process, assuring the "opportunity" to succeed is on schedule.

Keep in mind that measuring performance also recognizes accomplishments. As with corporate CEO performance, the more closely that incentives and disincentives can be built into individual performance, the more likely the plan will meet successful outcomes. This provides for leadership opportunities which should be rewarded, and allows individuals to make significant contributions.

Now that all of the elements of the strategic plan are in place, what mechanism will be used to monitor the implementation of goals and objectives? Without tracking, responsibility and accountability are lost and the Strategic Plan is just a document.

FORMAT FOR A TRACKING DOCUMENT

GOAL 1: _____

| ID # | Objectives/Action Steps | Status | Comments | Responsible Party |
|-------------|--------------------------------|---------------|-----------------|--------------------------|
| | | | | |
| | | | | |
| | | | | |

STATUS CODES

- OS** On Schedule
- BS** Behind Schedule
- AOS** Ahead of Schedule
- DL** Delayed
- CA** Cancelled
- PS** In the Planning Stages

EXAMPLE OF A TRACKING DOCUMENT

GOAL 1: To assure comprehensive and quality services are available and accessible statewide to victims of violent crime.

| ID # | Objectives/Action Steps | Status | Comments | Responsible Party |
|-------------|--|---------------|--|--------------------------|
| | Conduct introductory site inspections on all subgrantees | OS | | Grant Coordinators |
| | Conduct site inspections on all subgrantees | BS | Two inspections behind due to sick leave | Grant Coordinators |
| | Site inspection satisfaction survey | PS | Plan to be completed in 30 days | Subgrantees |

STATUS CODES

- OS** On Schedule
- BS** Behind Schedule
- AOS** Ahead of Schedule
- DL** Delayed
- CA** Cancelled
- PS** In the Planning Stages

Section 7

A SUCCESSFUL STRATEGIC PLAN

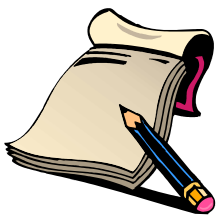
FEATURES OF A SUCCESSFUL STRATEGIC PLAN

- ▶ **Strategic Plan:** A practical, action-oriented guide based on an examination of internal and external factors that directs goal-setting and resource allocation to achieve meaningful results over time.

A successful Strategic Plan will:

- Be the result of a planning process that has the full support of the director and agency's executive team.
- Reflect the input and involvement of all agency staff.
- Contain a Mission Statement that clearly states what business you are in.
- Contain an inspiring and challenging Vision.
- Contain clear, long-term, challenging, but realistic and achievable Goals.
- Contain SMART Objectives.
- Contain a balanced set of Performance Measures that accurately reflect the key results of the Goals.

To check all of the components of your plan, use the Tests, which can be found at the end of their relevant sections. These Tests will help you evaluate your Mission, Principles and Vision Statements, Goals, Objectives, Action Plans and Performance Measures.



The plan, or the document, is not the end of the planning process. The planning process never ends; it is continuous. All of the information gathered during the reporting process should be analyzed for inclusion in the next Strategic Plan update. Once progress toward meeting Goals and Objectives has been analyzed, the information becomes the starting point for the next planning cycle.

Communicating and Marketing the Strategic Plan

It is recommended goals and key performance measures be published bi-annually. However, successful implementation of the strategic plan depends on effective communication. Internally, the strategic plan should be communicated at all organizational levels. Managers and staff need to have a clear understanding of the plan and their roles in it. A plan has little value if it is not widely understood and accepted. It must form the basis for daily action throughout the organization.

Consider using the following ideas to communicate the Strategic Plan.



- Talk about the Strategic Plan at staff meetings.
- Distribute copies of the full Strategic Plan to program managers.
- Prepare a condensed brochure version of the Strategic Plan to share with all employees.
- Display the Mission Statement in a prominent location in the building.
- Recognize progress on the plan's Goals and Objectives at staff meetings, in newsletters, and at other organizational events.

The Strategic Plan should be communicated to other individuals and organizations that have an interest in, or an effect on, the organization's programs (e.g., state government, interest groups, foundations, other network service providers, and the public). Various marketing approaches have been used to communicate information about the plan to those outside the agency to help build awareness of and support for the plan. Eye-catching visual presentations are especially effective.

Large agencies may have public information officers who help develop marketing strategies. However, small agencies can accomplish the same purposes by utilizing some of the following ideas:



- Put the Mission Statement on letterhead and business cards.
- Include articles about the Strategic Plan in agency newsletters.
- Explain the Strategic Plan at community public meetings.
- Prepare a condensed version of the Strategic Plan in an attractive brochure and distribute it to interested persons and organizations.
- Reference the Strategic Plan in speeches to public, private sector, and community groups.

GLOSSARY of PLANNING TERMS

Accountability – Monitoring, measuring, and evaluating the performance and progress of policies, plans and programs to ensure that results are achieved.

Action Plan – A detailed description of the strategies and steps used to implement a strategic plan.

Baseline – Base level of previous or current performance that can be used to set improvement goals and provide a basis for assessing future progress.

Benchmarking – The continuous process of collecting information on external standards, processes, and/or best practices, evaluating why they are successful and applying what is learned.

Cost-benefit Analysis – A management tool that involves calculating or estimating the known costs and potential benefits of a course of action under consideration.

Customer – Anyone whose best interests are served by, or who receives or uses the products or services of an agency, program or subprogram.

Efficiency Measure – A type of performance measure that reflects the productivity or cost of providing a good or service.

External Assessment (Environmental Scan) – An analysis of key external elements or forces that affect the environment in which an organization functions.

FTE – Full-time equivalent positions, calculated at either 2080 hours or 2088 hours per year.

Gap Analysis – An identification of the difference between the desired and the current state.

Goal – The desired end result, generally after three or more years.

Input – A type of performance measure that identifies the amount of resources needed to provide particular products or services.

Internal Assessment – An evaluation of an organization's position, performance, problems and potential. Also called a Situation Inventory.

Logic Model – A theoretical picture of how a program operates.

INPUT → PROCESS → OUTPUT & OUTCOMES

Mission – A brief, comprehensive statement of purpose of an agency, program, or subprogram.

Objectives – Specific and measurable targets for accomplishing goals.

OSPB – An abbreviation for the Governor's Office of Strategic Planning and Budgeting. The OSPB staff advises the Governor in the preparation of the Executive Budget, facilitates a strategic planning process for state government and is responsible for implementing many of the provisions of budget reform legislation.

Outcome – A type of performance measure that reflects the actual results achieved, as well as the impact or benefit of a program.

Output – A type of performance measure that focuses on the level of activity in a particular program or subprogram.

Performance Measures – Used to measure results and ensure accountability.

Performance Targets – Quantifiable estimates of results expected for a given period of time.

Planning Assumptions – Expectations concerning future trends that could significantly impact performance (derived from the Internal/External Assessment results).

Principles – The core values and philosophies that describe how an agency conducts itself in carrying out its mission.

Program – Activities that result in the accomplishment of a clearly defined mission.

Process – A system of operations in producing or providing something.

Resource Allocation – The determination and allotment of resources or assets necessary to carry out strategies and achieve objectives, within a priority framework.

SMART – Specific, Measurable, Aggressive (but attainable), Results-oriented and Time-bound.

Stakeholder – Any person or group with a vested interest in or with expectations of a certain level of performance or compliance from an agency program or subprogram.

Strategy – A plan of action leveraging advantages/opportunities and minimizing disadvantages.

Strategic Issues – Those concerns of vital importance to the organization, which often impact several or all of the programs in an agency.

Strategic Management – The process of positioning an organization so it can prosper in the future. The overall framework within which policy development, strategic/quality planning, programmatic operational planning and budgeting, capital outlay planning and budgeting, program implementation, program evaluation and accountability take place.

Strategic Plan – A practical, action-oriented guide based on an examination of internal and external factors that directs goal-setting and resource allocation to achieve meaningful results over time.

Strategic Planner – A person who provides the coordination and tools for moving the organization through the planning process.

SWOT Analysis – An abbreviation used to denote an analysis of an organization's internal **S**trengths, **W**eaknesses, and external **O**pportunities and **T**hreats. Also called an Internal/External Assessment.

Tracking Systems – Monitor progress, compile management information and keep goals on track.

Vision – A compelling, conceptual image of the desired future.

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Addendums

Example of Performance Measures # 1

The following example is provided for a sexual assault program. This healing goal could have several objectives.

Sexual Assault Program

- Goal 1:** To respond to the emotional and physical needs of crime victims.
- Objective 1:** During this fiscal year, 85% of victims receiving services will report having increased functioning and feelings of well being.
- (and/or)
- Objective 2:** During this fiscal year, 90% of the victims receiving services will report a reduction in distressing symptoms.

PERFORMANCE MEASURES

- Inputs:** # of victims requesting assistance
of counselors
of therapists
- Outputs:** # of victims receiving services
of victims receiving group treatment
of victims receiving individualized therapy
of victims referred to other community agencies for other services
- Outcomes:** # and % of clients who report having increased functioning and feelings of well-being
and % of clients who report a reduction in distressing symptoms due to services provided
- Efficiency:** Ratio of victims developing a therapeutic plan vs. those completing therapeutic plan
- Quality:** % of clients surveyed reporting overall satisfaction with services provided
% of collaborating organizations (law enforcement, hospitals) who report satisfaction with agency

Example of Performance Measures #2

The following example is provided for a child abuse program. This program could have several goals and objectives. Here is an example of a safety goal.

Child Abuse Program

Goal 1: To provide victims of crime with a measure of safety and security.

Objective 1: During this fiscal year, 80% of the children receiving services will learn skills to keep themselves safe.

PERFORMANCE MEASURES

Inputs: # of children referred for service
of child care workers

Outputs: # of new intakes completed
of children above the age of 5 attending individual or group sessions
of children referred for behavioral health assessments

Outcomes: # and % of victims that report they are learning new skills to keep themselves safe
and % of victims receiving services who report increased feelings of safety

Efficiency: Ratio of children referred for service vs. those who were accepted for service

Quality: % of victims reporting overall satisfaction with services (*provided to their children*)
% of community collaborators reporting positive satisfaction with services provided

Example of Performance Measures #3

The following example is for a domestic violence case management program. This healing goal could have several objectives. Here is an example of one:

| <u>Domestic Violence Case Management Program</u> | |
|---|--|
| Goal 1: | To respond to the emotional and physical needs of victims. |
| Objective 1: | During this fiscal year, 90% of victims receiving case management services will have a better understanding of domestic violence and its effect on their life. |
| PERFORMANCE MEASURES | |
| Inputs: | <ul style="list-style-type: none"> # of victims seeking services from program # of victims requesting case management in the program # of Domestic Violence victims referred from other programs requesting case management |
| Outputs: | <ul style="list-style-type: none"> # of case management sessions provided by staff # of victims receiving case management # of referrals to additional services |
| Outcomes: | <ul style="list-style-type: none"> # and % of victims reporting an increased knowledge and understanding of domestic violence and its effect on their life # and % of victims who report they are (re)gaining control of their lives # and % of victims who report they know how to access short and long-term resources that meet their emotional and safety needs # and % of victims requesting case management who reported the service was helpful |
| Efficiency: | <ul style="list-style-type: none"> Ratio of victims requesting case management services to the # of sessions provided Ratio of # of victims referred for case management services to the # of sessions provided |
| Quality: | <ul style="list-style-type: none"> % of victims expressing satisfaction with services % of collaborative partners reporting satisfaction with working relationships and services provided |
| Note: | <i>These Quality Measures are based on the actual numbers of participants who completed an interview or document to capture their satisfaction and comprehension of the service provided. For example, if 150 victims utilized shelter services, 125 complete a feedback or safety planning satisfaction survey and then 100 indicate they feel safer, then your ratio is 100/125 or 80%. You can only measure the amount of known data gathered.</i> |

Core Performance Measures

Over a two-year period, the Arizona Department of Public Safety, along with Arizona stakeholders, the Arizona Coalition Against Domestic Violence, Arizona Sexual Assault Network, and Arizona Coalition for Victim Services, and other Arizona state agencies to include the Governor's Office, Department of Economic Security, Attorney General's Office, and Department of Health Services developed core performance measures. Victims were also involved in this process to validate the end result.

Specific terms have been identified to describe the process victims go through in dealing with their victimization.

“Knowledge” outcomes will reflect the level of understanding that a victim gains on the effects of their victimization, services available, or the legal system, etc.

“Engaging” outcomes will reflect the next level of involvement in overcoming the ordeal of victimization or initial level of coping.

“Experiencing” outcomes will reflect active participation and the ability to take control of their life / situation.

The following Outcome and Quality measures are presented by victim discipline. These measures are subject to change as determined through evaluation by stakeholders and respective coalitions.

For specific DPS Core Performance Measure requirements related to the VOCA Assistance grant program, refer to the Public Forms and Information section of the Web-Based Automated Grants Management System located at <http://www.azvictims.org>.

CORE MEASURES FOR DOMESTIC VIOLENCE PROGRAMS

Note: The term victim is interchangeable with: victim; secondary victim; co-victim; and victim proxy (i.e. parent or guardian).

Outcome Measures:

1. Healing Goal (To respond to the emotional and physical needs of crime victims)

Knowledge:

Victims reporting an increased knowledge of services available

Victims reporting an increased knowledge and understanding of domestic violence and its effect on their life

Engaging:

Victims who report feeling believed/not alone

Victims who report they are (re)gaining control of their lives

Experiencing:

Victims who report having increased feelings of well-being

Victims who report they know how to access short and long-term resources that meet their emotional and safety needs

2. Economic Restabilization Goal (To assist primary and secondary victims of crime to stabilize their lives after a victimization)

No core outcome measures were identified for this goal for domestic violence programs.

3. Justice Goal (To assist victims to understand and participate in the criminal justice system)

Knowledge:

Victims who report having an increased understanding of their legal rights

4. Safety Goal (To provide victims of crime with a measure of safety and security)

Knowledge:

Victims that know how to plan for their continued safety

Experiencing:

Victims reporting their safety has improved

Quality Measures:

General Satisfaction:

Victims expressing satisfaction with services

Collaborator Satisfaction:

Collaborative partners reporting satisfaction with working relationships and services provided

CORE MEASURES FOR VICTIM WITNESS PROGRAMS

Note: The term victim is interchangeable with: victim; secondary victim; co-victim; and victim proxy (i.e. parent or guardian).

Outcome Measures:

1. Healing Goal (To respond to the emotional and physical needs of crime victims)

Knowledge:

Victims understanding the effects of trauma and victimization

Victims reporting an increased knowledge of techniques used to cope with trauma and victimization

Engaging:

Victims who report a better understanding of local resources and how to access them for support

Victims identifying a support system

Experiencing:

Victims reporting increased ability to cope/recover utilizing learned techniques

Victims reporting the advocate's services increased their ability to cope

2. Economic Restabilization Goal (To assist primary and secondary victims of crime to stabilize their lives after a victimization)

Knowledge:

Victims reporting increased knowledge of the victim's compensation program, restitution, and other financial assistance services

Experiencing:

Victims reporting benefiting from emergency assistance, if received

3. Justice Goal (To assist victims to understand and participate in the criminal justice system)**Knowledge:**

Victims who report an increased knowledge and understanding of the criminal justice system

Victims reporting an increased understanding of their legal rights

Victims reporting the information and assistance provided had a positive impact on their participation in the criminal justice system

Engaging:

Victims who report they are satisfied with their level of participation

Victims reporting that services received helped them exercise their victims' rights during the criminal justice process

Experiencing:

Victims reporting being more likely to report a future crime based on the services provided by the victim advocate

Victims reporting services reduced their anxiety about participating in the criminal justice system

4. Safety Goal (To provide victims of crime with a measure of safety and security)**Knowledge:**

Victims who report understanding and initiating safety plans for immediate and on-going safety needs

Engaging:

Victims who report being able to better assess their safety needs

Quality Measures:**Specific Satisfaction:**

Victims reporting connecting with other agencies after advocates' assistance

Victims who felt they had the information they needed to make informed decisions about contacting other support services

General Satisfaction:

Victims who reported that advocacy services provided were helpful

Collaborator Satisfaction:

Community organizations or resources who report that they and/or their victims benefited from collaboration with this agency

CORE MEASURES FOR CHILD ABUSE PROGRAMS

Note: The term victim is interchangeable with: victim; secondary victim; co-victim; and victim proxy (i.e. parent or guardian).

Outcome Measures:

1. Healing Goal (To respond to the emotional and physical needs of crime victims)

Knowledge:

Victims (or victim's proxy) reporting increased knowledge and understanding of violence, abuse and neglect and its effect on their life

Victims understanding the effects of trauma and victimization

Caregivers report increased awareness of resources for support/healing

Engaging:

Victims participating in group or individual services

Experiencing:

Victims reporting increased well-being and reduced anxiety level

Victims that report an increase in coping skills

Children who demonstrate improved emotional/behavioral status from intake to discharge

Children who demonstrate improved developmental status from intake to discharge

Children able to function appropriately at the shelter after receiving therapeutic services

2. Economic Restabilization Goal (To assist primary and secondary victims of crime to stabilize their lives after a victimization)

No core outcome measures were identified for this goal for Child Abuse Programs.

3. Justice Goal (To assist victims to understand and participate in the criminal justice system)

No core outcome measures were identified for this goal for Child Abuse Programs.

4. Safety Goal (To provide victims of crime with a measure of safety and security)

Knowledge:

Children/adults with increased knowledge of resources that enhance safety and security

Victims that report they are learning skills to keep themselves safe

Experiencing:

Victims receiving services who report increased feelings of safety

Quality Measures:

Specific Satisfaction:

Staff team members reporting satisfactory cooperation within the agency

Client satisfaction with crisis service

Guardians reporting satisfaction with emergency shelter services

General Satisfaction:

Victims reporting overall satisfaction with services

Collaborator Satisfaction:

Community collaborators reporting positive satisfaction with services provided
Community collaborators reporting satisfaction with interagency cooperation

CORE MEASURES FOR SEXUAL ASSAULT PROGRAMS

Note: The term victim is interchangeable with: victim; secondary victim; co-victim; and victim proxy (i.e. parent or guardian).

Outcome Measures:

1. Healing Goal (To respond to the emotional and physical needs of crime victims)

Experiencing:

Clients reporting they have an improved support system
Clients who report having increased functioning and feelings of well-being
Clients who report a reduction in distressing symptoms due to services provided
Discharged clients completing treatment plan objectives

2. Economic Restabilization Goal (To assist primary and secondary victims of crime to stabilize their lives after a victimization)

No core outcome measures were identified for this goal for Sexual Assault programs.

3. Justice Goal (To assist victims to understand and participate in the criminal justice system)

Knowledge:

Clients reporting increased knowledge of legal system
Clients reporting an increased knowledge of their victims' rights

4. Safety Goal (To provide victims of crime with a measure of safety and security)

Knowledge:

Clients demonstrate increased knowledge of safety and protection

Engaging:

Clients who accept safety planning services

Experiencing:

Clients report an increased capacity to maintain safety

Quality Measures:

Specific Satisfaction:

Clients report overall satisfaction with counseling service
Client satisfaction with crisis service
Clients who reported that advocacy services were helpful

General Satisfaction:

Caregivers surveyed reporting helpfulness of information/tools provided
Clients reporting cultural sensitivity of therapist
Clients surveyed reporting overall satisfaction with services provided
Clients reporting they would recommend our services to other victims

Collaborator Satisfaction:

Collaborating organizations (law enforcement, hospitals) report satisfaction with agency
Referring partners reporting average and above feedback

CORE MEASURES FOR SEXUAL ASSAULT HOTLINE PROGRAMS

Note: The term callers is interchangeable with: victim; secondary victim; co-victim; and victim proxy (i.e. parent or guardian).

Output Measures: for any/one goal

Local calls answered
Toll-free calls and RAINN calls answered
Calls received by area code and prefix for local line, toll-free line, and RAINN line
Average # of minutes per call
Calls under 3 minutes
Calls 3-10 minutes
Calls 11-20 minutes
Calls over 20 minutes
Referrals given to callers
Callers referred to crisis teams
Callers referred to in-house counseling and/or case management/advocacy services
Callers provided crisis intervention for sexual assault or sexual abuse
Callers provided crisis intervention for *other* than sexual assault or abuse
Callers provided information and referral only
Callers designated “prank”
Callers designated “other”

Outcome Measures:**1. Healing Goal (To respond to the emotional and physical needs of crime victims)**

Callers requiring mobile/on-site crisis services
Callers accepting in-house counseling services
Callers who developed a plan of action
Callers reporting improvement

2. Economic Restabilization Goal (To assist primary and secondary victims of crime to stabilize their lives after a victimization)

No core outcome measures were identified for this goal for Sexual Assault Hotline programs.

3. Justice Goal (To assist victims to understand and participate in the criminal justice system)

No core outcome measures were identified for this goal for Sexual Assault Hotline programs.

4. Safety Goal (To provide victims of crime with a measure of safety and security)

No core outcome measures were identified for this goal for Sexual Assault Hotline programs.

Quality Measures:

No core quality measures were identified for Sexual Assault Hotline programs.