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Conducting a Local Health Department Strategic Planning Process

Wednesday, May 16, 2012

Laurie L. Call
Director, Center for Community Capacity Development
Illinois Public Health Institute
GOAL:
To provide an overview of the steps in a strategic planning process and highlight the PHAB requirements.

OBJECTIVES:
• Identify the PHAB requirements for a strategic plan
• Discuss the relationship between a CHA, CHIP, strategic plan, and QI plan
• Walk through the steps in a strategic planning process
• Identify strategic planning resources for LHDs

NACCHO’s Strategic Planning Resources
• Webinar
• Guide
• In-Person Training
  - www.nacchoannual.com

www.naccho.org/prerequisites
Introduction of Speaker

Laurie Call
Director, Center for Community Capacity Development
Illinois Public Health Institute

What are your LHD’s plans regarding public health accreditation through PHAB?

1. Applied or applying in 2012.
2. Planning to apply in 2013.
3. Planning to apply in 2014.
4. Planning to apply in 2015 or later.
5. We do not have any plans to apply at this time.
6. Not applicable
PHAB Pre-requisites

- Community Health Assessment
- Community Health Plan
- Organizational Strategic Plan

How is your LHD doing with the pre-requisites?

1. Just getting started.
2. Complete CHA.
3. Complete CHIP.
4. Complete CHA and CHIP.
5. Complete Strategic Plan.
6. Complete CHA and Strategic Plan.
7. Complete CHA, CHIP and Strategic Plan.
8. Not applicable.
9. Not sure
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Webinar: May 16, 2012

PHAB Requirements

STRATEGIC PLANNING

PHAB Standard 5.3 Develop and Implement a Health Department Organizational Strategic Plan

Strategic planning is a process for defining and determining an organization’s roles, priorities, and direction over three to five years. A strategic plan sets forth what an organization plans to achieve, how it will achieve it, and how it will know if it has achieved it. The strategic plan provides a guide for making decisions on allocating resources and on taking action to pursue strategies and priorities. A health department’s strategic plan focuses on the entire health department. Health department programs may have program-specific strategic plans that complement and support the health department’s organizational strategic plan. (PHAB Standards and Measures, Version 1.0)
PHAB Standard 5.3

5.3.1 **Conduct** a Department Strategic Planning Process

5.3.2 **Adopt** a Department Strategic Plan

5.3.3 **Implement** the Department Strategic Plan

5.3.1 A **Conduct** a department strategic planning process

1. Description of elements of the planning process used to develop the organization’s strategic plan:
   a. Membership of the strategic planning group
   b. Strategic planning process steps
5.3.2 A **Adopt** a department strategic plan

1. Health department strategic plan dated within the last 5 yrs that includes:
   a. Mission, vision, guiding principles/values
   b. Strategic priorities
   c. Goals and objectives with measurable and time-framed targets
   d. Identification of external trends, events, or factors that may impact community health or the health department
   e. Assessment of health department strengths and weaknesses
   f. Link to the health improvement plan and quality improvement plan

5.3.3 A **Implement** the department strategic plan

1. Annual reports of progress towards goals and objectives contained in the plan, including monitoring and conclusions on progress toward meeting targets
What is a strategic plan?

A strategic plan results from a deliberate decision-making process and defines where an organization is going. The plan sets the direction for the organization and, through a common understanding of the mission, vision, goals and objectives, provides a template for all employees and stakeholders to make decisions that move the organization forward.


PHAB Required Components

- Mission, vision and guiding principles/values for the health department
- Strategic priorities
- Goals and objectives with measurable and time-framed targets
- Identification of external trends, events, or other factors that may impact community health or the health department
- Analysis of the LHD’s weaknesses and strengths
- Linkages with the CHIP and the LHD’s QI plan
- Members of the Governing Body involved in the process
Community Health Assessment

Community health assessment is a systematic examination of the health status indicators for a given population that is used to identify key problems and assets in a community. The ultimate goal of a community health assessment is to develop strategies to address the community’s health needs and identified issues. A variety of tools and processes may be used to conduct a community health assessment; the essential ingredients are community engagement and collaborative participation.


PHAB Acronyms and Glossary of Terms, Version 1.0
A community health improvement plan is a long-term, systematic effort to address public health problems on the basis of the results of community health assessment activities and the community health improvement process. This plan is used by health and other governmental education and human service agencies, in collaboration with community partners, to set priorities and coordinate and target resources. A community health improvement plan is critical for developing policies and defining actions to target efforts that promote health. It should define the vision for the health of the community through a collaborative process and should address the gamut of strengths, weaknesses, challenges, and opportunities that exist in the community to improve the health status of that community.

THE STRATEGIC PLANNING PROCESS
Have you been involved in previous organizational strategic planning efforts?

1. Yes
2. No
3. Not sure

Organizational Road Map for the Future…

- Creates communication opportunities
- Guides decision-making (direction)
- Establishes some parameters (route)
- Allows for options if needed (detour)
- Establishes priorities (places you must see)
What makes a plan “strategic”?

- Continual attention to changes in the organization and environment and the potential impacts on the organization
- Roadmap to achieve vision
- Alignment of efforts to increase efficiency and results
- Careful, artful planning of action to achieve goals

The Five P’s of Strategy

<table>
<thead>
<tr>
<th>Plan</th>
<th>Pattern</th>
<th>Position</th>
<th>Perspective</th>
<th>Ploy</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Planned and purposeful course of intended action for how to get from one place to another.</td>
<td>• Pattern or consistency in actions and behavior over time.</td>
<td>• Position within the context and environment in which the organization operates.</td>
<td>• Collective thinking and shared vision/direction by members of the organization</td>
<td>• A specific maneuver to outwit or overcome competitors, enemies, etc.</td>
</tr>
</tbody>
</table>

Mintzberg 1992
Strategic Planning Process

Laying the Groundwork for Strategic Planning
Developing Mission, Vision and Values
Compiling Relevant Information
Analyzing Results and Selecting Strategic Priorities
Developing the Strategic Plan
Implementing, Monitoring and Revising as Necessary

Not a linear process…

A Where You Are - Mission and Mandates Structure and Systems Communications Programs and Services Budget Support

B How to Get There - Strategic Plan IT and HR Plans Communications Hiring and Training Restructuring and Reengineering Budget Allocations

C Where You Want To Be - Mission and Mandates Structure and Systems Communications Programs and Services Budget Support

Vision, Mission, and Goals

Strategic Issues
ASSESSING READINESS AND PREPARING FOR STRATEGIC PLANNING

Learning from our past….Looking to the future.
Barriers, Cost, Benefits
Questions to Consider to Organize the Process
Identifying Stakeholders
Planning Stakeholder Engagement
Identifying Data and Information Available and Needed
Considerations for Developing Project Plan and Timeline
Drafting Project Plan and Timeline
### Conducting a Local Health Department Strategic Planning Process

**Webinar:** May 16, 2012

#### Consider

<table>
<thead>
<tr>
<th>What contributed to past planning success?</th>
<th>What contributed to past planning barriers/failures?</th>
</tr>
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<tbody>
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<table>
<thead>
<tr>
<th>What is in place to support successful planning?</th>
<th>What is missing and needed for successful planning?</th>
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#### Perceived Barriers

<table>
<thead>
<tr>
<th>Perceived Barriers</th>
<th>Direct and Indirect Costs</th>
<th>Expected Benefits</th>
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<table>
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<tr>
<th>How to Overcome</th>
<th>Ways to Manage Costs</th>
<th>Ways to Enhance Benefits</th>
</tr>
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</table>
Organizing the Process

- Whose plan is it?
- What period of time will the plan cover?
- Who is the plan’s sponsor(s)?
- Who is the plan’s champion(s)?
- Who will be on the project planning committee?
- Who will be on the strategic planning committee to develop the plan?
- Who should review the plan before adoption?
- Who are audiences for the plan?
- How much time are we willing to give to the process?

Adapted from Bryson and Alston, 2005.

Who needs to be involved in strategic planning?

- Who are your stakeholders?
  - Who has a direct interest, involvement or investment in your organization?
  - Who can stake a claim on your organization’s resources, attention, output or is affected by its outputs?

  Internal
  External

- Do they need involved in strategic planning?
- What role do they play?
**Promoters** have both great interest in the effort and the power to help make it successful (or to derail it).

**Defenders** have a vested interest and can voice their support in the community, but have little actual power to influence the effort in any way.

**Latents** have no particular interest or involvement in the effort, but have the power to influence it greatly if they become interested.

**Apathetics** have little interest and little power, and may not even know the effort exists.

---

**Stakeholder Engagement Planning**

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Level of Engagement Needed</th>
<th>Action Needed and By When</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

*How does this impact your timeline?*
Determining Available Data

- LHD Annual reports, particularly results related to progress on any past initiatives or strategic plans
- Community Health Assessment (CHA) results such as health status data, community perceptions regarding health and health needs, and demographic information
- An agency review against national standards, such as those of PHAB
- Local Public Health System Assessment (LPHSA) results
- LHD Financial Analysis
- Employee/Workforce climate survey results or feedback
- Partnership or stakeholder analysis results
- Policy and legislative scan
- LHD program evaluation and QI results
- Customer service/ satisfaction feedback
- Results of a traditional SWOT analysis previously completed
- Competitive or market analysis
- Other relevant information and data

How does this impact your timeline?

Data Compilation Plan

<table>
<thead>
<tr>
<th>Data Readily Accessible</th>
<th>Data to Compile</th>
<th>Data to Collect</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>List possible ways to collect data and expected time to complete.</td>
</tr>
</tbody>
</table>

How does this impact your timeline?
Project Plan and Timeline

- Stakeholder Engagement
- Data Needs
- Timeline Restrictions
- Budgetary Restrictions Impacting Time
- Decision-Making Process
- Others???

Readiness Checklist

☐ Access to many of the types of data needed for the environmental scan
☐ Access to a skilled facilitator, either internal or external
☐ Adequate time for a quality environmental scan
☐ Adequate time to devote to stakeholder engagement in the process
☐ A champion for the strategic planning process from the governing body
☐ Budget allocations for the process
☐ Buy-in from Senior Leadership at the Health Department
☐ Commitment to the process including remaining flexible
☐ Understanding of the process and expectations for how the plan will be used throughout the agency
☐ Other _______________________________________________
Project Plan

- Action
- Timeline
- Person Responsible
- Milestones
- Status Completion Date
- Other?
Organizational Mandates

**Formal**
Set forth in laws, statutory requirements and other legally binding or public requirements.

**Informal**
Organizational norms or strong stakeholder expectations

How will this information impact the organization’s mission?

---

**Mission:** The organization’s purpose; what is does and why

To promote, protect and assure conditions for optimal health for residents of Madison County through leadership, partnership, prevention and response. (Madison County Health Department, Illinois)

**Vision:** Futuristic view regarding the ideal state or conditions that the organization aspires to change or create.

The Northern Kentucky Health Department will be a nationally recognized leader in advancing the health and safety of the community. (Northern Kentucky Independent Health District)
Values: Principles, beliefs or underlying assumptions that guide the organization.

**Collaboration:** We work together for the mutual benefit of the community through the sharing of information, resources and ideas to achieve a common goal.

**Excellence:** We strive to provide the highest quality services through individual efforts and teamwork.

**Innovation:** We creatively apply the most advanced technology, information and research to be a revolutionary leader in public health.

**Integrity:** We act with a consistency of character and are accountable for our actions.

**Respect:** We approach all people with significance, understanding, compassion and dignity.

**Service:** We responsively deliver our exceptional and comprehensive programs with a highly skilled workforce.
Organizing Relevant Information

- Determine the value of existing data
- Collect or compile any additional data needed
- Summarize the data and information
- Complete a SWOT/SWOC Analysis

Internal
- Strengths
- Weaknesses

External
- Opportunities
- Threats or Challenges

Perspectives to Include

Community
- What is going on in the community the LHD serves? What are the trends, needs and opportunities for change within the community? Are our customers satisfied with our services?

Financial
- What is the financial picture within the economic climate? What are the LHD resources, assets and opportunities?

LHD
- How is the health department doing? What are the health department’s strengths and weaknesses? Are internal processes efficient and meeting needs of the customer (internal or external)?

State and National
- What is going on at the state, national and legislative level that may impact the health department or community?

Learning and Growth
- What types of learning and growth are important for the health department? What is the current capacity of the health department to do the work needed now and in the future?
**Potential Data Sources**

<table>
<thead>
<tr>
<th>Source</th>
<th>Analysis/Results</th>
</tr>
</thead>
<tbody>
<tr>
<td>LHD Annual reports</td>
<td>Partnership or stakeholder analysis results</td>
</tr>
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<td>Community Health Assessment (CHA) results</td>
<td>Policy and legislative scan</td>
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<td>Competitive or market analysis</td>
</tr>
</tbody>
</table>

See page 94

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**What to do with ALL that data and information…**

Choose one or more methods…

1. Organize the data by the **four perspectives** or some variation of perspectives: community, financial, health department and state/national/legislative.
2. Organize the data by **stakeholder input**: community-at-large, staff members, governing body, funders, customers and others.
3. Organize by **crosscutting themes**. Identify any issues that appear to be thematic to the results, emerging from multiple data sources.
4. Organize the findings in a **SWOT** or **SWOC** structure.
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Webinar: May 16, 2012

**SWOT –** Strengths, Weaknesses, Opportunities and Threats

**SWOC –** Strengths, Weaknesses, Opportunities and Challenges

**Internal Data**
- Customer feedback (staff)
- Staff surveys, focus groups
- Financial information
- Self-assessment results
- Program evaluation results
- Annual reports

**External Data**
- Competitive/ Market Information
- Secondary Data (community health status, demographic etc.)
- Customer feedback (community)

---

**Strengths (Internal)**
*We want to maintain and leverage strengths.*

**Opportunities (External)**
*We want to invest in opportunities.*

**Weaknesses (Internal)**
*We want to minimize weaknesses.*

**Threats or Challenges (External)**
*We want to identify threats or challenges that need to be addressed and understand their potential impact.*
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Webinar: May 16, 2012

ANALYZING RESULTS AND SELECTING STRATEGIC PRIORITIES

• Analyze SWOT/SWOC and other data
• Identify and frame cross-cutting themes, emerging issues and key strategic issues

Which issues are strategic?
Which issues are in the community health plan that the LHD will address?
What does the LHD need to do to prepare for threats and challenges?
What does the LHD need to do to improve weaknesses
What does the LHD need to do to achieve the vision?

• Prioritize issues for inclusion in strategic plan
Reviewing SWOT/SWOC

Look for connections between the quadrants.
Match strengths up with external opportunities.
Link or offset threats and challenges with opportunities and/or strengths.
Match weaknesses with strengths that can offset or minimize the weaknesses.
Look for emergence of patterns or crosscutting themes.

Continue Analyzing Results
Ways strengths can be maintained, enhanced or leveraged.
Ways to minimize weaknesses.
Options for leveraging or taking advantage of opportunities.
Potential impact of threat/challenges and anything that can be done to address or prepare for the threat.

DEVELOPING THE STRATEGIC PLAN
Goals
Long-range outcome statements that are broad enough to guide the organization’s programs, administrative, financial and governance functions. (Allison & Kaye, 2005)

Objectives
Short to intermediate outcome statements that are specifically tied to the goal. Objectives are clear and measurable.

Measure of change, in what, by whom, by when

20% increase in health department nursing staff by January 2014.
Implementing, Monitoring and Revising as Necessary

- Establish a process for monitoring implementation and evaluation
- Use QI to improve process and outcomes
- Maintain flexibility with the plan as the environment changes
- Communicate success and results through annual reports and other methods
- Revise and update the plan as needed

The CHA informs all 3 plans.

<table>
<thead>
<tr>
<th>Priority</th>
<th>Improve Staff Retention</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategy</td>
<td>Create a more effective staff review, promotion and compensation system</td>
</tr>
<tr>
<td>Goal 1</td>
<td>Develop and implement a performance-improvement focused employee performance review system</td>
</tr>
</tbody>
</table>

**Outcome Objective 1 A:** By December 2013, all employees will have received an annual performance review that focuses on performance against work plan objectives.

<table>
<thead>
<tr>
<th>Programs</th>
<th>Activities</th>
<th>Person/Group Responsible</th>
<th>Time-line</th>
<th>Process Indicator</th>
<th>Outcome Indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Develop FY2013 annual goals, objectives and performance measures for each employee based on departmental goals and strategic plan</td>
<td>Staff, managers Division Directors</td>
<td>April 2012 – June, 2012</td>
<td>1. Program goals and objectives reviewed with each employee 2. Drafts of employee goals, objectives and performance measures that achieve program objectives 3. Division Directors approval of employee performance plans</td>
<td>1. Employees use performance plan to guide their work</td>
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</table>

Results of 2013 employee goals and objectives reviewed for annual employee performance reviews.

<table>
<thead>
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<th>Process Indicator</th>
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</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Staff, managers Division Directors</td>
<td>June, 2013</td>
<td>1. Measures for all employee goals and objectives with targets compared to results 2. Final performance reviews.</td>
<td>1. Employee annual performance increases linked to achievement of strategic plan goals and objectives.</td>
<td></td>
</tr>
</tbody>
</table>
### Components in a Measurement Plan

- Process and outcome indicators
- Data sources for measuring the indicators
- Methods for measurement
- Timing for measurement
- Baseline
- Target

### Measurement Plans

<table>
<thead>
<tr>
<th>No.</th>
<th>Outcome Indicator</th>
<th>Baseline</th>
<th>Target</th>
<th>Monitoring/Data Collection</th>
<th>Data Sources</th>
<th>Methods</th>
<th>Timing</th>
</tr>
</thead>
<tbody>
<tr>
<td>1A.</td>
<td>Two qualified nurses added to staff</td>
<td>8 nurses</td>
<td>10 nurses</td>
<td>Resumes and applications</td>
<td>File Review</td>
<td></td>
<td>July 2012</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Interview comments</td>
<td></td>
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<td></td>
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<tr>
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<td></td>
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<td></td>
<td>Reference Checks</td>
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<td></td>
<td></td>
<td></td>
<td>File Review</td>
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<td></td>
<td></td>
<td>July 2012</td>
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<table>
<thead>
<tr>
<th>No.</th>
<th>Process Indicators</th>
<th>Data Sources</th>
<th>Methods</th>
<th>Timing</th>
</tr>
</thead>
<tbody>
<tr>
<td>1A.1</td>
<td>Widely distributed job posting</td>
<td>Ads and postings online and in print</td>
<td>File Review</td>
<td>March 2012</td>
</tr>
<tr>
<td>1A.2</td>
<td>Interview protocol</td>
<td>Interview protocol</td>
<td>File Review</td>
<td>April 2012</td>
</tr>
<tr>
<td>1A.3</td>
<td>Qualified pool of candidates for in-person interviews</td>
<td>Matrix of candidates</td>
<td>File Review</td>
<td>May 2012</td>
</tr>
<tr>
<td>1A.4</td>
<td>Recommendations for hiring</td>
<td>Matrix of candidates</td>
<td>File Review</td>
<td>June 2012</td>
</tr>
</tbody>
</table>
Strategic Planning Document Components

- Letter or Introduction
- Executive Summary
- Mission, Values and Vision
- Summary of SWOT/SWOC and Environmental Scan
- Summary of Strategic Priorities
- Goals and Objectives
- Linkage with CHIP and QI Plans
- How the Plan Will be Used
- Appendices – Documentation of Process, Governing Body Involvement

PHAB Requirements in YELLOW

Monitor and Revise as Needed

What makes a plan “strategic”?

- Continual attention to changes in the organization and environment and the potential impacts on the organization
- Roadmap to achieve vision
- Alignment of efforts to increase efficiency and results
- Careful, artful planning of action to achieve goals
Communicate Results

- Keep the strategic plan alive and at the forefront.
- Periodically review progress and results in regular internal meetings.
- Apply QI for improvement.
- Report on progress to Governing Body and in Annual Report

Recommended Resources

- See full Bibliography in Guidebook
Sample Strategic Plans and Resource links on Website

Documentation Review

Strategic Planning Resources

One-day Classroom Training NACCHO Annual

How-to Guide Available Online

http://www.naccho.org/topics/infrastructure/accreditation/strategic-plan.cfm

How does NACCHO guidebook help?

Guidance with Options

PHAB Requirements

Worksheets
Question & Answer Session

Type your questions in the Chat Box located on the lower left side of your screen.

Thank you for joining today’s webcast!

Please complete the brief evaluation, which will appear on your screen momentarily and will be sent via e-mail shortly!

Visit our website at www.naccho.org/accreditation/prerequisites to see the resources we discussed today or find more information about our webinar series.

accreditprep@naccho.org