



## Third Taxing District

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Third Taxing District of the City of Norwalk

Special Commission Meeting

**Monday, August 27, 2018 at 7:00p.m.**

At the Third Taxing District Office, 2 Second Street, East Norwalk, CT

1. Public Comment – 15 Minute Limit
2. Minutes of Meeting – August 6, 2018 Regular Meeting – A/R (Pgs. 1-7)
3. Strategic Planning Session
  - Materials include:
    - Basic Description of Strategic Planning (Pgs. 8-32)
    - Things to Consider When Choosing a Strategic Planning Model (Pgs. 33-34)
    - Selected Slides from CMEEC PIF (Pgs. 35-59)
4. Adjourn

\*A/R – Action Required/See Attached Motion

Agenda backup material is available at the TTD office, [www.ttd.gov](http://www.ttd.gov) and will be available at the meeting.

M:\Shared\ Commission Meeting Information\Agenda 8-27-18.doc

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*District Commissioners*

<b>David L. Brown</b>	203-866-8099	Chairman	<b>Kevin Barber</b>	203-866-9271	General Manager
<b>Debora Goldstein</b>	203-252-7214	Commissioner	<b>Ron Scofield</b>	203-866-9271	Assistant General Manager
<b>Pamela Parkington</b>	203-858-4261	Commissioner	<b>Johnnie Weldon</b>	203- 216-2652	Treasurer

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**THIRD TAXING DISTRICT**  
of the City of Norwalk  
Commission Meeting  
August 6, 2018

**ATTENDANCE:** Commissioners: David Brown, Chair; Debora Goldstein;  
Pamela Parkington; Treasurer: Johnnie Mae Weldon (7:17 p.m.)

**STAFF:** Kevin Barber, General Manager; Ron Scofield, Asst. General Mgr.

**OTHERS:** Matt Allred (Bliss Allred & Co.)  
Peter Johnson (CMEEC Ratepayer Representative)

**CALL TO ORDER**

Commissioner Brown called the meeting to order at 7:00 p.m. A quorum was present.

**PUBLIC COMMENT**

No one from the public was in attendance to comment.

**MINUTES OF MEETING**

July 2, 2018 Regular Meeting

Correction on page 3: Add name of Commissioner Brown who was opposed to the Motion which removes Item "c" from the proposed Purchasing Policy.

**\*\* COMMISSIONER GOLDSTEIN MOVED TO APPROVE THE MINUTES OF JULY 2, 2018 REGULAR MEETING AS AMENDED.**

**\*\* COMMISSIONER PARKINGTON SECONDED.**

**\*\* THE MOTION PASSED UNANIMOUSLY.**

**DISCUSSION/ANALYSIS OF FINANCIAL STATEMENTS/KEY PERFORMANCE INDICATORS**

Mr. Allred reviewed the Financial Highlights with the Commission. Total Income was \$10,553,664, a decrease of 1.84% over last year. Total Expense was \$9,757,587, a decrease of 5.76% over last year. Other Income is \$1,895,393, an increase of 263%. Net Income Before

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Rate Stabilization was \$2,671,470, an increase of 206%. Net Income was \$2,723,764, an increase of 25% over the previous year.

Cash Balances continue to be in good shape. The Capital Improvement Fund is approximately \$1,992,110 due to the recent CMEEC Equity Distribution. The Outstanding Principal Balance with CMEEC continues to decrease with a current balance of \$3,175,025.

KPI's – The Actual Rate of Return on Rate Base continues to be high, most in part due to the CMEEC Equity Distribution. Rate Stabilization is still above the target of \$3MM, but should start to show a slow decrease now that the CMEEC Billable Rate and PCA have been adjusted for the new fiscal year.

PCA –Mr. Barber reviewed the PCA with the Commission. Specifically, he reviewed the Rate Stabilization Balance Forecast and pointed out that the Rate Stabilization Fund should soon start in a downward trend over the next year and probably stay on this track for the coming two years.

### **LIBRARY ROOF CONTRACTOR NEGOTIATIONS**

Mr. Barber informed the Commission that following multiple meetings regarding the cost of the change orders, the issue has been resolved. TTD has agreed to change orders totaling \$16,837 for the extras relating to the roof project. The base cost of the project was \$21,600, bringing the roof project total to \$38,437.

The Commission had already approved \$31,230 for the replacement of the library roof. At this time, Mr. Barber recommended to the Commission that they approve the additional allocation of \$7,207 to cover the change orders that exceeded the amount previously approved by the Commission.

Mr. Barber told the Commission that Gill & Gill/TTD have requested the contractor verify the status of the roof ventilation system currently installed at the library. To provide proper ventilation for the new roof, the installation of soffit vents may be required. The cost of this is expected to be under \$3,000.

**\*\* COMMISSIONER BROWN MOVED TO APPROVE THE \$7,207 FOR THE ADDITIONAL CHANGE ORDERS TO RICK'S MAIN ROOFING.**

**\*\* COMMISSIONER PARKINGTON SECONDED.**

**\*\* 2 IN FAVOR (COMMISSIONERS BROWN AND PARKINGTON)**

**\*\* 1 ABSTAINED (COMMISSIONER GOLDSTEIN)**

**\*\* THE MOTION PASSED.**

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## EVENT PARTICIPATION DISCUSSION

### Annual Oyster Festival

Mr. Barber reviewed the letter received from the Seaport Association requesting TTD's assistance with the set-up and removal of the temporary electric service for the Oyster Festival. The Seaport Association is asking TTD to provide hourly rates for crew and equipment necessary to accomplish the tasks.

It is Mr. Barber's recommendation that TTD continue to participate as they have in the past in support of the Seaport Association's efforts.

**\*\* COMMISSIONER GOLDSTEIN MOVED TO PROVIDE ASSISTANCE TO THE SEAPORT ASSOCIATION IN CONNECTION WITH THE 2018 OYSTER FESTIVAL AT VET'S PARK SIMILAR TO THE EFFORTS THAT HAVE BEEN DONE IN THE PAST.**

**\*\* COMMISSIONER BROWN SECONDED.**

**\*\* THE MOTION PASSED UNANIMOUSLY.**

### A Taste of East Norwalk

Commissioner Goldstein said that this was the 2<sup>nd</sup> Annual festival and explained what takes place. TTD participated last year and had a table with give-aways for those who came by, but it was not manned by any TTD staff or a member of the Commission. Rick Tavella's staff volunteered to do this on TTD's behalf.

Mr. Barber told the Commission the decision to not participate came from him as he had checked with staff and no one was available to man a table. And, if staff was available, they would need to be paid an overtime rate. Commissioner Goldstein indicated that it was possible that a member of the Commission could possibly man a table if available.

Discussion took place as to whether or not to participate in the festival this year. As no one from the staff or Commission is available to man the table, the best option is to not participate. In lieu of having a table, the Commission would still like to support the event. TTD will purchase tickets for any of the Commission that would like to attend.

### Norwalk 2.0 Concerts

Commissioner Goldstein stated that Norwalk 2.0 announced a schedule of Tuesday night concerts, three of which conflicted with TTD's concerts at Calf Pasture Beach. When the Commission was originally negotiating the agreement with Norwalk 2.0, the concerts were a big concern that they were going to counter-program against TTD concerts or otherwise create traffic, trash and security issues. There had not been anything done in the way of concerts during

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the original contract, so Commissioner Goldstein was rather surprised to see the concert schedule go out and to also find out there were conflicts.

Commissioner Goldstein spoke with Jackie Lightfield about having Norwalk 2.0 following up on a quarterly basis with the TTD Commission about the programs they are having at Constitution Park either in writing or coming to a Commission meeting.

Based on this information, Commissioner Goldstein also stated that she believed there wasn't a lot of interest in TTD continuing to hold their Tuesday night concerts during the summer. Commissioner Brown agreed that TTD should consider eliminating the Tuesday night concerts from their series, as they also conflict with the Car Show held at the beach.

Commissioner Brown asked if the eight concerts could be done without using Tuesday night. Mr. Scofield replied that it can be done but would probably have to start at the end of June and run through the end of August, provided the Sundays were available through the City of Norwalk. Mr. Barber stated that he and Mr. Scofield had discussed coming back to the Commission after the concert season was over and discuss the issues of the Tuesday night concerts.

Mr. Barber recommends waiting for the concert season to be over and then have Norwalk 2.0 come to a Commission meeting to talk and follow-up.

### **TTD TREE LIGHTING EVENT**

Mr. Scofield told the Commission that he had spoken to Tony Masi (Summertime Band) and has learned that Sunday, December 2, 2018 is not available for the band to play at the Annual Christmas Tree lighting. Mr. Scofield asked the Commission if they wanted him to find another band or if they would be interested in moving the event to the following Sunday, December 9, 2018. After discussion, the Commission voted to move the event to December 9, 2018.

The Commission also discussed whether or not the rain date should be the next night, Monday, December 10, 2018 or the following Sunday, December 16, 2018.

**\*\* COMMISSIONER BROWN MOVED TO HOLD THE CHRISTMAS TREE LIGHTING ON SUNDAY, DECEMBER 9, 2018 WITH THE SUMMERTIME BAND AND RAIN DATE OF MONDAY, DECEMBER 10, 2018.**

**\*\* COMMISSIONER PARKINGTON SECONDED.**

**\*\* 2 IN FAVOR (COMMISSIONERS BROWN AND PARKINGTON)**

**\*\* 1 OPPOSED (COMMISSIONER GOLDSTEIN)**

**\*\* THE MOTION PASSED.**

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## **PROJECT SUMMARY**

Cost of Service/Rate Study – Initial discussion was held with UFS (Dawn Lund) regarding a cost of service study.

Strategic Planning – The Commission has scheduled the second meeting in August to discuss Strategic Planning.

Substation – T3 transformer has passed the witness test and was delivered to the substation on July 31, 2018. It is in place and will be connected in late September/early October.

Rowan Street Building – Project submittals are being reviewed and approved by TTD and Gill & Gill.

Norden Generators – Consent order has been paid and accepted by CT DEEP.

Library Solar – Mr. Barber met with the Library Board in July and reviewed the project with them. The project is expected to begin within the next month. An RFP has been created and sent out for the Battery Storage project.

Audit – The audit is in process.

Commissioner Goldstein added that the TOD Study Oversight Committee had their first meeting on July 30<sup>th</sup>. The Committee has been given access to the bid responses for a consultant. There were seven responses. Two were disqualified. They are currently being reviewed and three will be chosen and interviewed on August 22<sup>nd</sup>.

Commissioner Goldstein also presented a map to the Commission from Steve Kleppin. She explained that the yellow circle is the half mile diameter from the East Norwalk train station. What Mr. Kleppin is asking for the Committee to do is mark out areas in blue that they don't feel should be included in the TOD zone because they should be preserved for neighborhood character. That, in turn, will leave boundaries of a TOD zone that would be open for being rezoned for development.

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**EXECUTIVE SESSION**

- CMEEC Litigation Update
- CMEEC Investigation Update

**\*\* COMMISSIONER BROWN MOVED TO ENTER INTO EXECUTIVE SESSION TO DISCUSS CMEEC LITIGATION UPDATE AND CMEEC INVESTIGATION UPDATE.  
\*\* COMMISSIONER GOLDSTEIN SECONDED.  
\*\* THE MOTION PASSED UNANIMOUSLY.**

The Commissioners, Treasurer, General Manager, Assistant General Manager and CMEEC Ratepayer Representative entered into Executive Session at 8:22 p.m.

The Commissioners, Treasurer, General Manager, Assistant General Manager and CMEEC Ratepayer Representative returned to public session at 8:52 p.m.

**ADJOURNMENT**

**\*\* COMMISSIONER BROWN MOVED TO ADJOURN.  
\*\* COMMISSIONER PARKINGTON SECONDED.  
\*\* THE MOTION PASSED UNANIMOUSLY**

The meeting adjourned at 8:53 p.m.

Respectfully submitted,

Cynthia Tenney  
Executive Assistant  
Third Taxing District

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MOTION FOR MINUTES

COMMISSIONER (name of Commissioner) MOVED TO APPROVE THE MINUTES OF (date of meeting) REGULAR MEETING.

OR

COMMISSIONER (name of Commissioner) MOVED TO APPROVE THE MINUTES OF (date of meeting) REGULAR MEETING AS CORRECTED.

# Basic Description of Strategic Planning

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## What is Strategic Planning?

Simply put, strategic planning determines where an organization is going over the next year or more and how it's going to get there. Typically, the process is organization-wide, or focused on a major function such as a division, department or other major function.

## How to Get a Feel for Strategic Planning -- There's No Perfect Way to Do It

Planning typically includes several major activities or steps in the process. Different people often have different names for these major activities. They might even conduct them in a different order. Strategic planning often includes use of several key terms. Different people might use apply different definitions for these terms, as well.

*Don't be concerned about finding the "perfect way" to conduct strategic planning. Once you start strategic planning, you'll soon find your own particular approach.*

## One Way to Look at Strategic Planning

One interpretation of the major activities in strategic planning activities is that it includes:

### 1. Strategic Analysis

This activity can include conducting some sort of scan, or review, of the organization's environment (*e.g.*, of the political, social, economic and technical environment). Planners carefully consider various driving forces in the environment, *e.g.*, increasing competition, changing demographics, etc. Planners also look at the various strengths, weaknesses, opportunities and threats (an acronym for this activity is **SWOT**) regarding the organization.

(Some people take this wide look around after they've identified or updated their mission statement, vision statement, values statement, etc. These statements are briefly described below. Other people conduct the analysis before reviewing the statements.)

(Note that in the past, organizations usually referred to the phrase "**long-range planning**". More recently, planners use the phrase "strategic planning". This new phrase is meant to capture the strategic (comprehensive, thoughtful, well-placed) nature of this type of planning.)

### 2. Setting Strategic Direction

Planners carefully come to conclusions about what the organization must do as a result of the major issues and opportunities facing the organization. These conclusions include what overall accomplishments (or **strategic goals**) the organization should achieve, and the overall methods (or **strategies**) to achieve the accomplishments. Goals should be designed and worded as much as possible to be specific, measurable, acceptable to those working to achieve the goals, realistic, timely, extending the capabilities of those working to achieve the goals, and rewarding to them, as well. (An acronym for these criteria is "SMARTER".)

At some point in the strategic planning process (sometimes in the activity of setting the strategic direction), planners usually identify or update what might be called the strategic "philosophy". This includes identifying or updating the organization's mission, vision and/or values statements. **Mission statements** are brief written descriptions of the purpose of

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## Basic Description of Strategic Planning

the organization. Mission statements vary in nature from very brief to quite comprehensive, and including having a specific purpose statement that is part of the overall mission statement. Many people consider the values statement and vision statement to be part of the mission statement.

It seems that vision and values statements are increasingly used. *Vision statements* are usually a compelling description of how the organization will or should operate at some point in the future and of how customers or clients are benefiting from the organization's products and services. *Values statements* list the overall priorities in how the organization will operate. Some people focus the values statement on moral values. Moral values are values that suggest overall priorities in how people ought to act in the world, *e.g.*, integrity, honesty, respect, etc. Other people include operational values which suggest overall priorities for the organization, *e.g.*, to expand marketshare, increase efficiency, etc. (Some people would claim that these operational values are really strategic goals. Don't get hung up on wording for now.)

### 3. Action Planning

*Action planning* is carefully laying out how the strategic goals will be accomplished. Action planning often includes specifying *objectives*, or specific results, with each strategic goal. Therefore, reaching a strategic goal typically involves accomplishing a set of objectives along the way -- in that sense, an objective is still a goal, but on a smaller scale.

Often, each objective is associated with a *tactic*, which is one of the methods needed to reach an objective. Therefore, implementing a strategy typically involves implementing a set of tactics along the way -- in that sense, a tactic is still a strategy, but on a smaller scale.

Action planning also includes specifying *responsibilities* and *timelines* with each objective, or who needs to do what and by when. It should also include methods to *monitor* and *evaluate* the plan, which includes knowing how the organization will know who has done what and by when.

It's common to develop an *annual plan* (sometimes called the *operational plan* or *management plan*), which includes the strategic goals, strategies, objectives, responsibilities and timelines that should be done in the coming year. Often, organizations will develop plans for each major function, division department, etc., and call these *work plans*.

Usually, *budgets* are included in the strategic and annual plan, and with work plans. Budgets specify the money needed for the resources that are necessary to implement the annual plan. Budgets also depict how the money will be spent, *e.g.*, for human resources, equipment, materials, etc.

(Note there are several different kinds of budgets. Operating budgets are usually associated with major activities over the coming year. Project budgets are associated with major projects, *e.g.*, constructing a building, developing a new program or product line. Cash budgets depict where cash will be spent over some near term, *e.g.*, over the next three months (this is very useful in order to know if you can afford bills that must be paid soon. Capital budgets are associated with operating some major asset, *e.g.*, a building, automobiles, furniture, computers, etc.

# UNDERSTANDING STRATEGIC PLANNING

## Introduction -- What is Strategic Planning?

*There Are Various Different Views and Models -- and the Process You Use Depends*

Simply put, strategic planning determines where an organization is going over the next year or more, how it's going to get there and how it'll know if it got there or not. The focus of a strategic plan is usually on the entire organization, while the focus of a business plan is usually on a particular product, service or program.

There are a variety of perspectives, models and approaches used in strategic planning. The way that a strategic plan is developed depends on the nature of the organization's leadership, culture of the organization, complexity of the organization's environment, size of the organization, expertise of planners.

- 1) Goals-based planning is probably the most common and starts with focus on the organization's mission (and vision and/or values), goals to work toward the mission, strategies to achieve the goals, and action planning (who will do what and by when).
- 2) Issues-based strategic planning often starts by examining issues facing the organization, strategies to address those issues and action plans.
- 3) Organic strategic planning might start by articulating the organization's vision and values, and then action plans to achieve the vision while adhering to those values. Some planners prefer a particular approach to planning, eg, appreciative inquiry.

Some plans are scoped to one year, many to three years, and some to five to ten years into the future. Some plans include only top-level information and no action plans. Some plans are five to eight pages long, while others can be considerably longer.

Quite often, an organization's strategic planners already know much of what will go into a strategic plan (this is true for business planning, too). However, development of the strategic plan greatly helps to clarify the organization's plans and ensure that key leaders are all "on the same script".

Also, in addition to the size of the organization, differences in how organizations carry out the planning activities are more of a matter of the nature of the participants in the organization -- than its for-profit/nonprofit status. *E.g.*, detail-oriented people may prefer a linear, top-down, general-to-specific approach to planning. On the other hand, rather artistic and highly reflective people may favor of a highly divergent and "organic" approach to planning.

NOTE: Much of the following information is in regard to goals-based strategic planning, probably the most common form of strategic planning. However, issues-based planning is also a very popular approach to strategic planning -- an approach still too-often forgotten.

### *For-Profit Versus Nonprofit Strategic Planning*

Major differences in how organizations carry out the *various steps and associated activities* in the strategic planning process are more of a matter of the size of the organization -- *than its for-profit/nonprofit status*. (The focus of the planning activities is often different between for-profits and nonprofits. Nonprofits tend to focus more on matters of board development, fundraising and volunteer management. For-profits tend to focus more on activities to maximize profit.)

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## **Understanding Strategic Planning**

## Benefits of Strategic Planning

Strategic planning serves a variety of purposes in organizations, including to:

1. Clearly define the purpose of the organization and to establish realistic goals and objectives consistent with that mission in a defined time frame within the organization's capacity for implementation.
2. Communicate those goals and objectives to the organization's constituents.
3. Develop a sense of ownership of the plan.
4. Ensure the most effective use is made of the organization's resources by focusing the resources on the key priorities.
5. Provide a base from which progress can be measured and establish a mechanism for informed change when needed.
6. Listen to everyone's opinions in order to build consensus about where the organization is going.

Other reasons include that strategic planning:

7. Provides clearer focus for the organization, thereby producing more efficiency/effectiveness.
8. Bridges staff/employees and the board of directors (in the case of corporations).
9. Builds strong teams in the board and in the staff/employees (in the case of corporations).
10. Provides the glue that keeps the board members together (in the case of corporations).
11. Produces great satisfaction and meaning among planners, especially around a common vision.
12. Increases productivity from increased efficiency and effectiveness.
13. Solves major problems in the organization.

## When Should Strategic Planning Be Done?

The scheduling for the strategic planning process depends on the nature and needs of the organization and its immediate external environment. *E.g.*, planning should be done frequently in an industry that is changing rapidly. In this situation, planning might be carried out once/twice a year and done comprehensively (that is, with attention to mission, vision, values, environmental scan, issues, goals, strategies, objectives, responsibilities, time lines, budgets, etc). Or, if the organization has been around for many years and is in a fairly stable marketplace, then less comprehensive planning might be carried out once a year, *e.g.*, action planning (objectives, responsibilities, time lines, budgets, etc) are updated each year. Consider the following guidelines:

1. Strategic planning is done when an organization is just getting started
2. Strategic planning should be done in preparation for a new major venture, *e.g.*, a new department, division, major new product or line of products, etc.
3. Strategic planning should also be conducted at least once a year to be ready for the coming fiscal year. In this case, strategic planning should be conducted in time to identify the organizational goals over the coming fiscal year, resources needed to achieve those goals, and funds needed. Then funds are included in budget planning for the fiscal year. Not all phases of strategic planning need be completed each year. The full strategic planning process should be conducted at least once every three years.
4. Each year, action plans should be updated.
5. Note that, during implementation of the plan, progress should be reviewed at least on a quarterly basis by the board.

# Basic Overview of Various Strategic Planning Models

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## Choose the Best Model -- and Customize It as You Go Along

There is no one perfect strategic planning process, or model. Each organization should customize the best approach to suit the culture of its members, the current situation in and around the organization, and the purpose of its planning.

Below are descriptions of several different models of strategic planning, along with basic guidelines for choosing each. There is no strong agreement among experts in strategic planning as to which approaches are indeed “models” or how each is best implemented. The purpose is to present different perspectives and options regarding strategic planning to help planners ensure their plans are the most relevant, realistic and flexible.

Planners can select the most appropriate model and then modify it to suit the nature and needs of their organization.

**NOTE:** The following models can be done with different styles. *E.g.*, some may prefer a rather top-down and even autocratic way of planning and making decisions. Others might prefer more inclusive and consensus-based planning. Some might prefer a very problem-centered approach, while others might prefer a more strength-based approach, *e.g.*, to use Appreciative Inquiry.

### Model One - Conventional Strategic Planning

This is the most common model of strategic planning, although it is not suited for every organization. It is ideal for organizations that have sufficient resources to pursue very ambitious visions and goals, have external environments that are relatively stable, and do not have a large number of current issues to address. The model includes the following phases:

1. Develop or update the mission and optionally, vision and/or values statements.
2. Take a wide look around the outside and a good look inside the organization, and update the statements as a result.
3. As a result of this research, select the multi-year strategies and/or goals to achieve the vision.
4. Then develop action plans that specify who is to do what and by when to achieve each goal.
5. Identify associated plans, *e.g.*, staffing, facilities, marketing and financial plans.
6. Organize items 1-3 into a Strategic Plan and items 4-6 into a separate one-year Operational Plan.

### Model Two - Issues-Based Strategic Planning

This model works best for organizations that have very limited resources, several current and major issues to address, little success with achieving ambitious goals, and/or very little buy-in to strategic planning. Using the conventional model of strategic planning for these organizations is a bit like focusing on the vision of running a marathon and on deciding the detailed route and milestones -- while concurrently having heart problems, bad feet and no running clothes.

This model might include the following phases:

1. Identify 5-7 of the most important current issues facing the organization now.
2. Suggest action plans to address each issue over the next 6-12 months.
3. Include that information in a Strategic Plan.

After an issues-based plan has been implemented and the current, major issues are resolved, then the organization might undertake the more ambitious conventional model. Many people might assert that issues-based planning is really internal

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### Overview of Strategic Planning Models

development planning, rather than strategic planning. Others would argue that the model is very strategic because it positions the organization for much more successful outward-looking and longer term planning later on.

### **Model Three - Organic Strategic Planning**

The conventional model is considered by some people to be too confining and linear in nature. They believe that approach to planning too often produces a long sequence of orderly activities to do, as if organizations will remain static and predictable while all of those activities are underway. Other people believe that organizations are robust and dynamic systems that are always changing, so a plan produced from conventional planning might quickly become obsolete.

That is true, especially if planning is meant to achieve a very long-term vision for many people. The organic model is based on the premise that the long-term vision is best achieved by everyone working together toward the vision, but with each person regularly doing whatever actions that he or she regularly decides to do toward that vision. The model might include the following phases:

1. With as many people as can be gathered, *e.g.*, from the community, articulate the long-term vision and perhaps values to work toward the vision.
2. Each person leaves that visioning, having selected at least one realistic action that he or she will take toward the vision before the group meets again, *e.g.*, in a month or two.
3. People meet regularly to report the actions that they took and what they learned from them. The vision might be further clarified during these meetings.
4. Occasionally, the vision and the lists of accomplished and intended actions are included in a Strategic Plan.

### **Model Four -- Real-Time Strategic Planning**

Similar to the organic model of planning, this model is suited especially for people who believe that organizations are often changing much too rapidly for long-term, detailed planning to remain relevant. These experts might assert that planning for an organization should be done continuously, or in "real time." The real-time planning model is best suited, especially to organizations with very rapidly changing environments outside the organization.

1. Articulate the mission, and perhaps the vision and/or values.
2. Assign planners to research the external environment and, as a result, to suggest a list of opportunities and of threats facing the organization.
3. Put the lists to the Board and other members of the organization for thinking and discussions.
4. Soon after (perhaps during the next month) assign planners to evaluate the internal workings of the organization and, as a result, to suggest a list of strengths and of weaknesses within.
5. Present these lists to the Board and other members of the organization for strategic thinking and discussions, perhaps using a SWOT analysis to analyze all four lists.
6. Repeat steps 2-5 regularly, *e.g.*, every six months or year and document the results in a Strategic Plan.

### **Model Five -- Alignment Model of Strategic Planning**

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## **Overview of Strategic Planning Models**

The primary purpose of this model is to ensure strong alignment of the organization's internal operations with achieving an overall goal, *e.g.*, to increase productivity or profitability, or to successfully integrate a new cross-functional system, such as a new computer system. Overall phases in this model might include:

1. Establish the overall goal for the alignment.
2. Analyze which internal operations are most directly aligned with achieving that goal, and which are not.
3. Establish goals to more effectively align operations to achieving the overall goal. Methods to achieving the goals might include organizational performance management models, *e.g.*, Business Process Re-engineering or models of quality management, such as the TQM or ISO models.
4. Include that information in the Strategic Plan.

Similar to issues-based planning, many people might assert that the alignment model is really internal development planning, rather than strategic planning. Similarly, others would argue that the model is very strategic because it positions the organization for much more successful outward-looking and longer term planning later on.

### **Inspirational Model of Strategic Planning**

This model is sometimes used when planners see themselves as having very little time available for planning and/or there is high priority on rather quickly producing a Strategic Plan document. Overall phases in this model might include:

1. Attempt to gather Board members and key employees together for planning.
2. Begin by fantasizing a highly inspirational vision for the organization -- or by giving extended attention to wording in the mission statement, especially to include powerful and poignant wording.
3. Then brainstorm exciting, far-reaching goals to even more effectively serve customers.
4. Then include the vision and goals the Strategic Plan.

While this model can be highly energizing, it might produce a Plan that is far too unrealistic (especially for an organization that already struggles to find time for planning) and, as a result, can be less likely to make a strategic impact on the organization and those it serves. Many experts might assert that these planners are confusing the map (the Strategic Plan document) with the journey (the necessary strategic thinking). However, it might be the only approach that would generate some outward focused discussion and also a Plan that, otherwise, would not have been written.

# How to Start Strategic Planning: Plan for a Plan

(By Carter McNamara on April 4, 2010)

Planning for the plan is one of the most important phases in strategic planning – something that is far too often forgotten, resulting in plans that sit untouched on shelves. The plan for a plan should be developed by a Planning Committee and should answer 15 important questions — do this before the planners start identifying goals to go in the strategic plan.

Not doing a plan for a plan is like going on a trip without a map and then complaining that you didn't get where you wanted to go. Planners have the illusion that the sooner they imagine some goals and get those goals on paper, the sooner they'll achieve those goals, as well. So that's where they start – fantasizing goals. Wrong.

Or, far too often, inexperienced facilitators and planners will start planning by fantasizing words on a mission or vision statement. While that can be creative and exhilarating, it rarely results in a useful plan. (But it does stimulate the creative juices – and it can make Board members, who otherwise are usually detached from the organization, to quickly feel useful in the planning process)

## 1. Are We Really Ready for Strategic Planning?

- Does our organization have enough money to pay bills for at least the next 3 months? Don't use strategic planning to generate quick revenue. It won't do that. Instead focus on cash flows.
- Does our organization have a history of not implementing plans? If so, you need leadership development more than planning. Learn how to build in performance management to do what you say you're going to do.
- Are our Board members willing to be involved in planning sessions? If they want only a one-meeting retreat, then don't consider it strategic planning. It's a brainstorming session.
- Can our Board members and other leaders make decisions together? If not, planning could be a nightmare. Do Board development, not planning.

## 2. Who's in Our Planning Committee?

The job of this Committee is to ensure a high-quality planning process, not to do the planning. Its members might hire a facilitator, do the plan for a plan and review various tangible results from planning, such as the drafted Plan. The Committee should at least include:

- Chair of the Board
- Chief Executive Officer
- Leader of each of the major products or program
- Someone who's been in a well-done strategic planning process before

## 3. Why Are We Doing Strategic Planning?

There are different reasons for doing planning and each of those reasons could require a different approach to planning. Typical reasons include:

- It's just that time of year. (The best time to do planning is the middle of the fiscal year in time to produce a Board-approved budget for next year.)
- Our organization has had recurring major issues among Board members or employees. Often, this is the result of their not being on the same page – planning can get them all on the same page.
- Our organization wants to add a new division or major product line.
- Our investors or funders want a plan. Be careful – don't just burp out a stack of paper and call it a "plan." Investors and funders are smarter than that.

#### 4. What is the Scope of Our Plan?

It's not uncommon that leaders believe that a long-term plan will somehow guarantee that they won't be surprised over that long term – that the plan will somehow lock-in a version of the future. Wrong.

- If the organization is fairly new, has many current issues or the external environment is changing a lot, then consider a shorter term plan, *e.g.*, a 2- to 3-year plan.
- If the organization is in this situation and still wants a longer term plan, then consider clarifying the mission, vision and values and some goals for the longer term, but do action plans for the next year. (The action plan is about who is going to do what and by what date.)

#### 5. What Planning Model Should We Use?

Here's where planners often make a big mistake – they do vision-based planning when they should have been doing issues-based planning.

- If your organization has a lot of resources, few current issues and a history of being able to implement plans, then do vision-based planning. Vision-based planning is working from the future to the present.
- If your organization has very limited resources, several major and current issues, and struggles even to implement a plan, then do issues-based planning. Issues-based planning is identifying current issues and what to do about them. A year or so after implementing this plan, then the organization might be healthy enough to do vision-based planning.

#### 6. How Might That Model Be Implemented?

- If the organization has frequent turnover of staff, a well-informed Board and upper level of management, and the culture does not value participative decision-making, then a top-down planning approach might be most suitable — although highly participative decision-making almost always results in more buy-in to the Plan.
- Otherwise, if Board members and executives are not well-informed about the organization and its environment or are weak leaders (an extremely unfortunate situation), then a bottom-up planning process might be most suitable.
- A concurrent approach to planning — participation from all levels of the organization — is probably best if the culture of the organization highly values participative decision-making.

#### 7. What's Your Schedule for Developing the Plan?

Too many organizations do planning by gathering planners into one retreat where they tweak wording on the mission statement and brainstorm fantastic ideas. Too often, that generates a plan that's full of fantasies with little grounding in reality. Take time to do it right.

- Usually, the best time to start strategic planning is near the middle of your fiscal year, so you can produce an updated annual budget in time for the start of the next fiscal year.
- If the purpose of your plan primarily is to verify or expand products, then take time to do some basic market research – to hear from consumers. That could add several weeks or months to the schedule to complete the plan, but it's critical. Otherwise, your plan could build “a beautiful ladder, but on the wrong roof.”
- It's often better to have several short meetings between periods of research, rather than one long meeting for planning that involves little external research at all.

- For small organizations, aim to have planning done in several weeks or at most 2-3 months.

## 8. Who Will Be Involved? How? When?

The contents of the plan are determined in large part by who takes part in planning. Also, the people involved often learn a great deal about the organization. In the overall process, involve:

- Those with authority to make decisions – and this should include your Board members.
- Those who will primarily be responsible for implementing the plan. This is critical.
- People who are knowledgeable about products and services. They ground your plan and make it real.
- Someone to champion the process – to keep up the spirits of the planners. Planning can be tedious, especially when strategizing or talking about how to achieve goals.
- As much as possible, involve some stakeholders, including some customers, funders and collaborators. Involve them especially when establishing goals about products and services.

## 9. Will You Need an Outside Facilitator?

Get an outside facilitator if:

- You've not done strategic planning before.
- Your last plan was not implemented.
- People struggle to come to consensus.
- People believe an outside facilitator will help planners be more open and honest during their participation.
- Planners want an objective perspective on their situation.
- (A note about facilitators – don't require your facilitator to know a lot about your industry, products and services. You're better to have an expert in planning who knows little about your organization, than the other way around.)

## 10. What Materials Will Be Needed?

- Materials (books about strategic planning, flipcharts, markers, etc.)
- Equipment (overhead projectors, flipchart stands, white boards, etc.)
- Facilities (conference rooms, retreat centers, etc.)

## 11. What Terms/Titles Will You Use?

- Will the top-level priorities be called "goals" and subordinate priorities (associated with the goals) be called "objectives"?
- Will the objectives, and the responsibilities and deadlines to achieve them be called "action plans"?
- Will you refer to "mission", "vision" and "values" or are there more culturally compatible terms?
- What other terms are unique to your culture and organization that you want to use in the planning process, e.g., "trust advisor" rather than facilitator or "team members" rather than planners?

## 12. How Will You Train the Planners?

Far too often, people jump in to the planning process, expecting to learn about the process along the way. That's like handing someone a map that the person has never seen before, not saying a word to them about the trip or how to get there, and then expecting the person to efficiently navigate you to your destination. Participants in the planning should get an overview of:

- The basic purposes of the strategic planning process.
- The planning model being used.
- The schedule to produce the plan.
- Any special terms being used in the planning and their interpretations in the process.
- How decisions will be made during the planning process.
- Their role in the process, along with the role of the Planning Committee.

### 13. How will you get buy-in of members of the organization?

There seems to be growing cynicism about strategic planning. Far too often, the process is overwhelming and confusing for planners. Far too often, the process does not result in implementation of a relevant, realistic and flexible plan. The commitment and ownership of members of the organization is crucial to the success of the planning process and the plan. Consider these guidelines:

- Show visible top-leadership support – the CEO and Board Chair should visibly announce the process and show their continuing support of it.
- Explain if previous planning efforts failed and why – don't expect members to simply ignore the past.
- Explain why you are planning now and how it benefits the organization.
- Involve those who will implement the plan – don't somehow bestow the plan on the rest of the organization.
- Tie planning to important issues – you won't have buy-in of members to a grand vision if their hearts and minds are worried about current issues in the workplace.
- Show how the planning is realistic – unrealistic plans are one of the biggest reasons for cynicism about planning.

### 14. How will you ensure implementation of the plan?

One of the biggest frustrations with planning is when it produces a plan that doesn't get implemented.

- Involve those in planning who will end up implementing the plan – that helps to get their commitment to implementing the plan.
- When identifying goals, always ask "Are these goals realistic? How do we know?"
- Include action plans in the overall plan – actions plans specify who will do what and by when, to achieve goals.
- Assign specific people to monitor implementation of the plan.
- Be open to changing the plan – plans are rarely implemented as first written.

### 15. How will you change the plan as needed?

Plans can be changed. They just need to be changed in a systematic approach.

- Before a plan is formally approved, put "DRAFT" on each page of the plan. After approval, remove the word.
- On each page, put a revision date, e.g., "Revision – April 15, 2010".
- If a change seems to be needed, propose the change to the appropriate leadership, e.g. the Board or the CEO.

- When the leadership approves the change, then put a new revision date on the plan.

# How NOT to Do Strategic Planning!

By Carter McNamara on November 15, 2010

I got a call from an organization that was (as they said) “desperate to finally do good strategic planning.”

## **A Far Too-Common Approach to “Strategic Planning”**

The previous two times they did “planning,” the organization hired a facilitator and:

1. Got Board members together for one retreat.
2. Word-smithed the words on their mission statement. (“Are our services ‘transformational’ or ‘transcendental’? Let’s break into small groups and discuss this!”)
3. Fantasized a very far-reaching, inspirational, feel-good vision statement. (“We’ll solve poverty in our lifetime!”)
4. Then asked the executives to come up with “some goals” to achieve that vision.
5. Then they left the retreat.

## **That’s Not Strategic Planning, That’s Fantasizing — and It’s a Delusion**

The “benefits” of that approach to planning are

1. Board members don’t need to spend much time in planning.
2. The organization doesn’t have to do the work to actually analyze what’s going on outside the organization that might affect the organization
3. It’s easy and it feels good to word-smith words and fantasize visions — it makes “planning” fun!
4. The organization can feel like it’s “planning.”
5. The facilitator is liked a lot — at least for a while.

## **The Damage Caused from That Approach to “Planning”**

The harm from that approach to “planning” is that

1. The organization is no better off in understanding what it needs to survive, much less thrive.
2. Planners cultivate the illusion that planning is one fun “get away.”
3. Planners become very cynical about “strategic planning.”
4. Consultants and facilitators begin to write that “strategic planning doesn’t work.”

## **What Strategic Planning Should Be Instead**

If an organization:

1. Has not done strategic planning before — planning that resulted in an implemented plan.
2. Has many changes going on, outside the organization.
3. Has had several recurring issues in the organization, e.g., in finances, conflicts and turnover.

Then the “fantasy” approach to planning will only make things worse. Instead, the organization should be doing issues-based planning.

## **What’s Issues-Based Planning?**

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### **How NOT to do Strategic Planning**

In issues-based planning, planners:

1. Identify current, major issues.
2. Suggest strategies to address each issue (they might be right or wrong, but at least they get people focused on the issues and trying to do something about them).
3. Detail the strategies into action plans that specify who is going to do what and by when.

Some consultants might decry, "That's not strategic!" What's more strategic than addressing current, major problems so you can then accomplish a successful future?

# CONDUCTING STRATEGIC PLANNING

Preparation for Strategic Planning

## Guidelines to Keep Perspective During Planning

Many managers spend most of their time "fighting fires" in the workplace. -- their time is spent realizing and reacting to problems. For these managers -- and probably for many of us -- it can be very difficult to stand back and take a hard look at what we want to accomplish and how we want to accomplish it. We're too busy doing what we think is making progress. However, one of the major differences between new and experienced managers is the skill to see the broad perspective, to take the long view on what we want to do and how we're going to do it. One of the best ways to develop this skill is through ongoing experience in strategic planning. The following guidelines may help you to get the most out of your strategic planning experience.

1. The real benefit of the strategic planning process is the process, not the plan document.
2. There is no "perfect" plan. There's doing your best at strategic thinking and implementation, and learning from what you're doing to enhance what you're doing the next time around.
3. The strategic planning process is usually not an "aha!" experience. It's like the management process itself -- it's a series of small moves that together keep the organization doing things right as it heads in the right direction.
4. In planning, things usually aren't as bad as you fear nor as good as you'd like.
5. Start simple, but start!

## Need Consultant or Facilitator to Help You With Planning?

You may want to consider using a facilitator from outside of your organization if:

1. Your organization has not conducted strategic planning before.
2. For a variety of reasons, previous strategic planning was not deemed to be successful.
3. There appears to be a wide range of ideas and/or concerns among organization members about strategic planning and current organizational issues to be addressed in the plan.
4. There is no one in the organization who members feel has sufficient facilitation skills.
5. No one in the organization feels committed to facilitating strategic planning for the organization.
6. Leaders believe that an inside facilitator will either inhibit participation from others or will not have the opportunity to fully participate in planning themselves.
7. Leaders want an objective voice, i.e., someone who is not likely to have strong predispositions about the organization's strategic issues and ideas.

## Who Should Be Involved in Planning?

Strategic planning should be conducted by a planning team. Consider the following guidelines when developing the team. (Note that reference to boards of directors is in regard to organizations that are corporations.)

1. The chief executive and board chair should be included in the planning group, and should drive development and implementation of the plan.
2. Establish clear guidelines for membership, *e.g.*, those directly involved in planning, those who will provide key information to the process, those who will review the plan document, those who will authorize the document, etc.
3. A primary responsibility of a board of directors is strategic planning to effectively lead the organization. Therefore, insist that the board be strongly involved in planning, often including assigning a planning committee (often, the same as the executive committee).
4. Ask if the board membership is representative of the organization's clientele and community, and if they are not, the organization may want to involve more representation in planning. If the board chair or chief executive balks at including more of the board members in planning, then the chief executive and/or board chair needs to seriously consider how serious the organization is about strategic planning!

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## Conducting Strategic Planning

5. Always include in the group, at least one person who ultimately has authority to make strategic decisions, *e.g.*, to select which goals will be achieved and how.
6. Ensure that as many stakeholders as possible are involved in the planning process.
7. Involve at least those who are responsible for composing and implementing the plan.
8. Involve someone to administrate the process, including arranging meetings, helping to record key information, helping with flipcharts, monitoring status of prework, etc.
9. Consider having the above administrator record the major steps in the planning process to help the organization conduct its own planning when the plan is next updated.

Note the following considerations:

10. Different types of members may be needed more at different times in the planning process, *e.g.*, strong board involvement in determining the organization's strategic direction (mission, vision, and values), and then more staff involvement in determining the organization's strategic analysis to determine its current issues and goals, and then primarily the staff to determine the strategies needed to address the issues and meet the goals.
11. In general, where there's any doubt about whether a certain someone should be involved in planning, it's best to involve them. It's worse to exclude someone useful than it is to have one or two extra people in planning -- this is true in particular with organizations where board members often do not have extensive expertise about the organization and its products or services.
12. Therefore, an organization may be better off to involve board and staff planners as much as possible in all phases of planning. Mixing the board and staff during planning helps board members understand the day-to-day issues of the organization, and helps the staff to understand the top-level issues of the organization.

## How Many Planning Meetings Will We Need?

### *Number and Duration of Planning Meetings*

1. New planners usually want to know how many meetings will be needed and what is needed for each meeting, *i.e.*, they want a procedure for strategic planning. The number of meetings depends on whether the organization has done planning before, how many strategic issues and goals the organization faces, whether the culture of the organization prefers short or long meetings, and how much time the organization is willing to commit to strategic planning.
2. Attempt to complete strategic planning in at most two to three months, or momentum will be lost and the planning effort may fall apart.

### *Scheduling of Meetings*

1. Have each meeting at most two to three weeks apart when planning. It's too easy to lose momentum otherwise.
2. The most important factor in accomplishing complete attendance to planning meetings is evidence of strong support from executives. Therefore, ensure that executives a) issue clear direction that they strongly support and value the strategic planning process, and b) are visibly involved in the planning process.

### *An Example Planning Process and Design of Meetings*

One example of a brief planning process is the following which includes four planning meetings and develops a top-level strategic plan which is later translated into a yearly operating plan by the staff:

1. Planning starts with a half-day or all-day board retreat and includes introductions by the board chair and/or chief executive, their explanations of the organization's benefits from strategic planning and the organization's commitment to the

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## Conducting Strategic Planning

planning process, the facilitator's overview of the planning process, and the board chairs and/or chief executive's explanation of who will be involved in the planning process. In the retreat, the organization may then begin the next step in planning, whether this be visiting their mission, vision, values, etc. or identifying current issues and goals to which strategies will need to be developed. (Goals are often reworded issues.) Planners are asked to think about strategies before the next meeting.

2. The next meeting focuses on finalizing strategies to deal with each issue. Before the next meeting, a subcommittee is charged to draft the planning document, which includes updated mission, vision, and values, and also finalized strategic issues, goals, strategies. This document is distributed before the next meeting.

3. In the next meeting, planners exchange feedback about the content and format of the planning document. Feedback is incorporated in the document and it is distributed before the next meeting.

4. The next meeting does not require entire attention to the plan, e.g., the document is authorized by the board during a regular board meeting.

5. Note that in the above example, various subcommittees might be charged to gather additional information and distribute it before the next planning meeting.

6 Note, too, that the staff may take this document and establish a yearly operating plan which details what strategies will be implemented over the next year, who will do them, and by when.

7. No matter how serious organizations are about strategic planning, they usually have strong concerns about being able to find time to attend frequent meetings. This concern can be addressed by ensuring meetings are well managed, having short meetings as needed rather than having fewer but longer meetings, and having realistic expectations from the planning project.

## **Always First Do "Plan for a Plan"**

Too often, planners jump into the planning process by reviewing the organization's mission or then establishing a vision and goals to achieve in the future. Instead, planners should always start by doing a "plan for a plan." When planner skip this step, they too often produce a plan that is not relevant to the organization, unrealistic to apply, and inflexible to the culture and limitations of the organization.

## **Strategic Analyses -- Analyzing External and Internal Environments**

(Many planners prefer to start strategic planning by clarifying the mission, vision and/or values of the organization. Other planners prefer to start by taking a wide look around the external environment of the organization and also the inside of the organization, and then clarifying/strategizing what the organization should do as a result of what the planners find. If you prefer to address the mission, vision and/or values next, then skip to those sections later on below.)

A frequent complaint about strategic plans is that they are merely "to-do" lists of what to accomplish over the next few years. Or, others complain that strategic planning never seems to come in handy when the organization is faced with having to make a difficult, major decision. Or, other complain that strategic planning really doesn't help the organization face the future. These complaints arise because organizations fail to conduct a thorough strategic analysis as part of their strategic planning process. Instead, planners decide to plan only from what they know now. This makes the planning process much less strategic and a lot more guesswork. Strategic analysis is the heart of the strategic planning process and should not be ignored.

## **Taking a Wide Look Around the Outside of the Organization to Identify Opportunities and Threats**

An external analysis usually includes looking at various trends, including political, economic, societal, technological and ecological. Also consider the needs and wants of stakeholders -- do a stakeholder analysis.

## **Setting Strategic Direction**

### **Strategizing - Establishing Strategic Goals and Methods/Strategies to Achieve them**

#### *Understanding Strategy and Strategic Thinking*

One of the most important reasons that organizations do strategic planning is to ensure that they remain sustainable -- that they not only survive, but that they thrive well into the future. So it's important to understand what makes an organization sustainable -- it's not just getting enough money.

#### *Do a SWOT Analysis of Results of Looking Outside and Inside the Organization?*

Now that you've identified opportunities (O) and threats (T) and also strengths (S) and weaknesses (W), you could do a SWOT analysis in order to identify important priorities to address and how to address them, i.e., identify strategic goals and methods/strategies to achieve them.

### **Developing/Updating a Mission Statement, a Vision Statement, and/or a Values Statement**

(As mentioned above, many planners prefer to start strategic planning by clarifying the mission, vision and/or values of the organization. Other planners prefer to start by taking a wide look around the external environment of the organization and also the inside, and then clarifying/strategizing what the organization should do as a result of what the planners find. If you prefer first to do those analyses, then see the Strategic Analysis section above.)

### **Action Planning and Operational Planning (Objectives, Responsibilities and Deadlines)**

Strategic planning can be exhilarating when coming up with new visions and missions and values, talking about long-standing issues in the workplace and coming up with new and exciting opportunities. But without careful action planning -- and diligently ensuring actions are carried out -- the plan ends up collecting dust on a shelf. Many organizations develop action plans for the first year of a multi-year strategic plan and refer to that action plan as an "operational plan."

## **Writing and Communicating the Plan**

A frequent mistake at this point is not communicating the plan to enough people, including external stakeholders.

### **Implementing, Monitoring, Evaluating and Deviating from the Plan -- and Managing Change**

#### **How Do We Ensure Implementation of Our New Plan?**

A frequent complaint about the strategic planning process is that it produces a document that ends up collecting dust on a shelf -- the organization ignores the precious information depicted in the document.

The following guidelines will help ensure that the plan is implemented.

(Note that reference to boards of directors is in regard to organizations that are corporations.)

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## **Conducting Strategic Planning**

1. When conducting the planning process, involve the people who will be responsible for implementing the plan. Use a cross-functional team (representatives from each of the major organization's products or service) to ensure the plan is realistic and collaborative.
2. Ensure the plan is realistic. Continue asking planning participants "Is this realistic? Can you really do this?"
3. Organize the overall strategic plan into smaller action plans, often including an action plan (or work plan) for each committee on the board.
4. In the overall planning document, specify who is doing what and by when (action plans are often referenced in the implementation section of the overall strategic plan). Some organizations may elect to include the action plans in a separate document from the strategic plan, which would include only the mission, vision, values, key issues and goals, and strategies. This approach carries some risk that the board will lose focus on the action plans.
5. In an implementation section in the plan, specify and clarify the plan's implementation roles and responsibilities. Be sure to detail particularly the first 90 days of the implementation of the plan. Build in regular reviews of status of the implementation of the plan.
6. Translate the strategic plan's actions into job descriptions and personnel performance reviews.
7. Communicate the role of follow-ups to the plan. If people know the action plans will be regularly reviewed, implementers tend to do their jobs before they're checked on.
8. Be sure to document and distribute the plan, including inviting review input from all.
9. Be sure that one internal person has ultimate responsibility that the plan is enacted in a timely fashion.
10. The chief executive's support of the plan is a major driver to the plan's implementation. Integrate the plan's goals and objectives into the chief executive's performance reviews.
11. Place huge emphasis on feedback to the board's executive committee from the planning participants.

Consider all or some of the following to ensure the plan is implemented.

12. Have designated rotating "checkers" to verify, e.g., every quarter, if each implementer completed their assigned tasks.
13. Have pairs of people be responsible for tasks. Have each partner commit to helping the other to finish tasks on time.

## **Monitoring Implementation, Evaluating Implementation -- and Deviating from Plan, If Necessary**

As stated several times throughout this library topics, too many strategic plans end up collecting dust on a shelf. Monitoring and evaluating the planning activities and status of implementation of the plan is -- for many organizations -- as important as identifying strategic issues and goals. One advantage of monitoring and evaluation is to ensure that the organization is following the direction established during strategic planning. That advantage is obvious. However, another major advantage is that the management can learn a great deal about the organization and how to manage it by continuing to monitor and evaluate the planning activities and the status of the implementation of the plan. Note that plans are guidelines. They aren't rules.

## **Changing the Plan As Necessary During Implementation**

It's OK to deviate from a plan. But planners should understand the reason for the deviations and update the plan to reflect the new direction.

## Things We Might Want to Consider When Choosing a Strategic Planning Model

### Resources and Environment

1. Do we have the resources to do our own SWOT analysis?
2. Do we consider our environment static, stable, changing or volatile?
3. Does everyone have a good understanding of the statutes, charter and other regulations that apply?
4. How involved can/should staff be in this process?
5. How can we integrate the DOT and Norwalk objectives for the Walk Bridge and other projects?

### Objectives

6. Long-term vs Short-term; Issues vs Vision?
7. Utility vs District? Effectiveness? Growth? Preservation?
8. Stakeholders: Do we have a sufficient understanding of what the rate-payers want? Others?
9. Will we be planning around assets and infrastructure? Operations and income? Governance and Policies?

### Enabling Activities

10. Are we seeking changes that need to go before the rate-payers?
11. Are we seeking changes that require charter revision?
12. Are we building in the ability to measure success and progress?
13. Are we building in the ability to change as the Commission changes?

Exercise to help identify which model of strategic planning will suit the Commission: Think about what you want to suggest for strategic planning and fill in the grid below. Try to come up with three items in each category.

Idea or Issue	Long or Short Term?	Best Model?	Within our Control?	Realistic?	Tactics for Success (Who, What and When?)
Category 1: Assets and Infrastructure					
1.					
2.					
3.					
Category 2: Operations and Income					
1.					
2.					
3.					
Category 3: Governance and Policy					
1.					
2.					
3.					

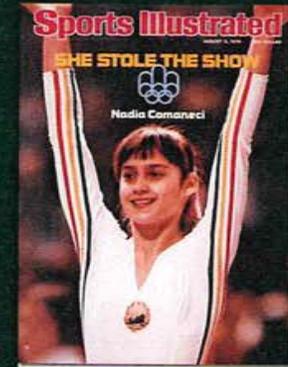
# SELECTED SLIDES FROM CMEEEC PIF

Held June 18, 2015

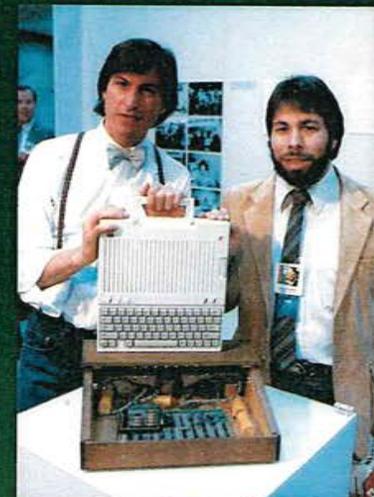
# Finance & Accounting

*June  
2015*

CHANGE  
IS THE  
ONLY  
CONSTANT

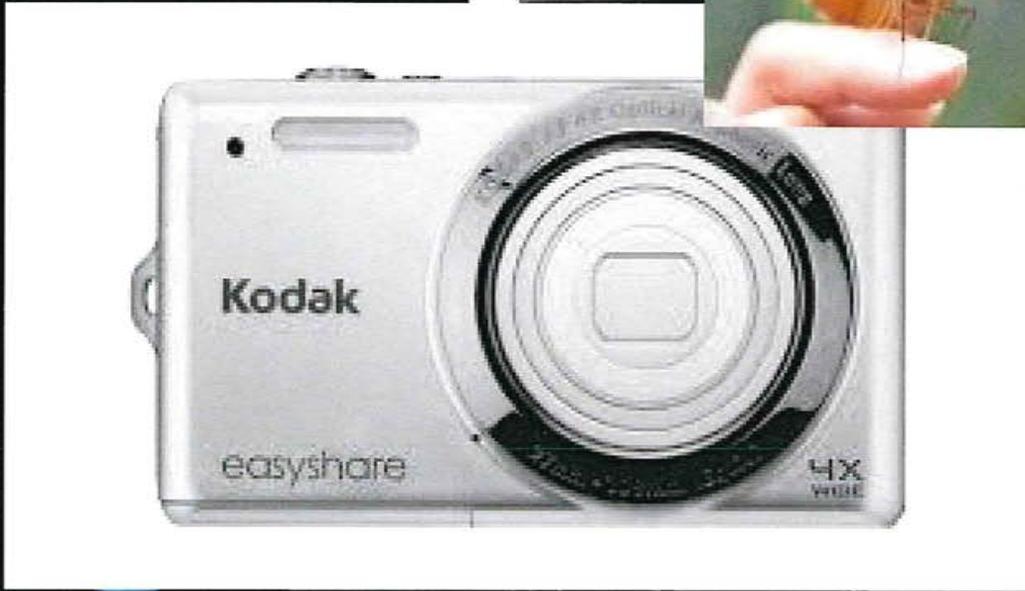
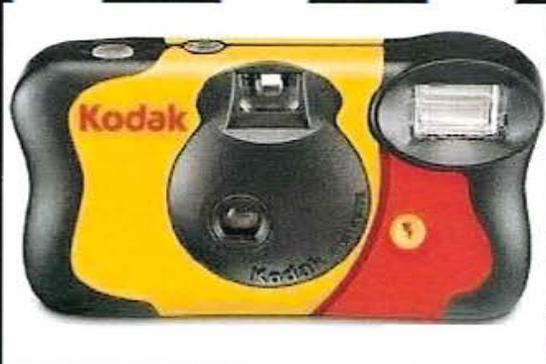


What were you doing in 1976?



There were some things, not all  
that long ago, that we never  
anticipated changing







Bank of America  
Merrill Lynch  CashPro® Online

Manage your cash, payments and receipts, investments, foreign exchange, credit and trade with access choices that work best for you.

[Learn more. Explore CashPro Online](#)

Company ID

User ID

Password

[Login Assistance](#)





change

is

difficult.

not

changing

is

fatal.

What will the future hold for the  
electric industry?



**Shopping for Electricity**  
Choose An Electric Supplier

**Compare Generation Offers**



Compare Generation Offers on Connecticut's Rate Board

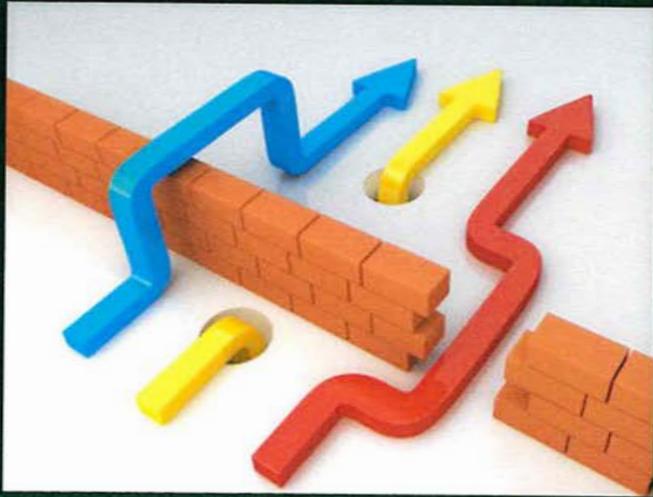
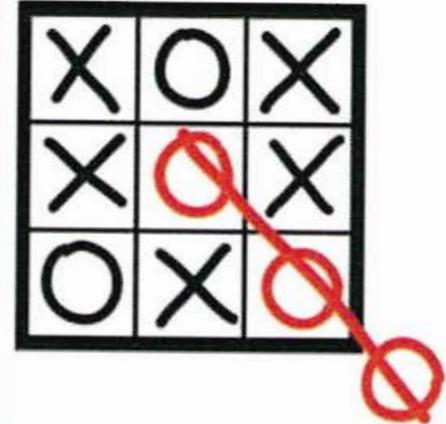
**STEP 1** Choose your utility  
 Eversource  UI

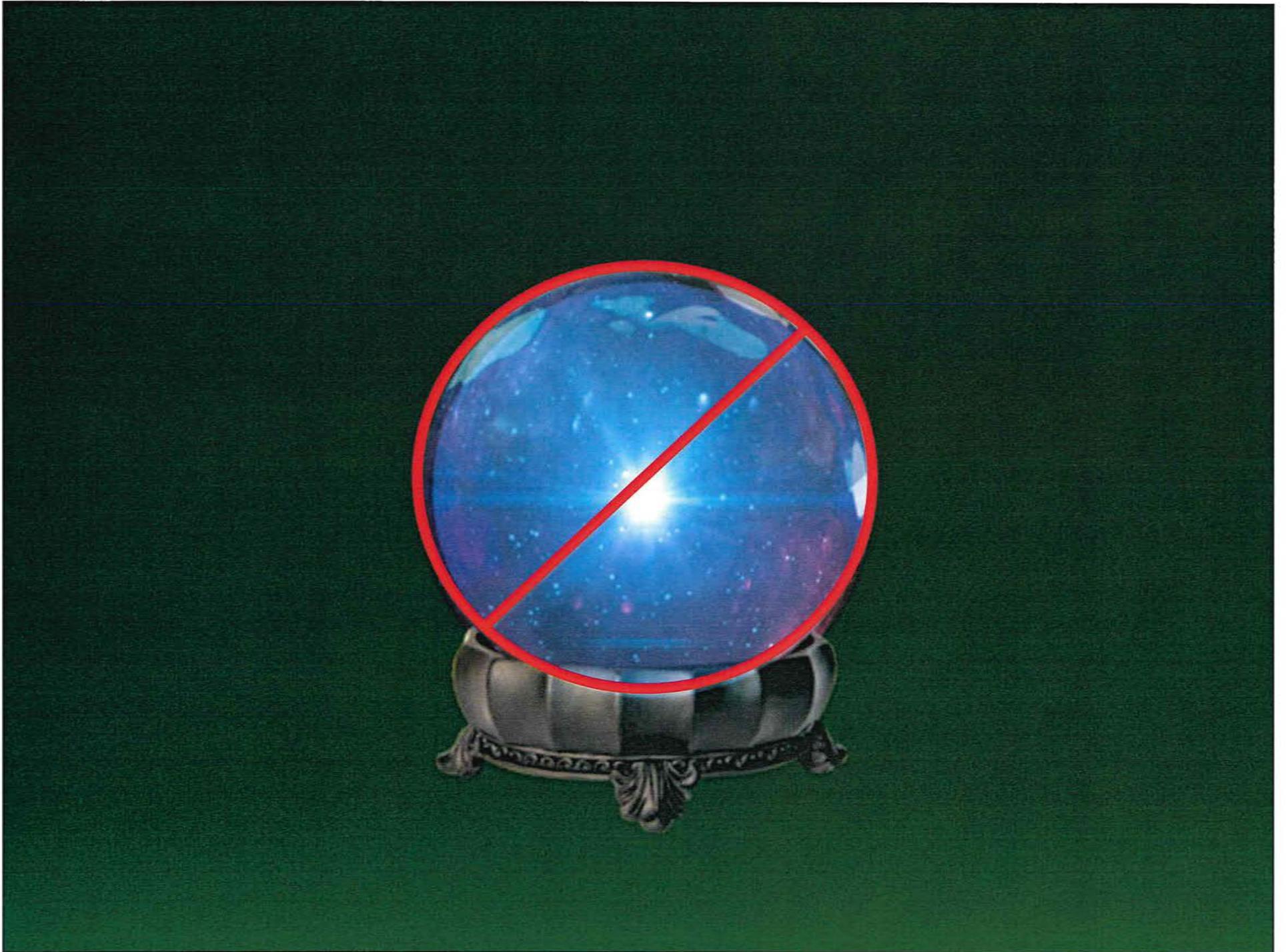
**STEP 2** Select your account type  
 Home  Business

**STEP 3** [COMPARE NOW](#)

BE OPEN TO  
WHATEVER  
COMES  
NEXT.

THINK  
OUTSIDE  
THE BOX





What is the TTD doing to  
prepare?

# Opportunities

# Challenges

More diverse set of responsibilities – Walk Bridge Impacts and Increased Planning Efforts in our District by the City

- Remaining informed and engaged with projects/plans that will result in significant changes to physical infrastructure and future customer needs

Adapting to eroding market conditions

- more and more types of distributed generation
- acceleration of enabling technologies
- No more “captive” customers

# Opportunities

**Improved Customer Focus** provides an opportunity to better understand the needs of customer and how TTD can help and at the same time provide value to members

**Continued Focus** on developing and strengthening skill, capabilities, and engagement of TTD's Commission and staff is critical to success

**Rate-payers invested** in the utility's ongoing sustainability

# What questions do you have?



Stress from change is a natural part of life because

CHANGE  
IS DIFFICULT

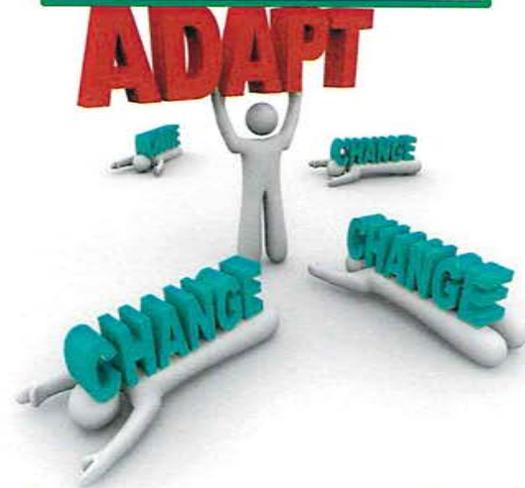
but  
...

NOT CHANGING  
IS FATAL



For example, over the last few years CMEEC's business model has undergone some changes adding to initially only

wholesale power provider



+

market generation

+

transmission

+

distributed generation

+

MA load aggregation

Darwin's words are highly relevant for today's electrical business climate.

The United States' traditional, centralized electrical system is shifting toward a more distributed, responsive grid driven by technology innovation and evolving customer demands. This next-generation energy system is transforming utility business models and opening up new opportunities for energy service providers. Adapting to change is key to business survival as well. A utility can only be as successful as its ability to quickly adapt to changing market and customer needs.



*It is not the strongest of the species that survives, nor the most intelligent that survives.*

*It is the one that is the most **adaptable to change.***

**Charles Darwin**

## What kinds of things might we consider?



Rate changes?

Focus on district services and representation?

Advanced billing and rate structures?

**CHANGE**

New and complementary services?

Changes to our physical footprint?

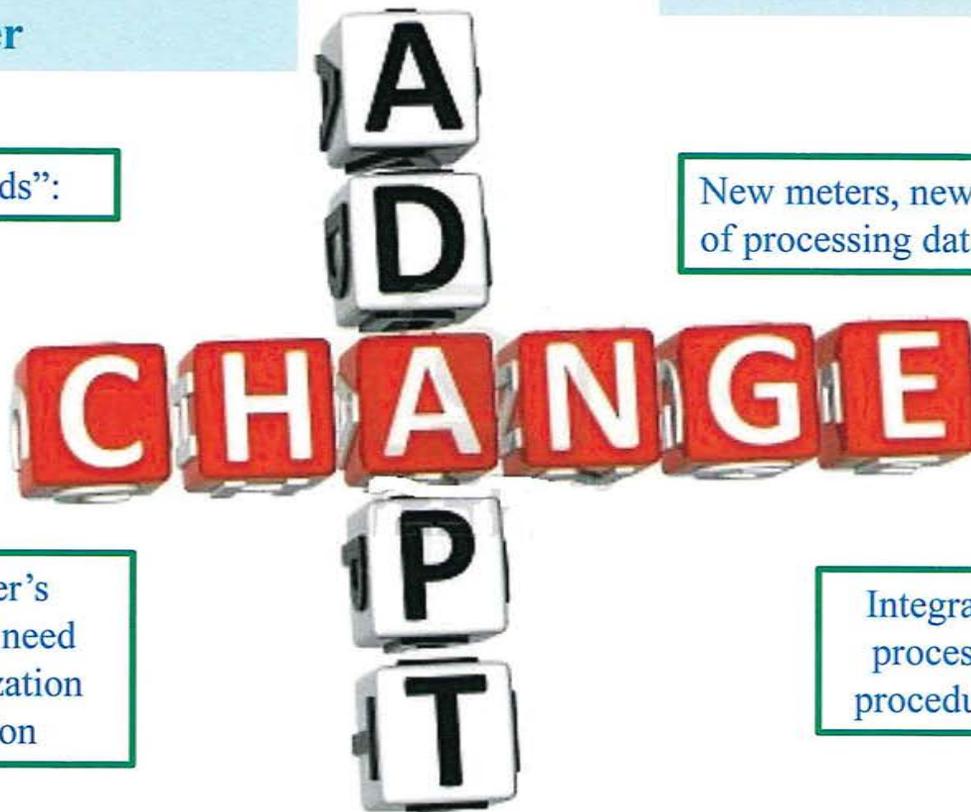
**A  
D  
P  
T**

More customers will have own generation: whether solar or other

Changes in metering infrastructure

More “negative loads”:

New meters, new ways of processing data.



More customer's generation will need more systematization and automation

Integrating these new processes in existing procedures and billing.

**CMEEC helps by working on Solar energy and energy storage to better manage the intermittent power supplies**



A  
D



Plans strategically to maximize energy storage value

**CHANGE**

Manages forecasting and ISO-NE demand bids

P  
T

Takes advantage of investment tax credit requirements while maximizing use of storage to reduce energy costs and hit peaks

**CHANGE IS  
HARD AT FIRST  
MESSY IN THE MIDDLE  
AND  
GORGEOUS AT THE END**

Robin Sharma

