Publications Archives, 1963-2000   Center for Public Affairs Research

1982

Administrative Planning Workshop

Center for Public Affairs Research (CPAR)
University of Nebraska at Omaha

Recommended Citation

p Public
Management
ms Seminars

ADMINISTRATIVE
PLANNING
WORKSHOP

**College of Public Affairs
and Community Service**

The University of Nebraska at Omaha

1982

ACKNOWLEDGEMENTS

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CHAPTER I

DEVELOPMENTAL SCHEME FOR A WORKSHOP ON ADMINISTRATIVE PLANNING

Over the past decade a continuing need has been evident for managers to develop plans written collaboratively by significant participants within their organizations. This planning process results in the identification of major components associated with the organization's goals and objectives.

In any organization, those involved frequently need to step back and assess where they have been and where they are going. The Administrative Planning Workshop provides a process to achieve this assessment. The process is structured to allow a wide variety of personnel to become involved in the critical steps of planning. Involvement then results in ownership by all those participating.

Planning, organizing, staffing, motivating, and controlling are usually accepted as the basic tasks of effective and efficient management. Of these five basic processes, managers are probably less expert in the area of planning when the skills involved are considered in relation to the importance of the process.

Managers can either help to set the course for their major planning goals and activities (being proactive), or they can react to problems, concerns, or pressures that arise on a day-to-day basis (being reactive). No manager can afford to be either totally proactive or totally reactive. The degree to which either stance is used helps determine the degree of self-determination and self-direction of an organization and its people.

The Administrative Planning Workshop is designed to help participants acquire planning skills while writing a plan on a topic of their choosing. Participants should leave the workshop with a product (their plan) and at the same time gain experience transferable to other situations.

This workshop uses the Comprehensive Planning Workshop (Schwahn) as its base plus the experience of Robert Mortenson who served as a facilitator for that workshop in several different settings: with principals of schools, with teacher educators, with college professors, and with program managers of federal projects. He has conducted systematic planning workshops in Nebraska, Missouri, Kansas, Florida, and in Washington, D.C. The present workshop also draws upon the experiences of several persons involved in planning and organizing it and upon the materials of the Maryland Group (Freund and Pack). The present workshop has been delivered to 30 managers of a Nebraska mental health institution.

Workshop Characteristics

The processes of the Administrative Planning Workshop demonstrate characteristics proven effective for managers.

1. The workshop is based upon research, accepted theory, recognized models, or successful practices. Personal biases, opinions, or preferences are left to the participants.
2. Emphasis is placed upon skill building, practice, and application. Unless theory can be utilized "back on the job," it is not presented. The workshop is concerned with impact resulting in changed behavior.
3. The workshop has proven to be a productive and pleasant experience for the participants.
4. The processes utilized in the workshop are designed to meet individual needs, problems, or concerns of the participants.

Workshop Objectives

Following a completion of the Administrative Planning Workshop, participants will:

1. Write a comprehensive plan/proposal that will include all necessary proposal components (e.g., assessment, objectives, activities, evaluation procedure, etc.).
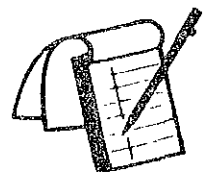
2. Learn the process of writing a plan/proposal so that the processes can be duplicated utilizing a different problem or concern (i.e., participants will learn the process of writing a plan/proposal as they actually write it. Equal emphasis will be given to the product (plan/proposal) and the process of writing.
3. Experience the effective utilization of human resources available within their organizations.

Workshop Format

The Administrative Planning Workshop has been arbitrarily divided into 13 components or steps. Each is introduced by the facilitator and includes how-to-do-it explanations. The facilitator will be available for individual help and for critiquing completed portions of the plans to be developed. Individuals or teams should come to workshops with a concern or topic for their plans.

Below are listed the 13 components of the workshop along with questions associated with each.

1. Needs Assessment/Data Gathering
   What is needs assessment? Why is a needs assessment necessary? What methods can be utilized for gathering data and how should they be selected? What instruments are available? How do planners construct their own instruments? Can anyone do a needs assessment? What skills are necessary? How does a philosophy and/or a value system affect decision-making? How do values influence the evaluations of decisions?
2. Involvement/Commitment
   Who should be involved, when, and for what input or for which decisions? How is involvement related to motivation and commitment? How can commitment be insured when writing a plan/proposal?
3. Problem Statement/Goal Statement
   How is a problem statement defined and refined? What are the components of a well written problem statement?

How is a problem statement related to a goal statement?
4. Problem Analysis Technique
   How can forces that are helping and hindering goal attainment be identified? How can these forces be categorized and given priorities? How can a force field analysis be of assistance when planning a change?
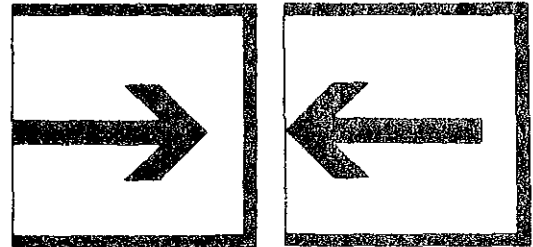
5. Determining Objectives
   What is the difference between goals and objectives? How are activities related to objectives? Why should objectives be written in measurable form? How can this be done? What are the criteria for good objectives? What are the components of objectives?
6. Action Alternatives
   Why is choosing between alternatives important? What are some methods of generating alternatives?
7. Developing Strategies
   Who are the decision-makers? What are the goals? How do planners gain access to them? What particular methods and strategies are appropriate to accomplish the task ahead?
8. Task Analysis/Feasibility Testing
   What has to be done if the objective is to be met? Are different ways of dividing the tasks possible? Who is available to do what? Who will coordinate the tasks when coordination is necessary? What level of analysis is necessary? How can planners predetermine whether a plan will work? Why is knowing what resources are available important? Who must support the plan/proposal? When is the time to "go back to the drawing board"?

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9. Change Models in Planning
   Why can people be expected to resist change? What are the three stages of the change process and how are they related to planning? How do social scientists help in viewing change?

10. Change Cycles: The Role of Leadership
   What are the cycles of change? How does leadership style influence change implementation? Does involvement help bring about change? What are realistic expectations for change implementation?

11. Budgeting
   Must the guidelines of the organization be followed? The state? The federal government? If so, what are those guidelines? How can the budget facilitate rather than hinder goal attainment? How can flexibility be built into a budget? Do or should planners budget things other than money?

12. Total Systems Planning
   Why is seeing the "whole picture at once" important? How does one component of a plan affect all other components? How does the plan affect the larger system of which it is a part?

13. Evaluation and Mid-course Corrections
   When and how will planners know that their plans are not working? Are con-tingency plans or alternatives available if necessary? When should planners rejoice at success and when should they admit failure? Is over-planning possible? Why must evaluation be tied to objectives? Are the prospects of productive change enhanced when evaluation is the basis for decision-making? What are the kinds of evaluation? Where do they appear in relationship to a plan/proposal?

Model Base

The Administrative Planning Workshop as a process model and its components were chosen to be consistent with (1) federal requirements for plans or proposals, (2) most state models, and (3) most literature on the topic of systematic or comprehensive planning.

Time Commitment

The Administration Planning Workshop can be completed in a minimum of two and one half days. Scheduling three days is better. The actual time needed is dependent upon the depth and sophistication expected of the plans to be developed.

Figure 1 represents a diagram of the workshop components and individual steps.

I	**DIAGNOSIS**	
1.	Needs Assessment/Data Gathering	
2.	Involvement in Planning	

II	**PROBLEM ANALYSIS**	
3.	What's the Problem?	
4.	Problem Analysis Techniques	

III	**DETERMINE OBJECTIVES**	
5.	Determining Goals and Objectives	

ADMINISTRATIVE PLANNING WORKSHOP

IV	**DEVELOP STRATEGIES/ ACTION PLANNING**	
6.	Action Alternatives	
7.	Developing Strategies	
8.	Task Analysis/Feasibility Testing	

V	**IMPLEMENTATION**	
9.	Change Process Models	
10.	Change Cycles: The Role of Leadership	
11.	Budget and Resource Allocation	
12.	Total Systems Planning	

VI	**EVALUATION**	
13.	Evaluation: The Feedback Loop	

Figure 1. Components of the Administrative Planning Workshop.

PLANNING—AN INTRODUCTION

The word "planning" is more often used today as a political slogan or a political cuss-word than as a precise label for some definite kind of administrative activity. In the eyes of its friends, planning is synonymous with "coordination," "foresight," and "concern for the future"--almost with the whole of rationality. In the eyes of its enemies, planning is sometimes described as though it were identical with "regimentation" and even "collectivism." (Simon, Smithburg, and Thompson).

A key element of the management process is planning which would begin with managers planning what the organization and its units are expected to accomplish. A second major function of management is to control operations so that the plans are achieved. Other commonly mentioned functions of management include staffing, organizing, and directing. These three are concerned with providing the necessary resources to accomplish the plan (staffing); determining who does what and with what resources (organizing); and providing leadership to help motivate, coordinate, and supervise the people involved (directing). Robert Buchele outlines these processes as shown in Figure 2.

work in planning makes the other managerial processes much more "manageable."

Many short or "working" definitions of the planning process are in use today. While these are helpful, they can be confusing when participants come to the planning process with different "working" definitions. One management textbook notes, "Planning is deciding in advance what to do, how to do it, when to do it, and who is to do it. Planning bridges the gap from where we are to where we want to go." (Koontz and O'Donnell). Another commonly accepted view of planning is that it involves three general questions or phrases: (1) Where are we?, (2) Where do we want to be?, and (3) How do we get there? The first two questions relate to determining *what* to do while the third relates to *how, when,* and *who.* These questions are helpful in making a diagnosis of where we are and where we want to be. The result of that diagnosis should create awareness of discrepancies, and as analysis of the situation progresses, the basis for the problem becomes apparent.

Similar definitional and conceptual problems

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PLAN ◄────────────────┬────────────────► CONTROL
                       │
                       │
                       ├─ ORGANIZE
                       │
                       ├─ STAFF
                       │
                       ├─ LEAD (or DIRECT, or COMMUNICATE)
                       │
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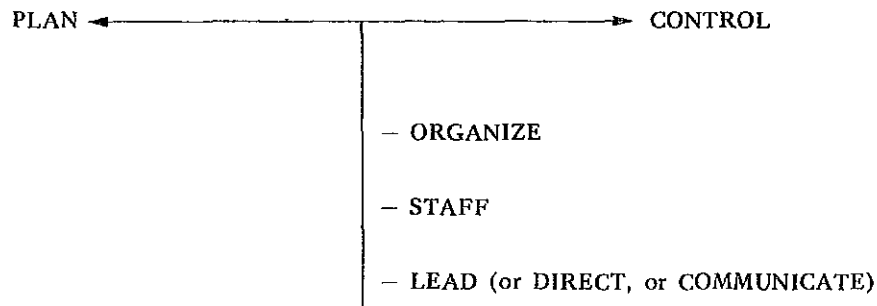
Figure 2. Management processes.
(Source: Buchele, The Management of Business and Public Administration.)

The Planning Process

The Administrative Planning Workshop focuses on the planning process as contrasted with managerial processes. What should also become apparent in the planning process is that front-end

face those attempting to specify the steps involved in answering these general questions. Of the three models presented in the workshop, one is not the only correct process. However, all participants to the planning process *must* enter with a common understanding of that process.

Why Plan?

> ...an organization naturally tends to proceed on the principle that it is easier for the world to adjust to it than for it to adjust to the world. When change in the external environment causes the organization to malfunction, it tends to assign the blame to the external forces rather than undertake internal alterations to correct the problem. (Berkley).

Planning is an agent of change, an action-oriented activity that offers the potential for substantial organizational gains. It also poses some threats and some actual costs. These gains and losses, as they might be called, fall into two general categories: 1) benefits of planning and 2) threats and/or costs of planning.

Benefits of Planning

Brickner and Cope note, "Planning is concerned with taking action in the immediate present to prevent becoming obsolete in the future." (Brickner and Cope, p. 5). The list of benefits includes:

- *To gain control over the future and to offset uncertainty and unanticipated change or change from external forces.*

- *To focus attention on problems and opportunities confronting the organization.*

- *To create a common understanding of the objectives, action steps, and future directions of the organization.*

- *To assist in unifying interdepartmental activities.*

- *To reduce costs.*

- *To increase employee participation and to add predictability.*

- *To improve the quality of decision making by wider participation, thus increasing the resources brought to bear on planning.*

Threats/Costs of Planning

By focusing attention on problems within an organization, the planners are possibly posing an obvious threat to somebody in that organization. Dealing with those threats takes mature administrators. They must reassure all of the participants that, while there are some threats, some benefits also exist in being able to control the future of the organization. Similar threats to employees are generated for any benefit that is gained from planning, but dealing with them in an open manner will be the most productive long range policy.

If the planning process is not complete (e.g., goals and objectives have been determined, but no implementation or evaluation has taken place), planning can serve to stifle an organization's ability to react to change. How many times has one heard the comment, "Sorry, it's not in the agency's long-term plan"? The possible threats and costs of planning include:

- *Almost every benefit listed for planning is a potential threat to some person or persons in the organization.*

- *Time is money. Time spent planning means time lost doing other tasks.*

- *Planning reduces flexibility to change. This is especially true if alternatives have not been adequately explored.*

- *Involvement in planning by second or third level managers can be a threat to morale if the involvement is not genuine.*

The list of benefits and of potential threats could possibly be expanded for pages. However, the quotation at the beginning of this paper summarizes the best of planning: "...planning is synonymous with 'coordination,' 'foresight,' and 'concern for the future'..." (Brickner and Cope, p.5).

Why then is planning, if so valuable, often judged to be ineffective? One major reason is that planners often fail to understand the *total planning process* and, therefore, often fail to identify specific strategies, to implement these strategies, and to provide for their ongoing evaluation. In other words, planning is more than merely defining goals and objectives; it is analysis of the problems/opportunities confronting an organization, developing and implementing strategies, and following up through evaluation.

THREE APPROACHES TO PLANNING

The world has three types of people: those who *make* things happen, those who *let* things happen, and those who don't know what is happening! Planning is for those who want to *make* things happen. Planning is an effort to control the future, to the extent possible, for the purpose of making a change. Both in the public sector and in corporate life planning is increasing in value. Planning specialists as well as social scientists are interested in finding improved means of confronting very complex problems and the forces involved in bringing about change.

Models are conceptual schemes that help visualize complex problems and processes. Formalized approaches to planning, or models of planning, are conceptual schemes to help bring about an order or systematic approach to doing a task. In addition, formalized planning models increase awareness of not only the steps to insure a thorough job of planning but also the many tasks in planning a project, program, or activity. The planning process is an information processing and decision making activity. It is not akin to a manufacturing process, nor is it a neat process in which an individual or group is working solely on one step at a time. Steps in a sequential form in the models are presented for instructional purposes only. While certain steps must be performed before others can proceed, times will occur when two or more steps are being worked on simultaneously.

Since government agencies, corporations, and funding agencies often specify the need for master or long range plans, these agencies often adopt a particular model. Yet others within that same organization may be using a term in quite a different manner, and confusion results. The steps in a planning model must be understood by all of the users within the organization so they are all talking about the same thing. Organizations need to be clear about what is meant by "strategic planning" or by "task analysis" or even by such words as "objective" because the view is widely held that an objective is an outgrowth of a goal

statement. The goal is the overall mission of an organization. Objectives are specific, measurable action-oriented steps to help reach the overall goal. In the corporate world, however, just the opposite is true. Objectives in the business world are those overall mission statements, and the goals are the steps taken to achieve the objectives.

Different approaches are valid for various types of organizations. For example, highway engineers certainly do not want to be concerned about discussions and suggestions on *when* to build a highway: they will rely on the traffic count data and on projections about numbers of cars traversing a certain section of the city. Presumably, the highway engineer will want input from the public about the social/economic issues affecting which route the highway will take.
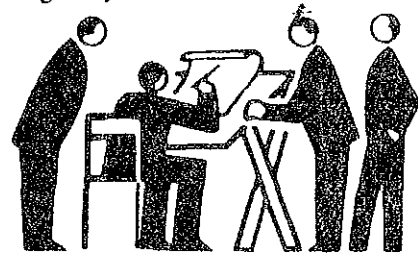
Stockholders and corporate executives determine the general directions in which a large multi-national corporation will move, but division heads will be involved in planning product output and the like.

Three general approaches or models are presented here, but many versions of these exist. The model or the versions of the model used depend upon the purposes of the organization doing the planning. The degree of participation of managers within an organization also influences the type or approach to planning.

The Technical/Mathematical Model

The technical approach to planning (refer to Figure 3) is a somewhat unique model in that it does not have a formalized goals and objectives process. The only influence that individuals or
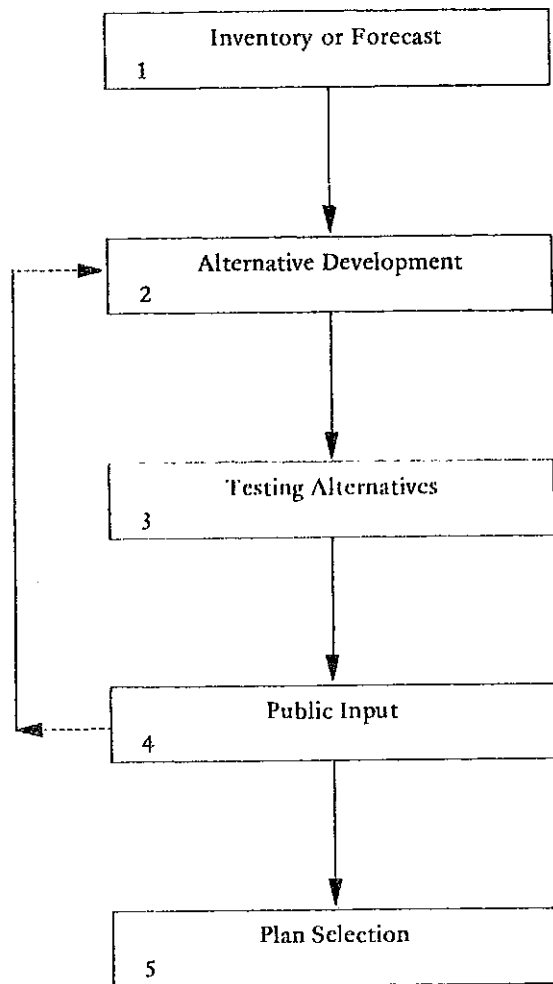
Figure 3. Technical/mathematical model.

corporate approach to set the direction for planning. In place of either of these two systems of planning orientation is a mathematical model where needs are forecast and alternative needs developed according to a mathematical or a logic base. The model is flexible enough to be able to handle all types of input at the formative or inventory stage.

Alternative Development and Testing

Once alternatives have been developed by the model, which is usually a computer designed tool, alternatives can be tested. The alternatives are usually tested in a manner that conforms to the parameters of reality and, often, costs. After the alternatives have been tested, they are presented as viable solutions to the problem and needs initially generated.

Public Input

A major problem area often arises at the public input stage because alternatives already selected are potentially "cast in concrete." The process has a tendency to break down at this level. Public figures or the decision makers themselves ask, "Why wasn't I consulted about this in the beginning?" They may be concerned that the selected alternatives do not address certain aspects of the problem.

A classic example of this approach is the present transportation and highway planning process utilized in building interstate highways and major thoroughfares. The end result is often a "no-win—no win" situation when a major highway has been scheduled to be routed through a neighborhood area without knowledge of the decision maker, neighborhood residents, or the public at large. The modeling process used is based on future

groups have on the planning process is at a very late stage, Step 4 (public input). At the public input stage, individuals or decision makers review alternative plans and select from alternatives or modify alternatives, *thus* generating new alternatives.

Forecasting as a Base

A second special component of this process is the mathematical forecasting model from which plans are developed. The major difference here is that the model lacks either the value system or the philosophy of direction of the goals approach. It also does not have the chief executive of the

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traffic demand and vehicle counts and develops a plan that determines that a major new arterial be built without prior group input. The outcome often puts the decision maker against his constituency without his knowledge.

Plan Selection

Plan selection is often a tumultuous process with alternatives being modified, redeveloped, or rejected altogether. Ideally, one of the alternatives is acceptable and ends up as the final plan.

Advantages and Disadvantages

All of this discussion leads to a major point and that is: Who is the major user of this process and what are its advantages? The process is the one most relied upon by highway planners/engineers and in variation by architects and building engineers. This explains why the public often asks, "How did that building or road get there?" The major *advantage* to this process is its objectivity. It operates on the planning determinants only and is not conditioned to subjective judgment in the beginning. Its major *disadvantage* is, of course, that it is not a consensus or democratic plan, and its chances of wide acceptance are very slim. The process summary is built on a logic flow system rather than a people service or democratic approach of the goals-process model.

The Corporate Model

Several variations or even different versions of this same general approach to planning are possible. The corporate model merely indicates that many business organizations use this general approach to planning. It is not *the* corporate model. To identify this approach as the "corporate model" does not imply that such an approach is useful only for a business orgainzation.

This approach came out of the business world and was developed in that context. Individuals may find this model very useful for life planning, or possibly some types of non-profit service organizations would find it useful. The corporate model of planning has been taken primarily from the

work of Brickner and Cope. Each of the steps grows out of the Brickner/Cope concepts. Figure 4 introduces the diagram of the corporate model.
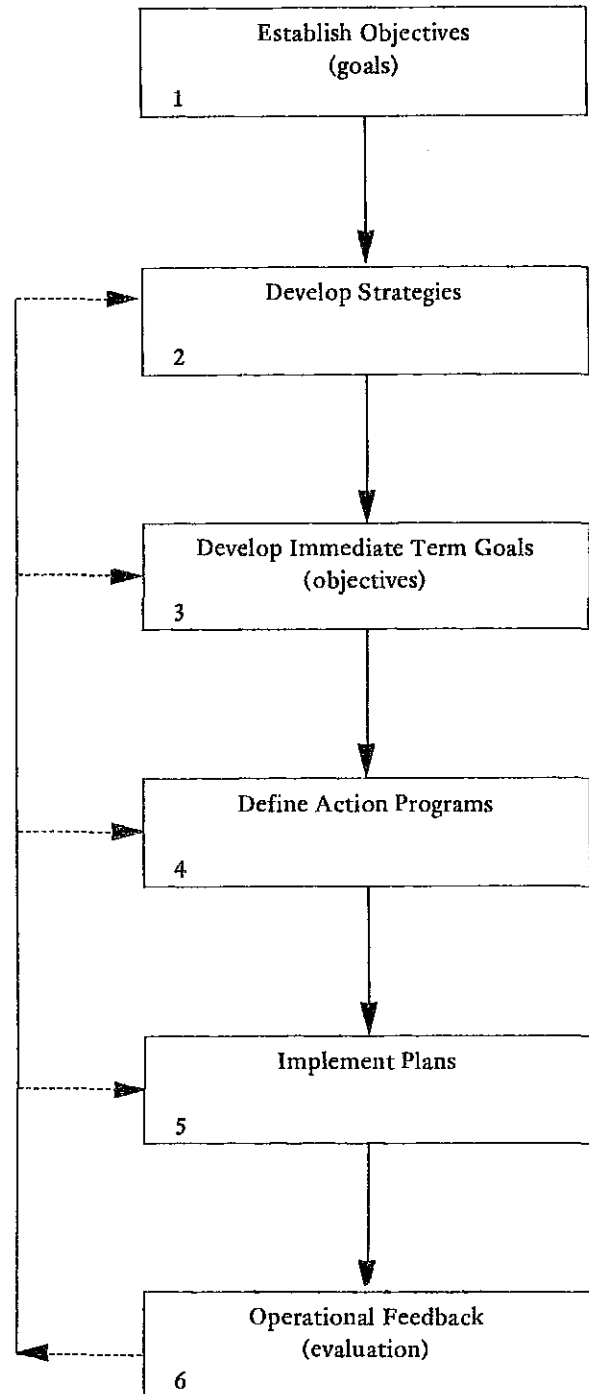

Figure 4. Corporate model

Forming Objectives
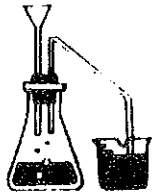
After examining the forces external to an organization (for example, a new raw material is discovered, or a chemical process is invented), the entrepreneur decides that he or she will form a new company to produce and sell a product growing out of the chemical discovery. Brickner and Cope (p.29) suggest:

> Not only must the entrepreneur examine external forces, but the person must also look inward. What personal strengths and weaknesses does the individual and his or her associates in the new venture possess? What are the values of the individual? How may these factors affect the direction and success of the new organization? All of these external and internal factors must be considered as initial inputs to the planning process.

The corporate leadership (or even the small business owner) must decide whether to keep the company small or to expand and diversify. What is the major purpose of the organization? The process of making those decisions is called *establishing objectives*. Remember, that this model uses objectives as the values and main intent of the organization. Other models would call this step *goal setting* since it relates to the major overall direction or mission of an organization. In this model, however, objectives are not related to specific dates or measurable activities.

Developing Strategies

Strategy development is the step in which the officers of the company begin to implement ideas. These strategies, or ways of implementing ideas, can be developed by examining and utilizing external and internal forces or trends to move toward the goals (objectives) of the company. Specific strategies will grow out of the examination of those internal and external forces. If a new micro chip makes possible the mass production of timing devices needed in large quantities for national defense, then that external force provides suggestions for ideas in marketing, finance, produc-

tion, or research and development to capture the identified potential market. Internal forces are examined when the questions are asked: What kind of organization are we? What skills and strengths do we have? Each strategy attempts to make the best use of the external and internal forces identified to help the organization meet its objectives.

Creating Immediate-Term Goals

Remember again that general usage of objectives and goals is reversed in this model, but in this step goals are very specific, measurable activities to be accomplished in a short period of time. For example, the goal might be, "Obtain 3 percent of the American market for cleaning products sales for the year 1982." A typical company would have many goals for different departments. The research and development department might have a goal of testing three versions of a particular product before the end of the year. Still another department, shipping for example, might develop a goal to have all orders received by noon delivered to appropriate carriers by 5:00 p.m. each day. All of the immediate term goals for a department should be consistent with the total organization's overall objectives.
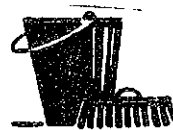
Defining Action Programs

Action programs follow goal setting. The action program is organization of resources to accomplish goals. Normally, these programs are steps to be taken immediately or in the very near future. Perhaps several programs will help reach each stated goal. Different departments may share responsibility for doing parts of different programs. Programs are usually short in duration—perhaps from a few months to one or two years. The programs are specific; they identify time targets, what resources are required, who is responsible to do what, and the final result expected.

Implementing the Plan

Once the plan has been developed, it must be placed in operation and continued to its con-

clusion. Goals must be met and the strategies implemented. Many factors influence the effectiveness of a planned program, but the results will be felt in many parts of the organization. Whether favorable or unfavorable, information regarding the program must be shared with the decision makers in the organization.

Operation of the Feedback Loop

Systems approaches or processes result in information growing out of the actions planned, and a constant flow of information takes place. The information is compared with some sort of desired level or performance or standard; this is called the feedback loop. The results of implementing the plan may not meet the standards, and thus the organization must use the information to adjust the plan or have different people do the work. The purpose of this evaluation is to try to reduce the distance between performance and desired standards that are the objectives and goals.

Levels of Planning

Brickner and Cope define two levels of planning—operational and strategic. *Operational* planning is defined as the yearly planning of an organization as a whole. Operational planning is concerned with short term goals and action programs. It deals with budgets, strategies, and goals for a short term (a year or less). Individuals and groups perform operational planning perhaps on a weekly or on a monthly basis. Most of the planning in an organization is on an operational

level even for the top executives.

Strategic planning is equated by Brickner and Cope with *conceptual* planning concerned with evaluation of external and internal forces and with the development of long term objectives. Strategic planning is not routinely done at regular intervals.

Involvement in Planning in the Corporate Model

Brickner and Cope suggest that all parts of the organization should be involved in planning processes. The principal plans are developed by officers and staff groups (personnel, public relations). Managers need to be aware of the plans developed by officers in order to develop coordinated plans. Managers in different departments will need to be aware of strategic planning by the chief executives so their goals (or objectives) are consistent with the major planning efforts of the organization.

While the corporate model of planning involves people at various stages, it could not be characterized as a participatory management plan. Input and participation are sought in developing operational plans but seldom in the strategic planning. As information is fed back through the organization, participants do not share major roles in decision making and in management beyond a narrow range of involvement.

The Goals-Process Model

A number of different versions exist of the general approach to planning called the goals-process model. (See Figure 5.) Generally speaking, the goals-process approach is best suited to social service and human service agencies and organizations. In the view of the Administrative Planning Workshop designers, it is the most appropriate one for public institutions and social service agencies. It provides for input and participation throughout the process and can be described as more participatory or democratically oriented than either the technical/mathematical or corporate models.
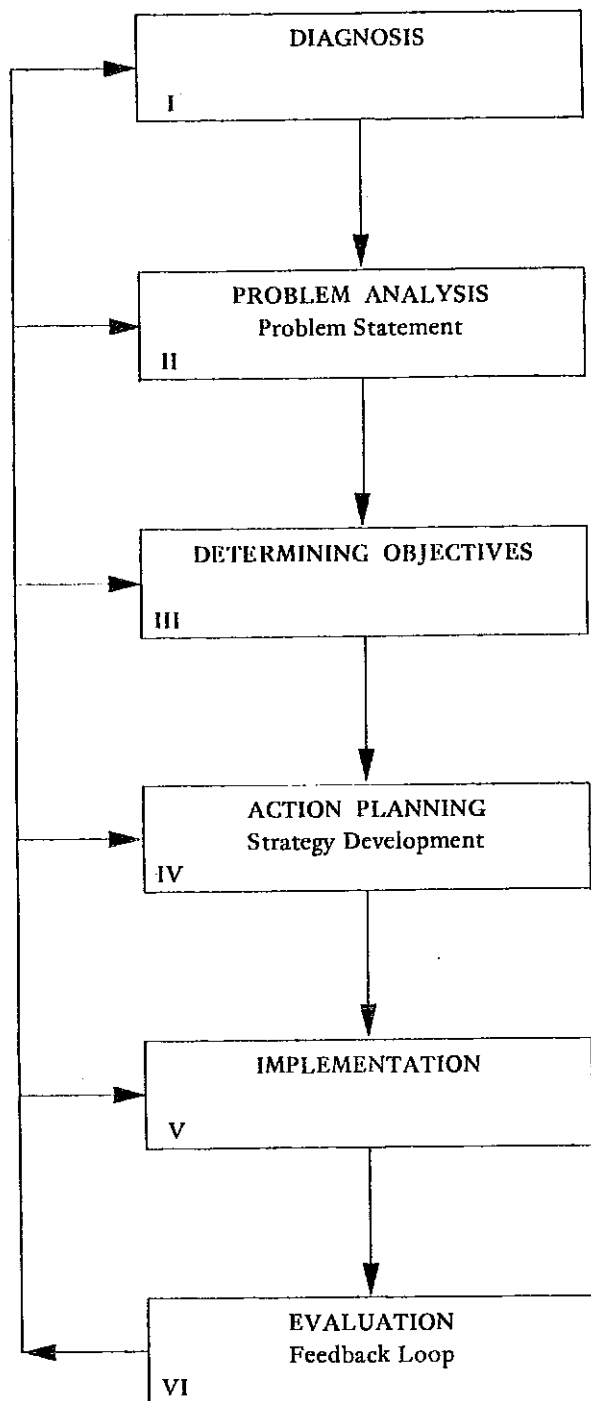
Figure 5: Goals-process model.

All of the workshop materials and handouts have been developed on the assumption of the goals-process approach to planning.

Similar terms and steps are utilized in the different versions, but essentially those used in the detailed steps are sufficient for most organizations dealing with human services and social agencies. Values or philosophy is very apparent, and the subjective values influence both the process of the model as well as the products or results of the planning. Participation and involvement are valued in the various versions of the goals-process approach.

Social Planners and the Goals-Process Approach

The two different versions of the generalized goals-process approach show great similarities, though the steps may be identified in a somewhat different sequence. Alexander describes a seven step process: (1) problem diagnosis, (2) goal articulation, (3) prediction and projection, (4) alternative development, (5) feasibility analysis, (6) evaluation, and (7) implementation. Freund and Pack in the Maryland project identify six steps: (1) problem analysis, (2) objectives development, (3) development of strategies, (4) project design, (5) implementation of the plan, and (6) evaluation of planning. A goals-process model that is a hybrid of the workshop materials of Charles Schwahn and the Maryland study will be used by the Administrative Planning Workshop.

Step I: Diagnosis

This step is an examination of the present situation. If some sense of dissatisfaction with the present state of things is felt, a need to change exists. Creating an image of what is desired— the *ideal*—is the first step in problem diagnosis. Where do we want to be? The ideal is the desired situation, but the realities of life are such that the actual situation must be examined. Then the *real* becomes apparent— which is the answer to: Where are we? After noting the discrepancies in where we are, the problem
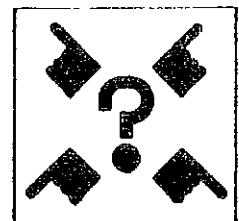
must be diagnosed, analyzed, and a course of action determined that will specify how, when, and who will solve the identified problems. First, a needs assessment must be undertaken and a plan for the data gathering made. The planner embarks upon the tasks of needs assessment and data gathering, recognizing that subjective feelings are important but more objective means of data gathering are required. (Space will not permit exploring the objective methods for data gathering, but they will be explained in the workshop.) Those means include but are not limited to interviews and other instruments, observations, and analysis by experts both within and outside the organization.

This stage of the goals-process model also suggests an examination of the extent, level, and degree of involvement of other managers and personnel within the organization. The value systems of most social institutions suggest the participatory mode of involvement of persons from all segments of the organization. Reliable and appropriate data are most desirable at this stage.

Step II: Problem Analysis

Both the Maryland group and Alexander include these processes in the first step, but in goals-process model selected for the workshop, the emphasis is upon explaining and justifying the problem. The problem must be identified (named), it must be categorized as to the type of problem (communications, personnel), and the planners must try to determine who or what is causing the problem. Utilizing techniques such as force field analysis, or data analysis (indexing), or forecasting, the planner then develops a problem statement related to the overall goals of the organization.

Step III: Determining Objectives

The purpose of objectives is to help the organization develop actions (strategies) that will move from the existing situation (real) toward the desired (ideal) situation. Writing the objectives helps to make them more effective. They should name the behavior desired, determine conditions,

and should be realistic, attainable, reasonable, and understandable.

While some departments may not have input into the development of goals or overall mission, all departmental or program objectives must be realistic and help contribute to the objectives and goals of the total organization. A hospital has an overall goal of providing quality health care, but the objective of a department of pharmacy to have all medicines safely and quickly dispensed contributes to that overall goal. A new system for verifying medication orders to eliminate errors has the potential of being measured, observed, and evaluated in terms of its achievement. Objectives are statements of desired action and are not to be confused with the plan of action or strategy for achievement of those objectives. That is the next step and one that requires careful attention.

Step IV: Action Planning/Strategy Development

This step involves means to achieve ends: it is an effort to bridge the gap between the ideal and real. Planners often make provisions for "what if" situations that make the one strategy inoperative. Generating alternatives and considerations of alternative actions early in the planning process is important.

Also involved in this step is the crucial matter of task analysis and feasibility testing. Testing decisions and making an analysis of each of the action step alternatives is an important element of this planning step. Who is going to do what? When? Where? For how long? With what? How much? These are questions that should be considered.

Finally, feasibility testing asks the questions: Will it work? Taking stock of time, materials, money, expertise, acceptance, and a variety of other factors simply "debug" the plan.

Step V: Implementation

As the name implies, this stage is the actual

start-up and operation of the plan, but before start-up planners should examine other aspects of the plan and the planning process. The plan may be viewed in several different ways. It may be viewed as part of a total overall project or a sub-system that relates to a larger organization and strategy, or it may be viewed as a system within itself. During this step the planners come to grips with the allocation of resources, the styles of leadership, and how the program will be viewed both internally and externally. During this stage, the entire planning cycle should be examined. In effect, the planner is saying, "Let's run down the check list. What have I forgotten?"

An examination of temporary systems theory and the change processes as related planning strategies and models may be helpful. No program or project can possibly hope to be more than an experiment or passing fad if its designers do not plan for institutionalizing the program during the initial stages of planning. Thus the literature on change strategies makes an important contribution to formalized planning processes.

Step VI: Evaluation/Feedback Loop

Evaluation is a positive force and a continuous process that actually takes place throughout each of the planning steps. In an effort to "pull out" related key concepts, evaluation is placed as a final step of the goals-process model so planners may deal with the issues of mid-course corrections. Are objectives being achieved in an acceptable fashion? Context, process, and product are three major considerations in the evaluation process.

Context evaluation deals with the total environment/personnel/materials/budget setting. It asks the question: What have I to work with? Process evaluation deals with the methods, techniques, or strategies being utilized in the planned project. It deals with the questions: How successful are the means? Should the process be changed? Product evaluation deals with the degree to which objectives were realized and with matters such as the distance between the ideal and the real worlds.

Evaluation is most effective if it is viewed as part of a feedback process in which evaluation and decision points occur throughout the planning process. A few of those crucial points are: after problem analysis, before formulation of goals and objectives, before identification of strategies, at the time of project identification, and after implementation.

Planners might be working on one or more steps in the goals-process model at the same time. That is the nature of systematic or comprehensive planning. Certainly evaluation must be considered throughout, and feasibility testing and action alternatives must be kept in mind during the implementation stages as well as during the action planning. The model and its steps are conceptual frameworks to help direct attention to all of the various elements that make for effective plans. The steps are identified and discussed for purposes of instruction and analysis.
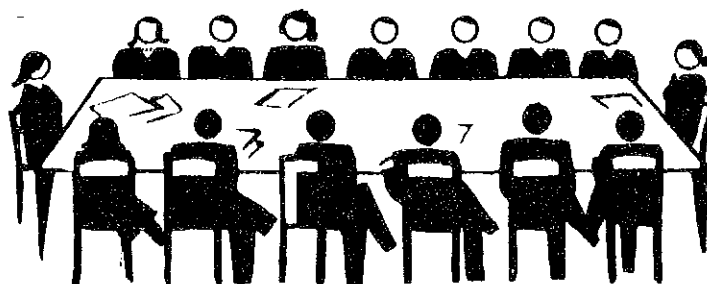
STEP I—DIAGNOSIS

Diagnosis: Needs Assessment/Data Gathering

Involvement in Planning: Who? When? How Much?

DIAGNOSIS: NEEDS ASSESSMENT/DATA GATHERING

The Administrative Planning Workshop utilizes the goals-process model of planning. The particular version selected is divided into six steps or phases: (1) diagnosis, (2) problem analysis, (3) determining objectives, (4) developing strategies or action planning, (5) implementation, and (6) evaluation. These divisions are subdivided into components or segments to help achieve each of the six steps. While the model has a definite sequential order and system, it should be viewed as a dynamic, interactive process that involves a "loop" concept causing the planner, at times, to be working simultaneously on more than one step. Indeed, *the simultaneous work on more than one step is the very essence of comprehensive planning!* While evaluation is the last step identified in the model, it must be under consideration throughout the entire process. Evaluation at all stages is what determines how many steps are being worked on at once.

In the first step or phase, diagnosis, some pre-analysis of the problem is necessary at the same time that the needs are being determined. The issues of needs assessment, data gathering, and involvement are all considered as segments of the diagnosis phase of planning.

Beginning the Diagnosis Process

The planner must begin the diagnosis phase with an awareness of the realities of the existing situation (What are we? Where are we?). These questions point out the realities or the *real.* The *ideal,* on the other hand, is where the planner would like to be—the desired situation or the situation as it might be in the future. The ideal often becomes the basis for a goal, but planners as well as administrators should be cautioned that the ideal must be tempered with what is realistically possible. The high school dropout who has no conception of mathematics or science cannot realistically expect to become a medical doctor, no matter how sincere or intense the desire. If time to make up deficits is available, the goal might be possible, but time and resources help to temper goals. An agency built and staffed to serve 1,000 clients but only serving 800 has a "fighting" chance to increase to the number of 1,000. Their planning for that number is realistic while 2,000 may be unrealistic. The diagnosis phase is an interactive process that amounts to a preparation for the problem analysis phase. The starting point is a needs assessment. Determining the real and the ideal is usually a fairly complex assignment involving both subjective and objective assessments.

Needs Assessment

Subjective

The scientific method is deeply ingrained in society. People think of themselves as being in an "objective age" where the empirical evidence is the most valued. They look for verifiable, chartable data that can be analyzed and used in the search for change, but while the objective data are crucial, the value of subjective awareness as well should not be overlooked.

Whether a person is directing an agency with a staff of 500 or punching a time clock, he or she lives *in* and *experiences* the *present* and is a part of it. To escape experiencing the influence of the real is impossible. People dream of escaping the time clock; they sense, feel, and experience the real. They discuss and talk about what could be possible (the ideal), and, though it is elusive, they have an awareness of an unachieved reality that is the ideal. As reality is compared with the ideal, people become aware of the needs. The administrator of the social agency that is underserving by 200 clients is in need of information to develop a problem statement, to set objectives, and to complete the other phases of planning that will

INVOLVEMENT IN PLANNING: WHO? WHEN? HOW MUCH?

Before the questions are raised of who is involved in planning and when and how much, a prior question should be asked: Why involve others in planning? The answer may not be so simple as it seems at first. In some organizations legal constraints exist, and often security problems are involved. However, with the exception of very special organizations (or certain sections of organizations), much can be gained from the involvement of others. No matter how skilled the chief executive may be, others have skills that can supplement his. A person in one of the lower levels of management might be, for example, a specialist in communication and could help the executive find better ways of communicating plans and ideas. Research has shown that persons involved in a process are more prone to develop a commitment to it. More ideas are generated in a group, and when decision making and management are shared, changes for a better work atmosphere take place.

A group project tends to motivate people because their involvement develops a sense of ownership, described by some as commitment. Involvement is generally more "democratic." Schwahn developed a formula saying that involvement leads to commitment and commitment points toward success. Figure 6 illustrates that formula.

I▸C▸S

Figure 6. Involvement, commitment point towards success. (Source: Charles Schwahn, *Comprehensive Planning*, 1975)

Formulas are great as slogans and in providing mental images, but often the realities of a situation cause the formula or the process it suggests to be short-circuited or forgotten. In an emergency, the idea of involvement is often forgotten. Sudden, unexpected deadlines imposed on top management might result in overlooking the need to involve people and the commitment that comes from it. Commitments may be overlooked as time passes or as people become removed from the situation in which those commitments were developed. I▸C▸S is not a fundamental truth; it is a good idea, and it has humanistic values as well as suggestions of a more participatory management. The virtues of the involvement concept are obvious, and the abuses (such as emergencies or other factors) or restraining forces should not discourage involving lower level managers. The point is that one must *plan* for the involvement of "significant others" throughout the administrative planning process. Top management should plan for involvement by dealing with the issues of who should be involved, at what points, and to what extent.

I▸C▸S will result only when top management makes a genuine, sincere effort. The involvement must be meaningful and not manipulative. Why involve others in the planning? The reasons relate to the fact that lower level managers have information, skills, and a perspective that may not be available elsewhere in the organization. Those managers who operate "where the rubber meets the road" often have information not available to top management. When involvement in planning is widespread, a different perspective is available to the organization. The combined skills available to a more participative management are an often overlooked advantage of increased involvement in administrative planning.

Additional Resource Pool

Often a tendency exists to look for outside consultants to come in, analyze problems, and work with top management when a rich pool of resources is available within the same organization. Who knows the informal communication networks within

STEP II— PROBLEM ANALYSIS

What's the Problem?

Problem Analysis Techniques

WHAT'S THE PROBLEM?

During the problem analysis phase of planning, the product is a problem statement. Earlier, during the diagnosis step of planning, the questions of "Where are we?" and "Where do we want to go or be?" were addressed. These are questions of examining the present situation or the *real*, contrasted with the desired or *ideal* situation. As the desired or ideal status is reached, the planner must have a sense of practicality; the desired position must be based in reality, and it must be a position within the power of the organization to achieve.

While Schwahn speaks in terms of a gap as the distance between the real and the ideal, that concept is only a partial explanation of the situation. "The problem exists because of the gap," but identifying it does not address *who* is to overcome that distance or *when* or *how*. Describing the nature and degree of the deficiency leads to only part of the problem statement. What is required is an understanding of the reasons for that discrepancy as well as a look at the ideal in terms of the present situation.

In the first step (diagnosis), the problem related to planning is determined. Problems might be thought of as involving either negative or positive situations. Football coaches with losing records attempt to reverse such trends, and coaches with winning records plan to win conference championships and perhaps achieve even greater success. The same holds true for managers; they may plan to correct a perceived deficiency such as poor client service or plan to implement a new program to serve new client groups.

Problem Analysis

Following the diagnosis of the problem, the planner moves into the second stage of problem analysis. The planning process is an interactive one in which a frequent reassessment is made of what has been done previously. The problem analysis stage is the development of a problem statement which is a refinement of the under-

standings produced in that first stage of diagnosis. In problem analysis, the questions of "Where are we?" and "Where do we want to go or want to be?" are examined further. As the data gathered from the diagnosis stage are examined, a more precise understanding is developed of why we are where we are. Thus, developing the problem statement is closely associated with needs assessment techniques used in the diagnosis. Such techniques include interviews, observations, and other sampling devices such as questionnaires.

The problem statement details, to a greater or lesser degree, the current situation in terms of facts, causes, or reasons. Note that the problem statement does not arise out of the desired situation or where one would like to be. A football coach with a single win and two losses diagnoses his current situation as one in which his team has a losing rather than a winning record. In doing problem analysis, he figures that his team is losing because it is not scoring many points. The scoring deficiency is caused by a high number of fumbles. His problem statement might be: We are losing more games than we win because we score few points as a result of frequent fumbles.

An administrator in a service agency might diagnose the agency's present situation as insufficient attention to its clients' long term well-being. In doing the analysis, the administrator determines this situation is caused by a lack of institutionalized responsibility for examining clients' long term well-being. The problem statement might read: We are not examining our clients' long term well-being because nobody within the agency is responsible for this activity.

Several questions seem appropriate to helping in the problem analysis that leads to the problem statement. Schwahn identifies five questions the planners might want to address:

1. What is the problem? Name the problem as specifically and as concretely as possible.

2. What or who is causing the problem? This is the most difficult question in many cases, as

PROBLEM ANALYSIS TECHNIQUES

Static and dynamic techniques are two of a wide variety of methods useful in analyzing problems. Static techniques deal with an actual situation as it is without reference to change, while the dynamic techniques are oriented to examining change. The former are more common, while the latter often are overlooked. The static techniques of situation analysis and force field analysis as well as the dynamic technique of trendline forecasting will be examined here.

Situation Analysis

The Maryland group point to situation analysis as one of the most critical steps in the planning process "because everything that follows is based upon the conclusions drawn and the recommendations made at the completion of the analysis." (Freund and Pack) The situation analysis leads to the problem statement and is an extension of the *needs assessment* and data gathering phases of planning. For this reason, assessing the situation, defining problems, and carefully distinguishing between symptoms and causes are important. Situation analysis is a means of looking at the present situation, then deciding the direction to be taken. The situation may be that the organization has an extremely high turnover of lower level managers, implying a goal of reducing the turnover. In that case, the situation or present condition has been identified, and obviously the goal is less turnover but the causes have not been identified. Why are so many turnovers taking place? What or who is causing the high turnover? Is high turnover possibly a symptom of a deeper trouble in the organization?
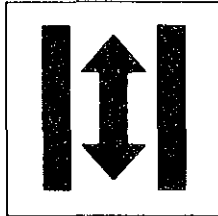
Careful analysis of the situation is the purpose for examining data gathered in a variety of ways so that the symptoms and causes can be isolated. The Maryland group suggest careful attention to identifying causes and the probability of creating

significant change. The example they provide is shown in Figure 8.

Symptom:	High incidence of infectious diseases
Possible Causes	Cause A: Lack of remedial health care Cause B: Lack of preventive health care Cause C: Lack of knowledge of sanitation practices Cause D: Existence of human and/or insect carriers

Figure 8. Isolation of symptoms from possible causes of problem. (Source: Management Development Center of Maryland)

Winecoff and Powell (pp. 13-14) suggest use of the "Pocoff's Group Sampling Technique" which utilizes the opinions of the persons most involved in the problem. For example, if a high dropout rate occurs in a high school, the dropouts as well as their parents and teachers are interviewed. The "positions" or opinions of those involved are ranked, charted, and discussed with the planning group in order to arrive at a problem statement.

At a later stage in the planning process, planners will specify objectives to help correct problems identified. Those objectives, consistent with the goals, will be followed by strategies for meeting the objectives. For example, in the cases just cited, for the high incidence of infectious diseases, the possible cause selected was "C," lack of knowledge of sanitation practices. The strategy, geared to strike at the cause (not the symptom), was to incorporate instruction on environmental practices into an adult education program. Those steps will come later in different phases of the workshop; the concern at this point is making certain that problem identification and statement is understood. A fair degree of precision is required in the problem statement. The following insight from the Maryland study is useful:

No matter how well the data have been developed, they will be worthless unless presented in a way that can be clearly understood. *Specifying* the problem is a way of describing the problem so its parameters become known and some possible causes are eliminated.

Situation analysis is the process of *comparing* what IS happening to what SHOULD BE happening. To do this determination of what should be happening is necessary. This statement of what SHOULD BE becomes the bottom line. Formulating this bottom line is, perhaps, the most difficult aspect of situation analysis. By identifying the reasons between the IS and IS NOT states, the manager is better able to identify the possible causes of the deviation.

Before electing to focus attention on a particular deviation (problem), the manager must first answer the following questions:

How urgent is the problem (time)?
How serious is the problem (impact)?
What is the likelihood of the problem's magnitude increasing? (Freund and Pack, pp. 111, 112, 117, 118).

Formal surveys and problem scaling, small group interviews and priority ratings, issues presented with key actors, and determining the involvement levels of persons are but a few of the techniques useful in both the needs assessment/data gathering phase and in the problem/goal statement phase. Figure 9 is a display of a problem related to traffic congestion provided by the Maryland study. The model (Kepner-Tregoe) does not state the problem as merely "traffic congestion"; it specifies the problem in terms of what is and is not. After examining the data displayed, the planner could look anew at data and ask, "What has changed?" or "What's different?" and move to possible solutions.

When the conclusion drawing stage is reached, an examination of symptoms and possible problem causes is made. Then a number of solution activities are undertaken out of which the planned strategies result. The Maryland study (Freund and Pack, pp. 111, 112, 119) suggests five possible solution activities: (1) Interim—which buys time for completing additional analysis; (2) Adaptive—allows for living with the tolerable effects of a problem with non-eradicable cause; (3) Corrective—eliminates the known causes; (4) Preventive—reduces the probability of a problem occurring; and (5)

	Is	Is Not	Why?
What:	Automobile	Truck	
Where:	Central business district	Residential area	
When:	Rush hours	Off hours	
Extent: (How much how many)	Bumper-to-bumper, not moving	Slow but moving	
Possible Causes:	Untimed traffic signals Lack of left-turn lanes Inadequate off-street parking Lack of by-pass arteries		

Figure 9. Kepner-Tregoe model for displaying a problem. (Source: Management Development Center of Maryland)

Contingency—provides stand-by arrangements to offset or minimize the effects of a serious or potentially serious problem.

Before a final suggested solution can be determined, however, the organization will want to do some self-assessment of the organizational strengths and weaknesses, capacity of its staff, past performance, and other like questions designed to assure planners of the strength or vitality of the organization itself.

Force Field Analysis

Another tool for situation analysis is a model developed by social scientist Kurt Lewin. Variations of Lewin's force field analysis appear in the change and organizational development literature. Two variations are presented in this chapter. A two stage process, force field analysis can be a useful device in planning or in problem solving. It requires planners to look at the present condition and to evaluate factors in terms of forces that enhance or prevent planned change.

In the first stage, discussants attempt to

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identify forces working for (driving) or against (restraining) the achievement of an identified goal. Physical forces (gravity) exert pressure against each other. Just as pressure may be charted in pounds per square inch to measure its strength, forces driving or restraining achievement of goals may be represented visually. Figure 10 is one way of charting forces. Movement from the status quo toward the goal is the desired behavior.

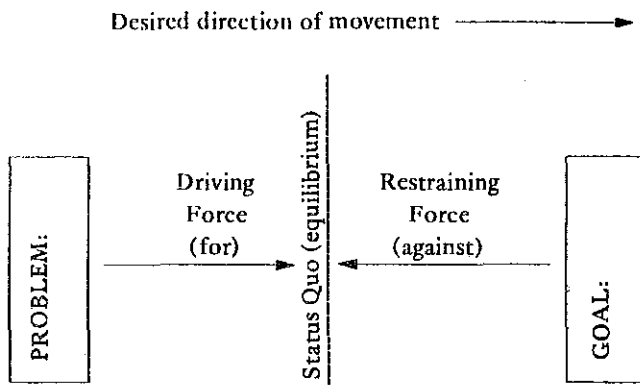Desired direction of movement ⟶

Figure 10. An example of Lewin's force field analysis

In the second stage, forces are analyzed, evaluated in terms of their clarity to determine whether they are indeed forces, and are ranked. Planners or problem solvers then discuss where restraining forces may be weakened or eliminated. Further discussion leads to finding ways to increase the driving forces. Planners must develop strategies to overcome the strength of restraining forces to accomplish a goal. As additional driving forces are added, resistance can be expected, and part of strategy development must include ways of over-coming opposition. Strategy and alternatives development are discussed as steps in the planning process in Chapter X. Doing a force field analysis again at a later stage of planning can also be helpful.

Using the criterion of importance, planners might ask, "How important do we think these forces are in changing the situation?" Number 1 would be the most important. Rating forces in terms of their clarity and their strength is also an important component of the ranking. Schwahn suggests a simple scale for rating strength: How difficult is this force to change—easy, medium, or hard? In terms of clarity, the planners ask, "How

clear is it to me that this factor is indeed a force?" Clear, partially clear, and unclear are the ratings used to evaluate clarity of forces. This process might help to eliminate some suggested forces while others might be added as new forces.

Spier describes force field analysis as a frame-work for problem analysis and as useful in planning. He depicts a situation in which a group recognized that their interpersonal communications were hampered by their inability to work as a team. They desired to foster an open or sharing climate in place of the existing situation leading toward a closed or low-risk pattern of communication. Managers identified factors supportive of obstacles to change. (See Figure 11.) The desired goal was charted in the upper portion of the diagram labeled "open" or high sharing climate, with the "closed" or low risk climate below. The amount of openness in the system was placed midway as the level of present interpersonal climate. That line would be the point of equilibrium or status quo. Restraining (against) forces were listed in the upper portion pointing down or away from the desired goal. Driving (for) forces were listed in the lower half with arrows pointing toward the goal. Forces identified were as follows:

Driving forces:
a) Team members wanted to perform effectively for their own welfare as well as for the welfare of the organization.
b) They were functionally interdependent—they must work as a team in order to accomplish their goals.
c) Existing unclear job descriptions were having an impact on workers' effectiveness.
d) Destructive competition was appearing, and passive or overt hostility was already existing.

Restraining forces:
a) Group members lacked skill in dealing with conflict and feedback.
b) Risk of unknown was high; group members feared they would hurt each other.
c) They were concerned that if cer-

tain issues were brought up, "things would get worse."

d) They questioned if top management "would permit changes."

The above-listed forces are represented in Figure 11 on their appropriate side (either restrain-

ing or driving) with letters and arrows. The length of the arrows represents relative strength of forces; the longer the arrow, the stronger the force. As the group analyzed, rated, and either strengthened or weakened forces, they began to move in the direction of strategy formation.

Trendline Forecasting

Trendline forecasting is one of a variety of forecasting techniques. Others include the use of expert opinion, oracles, leading indicators, and scenarios. In forecasting an attempt is being made to predict the future. Obviously, this kind of an effort can easily result in errors. However, in many situations changes may be safely predicted, though their precise magnitude may not be easily pinpointed. Also, the use of forecasting can be used to create contingent plans for alternative situations.

In doing trendline forecasting, the relevant variables are selected. In public agencies, this most likely involves some measurement of workload or some related measure. Trendline analysis requires numerical measurements. A measurement that has changed over time is taken and represented graphically. For example, the world record for the mile has changed over time. This is represented in Figure 12.

Figure 11. Force field analysis
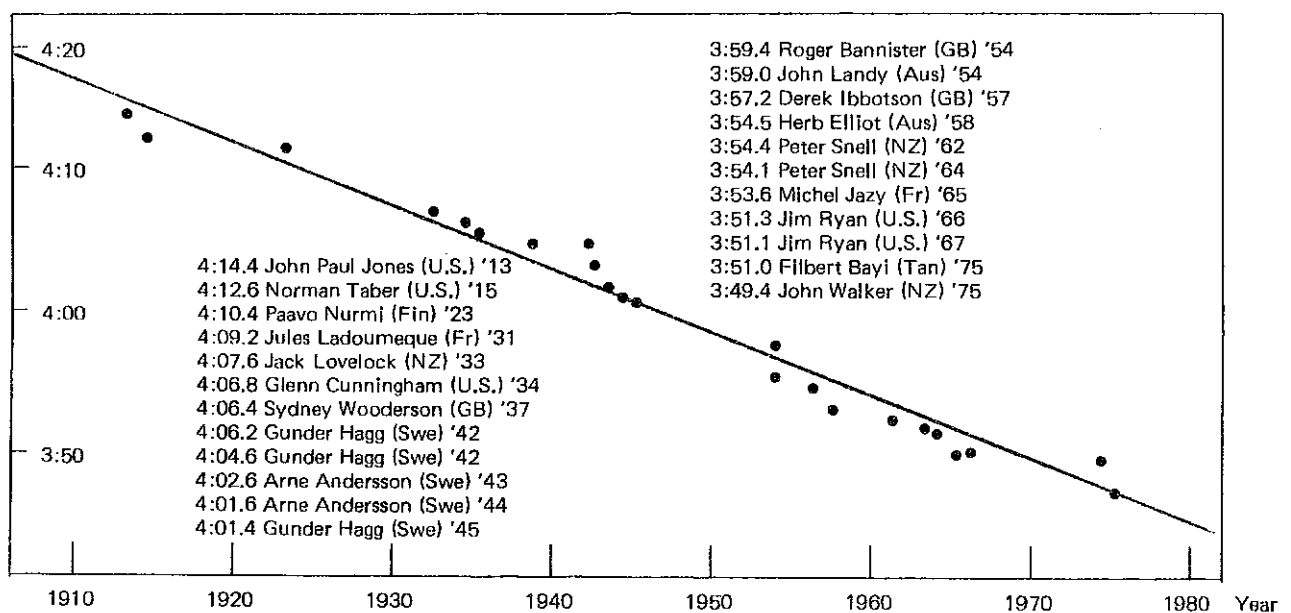
Figure 12. Progress in the mile run.

The world record for the mile run has followed a trendline (the line from the upper left to the lower right corners). Creating a trendline is an attempt to show the trend graphically over a period of time.

After past trends have been plotted for the relevant measure, an attempt can be made to determine the future trend of that measurement. The mile record is a relatively easy trendline forecast. It never becomes a longer period of time, and it has continued to decrease because of advances in health, nutrition, medicine, and training techniques. When these no longer change, a leveling off of the mile record trendline could be expected. Trendlines that curve up or down create more problems in forecasting. A curved trendline, for example, is world population growth, represented in Figure 13.
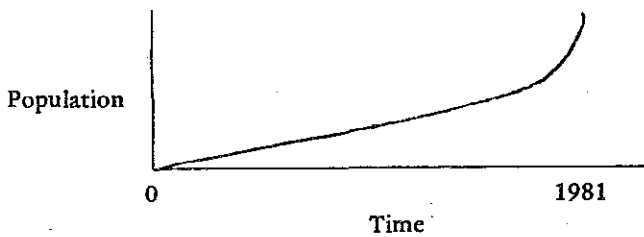
Figure 13. Population growth.

Obviously, a number of future trends are possible, and the number of factors is tremendously large. The factors, though, can be broadly categorized in terms of scientific and technical advances,

ideas, resources, and human relations broadly understood. As these things change or remain constant in their impact on population growth, the trendline curve will change. The same growth rate may continue for an indeterminate time or the curve may level off.

An up and down trendline shows periodic shifts. Figure 14, for example, represents the occurrence of automobile accidents:
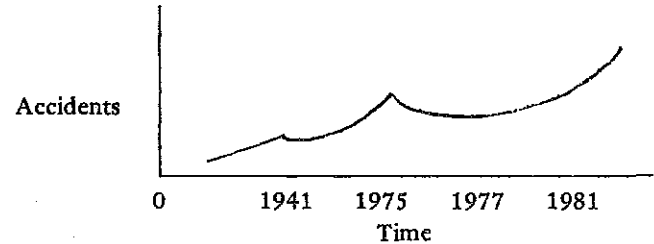
Figure 14. Occurrence of automobile accidents.

The up and down trendline in this example is a result of a variety of factors including the usage of automobiles, automobile characteristics, road conditions, and driving rules and their enforcement.

In trendline forecasting, the trend of a measure is graphically represented over time, the major relevant factors identified, and the future trendline predicted on the basis of probable changes in the causative factors. If the causative factors are understood, a trendline or a range of trendline possibilities can be predicted. Where a fairly wide range of trendline possibilities present themselves, alternative plans may be considered.
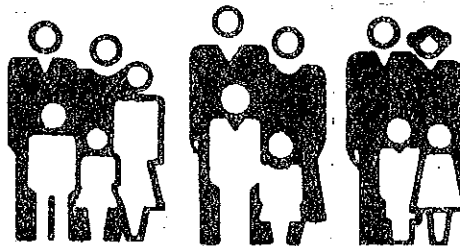
STEP III—DETERMINE OBJECTIVES

Determining Goals and Objectives

CHAPTER VIII

DETERMINING GOALS AND OBJECTIVES

After the problem analysis phase has been completed and a problem statement created, the time has come to produce a goal statement. In the diagnosis phase an examination has taken place of present position in relation to where the planner would want to be ideally. In the problem analysis phase, attention is given to present position and why that is so. The goal statement phase relies on the previous work and is simply a statement that identifies where the planner wants to be in light of detailed knowledge about the present situation. It is not a statement specifying ideal outcomes or perfection in any dimension. For example, the football coach with the 1-2 record might ideally like to go to the Orange Bowl, or the administrator with a service delivery problem might desire a perfect service delivery record. However, after having examined their situations, they probably know better. Their goals are much more likely to be the improvement of the football team's record and the improvement of the agency's service delivery performance.

A goal statement should be:

- general in character
- based on problem analysis
- relatively simple
- realistic.

After the goal has been determined, an appropriate action might be to divide parts of the goal into subgoals and possibly to subdivide the subgoals. This subdivision of goals is based on problem analysis and contributes to the identification of objectives and the formulation of action plans. The coach's goals might be subdivided through the problem analysis phase into the offensive, defensive, and kicking game efforts of his team, all of which might require improvement. The offensive goal of scoring more might be subdivided into the running game and the passing game goals. These goals in turn might be further subdivided. The administrator might subdivide the goal of improved service delivery according to types of cases or organizational subdivisions. Subgoal statements are simply more specific goal statements that deal with a particular part or aspect of a problem in order to focus attention on the objective setting and action planning phases. A goal statement and an articulated structure of subgoals provide an understanding of the overall mission or desired direction. Setting objectives, on the other hand, deals with specific tasks. Goal statements indicate direction.

Setting Objectives

While goal statements indicate a general direction, *objective statements are precise statements of the achievements desired.* The goals of the football coach and of the administrator may be an improved record and better service. The corresponding objectives, once again, which are based on problem analysis, might be a 6-5 season and a 30 percent reduction in service delivery errors. The goals and subgoals provide directions, and the objectives provide a measurable destination for each goal and subgoal.

Objectives should have the following characteristics:

- Measurable—This means objectives must be empirically based. Empirically based things can be perceived. Most often things that can be counted are considered. However, in some cases, the judgment of competent observers can be used when counting things numerically is not necessary. The key to measurability of objectives is that an unequivocal statement can be made about whether or not the objective has been achieved.

STEP IV—ACTION PLANNING: STRATEGY DEVELOPMENT

Action Alternatives

Developing Strategies

Task Analysis/Feasibility Testing

ACTION ALTERNATIVES

Once a set of objectives has been selected, the next phase of the planning process is to develop strategies to achieve those objectives. Several key elements are involved in developing strategies, and these can be deduced simply by projecting potential actions along a time line toward a future in which objectives are achieved.

Objectives may be achieved in many different ways. (There are many ways to "skin a cat.") Some actions are more likely than others to move people from the existing "real" situation to the "ideal" world in which the objectives agreed upon are achieved. Furthermore, common sense contemplation of any chain of events clearly reveals that certain actions will fail to achieve desired objectives if they occur at an inopportune or inappropriate time. Thus, the process of developing strategies must take into account the key elements of action alternatives and timing. Ignoring either of these elements does not make good sense, especially in a complex organizational setting. Consideration of both elements is an integrative and continuous process in actual practice, but timing must depend upon the action selected for achieving objectives. Developing action alternatives is therefore the first consideration.

Considering Alternatives

How should alternative actions be considered? Once again, common sense must prevail. Successful achievement of objectives will normally be judged on the basis of two criteria: time and money. Balancing these so as to accomplish objectives with a minimum expenditure of both is a key to success. Because organizational resources, especially human resources, are purchased by units of time, time and money are hard to separate. Certain actions will cost more in terms of time and less in terms of resources. Thus, various paths toward objectives must be examined to determine how best to spend the precious organizational resources of time and money.

When comparing various action alternatives, the planner must recognize that each action will have some impact upon other parts of the organization. These impacts will be either positive or negative in terms of overall organization performance. Actions must not be chosen in a vacuum. Sheer efficiency, in terms of immediate expenditure of time and money, may not provide the best guide to action if overall organization performance declines as a result. Thus, consideration of action alternatives must entail thoughtful examination of the organizational costs and benefits. Remember, no action will be without some cost and some benefit. Careful analysis of action alternatives will reveal which provides *the most net benefit* while achieving objectives. The actual mechanism for making this determination will likely involve a planning group who will generate and then choose some action plan from a number of alternatives.

Timing: A Key Concept
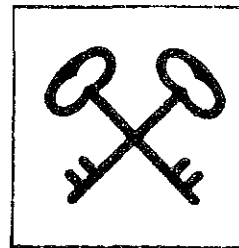
Here is where the element of timing enters the picture. Often the key difference between costs and benefits of various action alternatives may be varied by adjusting *when* certain action steps are to be accomplished. To determine the best time for an action necessarily involves consideration of *who* is going to be involved. Many an otherwise efficient action has failed because some key "actor" was unavailable at a critical time to perform his/her role. This role need

not be just direct action but might involve making a decision, authorizing a direct action, or authorizing the expenditure of money.

Methods for Analyzing Alternatives

Many methods, or models, are available to aid in the potentially complex process of analyzing action alternatives. They may be grouped into two classes. The first group contains those methods for considering the various aspects and impacts of each action alternative. Such consideration involves the acquisition of knowledge; thus, each method is slightly different means of generating, acquiring, and using data. In most instances, some sort of group brainstorming will provide a useful listing of action steps and their organizational impacts. The sources of such insights may be past experience, technical knowledge, other models, and good old common sense as well as a myriad of other creative, often inspired, ways of examining paths to an objective.

The second group consists of those techniques designed to facilitate timeline projection. They normally help conceptualize and predict the placing of the various steps in sequence along each action alternative. An example might be the network of activities depicted by the Program Evaluation and Review Technique (PERT) chart. PERT is a group analysis and flow-charting procedure that begins with identifying the sequences

of dependent activities necessary to achieve an objective. Figure 16 is a simple but adequate diagram of a PERT chart depiction of an action alternative. (In this case the objective to be achieved is a family picnic.)

By plotting the flow of activities across time, the sequence of an action alternative can be tested against organization constraints, improved to provide the optimal pattern for that alternative, and then compared with other alternatives. The idea of some sort of timeline or flow chart may also aid in the implementation of the action selected. The key here is to allow for feedback of evaluative data so that both the action and the strategy can be adjusted to accommodate the inevitable shifts in organizational constraints. Changes stemming from shifts in the organizational, physical, and fiscal environment as well as such contingencies as personnel absence may affect the sequence or completion of action steps. The more thoroughly these changes can be anticipated, the greater the likelihood of a successful strategy.

Obviously the techniques employed in creating and selecting an action alternative will depend upon the perceptions and skills of those involved. Most planning strategies have little need for extensive and complicated techniques, and therefore virtually all organization employees are adequately qualified to develop such strategies. A key to their success is simply to provide the means for existing wisdom to be shared.
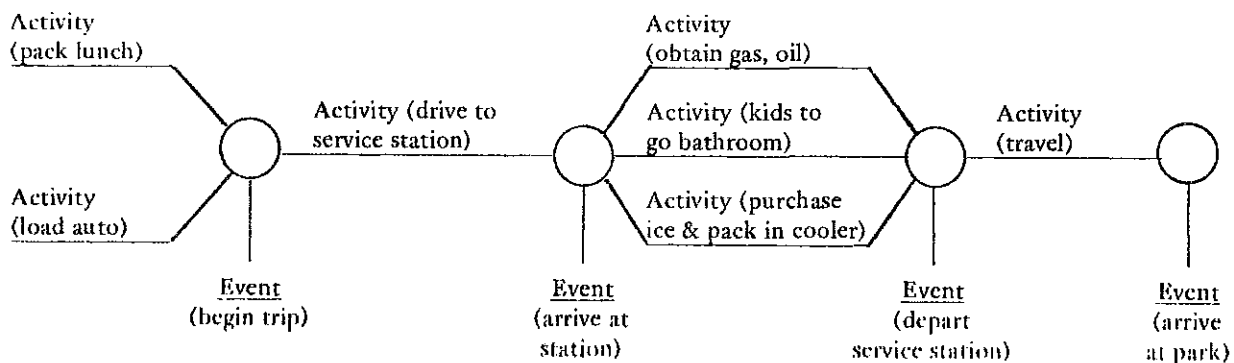

Figure 16. Example of PERT chart.

CHAPTER X

DEVELOPING STRATEGIES

A plan without a strategy can be likened to a car without a steering wheel. The strategy component is the steering mechanism and is a main phase of the planning process, so any plan that does not have a strategy is not likely to be implemented. Plans which cannot be or are not implemented remain on the shelf and are practically useless. The true success of a plan is whether it is implemented.

Strategy in planning is defined as development of alternative courses of action or, more specifically, the means to an end. The strategy of the plan is an action statement to describe *how* something is to be done, not *what* is to be accomplished. After the plan has been developed, this question must be answered: *How* is the plan to be carried out? The strategy statement then becomes a defined course of action.

Using Strengths and Weaknesses

Another view of strategy is to visualize it as tactics or maneuvers to minimize negative forces or interference. Strategy development can come about through study of force field analysis. That is, once a defined force field has been created, what is the easiest way through the field? The problem becomes one of charting the course through the force field in a manner that will cause the least resistance. Strategy then makes the most of strengths and weaknesses, and action results from their correct evaluation. Good strategy development can implement a weak plan and reach an objective successfully. However, a nearly perfect plan will miss the objective *without* strategy.

Alternative Selection

Also important in strategy development is the concept of alternative strategies. The first step in the formulation of a course of action is to select a strategy that meets the needs of the situation. Additional alternatives should be generated in the event the situation changes or the first course of action does not prove workable. Changing strategies is a serious matter. Before doing so the decision to make the change must be carefully considered. The importance of timing is also involved in alternative selection. Many alternative strategies have failed because the primary course of action did not have enough time to work, and the planner jumped to conclusions. The process of selection of a second or third alternative as the primary course of action can most accurately be accomplished by *testing* alternatives, either mentally or with some degree of actuality by duplicating the environmental conditions under which the strategy is to operate. The mental testing of alternatives often is accompanied by the statement, "If this happens, then I do this."

Reviewing Strategies

Reviewing strategy constantly is important, rather than reviewing the plan itself. The planning process is rather long and cumbersome; strategy development, however, is quick and to the point. An alternative must be selected as soon as possible once a primary strategy or course of action is not working. If the problem to be solved is a large one, switching back and forth between various strategies may become very important. Once the primary strategy has been discarded, it should not be entirely eliminated. As the situation changes, moving from a secondary back to the primary course of action may be necessary.

Most of the plans that fail or are not implemented can be attributed to a lack of continuous strategy development or failure to select the proper alternative at the *right* time. This fact cannot be overemphasized.

Support Selling

A key part of the strategy process is the concept of support selling. The over seller can become a manipulator. The good strategist must support sell the plan far in advance of its presentation. Two distinct kinds of support selling strategies can be used: *identification and anticipation.*

The concept of *identification strategy* involves getting the right information to the decision makers ahead of the plan. The major purpose is to understand their philosophies and values, and to persuade them by giving them the information in an acceptable format.

The second major kind of support selling is *anticipation strategy.* The focus here is to have the answers to possible questions about the plan ahead of time. The principal involvement is with the decision makers, *what* they believe in, and *what* they have previously done. After reviewing this background information, the planner should enhance the plan to appeal to the decision maker.

An example of this form of anticipation strategy is lobbying. The object here is to build a "win/win" situation. The major question is always: is the strategy, in whatever form, open or is it manipulative?

(A "win/win" situation is a condition in which there is no drawing of sides with winners and losers.)

Summary

Any concise review of strategy must take into account the differences between planning and strategy. Planners often make the error of leaving out a strategy. Planning is a very detailed action usually accompanied by programs. The major consideration in strategy development is the *how* of plan accomplishment. Once this question has been answered with sufficient and acceptable alternatives, then successful strategy development has occurred.
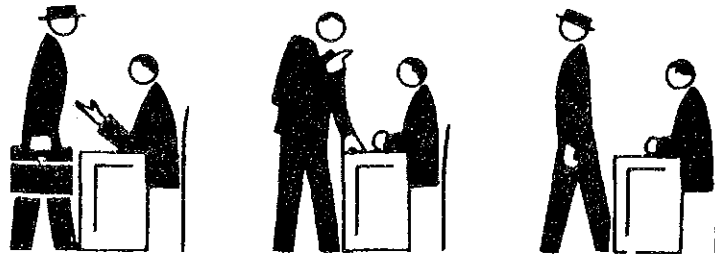
CHAPTER XI

TASK ANALYSIS/FEASIBILITY TESTING

As a planning team attempts to select the best plan for action toward a future objective, they must examine each item (task) carefully in order to increase the level of certainty or predictability about the future. They are guided by the tenets of organizational efficiency and effectiveness.

While the initial process of developing and selecting action alternatives necessarily involves some task analysis, the level of specificity and the intensity of scrutiny increases as the potential choices for action are reduced to those most likely to succeed. The topics of task analysis and feasibility testing may be examined separately, but each is an integrated part of the entire planning process.

Decision Making and Planning

Decision making and planning are intrinsically intertwined in the process of decision making underlying each manager's organizational role. The decision process is one of continually evaluating information, predicting the future, evaluating and comparing alternative courses of action, and selecting the best choice available for implementation. All of these actions are based upon predictions of the future.

Within the sequence of events involved in administrative planning, the prediction of the future is simultaneously conducted on several levels and across many time lines. As the scrutiny of alternative courses of action intensifies prior to the actual selection of the best scheme, the level of analysis will become more and more specific. The examination must include a determination of task responsibility, necessary materials, activity location, and appropriate timing. Questions of who, what, where, and when are asked regarding the *most likely* action alternative.

This type of decision making has been characterized as mixed scanning. Simply defined, this process combines elements of rationalistic and incremental approaches to decision making so as to balance the expenditure of human resources with realistic prospects of success. Thus, each action alternative is not intensely analyzed—only the one that seems to afford the most likely path to achieve objectives. Will the alternative selected really work? That question is the basis for feasibility testing.

Feasibility Testing

While predicting the future is still an imperfect art, feasibility testing can enhance decision making if it includes an assessment of some critical variables. For example, the variables of time and money are most critical to any organizational endeavor. Determinations of whether "it will work" must include careful consideration of the availability of sufficient time and money to permit task completion.

Perhaps a bit less important but still critical are the variables of expertise and material. Does the organization have access to adequate skills and materials/equipment to accomplish the objective? Also, will these variables be available at the appropriate time and place?

The variables of personality and organizational politics are also important considerations. Will the tasks be carried out willingly or only under duress? Will the process enjoy political support by key leaders and other influential persons? Will the results be accepted by those affected? The human tendency to resist change and the importance of political acquiescence, must not be ignored when testing for feasibility, especially when power and authority might be shifting.

Finally, some consideration must be given to the evaluation of success. How will achievement be measured? By whom? When? Evaluation is a tool that must be considered *before* as well as after an action.

One way to conduct a task analysis is pre-

sented in Figure 17. Any mechanism for judging who, what, where, and when may be valuable to both task analysis and tests for feasibility.

Branching Diagrams

The model in Figure 17 is that of a branching diagram, a two-dimensional schematic for breaking down each task into its components.

In this example the task is to develop and deliver an administrative planning workshop to a selected group of mid-level managers. Initial analysis indicates that the workshop's major components would be course content, trainers (people), and facilities. Using a branching diagram to analyze the overall task, the example *expands* one of these three components—people—to provide a guide toward determining exactly who should be involved in the workshop. In actuality, the other major components are also expanded, but only the people expansion is displayed. The specific categories of the people component include trainers, facilitators, administrators, support staff, and clientele. The example expands just one of these—administrators—to analyze potential areas of responsibility. The analysis reveals eight separate areas of administrative responsibility. Expanding just one of these areas—documentation—the mechanisms or actions necessary to accomplish the responsibility are identified. While the example does not depict any further expansion of the analysis, an extension may be appropriate if the planners perceive a need for more certainty about the discrete elements of the task—who, what, where, and when. As in all aspects of planning and managing, the tools and techniques utilized in the effort must have some net worth. Employing a tool such as the model in Figure 17 should only occur if its use will benefit the accumulation of useful knowledge.

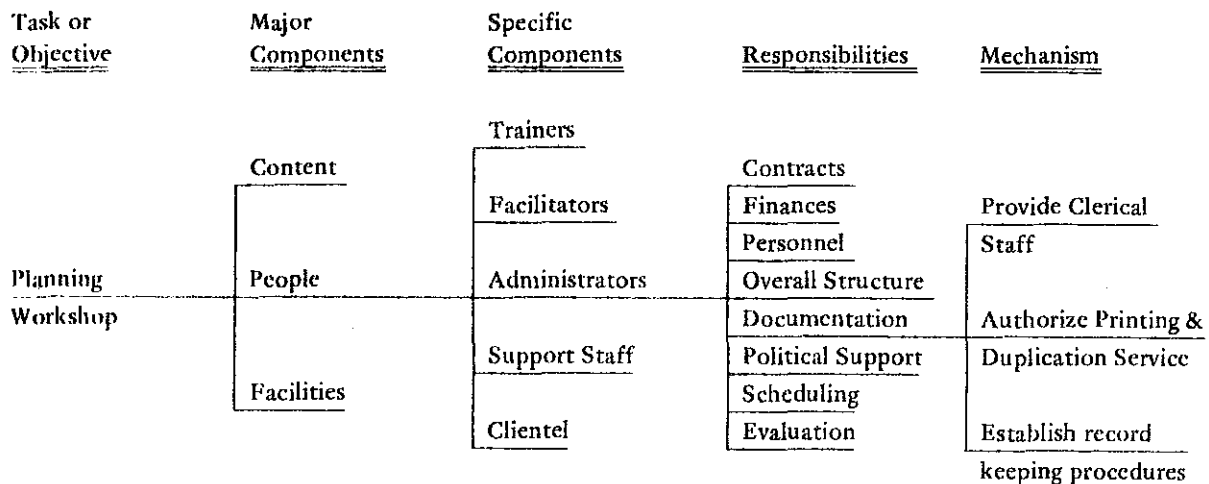| Task or Objective	Major Components	Specific Components	Responsibilities	Mechanism
		Trainers		
	Content		Contracts	
		Facilitators	Finances	Provide Clerical
			Personnel	Staff
Planning	People	Administrators	Overall Structure	
Workshop			Documentation	Authorize Printing &
		Support Staff	Political Support	Duplication Service
	Facilities		Scheduling	
		Clientel	Evaluation	Establish record
				keeping procedures

Figure 17. A branching diagram for task analysis.

STEP V—IMPLEMENTATION

Change Process Models in Planning

The Change Cycles: The Role of Leadership

Budget and Resource Allocation

Total Systems Planning

CHANGE PROCESS MODELS IN PLANNING

No one can escape change. Organizations are no exception; they change either by default or design. If left to themselves without planned change, they may stagnate and deteriorate, but they will change. If, however, an organization is to have a productive future, someone must intervene to make a desired change. A planned change will occur because the organization has certain needs that cannot be met with the present methods of operation. Planned change is defined as:

an intended, designed, or purposive attempt by an individual, group, organization, or larger social system to influence directly the status quo of itself, another organism, or a situation. (Lippitt, p. 37).

Since planned change in an organization also involves human beings, an effect upon the social system will be felt as well. Dealing with change that will eventually alter an organization's human resources is the most complex and important type of change since people have nearly 10,000 thoughts passing through their minds during a normal daily routine. (ibid.) Organizational change may be defined as:

any planned or unplanned alteration of the status quo which affects the structure, technology, and human resources of the total organization. (Lippitt, p. 38)

Two particular models (Lewin and Pankratz) will emphasize the importance of involving members from the organization in the planning of a desired change.

Any model is a simplification and may not include all the variables affecting a particular situation or its environment. Models act only as a guide to understanding an event, in this case, a planning event. Models have no specified time limits.

Change Process Model

As early as 1947, Kurt Lewin began developing a change process model that should be considered an integral part of any planning process. (Brockowski, p. 173) His model consists of three stages that individuals pass through before the planned change can be considered a permanent part of the organization.

Unfreezing - Moving/Changing - Refreezing

Lewin's model involves developing readiness, the change process in action, and stabilizing the new structures, processes, and behaviors.

Lewin describes unfreezing as the aim to motivate and make an individual ready to change by creating a dissatisfaction with his present conditions. In an organization, dissatisfaction will have to be made for a group. A workshop situation and the use of consultants are ideal methods to unfreeze individuals or groups in order to make them ready to accept change. Unfreezing is the breaking down of old ways and the preparing for the implementation of new alternatives.

Once prepared to accept change, the individual/group can be presented with the new expected behavior. In the case of planning, new skills and approaches can be used. By using the skills, the individual/group will actually begin changing or moving, the second stage. Changing can be accomplished through the use of role models or change agents from whom the individual/group can seek reinforcement and support of the new behavior. Lewin refers to the use of models/agents as identification. Changing can also be done through internalization by placing individuals in situations where the new behavior is required if they are to operate successfully within the organization. Once an individual/group moves into this stage, a constant reminder of the new, expected behavior needs to be visible, particularly in the form of a

role model(s).

As the individual/group uses new behavior they will begin to develop a pattern or routine. In order to keep the person satisfied with his or her progress, the new behavior needs to be reinforced. In the refreezing stage, the new behavior must be reinforced so that it becomes an integrated part of the individual's/group's personality. The reinforcement should be effective and scheduled, first continuously and then intermittently.

Continuous reinforcement means reinforcing the individual/group in some manner every time they engage in the new desired pattern. Later, when the individual/group are conditioned, the new behavior does not become extinguished over a lengthy period of time. This type of reinforcement should insure a long-lasting change.

Institutionalization and Temporary Systems

The second change process model is by Roger Pankratz et al. developed from the Teacher Corps projects in 1977. (Pankratz, p. 15) His model centers around the idea of institutionalization, similar to Lewin's internalization. Institutionalizing a new behavior in an organization is both a goal and a process, according to Pankratz. Successful institutionalization is a combination of five stages that occur within a temporary system.

A temporary system consists of five phases, each having different tasks performed by different people. The phases are planning, building the system design and approach, operating the specific temporary system, closing the system, and performing a follow-up evaluation. (Gant, p. 23)

Effective temporary systems are ideal ways to promote change and creativity since models (a form of guidance) can be tested without the worry of rejection before they are given a chance to work. The temporary system does not operate in isolation from the permanent system, though, because permanent members of the organization are also members of the temporary one.

Interventions planned by a concerned group will usually try to involve the whole organization, not just an individual or a small group. People within an organization are better able to define their own problems; therefore, they will be better

able to identify needs, solve problems together, and implement plans. This is the main idea behind a temporary system approach—to intervene for a period of time in order to better prepare an organization for planned change.

The major contribution toward the institutionalization process by the organization should be the active involvement of regular members of the organization's permanent system in the temporary system, workshop, or project. Products developed within the temporary system are more likely to be accepted by the permanent system because of the regular members demonstrating involvement and support of the project/workshop.

The five stages of institutionalization suggested by Pankratz et al. are as follows:

1) Awareness—recognition by appropriate persons in both formal and informal organizational structures that a current goal-achievement discrepancy exists plus an emergent need or requirement for additional programs or practices

2) Acceptance—agreement by appropriate persons that a particular change is an acceptable attempt to solve the problem, to meet the need or requirement, or to develop capability to provide service that is presently unavailable

3) Preparation—understanding the proposed change and willingness to participate in a trial demonstration; evidence of adequate skills and knowledge levels to carry out needed tasks; availability of resources

4) Limited Installation—demonstrable operation of change, similar to its operation as if it were adopted and assimilated in the organization

5) Institutionalization—establishment and support of the program or practice and its processes, structures, and behaviors in the organization once the temporary system is removed.

Some activities that Pankratz suggests to enhance the institutionalization process are:

1) define the program or practice to be institutionalized

2) judge the potential of the organization to adopt the new program or practice

3) plan an overall strategy for the change effort

4) identify critical events in the change process

5) plan strategic actions to influence critical events

6) document strategic actions and critical events

7) plan a system through which to verify change.

These activities are diagrammed in Figure 18.

system, whether a project or a workshop. (See Figure 19.)

The unfreezing stage involves the activities cited by Lewin as well as the recognition and agreement on organizational problems by all appropriate persons. Preparation is the backbone since it means understanding the changes being

Facilitative Steps	Awareness	Acceptance	Preparation	Limited Installation	Institutionalization
Defining program of practice	X	X	X		
Judging institutionalization potential		X	X	X	
Planning an overall strategy		X	X	X	X
Identifying critical events	X	X	X	X	X
Planning strategic actions	X	X	X	X	X
Documenting strategic actions	X	X	X	X	X
Verification of change				X	X

Figure 18. Relationship between the stages of institutionalization and the seven facilitative steps. (Pankratz *et al.*)

Comparison of Models

Models are guides to understanding or visualizing a process, and comparing them is useful to show that more than one method is possible to accomplish the same goal. Combined, the models present a comprehensive guide when preparing to implement a change within a permanent organization. These models imply the cooperative support of all levels of management in the temporary

considered and the willingness (motivation) to participate in the change process.

In the changing stage, preparation is still continuing because changing requires having the skills and resources to make the change possible. The models (identification) and the environment (internalization) Lewin speaks about can certainly be included as necessary skills and resources. The moving part of this stage will be done in the limited installation of the new practice or program,

Lewin Three-Stage Conception	Pankratz Five-Stage Conception
Unfreezing—developing readiness	1. awareness 2. acceptance 3. preparation
Moving—the change process in action	3. preparation (continued) 4. limited installation
Refreezing—stabilizing the new behavior, process, and structure	5. institutionalization

Figure 19. Comparison of the Pankratz and Lewin change process models. (Pankratz *et al.*)

45

as the change actually moves from the temporary system theory to the reality of organizational usage. Lewin, while seeming to forego testing a workshop exercise or demonstration of the new practice (limited installation), actually employes the use of on-the-job training. The use of change agents or role models provides a link with the permanent system as well as acting as the catalytic protagonist of the change process. (Broskowski, p. 173). Lewin noted the tendency for an organization to slip back to the "old ways" after a period of rapid or dramatic change. Since the change agents remain in the permanent system, they continue to reinforce and provide support of the new behavior in others.

Finally, refreezing or institutionalization should occur. Lewin states that the new behavior should be integrated, then stabilized in the individual's personality. Achieving institutionalization is similar because it is dependent upon the individual becoming so accustomed to performing the new behavior that it soon becomes the ordinary, not the unfamiliar. Reinforcement is extremely important in this stage. In Lewin's model, reinforcement is stressed, but in the Pankratz model it will come through practice in the limited installation as well as from peer pressure.

Once the new behavior becomes ordinary, it will become a part of the organization's culture. This is also a main feature of institutionalization. Once the behavior is stabilized/institutionalized, the temporary system can be withdrawn to allow the permanent organization to take control.

Benefits

The benefits of using the temporary systems approach are many, but most important is the fact that it provides a short period of time to have active participation before formalizing a new approach or practice in the permanent organization.

Temporary systems often aim at developing needed skills related to working for a collaborative planned change. The temporary system has short-term goals that relate to the development and later implementation of long-term goals for any organization. Membership of the temporary system is drawn from the permanent one in order to secure dedication to goals.

A temporary system works with the permanent one until the desired changes are accomplished. With the temporary system, members are free to voice honest opinions concerning decision making and goal setting, and a time of flexibility is provided to work out problems in skills, communications, and management roles.

The duration of a temporary system is determined by the needs of each organization. Frequently, short retreats, workshops, or conferences will provide enough time and training to begin a planned change. Each organization or concerned intervention must decide the necessary time. The use of a temporary system will actually coincide with the planning of a change and will further its success through preparation.

THE CHANGE CYCLES: THE ROLE OF LEADERSHIP

The levels of change become very significant when we examine two different change cycles—the participative and the coerced.

Participative Change

A participative change cycle is implemented when new knowledge is made available to the individual or the group. The group hopefully will accept the data and will develop a positive attitude and commitment in the direction of the desired change. At this level the strategy may be direct participation by the individual or the group in helping to select or formalize the goals or the new methods for obtaining the goals.

The next step is to attempt to translate this commitment into actual behavior. This tends to be the most difficult barrier to overcome. A person or group may be concerned (attitude) about a social problem but may not be willing actually to get involved in doing something (behavior) about the problem. One useful strategy is to attempt to identify informal as well as formal leaders within the group and concentrate on gaining their acceptance and behavior. Once this is accomplished a long step has been taken toward getting others in the group to begin to pattern their behavior after persons they respect and perceive as leaders. This participative change cycle is illustrated in Figure 20.

Coerced Change

Suppose an announcement is made on Monday morning that as of today all members of this organization shall begin to operate in accordance with Form 10125. This is an example of a coerced change cycle. This cycle begins by imposing change on the total organization. Such changes tend to affect the interaction-influence system at the individual level. The new contacts and modes of behavior create new knowledge that tends to develop predispositions toward or against the change. This coerced change cycle is illustrated in Figure 21.
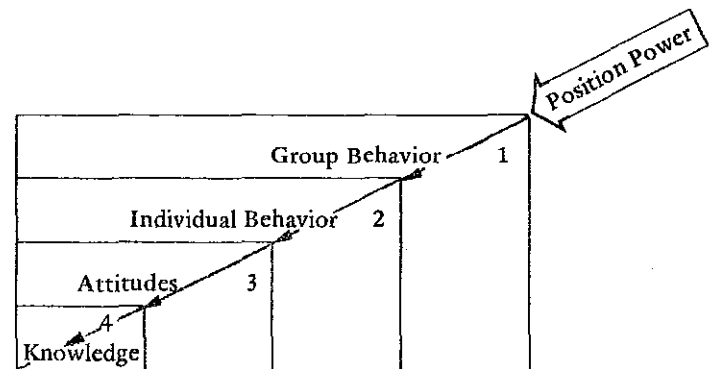
Figure 21. Coerced change cycle.

In some cases, where change is forced, the new behavior creates the kind of knowledge that develops commitment to the change and therefore begins to approximate a participative change cycle as it reinforces the individual and the group behavior.

Two Change Cycles Compared

In terms of the life cycle theory of leadership, the participative change cycle tends to be more appropriate for working with mature groups, since they are achievement-motivated and have a

Figure 20. Participative change cycle.

degree of knowledge and experience that may be useful in developing new strategies for accomplishing goals. Once the change starts, mature people are much more capable of assuming responsibilities for implementation. On the other hand, with immature people the coerced change cycle may be more productive because they are often dependent and not willing to take new responsibilities unless forced to do so. In fact, by their very nature, these people might prefer direction and structure to being faced with decisions that might be frightening to them.

The participative change cycle tends to be effective when induced by leaders with personal power, while the coerced cycle necessitates significant position power—rewards, punishments, and sanctions.

With the participative cycle, the main advantage is that, once accepted, it tends to be long lasting, since the people are highly committed to the change. Its disadvantage is that it tends to be slow and evolutionary.

On the other hand, the advantage of the coerced cycle is speed. Using his position power, the leader can often impose change immediately. The disadvantage of this cycle is that it tends to be volatile. It can only be maintained as long as the leader has position power to reinforce his authority. It often results in animosity, hostility, and in some cases overt and covert behavior to undermine and overthrow the leadership.

These cycles have been described as if they were either/or positions. In reality a proper blend of each, depending upon the situation, may be the most effective method.

BUDGET AND RESOURCE ALLOCATION

Any plan or planning activity will necessarily involve consideration of resource allocation. Budgeting is the process of assigning monetary resources to the planned activities, and budgets can be viewed as plans with price tags.

The process of "pricing" action plans helps insure that the goals, objectives, and specific action recommendations in the plan are obtainable from a financial perspective. Budgeting *before* program implementation serves as a final check prior to committing institutional resources to the action plans.

Which Budget Format?

The three fundamental types of budgeting are: line-item, performance, and program. The *line-item* budget is department-oriented with an emphasis on accountability for expenses. This budget format organizes expenses by the type of expenditure; e.g., salaries, travel, materials, and supplies.

The *performance* budget emphasizes the product in relation to the cost of the service. This budget format, for example, would focus on the number of clients to be served within a specific budget.

The *program* budget focuses on activities or programs and, consequently, organizes expenditures according to program. This method often crosses departmental lines and is seen by many as the best method to incorporate long-range planning into a budget.

Budgeting for Plans

Program budgeting for planning purposes can be viewed as a four-step process.

1. List Program Objectives and Action Plans

Program objectives and action plans need to be listed in enough detail to allow cost and revenue estimates. This may require adding specificity concerning personnel requirements and expected operating expenses such as travel, equipment, materials, and supplies.

Ultimately, the figures should be summarized by organizational objectives. Such a summary is especially useful because it allows the decision-makers to visualize easily what resources are expended on each organizational goal.

2. Develop Cost and Revenue Estimates

A very good practice is to ask more than one person to list resource requirements and sources, to review the budget of a similar action plan, and to seek input from persons familiar with the budget requirements and sources of the project. Usually, a resource requirement list will include personnel, equipment, and supplies. It also may include services, travel, contracts, and facility items. After resource requirements and sources have been identified, they should be reviewed in light of the action plan. Ask the question, "Will these resources allow us to undertake and complete our action plan?"

Cost information will ordinarily be available from the organization's own budget or from the suppliers of particular resources. More than one information source should be used when dealing with resources that do not have reasonably firm prices.

Stressing thoroughness and care may seem bothersome, but insufficient care in preparing the budget statement is a potential source of disaster in implementing action plans. Budget plans also may require rethinking objectives and action plans in light of available resources.

3. Summarize Estimates by Program or Action Plan

Step 3 is to summarize the cost and revenue estimates by program. This can become an elaborate process, and a wide variety of forms are available for summarizing cost and revenue estimates. Figure 22, "Anticipated Budget," is a convenient

ANTICIPATED BUDGET

Action Plan/Program Objective: _____

_____

Primary Department: _____

Manager/Director: _____

Expenses	Amount	Revenue	Amount

Figure 22: Form for anticipated budget

ESTIMATED EXPENSES

Program: ————————————————

Item	Rate/Month		Total
Personnel	Rate/Month	# Months	
Administration			
Person A			
Person B			
Staff			
Person A			
Person B			
Employee Benefits			
Consultants			
Operating			
Materials and Supplies (list)			
Equipment (list)			
Travel (list)			
Other (list)			
Indirect Overhead			
Total Expenses			

Figure 23: Form for estimated program expenses

way of relating action plans and budget/revenue amounts. Figure 23, "Estimated Expenses," displays a breakout of expenses of a particular program.

The real strength in budgeting is that it gives the program developer an opportunity to review the entire action plan and each of the previous steps of resource allocation. The budget document itself synthesizes previous plans, and the budget document becomes an implementation element of a long range plan. The formal budget refines the entire process into precise monetary amounts on a program by program, element by element basis. The diagram shown in Figure 24 is a way of attending to each of the sub-categories and elements of a particular program. Unless resources are allocated for each of the elements, the planning might be frustrated. While the final budget document may not show each of the elements, planning for resources and funds for those elements must be considered. The diagram reminds developers to recheck action plans for details.

4. Review Priorities Based on Budget Estimates

The budgeting process, for good reason, is the final step before implementation of the plan. Concern over budget requirements and sources of income too early in the planning process stifles creativity. Conversely, committing an organization to a program without undergoing a budget review invites failure. A last step, then, is to review program priorities in light of the budget estimates.

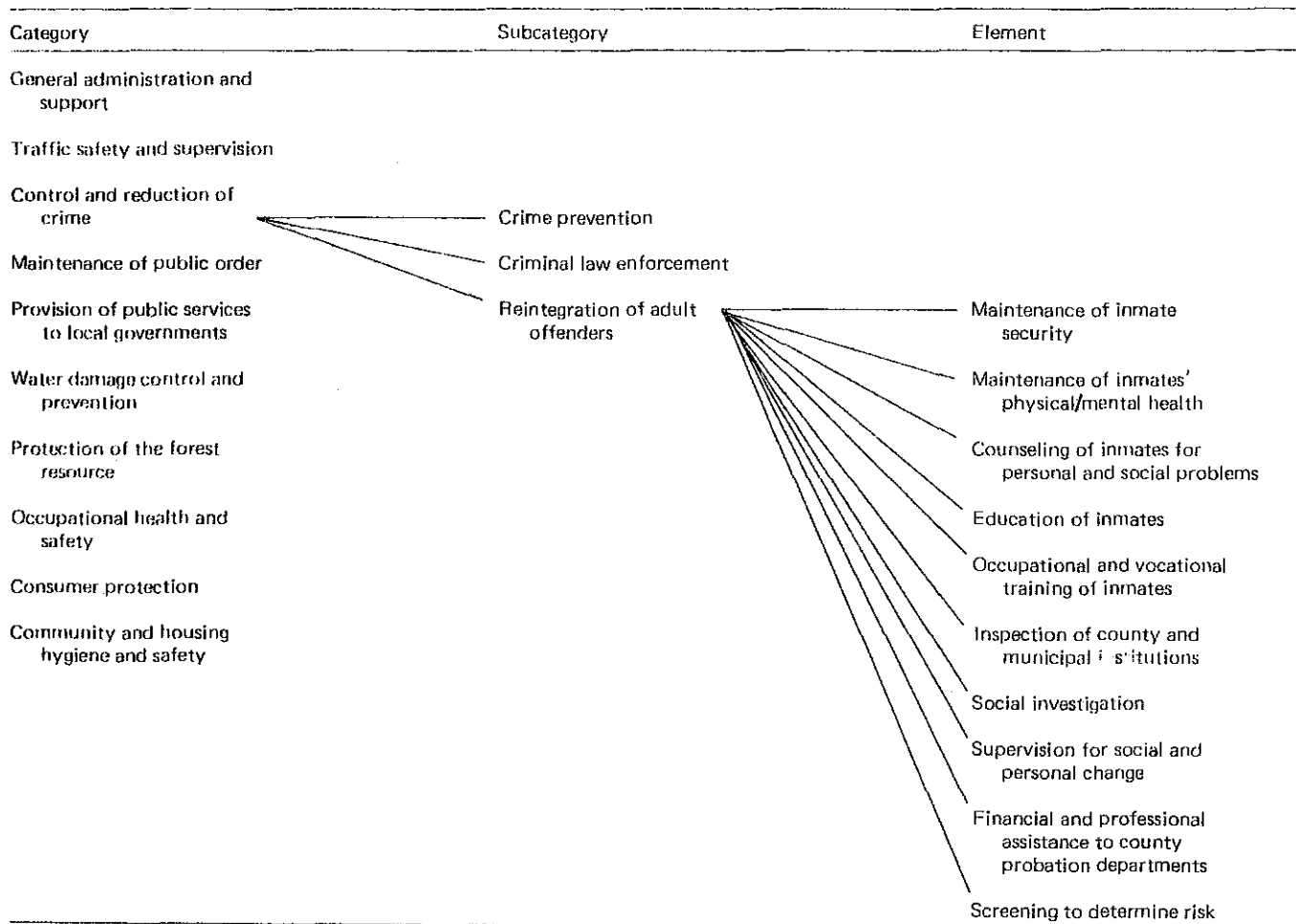| Category	Subcategory	Element
General administration and support		
Traffic safety and supervision		
Control and reduction of crime	Crime prevention	
Maintenance of public order	Criminal law enforcement	
Provision of public services to local governments	Reintegration of adult offenders	Maintenance of inmate security
Water damage control and prevention		Maintenance of inmates' physical/mental health
Protection of the forest resource		Counseling of inmates for personal and social problems
Occupational health and safety		Education of inmates
Consumer protection		Occupational and vocational training of inmates
Community and housing hygiene and safety		Inspection of county and municipal institutions
		Social investigation
		Supervision for social and personal change
		Financial and professional assistance to county probation departments
		Screening to determine risk

Figure 24: Sample program structure: Pennsylvania Program II, protection of persons and property.
Source: Robert J. Mowitz, p. 52.

TOTAL SYSTEMS PLANNING

Total systems planning involves looking at a plan from two different perspectives, an *internal* and an *external* one. An *internal perspective* is used when a plan is viewed as a system complete in itself. An *external perspective* is when a plan is viewed as a sub-system that is part of a larger system.

For example, consider the carburetor of an automobile from both of these perspectives. Viewed internally, it is a total system. Its various parts function together to mix gasoline and air in a systematic fashion. Viewed externally, it is part of the total system that moves the automobile. In this sense it is a sub-system and its function is to work with the total system in converting gasoline into energy.

Similarly, every plan must be viewed from both perspectives. It is complete in itself, and therefore a system, but it does not exist in a vacuum. It must function within some sort of larger system; hence the plan is also a sub-system. Many factors are inherent in these two perspectives. For one thing, designers of a plan typically have control over their plan as a system, constructing, for example, a coherence among the components of the plan. However, when considering it as a sub-system, they are likely to encounter factors beyond their control. A teacher, for example, could easily plan a most flexible program for individual research in his social studies class. As a system his plan might be perfect, but as a sub-system within the larger system of the total school, the plan might be impossible, a monkey wrench in the works.

Many procedures exist for gaining these perspectives. One of the most widely used is the construction of diagrams or charts such as shown in in Figure 25, a process chart for a curriculum project.
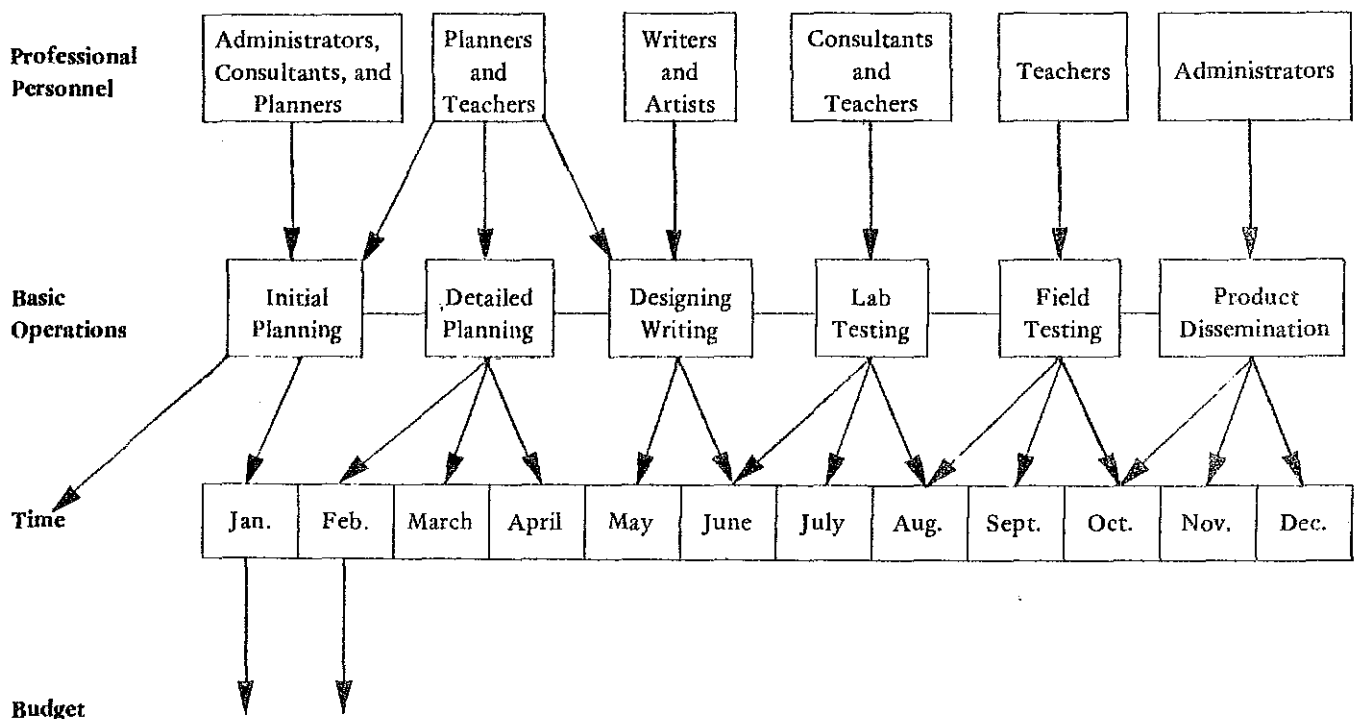

Figure 25. A process chart for a curriculum project.

This chart is primarily an internal perspective viewing the plan as a total system. It represents a visual response to such questions as who, what, when, and how much? Obviously similar charts can be constructed to view the plan as a sub-system. These charts would have to respond to other questions: What other systems will be influenced by the plan? Is the philosophy of the plan consistent with the philosophy of the organization in which it will be a part? Will other parts of the organization facilitate the plan or be in conflict with it?

The basic point of total system planning is simple—look at the plan *totally*, as both a system and a sub-system. Doing this, however, is not so simple, requiring conceptual capabilities not only to organize but also to synthesize.
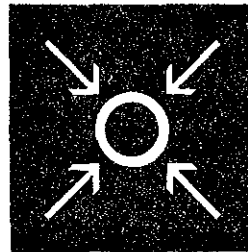
STEP VI—EVALUATION: THE FEEDBACK LOOP

Evaluation: The Feedback Loop

EVALUATION: THE FEEDBACK LOOP

Evaluation takes place throughout the planning process. As an organization goes through the various planning stages, evaluation questions provide a directional guide. Examples of evaluation questions include: "Have we adequately identified our needs?" "Who is to be involved in completing task A?"

Evaluation should also be viewed as a crucial stage at the end of the planning process, serving to turn attention back to the first stages of planning. Far too many plans sit idle or incomplete due to inadequate attention to the feedback loop—or evaluation component. Regardless of the specific techniques used to evaluate programs, the point is that planning succeeds when evaluation is written into the planning process.

The following sections deal with product evaluation and methods to follow-up on the goals, objectives, and action plans developed in the planning process.

Product Evaluation

Product evaluation is generally considered a late occurrence; indeed probably the last, for here the basic question is: "Were the goals and objectives accomplished?" Such evaluation should also take place during the implementation stage. Interim evaluations, on a quarterly basis for example, can be product oriented; that is, "Given that three months have passed, are we on target in reaching our objectives?" Interim evaluations lead beyond the measurement of success or failure. They point toward whatever modifications or mid-course corrections are necessary.

Product evaluation, then, can be viewed as consisting of two components: (1) *performance* evaluation, which occurs during the implementation stage and allows for mid-course corrections; and (2) *impact* evaluation, which occurs at the end of the activity and measures the net gain or loss from the activity.

Performance evaluation is concerned with how well activities are progressing. Freund and Pack note that performance evaluation "is concerned with the nature of the activities rather than their usefulness or appropriateness." Questions to be asked during this process include:

1. Are the outputs as planned and on schedule?
2. Are the intended participants and beneficiaries involved and being served?
3. Are expenditures as planned?

Impact evaluation measures the net change (gain or loss) brought about by the planned activities, by focusing on the question, "What difference did the activity make?" Assessment should include both intended consequences and unintended consequences, and should measure the activity or program in relation to the changes that might have taken place without the program.

Preparing for Product Evaluation

Developing the product evaluation (whether for an interim period or for the final evaluation) requires answers to four basic questions. These are:

1. What should be evaluated?
2. Who should conduct the evaluation?
3. When should the evaluation be conducted?
4. How should the evaluation be conducted?

What Should Be Evaluated?

Evaluation in the planning process is concerned both with the process and with the projected activities or projects being planned. As the planners decide upon a statement of the problem, evaluation is taking place since the problem statement must be related to the goals. Each activity or project (the final result of comprehensive planning) should also have a planned evaluation

component. The level of evaluation or intensity of evaluation will vary by activity, depending on:

- How important the expected impact of the project is compared to other projects relative to cost, people served, and potential for change.

- Whether changes in the project are likely to be a result of the evaluation.

- Whether the project will be faced with important decisions or deadlines in the immediate future.

Based on these criteria, projects that would undergo the least evaluation would be those that are not important in terms of relative costs and benefits, are not likely to change as a result of the evaluation, and are not faced with decisions or deadlines in the immediate future.

Determination of what should be evaluated should take place during the planning process. Since evaluations are designed to assist the decision makers, always involve those decision makers who will be using the evaluation in choosing what to evaluate.

Who Should Evaluate?

The answer to this depends on what should be evaluated. Generally, all persons with an interest in the evaluation outcome should have the opportunity to participate in the decision on who should evaluate. This includes those who actually make the decisions and those who have some influence on them.

When Should the Evaluation Be Conducted?

The answer to this will follow from determining what to evaluate and who will be involved in the evaluation. For monitoring purposes, determination of when the evaluation should be conducted should take place in the planning process and be a part of the written plan.

How Should the Evaluation Be Conducted?

The worksheets illustrate various evaluation questions and check point dates to assist in the monitoring process. (Winecoff and Powell, pp. 49-55).

GOAL:

Questions	Check Point Dates					
1. Is the goal still feasible?						
2. Do new data suggest that the goal is still on target?						
3. Have unanticipated barriers that might prevent completion of goal been removed?						

If at any checkpoint the answer is no, revision is needed.

CONSTRAINTS:

This sheet will help make certain that all major constraints have been significantly reduced.

	Was strategy carried out?	Date Completed	Was constraint reduced enough to allow successful completion of the goal?
Constraint 1			
Constraint 2			
Constraint 3			
Constraint 4			

RESOURCES:

This checklist will help you keep up with the resources needed to achieve your goals. One person should be responsible for coordinating resources and determining whether or not the service provided was adequate.

Agency or Person	Date Contacted	Date Service Delivered	Was service adequate?

OBJECTIVE:

This sheet is to help you monitor progress toward each *objective*. In the first part, follow the same format you used for goals.

Questions	Check Point Dates				
1. Is the objective still feasible?					
2. Will achievement of the objective move you toward completion of the goal?					
3. Does any new data suggest the objective is still appropriate?					

Again, if you have a no answer, some change in the plan is required.

Next, for each objective, list the tasks planned in order to accomplish the objective (Column 1). In Column 2 list the date the task was started and in Column 3 the due date of the activity. In Column 4 record the actual completion date.

Objective 1

Column 1 Tasks	Column 2 Date Started	Column 3 Due Date	Column 4 Date Completed
1.			
2.			
3.			
4.			
5.			
6.			

Objective 2

Column 1 Tasks	Column 2 Date Started	Column 3 Due Date	Column 4 Date Completed
1.			
2.			
3.			
4.			
5.			
6.			

Objective 3

Column 1 Tasks	Column 2 Date Started	Column 3 Due Date	Column 4 Date Completed
1.			
2.			
3.			
4.			
5.			
6.			

Objective 4

Column 1 Tasks	Column 2 Date Started	Column 3 Due Date	Column 4 Date Completed
1.			
2.			
3.			
4.			
5.			
6.			

The final evaluation is simply, "Was the problem solved?" To determine this, a reassessment of the problem may be necessary, i.e., to go back through all or parts of the needs assessment strategy. This might include interviews, surveys, group sampling and ranking, and quantitative data assessment. The key question is—did you reach the "what ought to be" state? If so, you solved the problem. If not, you must determine what went wrong.

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HANDOUT INDEX FOR ADMINISTRATIVE PLANNING

STEP I – DIAGNOSIS   Component 1 – Needs Assessment/Data Gathering

As your group discusses needs assessment, identify two or three critical needs, then list what kinds of data you will require.

STEP I – DIAGNOSIS   Component 2 – Involvement in Planning

Identify who will be involved in helping to make your plans. At what stages?

STEP II — PROBLEM ANALYSIS   Component 3 — Problem Statement

Develop a problem statement. What (or who) is causing the problem? What type of problem is it? What or who is affected by the problem?

Select a problem for analysis; try a force field.

STEP III — DETERMINE OBJECTIVES   Component 5 — Objectives Related to
        Over-all Goals

Write objectives for your component or project.

STEP IV — DEVELOP STRATEGIES/ACTION PLANNING   Component 6 —
Action Alternatives

Examine each of your objectives and generate several alternative actions for each objective.

STEP IV — DEVELOP STRATEGIES/ACTION PLANNING   Component 7 —
Developing Strategies

What strategies will help you achieve your objectives?

STEP IV — DEVELOP STRATEGIES/ACTION PLANNING   Component 8 —
   Task Analysis/Feasibility Testing

Make a branching diagram or other type of task analysis and develop plans for feasibility testing.

Identify some ways in which the temporary systems theory may be useful to you on your project or in your department. How will you plan for change?

STEP V — IMPLEMENTATION   Component 10 — Change Cycles: The Role of
        Leadership

In small groups discuss the following:

1.   Where are you in the change process?

2.   What kind of cycle are you using?

3.   How much does the implementation of your action alternatives depend upon
     the first two questions?

STEP V — IMPLEMENTATION   Component 11 — Budget and Resource
   Allocation

List all of the items you can now identify that must be included in your
budget. What other resources will be required to implement your project?

STEP V — IMPLEMENTATION   Component 12 — Total Systems Planning
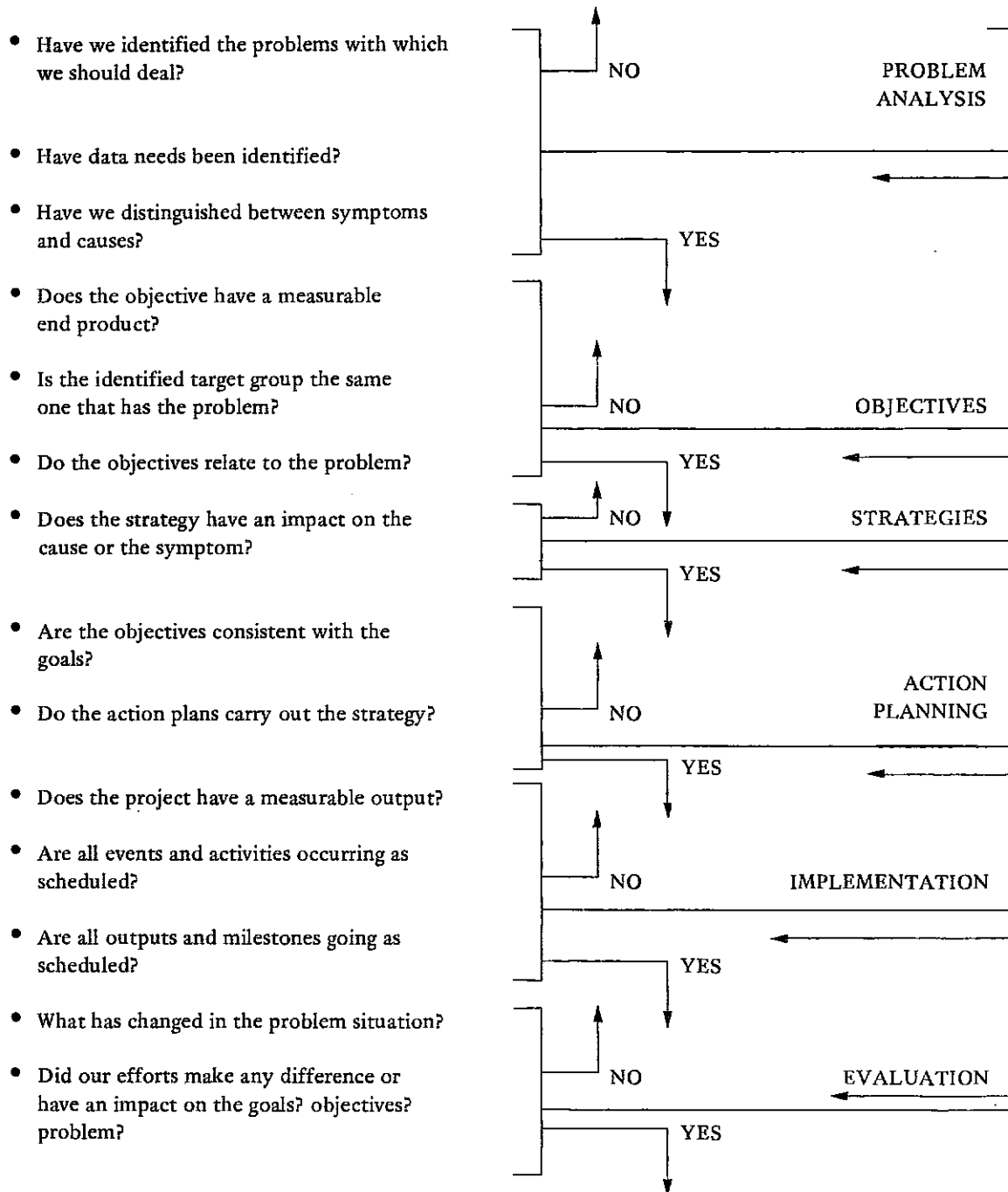
Describe in which ways your project is a sub-system. Now describe your project as part of a total system.
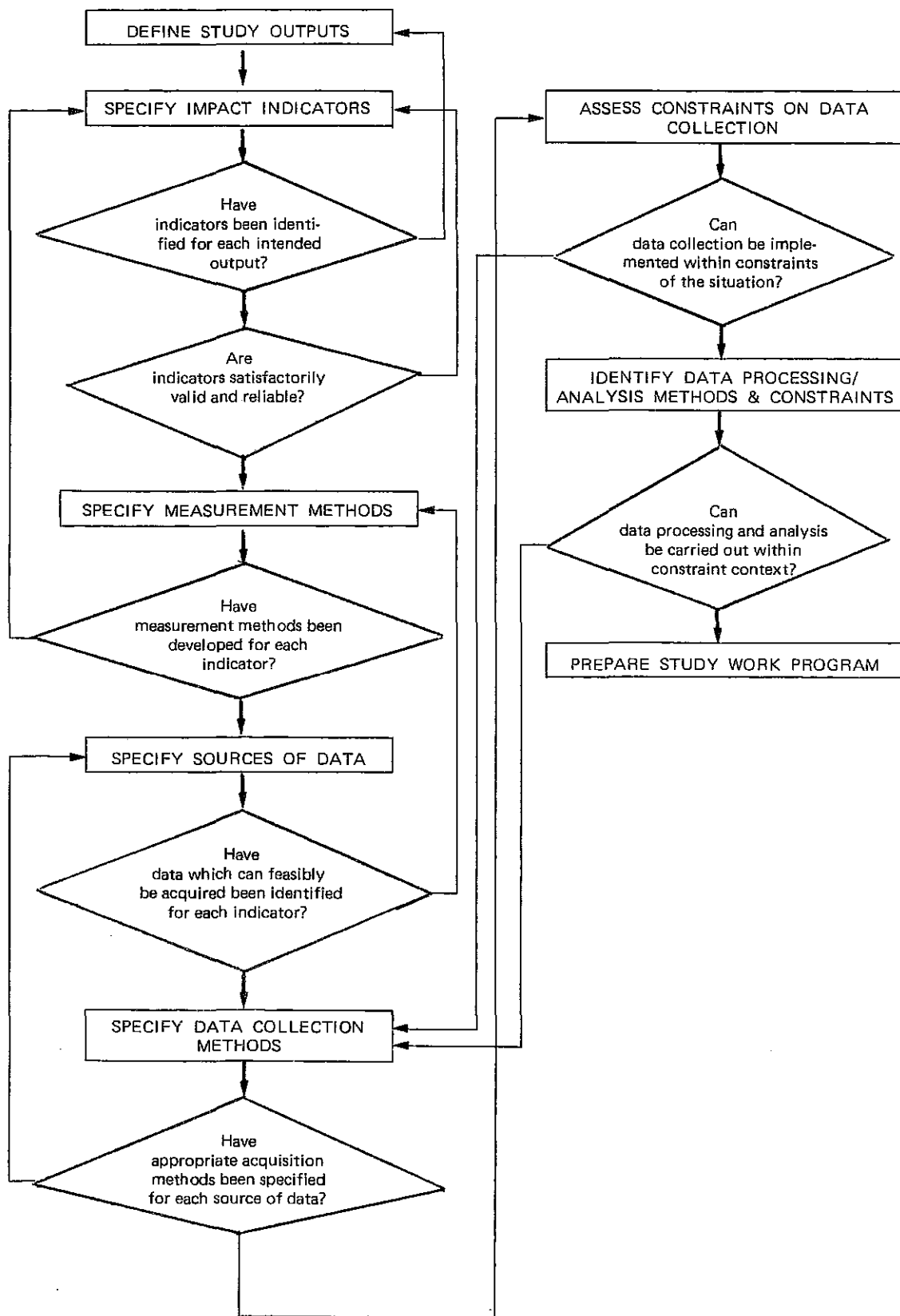
Write plans for evaluation of plans throughout the process.
Develop plans for evaluation of the progress and outcomes of your project.

GUIDE QUESTIONS DURING THE PLANNING PROCESS

- Have we identified the problems with which we should deal?

- Have data needs been identified?

- Have we distinguished between symptoms and causes?

- Does the objective have a measurable end product?

- Is the identified target group the same one that has the problem?

- Do the objectives relate to the problem?

- Does the strategy have an impact on the cause or the symptom?

- Are the objectives consistent with the goals?

- Do the action plans carry out the strategy?

- Does the project have a measurable output?

- Are all events and activities occurring as scheduled?

- Are all outputs and milestones going as scheduled?

- What has changed in the problem situation?

- Did our efforts make any difference or have an impact on the goals? objectives? problem?

NO   PROBLEM
            ANALYSIS

YES

NO   OBJECTIVES

YES

NO   STRATEGIES

YES

NO   ACTION
            PLANNING

YES

NO   IMPLEMENTATION

YES

NO   EVALUATION

YES

FLOW DIAGRAM FOR EVALUATION

HO-15

FINAL EVALUATION WORKSHEET

To what degree was the problem solved? To determine the extent to which the problem was solved, describe below the procedures you will use at the end of the implementation of your plan. Remember to base the procedures first on your objectives and second on the types of needs assessment data collected in step one.

PARTICIPANT EXIT FEEDBACK

Public
Management
Seminars

College of Public Affairs and
Community Service
The University of Nebraska at Omaha

Administrative Planning Workshop

This workshop is one of a series of the Public Management Seminars. We hope the Administrative Planning Workshop has been useful to you and that you will feel comfortable enough to share your feelings and reactions with us so future workshops may be improved.

This Participant Exit Feedback form is divided into two sections. If you wish to have your reactions to the workshop remain anonymous, please tear off the Part II section which asks for your name. We have requested names for purposes of quotation for promoting the workshops.

We would like to include some of your comments in future brochures so that others who have positions similar to yours may be helped in deciding to attend seminars. If you are willing to make such comments and have us quote them, we would appreciate your assistance. In that case, we will need your name so we can be certain you are also on future mailing lists.

Part I   Administrative Planning Workshop Reactions

A. *Rating of the workshop.* Instructions: Please rate the following items concerning the workshop. Circle your response according to the scale to the right of the items.

	Unsatis-factory	Satisfactory	Fair	Good	Excellent
1. Orientation and the introduction	1	2	3	4	5
2. Facilitators' effectiveness	1	2	3	4	5
3. Written materials and workbook	1	2	3	4	5
4. Potential for your use in your job	1	2	3	4	5
5. Overall reaction to workshop	1	2	3	4	5

B. What are your reactions and recommendations concerning the subject of the workshop?

   a. Strengths:

   b. Weaknesses:

   c. Recommendations:

C. What are your reactions and recommendations concerning the delivery method?

    a. Strengths:

    b. Weaknesses:

    c. Recommendations:

Part II — Information for Mailing Lists and Brochures

1. We would like to include your comments in our next brochure.
   (Please limit to thirty words.)

   _____

   _____

   _____

   _____

   _____

   _____

2. For our mailing, please print your name and address:

   NAME: _____

   TITLE: _____

   ORGANIZATION: _____

   STREET ADDRESS: _____

   CITY: _____ STATE: _____ ZIP: _____

   Telephone: Area code: _____ Number: _____

3. May we say you recommended the following persons?   _____Yes   _____ No

4. Names of persons to be sent information on the seminars.

   NAME: _____

   TITLE: _____

   ORGANIZATION: _____

   STREET ADDRESS: _____

   CITY: _____ STATE: _____ ZIP: _____

   Telephone: Area code: _____ Number: _____

   NAME: _____

   TITLE: _____

   ORGANIZATION: _____

   STREET ADDRESS: _____

   CITY: _____ STATE: _____ ZIP: _____

   Telephone: Area code: _____ Number: _____

USE REVERSE FOR ADDITIONAL NAMES

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