SPARC Report

SPARC Corporate Planning
Revised Guidance Pack 2013-15
Part 1: Overview and Guidance

June 2013
The opinions expressed in this report are those of the authors and do not necessarily represent the views of the Department for International Development.
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## Abbreviations and acronyms

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Full Form</th>
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<tbody>
<tr>
<td>CEO</td>
<td>Chief Executive Officer</td>
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<tr>
<td>CP</td>
<td>Corporate Planning</td>
</tr>
<tr>
<td>ExCo</td>
<td>Executive Council</td>
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<tr>
<td>HR</td>
<td>Human Resource</td>
</tr>
<tr>
<td>HRM</td>
<td>Human Resources Management</td>
</tr>
<tr>
<td>ICT</td>
<td>Information and Communication Technology</td>
</tr>
<tr>
<td>MDAs</td>
<td>Ministries, Departments and Agencies</td>
</tr>
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<td>MDGs</td>
<td>Millennium Development Goals</td>
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<tr>
<td>MTEF</td>
<td>Medium Term Expenditure Framework</td>
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<td>MTOs</td>
<td>Medium Term Objectives</td>
</tr>
<tr>
<td>MTSS</td>
<td>Medium Term Sector Strategy</td>
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<tr>
<td>OD</td>
<td>Organisational Development</td>
</tr>
<tr>
<td>OHoS</td>
<td>Office of the Head of Service</td>
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<tr>
<td>PS</td>
<td>Permanent Secretary</td>
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<tr>
<td>PSM</td>
<td>Public Service Management</td>
</tr>
<tr>
<td>SA</td>
<td>Special Adviser</td>
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<tr>
<td>SERVICOM</td>
<td>Service Compact with all Nigerians</td>
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<tr>
<td>SLP</td>
<td>State Led Programme</td>
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<tr>
<td>SPARC</td>
<td>State Partnership for Accountability, Responsiveness and Capability</td>
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Executive Summary

Short summary
Corporate planning is a framework used by State Partnership for Accountability, Responsiveness and Capability (SPARC) to support state governments' Ministries, Departments and Agencies (MDAs) to: establish their mission, vision and strategic objectives, and configure their functions, structures, processes and workforce to meet the service delivery standards required from them. The approach has been used in different ways in each of the original five SPARC states. The methodology has also been introduced in the five new SPARC states. This Guidance Pack updates the methodology based on lessons learned about the corporate planning process to date and provides a variety of tools and templates to support corporate planning processes over the remainder of the SPARC programme. It is intended to be used by SPARC state teams and consultants, but also by state government officials with a role in supporting corporate planning in their states.

Full summary
Corporate planning is a framework used by SPARC to support state governments' MDAs to establish their mission, vision and strategic objectives, and configure their functions, structures, processes and workforce to meet the service delivery standards required from them. The approach has been used in different ways in each of the original five SPARC states and has also been introduced in the five new SPARC states.

A wide variety of lessons has been learned from the experience of implementing corporate planning to date. Some of the most important areas are:

• A stronger focus on relationship management, including obtaining buy-in from decision-makers;
• More flexible implementation to reflect the diversity of circumstances in states and in MDAs;
• Maintaining the pace and momentum of the process;
• A stronger focus on building MDA readiness and capacity to ensure that public servants are able to participate effectively in the corporate planning process;
• In certain stages of corporate planning there is need to shift the balance from a participative to a more extractive process;
• Strengthening mechanisms for SPARC state team engagement and cross-work stream linking throughout the corporate planning process;
• A stronger emphasis on learning and sharing within and between MDAs and states.

As a result of these lessons, this Guidance Pack presents a shorter and simpler corporate planning process which is to be undertaken in five main stages, ideally over a six-month period, as follows:

<table>
<thead>
<tr>
<th>Stage</th>
<th>Preparation</th>
<th>Mandates, Mission, Vision, Objectives</th>
<th>Functions, structures and processes</th>
<th>Establishment and workforce planning</th>
<th>Implementation Plan and handover</th>
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<tbody>
<tr>
<td>1</td>
<td>2 weeks</td>
<td>2 weeks</td>
<td>2 months</td>
<td>2.5 months</td>
<td>2 weeks</td>
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<td>2</td>
<td>2 weeks</td>
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<td>3</td>
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<td>4</td>
<td>2.5 months</td>
<td>2.5 months</td>
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<td>5</td>
<td>2 weeks</td>
<td>2 weeks</td>
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Resource materials contained in the accompanying Toolkit have been expanded to include guidance on each stage of the process as follows:

- A briefing note and introductory power point presentation, a readiness for change checklist, a sensitisation exercise and a model timetable to assist with Stage 1;
- Checklists, examples and templates to assist with setting MDAs’ mission, vision, values and medium-term objectives for Stage 2, as well as a guide to producing service charters;
- Step by step guidance on functional, structural and process reviews, as well as examples of process flowcharts and a process review template to assist with Stage 3;
- Step by step guidance on establishment and workforce planning, job evaluation, record-keeping, capacity building and suggestions to address immediate workforce gaps to assist with Stage 4;
- An example corporate planning Implementation Plan to assist with Stage 5.

The Guidance and the accompanying Toolkit are designed to be used by SPARC state teams and consultants, but also by state government officials with a role in supporting corporate planning in their states.
Introduction

Purpose of this Guidance Pack

The State Partnership for Accountability, Responsibility and Capability (SPARC) is nearing the end of its fourth year of implementation. One of its three main work streams focuses on the area of Public Service Management (PSM).

Corporate planning (CP) is an important framework developed by the PSM team to assist state governments' ministries, departments and agencies (MDAs) to review and improve their organisational performance. The methodology has been used in different ways in all of the original five SPARC states, and further variations have been developed to meet the particular needs of the five new states. SPARC's experience with the methodology has been kept under continuous review since 2010. A major review was carried out during 2011, and updated in 2012. This Guidance Pack distils the lessons learned from the experience of CP to date and sets out a shorter and simpler CP process, along with tools and templates to assist state teams to facilitate the work.

Structure of the Guidance Pack

The Guidance Pack provides an overview of the corporate planning concept, context and framework, and describes the changes to the approach which have been devised as a result of lessons learned through implementing CP to date. It also provides some practical hints on using the revised CP approach.

The main body of the Guidance Pack provides definitive guidance on how to conduct each stage of the revised CP process, and is supplemented by the expanded Toolkit which provides a variety of step-by-step guides, checklists, templates and examples to help with each stage.

Users of the Guidance Pack

This pack is intended to be used by SPARC state teams and consultants, but also by state government officials with a role in supporting corporate planning in their states. The materials are available to be used as they are, and can also be adapted and redrafted as necessary to improve relevance to specific state situations.

1 SPARC began work in 2008 in Enugu, Jigawa, Lagos, Kaduna and Kano. The programme was extended to 5 additional states in 2012: Anambra, Katsina, Niger, Yobe and Zamfara.
Section 2: The Corporate Planning Model

Definition

Corporate planning is a process in which an organisation (Ministry, Parastatal or Agency) analyses its objectives, priorities, development strategies and environment in the light of its mandate, and determines how to organise and apply its resources (human, financial etc.) to achieving its objectives and meeting its service delivery standards and targets.

There is no mystery about corporate planning. It is simply one approach to assisting organisations to make themselves 'fit for purpose'. In public service organisations, an organisation which is fit for purpose is usually defined as:

- Equipped with the correct structure, staff, and resources to carry out the duties required by its mandate\(^2\);
- With appropriate systems, processes and infrastructure to achieve the specific objectives and/or service delivery standards required by any overarching strategic plan\(^3\).

Specifically, a Corporate Plan guides the management and staff of the Ministry, Parastatal or Agency (or MDA) in a cohesive effort to carry out the MDA’s mandates.

SPARC's definition of corporate planning deliberately emphasises Organisational Development (OD). The process is intended to help government MDAs adopt a structured approach to building organisational capacity\(^4\).

Corporate planning is often used synonymously with Strategic Planning; indeed some definitions of strategic planning would be identical with the above definition of CP. However, the above definition has drawn a distinction to give more emphasis to the organisational change aspects. In development terminology, Strategic Plans are often focused more on the outputs of a government or ministry – the projects, programmes and services to be delivered in a given time period, and the finances required to produce them – and rather less on the internal organisational and human resource management implications which are the focus of PSM reform.

Why Carry Out Corporate Planning?

Corporate planning is a review and re-organisation process usually carried out in response to some sort of change. Such a change could be:

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\(^2\) The 'mandate' of an organisation is generally understood to comprise the framework of laws, rules, regulations or policies which define the organisation’s unique contribution to achieving the objectives of government.

\(^3\) Such as a Medium Term Sector Strategy (MTSS)

\(^4\) This term is used in the broadest sense. Organisational capacity includes: an appropriate organisation structure; well-designed systems and processes for doing work; the correct numbers of staff with the correct skills in properly-defined jobs, and a performance management system which ensures that staff know what is expected of them, objectively measures their achievements, and provides for continuous improvement.
A changing environment – political, economic or financial resulting in a changed level of public funds available;

- New technologies which radically affect the way work is done, e.g. Information and Communication Technology (ICT);
- New mandates, priorities or services required;
- Ageing workforce, redundant skills or other Human Resource (HR) constraint;
- New social/cultural norms e.g. public expectation, gender, etc.

Like any medium term development plan, the Corporate Plan should be kept under constant review to respond to relatively minor changes. It is likely that a major review will be required at approximately five year intervals.

**Corporate Planning in Context**

Figure 1 below illustrates the relationship between corporate planning and the various other elements of SPARC’s approach to public service reform. It takes as its basic building blocks the state government’s defined policy and strategy, the mandates of the MDAs charged with achieving the strategic objectives, and the budget which makes financial resources available.

Figure 1 then highlights those areas of MDA target and standard-setting, and planning and organisation which can be supported using the CP methodology. The rationale is that MDAs must be correctly configured for their responsibilities, and that public servants must: have defined objectives; be equipped with the necessary competences to carry out their work, and be managed to deliver their objectives.

Assuming that budget releases take place as planned and civil servants are performing as required, then the MDA is in a position to achieve its corporate performance objectives, leading to the achievement of government policy goals.

**Figure 1: Corporate Planning in the Context of SPARC**
The Corporate Planning Framework
Corporate planning can be best understood by breaking it down into a number of stages, as shown in Figure 2 below.

**NOTE THAT:** The CP approach has been revised but it is still based on the original methodological framework which is shown in Figure 2. The framework itself has not been altered from the original version. The revised guidance refers to the changed approach and process to be followed and the tools and templates to be used.

Figure 2: Summary of the Corporate Planning Framework

The starting point for corporate planning is the confirmed mandate of the MDA. The MDA mandate is usually confirmed by the highest levels of government through the Constitution, a Law or other legal instrument. On the basis of its mandate, an MDA can then develop a vision statement and its mission. This leads on to the next stage in which the MDA identifies its long-term strategic objectives – the priority services and outputs it considers it should deliver over a five to ten year time horizon based on analyses of the developmental challenges confronting it. These Strategic Objectives set the scene for the formulation of more precise Medium Term Objectives (MTOs).

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5 Note that mandate refers to the fixed long term purpose and role of the organisation. It is distinct from the organisation’s functions - which are the expression of the long term objectives (see below).
As Figure 1 shows, the MTOs must be derived from higher policy and strategic planning processes. They take account of political manifestos, short term priorities, likely budget and other resource envelopes. They are usually set for a three to five year time horizon and revised annually to take account of new issues and implementation performance. The Medium Term Sector Strategy (MTSS) is the most usual source of the MTOs (and it might be argued that there is only limited scope to apply the CP methodology where there is no MTSS or similar medium term plan in place). MTOs should normally be set with performance standards against which actual performance can be measured, and thus can also be used as the basis for Service Charters – contracts of service delivery commitments made by MDAs to the public.

The next stages of the process review the functions and organisation of the MDA. There are three parts:

- A functional review, clarifying the necessary core functions (derived from the mandates and medium term objectives);
- A structural review, to ensure that the MDA has the correct configuration of departments and units to achieve its objectives efficiently;
- A process review, to ensure that procedures and workflows are appropriate to the tasks of the MDA, and operate efficiently.

The end point of these reviews will be an appropriate organisational structure, with clear terms of reference for each department, section or unit. At the end of this stage, organisations are often faced with tough decisions: to introduce new functions and remove old functions, and to reorganise their structure.

The final stages of the process are concerned with aligning the staff structure and workforce with the needs of the organisation. Once the most critical structural changes have been made, the next stage is to look in more detail at the internal make-up of each department, section, or unit. An Establishment Plan identifies the key posts required for the new structure, drawing up job descriptions and linking the jobs to the salary grades.

The final challenge is to match the existing workforce with the Establishment Plan. This will highlight areas requiring repositioning of staff, workforce training, and recruitment and right sizing, culminating in the preparation of a Workforce Plan.

Ultimately each employee will have a clear job description from which annual targets can be derived, thereby providing the basis for individual performance assessment. The workforce plan will also enable the MDA to provide individual career development and training plans for its employees.
MDAs exist to provide services either to the public or to other public service bodies or both. Several MDAs in the SPARC states have produced and published Service Charters either as a direct follow-on from CP or through a separate SERVICOM⁶-style stand-alone process. Service Charters set out what the service user can expect from the MDA, what is expected of the users and how to complain should something go wrong.

⁶ Service Compact with all Nigerians
Section 3: Overview of the Revised Corporate Planning Approach

Tactical Changes to the Corporate Planning Approach
The SPARC PSM technical team has distilled the various lessons learned through the CP experience to date and identified the most important which will inform the updated CP approach. While the basic CP framework remains unaltered as shown in Figure 2 above, the tactical approach to CP is changed in a number of ways. This section provides an overview of the changed emphasis.

Buy-in and Relationship Management
In every state there are champions who are committed and enthusiastic about the CP process. All states find the process appropriate and helpful. Nevertheless, understanding is patchy, and the capacity of MDAs to work with the process is limited and uneven.

The revised approach has a stronger focus on relationship management throughout the CP process. There are three phases which need to be managed in different ways, as follows:

Phase 1 – getting critical mass, explaining and ‘promoting’ CP. This phase will call for participative and consultative methods to ensure that the process engages with as wide a population of stakeholders as possible. Briefings should not be restricted to senior managers, steering groups or technical teams. Mass communications should be used within MDAs to draw attention to the process, including posters, a series of short open briefing meetings, leaflets, a drop-in facility, etc. SPARC will have only limited time and resources for this, so the emphasis will be placed on supporting MDAs’ own managers to communicate and champion the process.

Phase 2 – maintaining pace (see below) and ensuring progress is reported widely and regularly. This is essential to ensure that people know what is happening, and do not ‘forget’ what is going on. Similar methods should be used as in Phase 1.

Phase 3 – technical development of recommendations and delivery of the reports. The primary contact for these activities will be decision-makers, who should have the opportunity to consider and comment on proposed changes and the implications of managing implementation before these are shared more widely. The emphasis in this phase will be direct engagement with the decision-makers (general participation is no longer appropriate at this point).

Diversity and Flexibility
MDAs in several states have pointed out the importance of the process being ‘home-grown’ emphasising that it is important not to impose ‘technically correct’ mission, objectives, structures and processes, but to support states to develop their own. At the same time, SPARC support MUST provide rigorous technical analysis and challenge objectives, structures, functions and processes which do not constitute good quality in terms of technical standards. This means that consultants and state technical CP support team

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7 For example, in a number of instances SPARC consultants have accepted MTOs which focus almost entirely on building the capacity of the MDA undertaking corporate planning, rather than focusing on its service
members should be more assertive when challenging the conclusions of participatory workshops: highlighting anomalies and citing comparisons from their experience elsewhere.

In addition, it is important to recognise that the basic methodological framework need not be applied too rigidly. For example, in a state or MDA where existing development plans already document adequate Mission, Vision or MTOs, it will be sufficient to undertake a rapid validation exercise rather than redeveloping these foundations. Where an MDA has already embarked on partial reorganisation or other organisation development processes, recognition of this should allow us to speed up the function, structure and process review stages.

To ensure flexibility, the new approach will place more emphasis on negotiating the starting point for CP support, taking account of the status quo in each MDA. In addition, SPARC support will strengthen a 'home-grown' approach by ensuring that states establish and resource an internal MDA technical team, not only to gather data, but also to analyse findings and participate fully in formulation of organisation development options.

Pace and Momentum
In early CP instances the process was slowed (or perceived to be slowed) because of the inevitable time lag between completing analysis and developing recommendations, and decisions about implementation. It is an inevitable reality that implementation is challenging for MDAs, and often requires iterative consultations with other MDAs and lengthy Executive Council (ExCo) review and approval processes. Further, an overly-participative process often frustrated participants and consultants alike - the early stages were sometimes described as 'slow', and 'boring'. While maintaining participation so far as possible, on balance a more extractive process will be used (particularly for functional, structure and process reviews, and for workforce planning) to speed up the process overall.

In the new approach, a timetable will be agreed and followed for the whole corporate planning process. The timetable should not be too protracted, so that the pace is maintained. For large or complex MDAs, it may be appropriate to phase the corporate planning process so that specific functions or directorates are completed in turn.

Delays at the various decision-making stages have also contributed to lost momentum. As part of negotiating the timetable, critical decision-points and responsibilities for sign-off of findings, and action should be clearly identified. Each stage of the process should be drawn to a definite close, so that ownership of recommendations, etc. is clearly transferred to the responsible MDA decision-makers.

Realism, Readiness and Capacity
It is vital to ensure that senior management of MDAs fully understand what is involved in corporate planning from the beginning and the process should not begin until the MDA is ready and interested. This is so important that the process should if necessary be delayed or delivery objectives. Similarly, SPARC consultants have accepted functions or structures which are not entirely appropriate to the work of the MDA because MDA CP participants wish to retain them.
deferred until readiness is certain. Time invested in building readiness is not lost. It is also important that MDAs should understand that corporate planning is an iterative process, to limit unrealistic expectations of 'quick wins' or 'perfect solutions'.

**State Government Roles**

It is absolutely clear that the process cannot move forward in an MDA unless there is at least one, and preferably several, champions at a very senior level. These people have to be able to fully understand the technicalities of the CP process; to see the potential benefits and want to achieve these, and be prepared to manage the organisation to implement change. However, strong champions can also cause delays if, for example, decisions taken when they are absent continually need to be revisited. The revised approach emphasises **investment in identifying champions and negotiating decision-making processes** to avoid this eventuality.

Apart from champions, corporate planning must be carried out in partnership with public servants. This is important not only for efficient use of SPARC's limited resources, but for sustainability of the organisational development effort beyond the lifetime of SPARC. Experience has shown that there are costs and risks involved in this approach, where state public service teams lack the capacity for corporate planning. The risks include compromised quality, wasted SPARC resources, and potential reputational damage. Nevertheless, the revised approach emphasises the need for SPARC to work with and through existing or new central reform agencies to define their roles and develop their capacity to support the process. In practice this will mean **establishing a technical team of counterparts for every CP process**\(^8\), providing the necessary orientation and training, as well as providing mentorship and supporting on-the-job learning to equip them to take responsibility for continuing rollout and maintenance of the CP process.

**Communications and Learning**

The revised approach will place greater emphasis on articulating the change management process. This should include a communications strategy and awareness-raising, as well as conducting a 'lessons learned' analysis after each stage. This will provide an important opportunity for coaching state government counterparts, as well as for sharing between states and State Led Programmes (SLPs).

**The Revised CP Process**

**While the basic CP framework remains unaltered as shown in Figure 2 above**, a more rapid and simpler process will now be used. All of the current CP stages shown in Figure 2 will still be completed, but these will be grouped into five main stages, to be completed so far as possible in a six-month period. Table 1 overleaf summarises the key features of the updated process.

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\(^8\) Often established in the Office of the Head of Service (OHoS) to provide an overview and continuity as well as guidance and direct support to the MDA-specific CP teams.
Essentially, this would mean that the client MDA receives four interim (stages 1, 2, 3 and 4), and one final (Stage 5) report. The reports would be received by the previously agreed deadlines, and the decision-makers would be asked to respond within a specific timeframe. This is designed to overcome the current problem of MDAs failing to approve and implement the recommendations of earlier stages in reasonable time - so that SPARC and state counterparts can continue to the next stage of work as required by the agreed timetable.
<table>
<thead>
<tr>
<th>Stage</th>
<th>Time</th>
<th>Key Features</th>
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</table>
| 1 Preparation| 2 weeks| • An intense communication process to ensure that MDAs fully understand what they are starting;  
              • Presentations, documents, meetings, etc. should all be used;  
              • Identification and mobilisation of internal technical team;  
              • Preliminary scoping exercise to tailor the approach to MDA circumstances;  
              • Formal agreed explicit plan and timetable. |
| 2 Mandates, Mission, Vision, MTOs | 2 weeks| • Short and sharp, but participative;  
              • Wide involvement;  
              • Drawing on whatever strategic plan, MTSS or other sources already exist rather than beginning with a ‘blank sheet’. |
| 3 Functions, structures and processes | 2 months| • Expert-led in two distinct stages;  
              • First step is to review functions and align structure;  
              • Second step targets critical processes for recommended functions, to include:  
              • Identification of existing processes to establish whether they are sufficient, and whether improvements to the processes are required;  
              • Identification and description of any missing processes which need to be introduced for critical functions;  
              • Identification of redundant processes to be abolished;  
              • Guided by a standardised methodology and templates;  
              • Conducted by trained consultants and/or state team members;  
              • Mainly extractive but with participative validation;  
              • Reporting clearly focused on the MDA decision maker(s) who will need to approve and implement the recommendations, rather than a general consensus-based process;  
              • Particular attention to be paid to communicating the outcomes to other staff. |
<table>
<thead>
<tr>
<th>Stage</th>
<th>Key Features</th>
<th>Reports</th>
</tr>
</thead>
</table>
| 4 Establishment and workforce planning | - To include proposed establishment structures, which may require some workload analysis as well;  
- Primarily expert and extractive;  
- Involves collecting and organising large quantities of information;  
- Guided by a standardised methodology and templates for workforce planning;  
- Conducted by trained consultants and/or state team members;  
- Job descriptions to be prepared and job analysis to be undertaken as needed;  
- Reporting clearly focused on the MDA decision maker(s) who will need to approve and implement the recommendations, rather than a general consensus-based process. | INTERIM REPORT: Establishment Workforce Plan |
| 5 Implementation Plan and handover | - Summarising all of the key recommendations;  
- Identifying an implementation timetable and responsibilities;  
- Including a transition plan covering:  
  - workforce migration to new posts;  
  - communications strategy;  
  - progress reviews;  
- Formal agreement and sign-off by MDA decision makers. | Compiled reports Implementation Plan Lessons learned |
Practical Application of the Revised Approach
Apart from the streamlined process described in Table 1, CP facilitators should also give consideration at the planning stage to:

- The most effective way of awareness raising and explaining the corporate planning process, its benefits and limitations before the beginning of the work. Identifying and engaging champions and technical counterparts is one of the most critical elements of this - but is not sufficient in itself;
- How precisely to achieve an improved balance between participative and extractive processes. (As described above, participation is more appropriate in the early stages of corporate planning, shifting to a more extractive diagnostic process, particularly for the structural and process review stages, and aspects of establishment and workforce planning);
- Whether it is desirable or possible to restrict consultancy inputs to a small number of consultants who have demonstrated an in-depth understanding of corporate planning, and organisation development in general, and who have the very considerable analytical skills which are required for this work;
- How best to guide and support SPARC state team technical staff so that they are able to contribute fully, with Technical Stream Leader support, to CP initiatives without compromising outputs or quality standards;
- How best to provide explicit guidance and briefings for other work streams and SLPs to ensure that they fully understand and are engaged with the corporate planning process in the relevant MDAs. (Apart from their technical input to the functional and process review/design stages, and to the development of job descriptions and establishment plans during the corporate planning process, the other work streams will continue to work with their MDAs on the implementation of agreed new structures, processes and workforce after the completed corporate plan has been signed off);
- Whether there is scope for/benefit in linking CP to the first stages of service delivery improvement (service standards, charters and service level agreements) to make the connection between MDA 'fitness for purpose' and outcomes in terms of improved service delivery;
- How precisely to build the capacity of counterparts to participate in corporate planning, both in the target MDAs and in central reform agencies charged with supporting the process;
- Defining arrangements for systematic lesson learning and sharing, both within and between states, throughout the process.
Section 4: Stage 1 Revised Corporate Planning Process: Preparation

Duration: 2 Weeks

Key Features
- An intense communication process to ensure that MDAs fully understand what they are starting.
- Presentations, documents, meetings, etc. should all be used.
- Identification and mobilisation of internal technical team.
- Preliminary scoping exercise to tailor the approach to MDA circumstances.
- Formal agreed explicit plan and timetable.

Change Management in General
Corporate planning is in essence a process of enabling the MDA to respond to change. In the present fast-moving world, institutions are being constantly challenged to keep pace - change is pervasive in terms of expectations, technologies, attitudes, politics, resource availability etc. MDAs need to recognise that:

- Change is about challenge and opportunity;
- Change is about people – it requires the active participation of all their personnel;
- Change is a perpetual process – requiring constant review of an MDA’s structure, systems and processes in order to achieve its mandates;
- Change is about ownership by all stakeholders;
- Change requires competent change agents to help steer the process.

Ensuring that MDAs Understand and are Prepared for Corporate Planning
A useful first step is to define, understand and explain the goals and potential benefits of CP alongside other reforms being supported by SPARC (especially the introduction of MTSSs and improved budgeting) and other SLPs in the reform programme. For example:

- Unclear mandates mean that MDAs may not confidently plan budgets and organise resources to deliver core services. Clear mandates complement medium term planning to ensure that MDAs are correctly focussed to contribute to the implementation of sector strategies;
- Medium term objectives allow MDAs to be more strategic in their planning and better able to organise their staff and other resources;
- A clear mandate and vision can engage and inspire staff to deliver service and make a difference to citizens’ lives;
- Clear and appropriate functions and processes enable MDAs to organise resources and activities in the most effective and efficient manner;
- Job descriptions derived from defined functions and underpinned by efficient processes can increase staff motivation and are the basis for meaningful performance discussions;
• A proper gap analysis of the skills needed to deliver services and meet job standards and expectations will inform the training and development plan;
• More accurate Establishment Plans mean better cost control;
• Medium to long term Workforce Plans will address challenges such as an ageing or under-qualified workforce;
• Instituting a systematic approach to organisational reviews and training partners such as staff in states’ reform and transformation bureaux will add to the skills pool and sustainable change.

Once the need for change and the potential benefits of change have been accepted in principle the specific proposals and work plan can then be developed.

**Identifying and Mobilising the State Corporate Planning ‘Team’**

Senior management support is crucial to the success of CP. The support should signal a readiness to embark on a transparent process which intends to achieve improvements in effectiveness, efficiency and service delivery. It should also signal commitment to follow through on whatever plans are produced. Top management includes the Commissioners, Permanent Secretaries and Directors. They need to be committed to positive change and to initiate and drive the process. SPARC can assist with the establishment of this team by advising on who might be involved, briefing senior officers about the process, and developing materials to facilitate internal communications.

It is essential to establish a senior, state-level decision-making ‘CP Committee’ or other structure with responsibility and authority for driving the reforms and effecting change. These responsibilities should be outlined in a formal Terms of Reference to ensure clear accountability. The decision-making body should drive the pace of the work and hold those conducting the CP exercise to account. Experience indicates that Office of the Head of Service (OHoS) is the ‘natural’ home of such a committee, but it might also be placed with an existing committee which already has a wider reform remit (e.g. some states already have a high level ‘Reform Committee’ or similar body). In either situation, there may also be benefits in establishing a ‘Technical Team’ of officers which can act as a resource to support individual MDAs undertaking CP.

**Agreeing the Corporate Planning Model and Piloting the Process**

Testing any change model is a valuable way of gaining additional insight into some of the likely challenges and ways in which the process can be applied. It also means that the staff and other resources needed for the review can be planned and managed. To facilitate this, SPARC may support the development of a Concept Note or other briefing paper to assist the State-level CP Committee to determine how best to proceed. (However it should be noted that some states have begun with a single MDA-specific CP process, the experience of which then stimulated a state-wide initiative.)

If a state decides to undertake a pilot CP process, some of the key decisions are noted below:

• What is the precise purpose of the pilot? Will the pilot MDAs be the ‘showcase’ for others or a test bed for the methodology?
• Which MDAs will take part in the pilot and how will they be identified?
• Will the MDAs be able to absorb the demands on them – are they already at capacity for handling change from SPARC or other initiatives?
• How long should the pilot CP process last?
• What mechanisms exist, or need to be established, to coordinate, manage and monitor progress and logistics during the pilot?
• Who else will be involved eg Reform or Transformation Bureau staff; OHoS staff? Will they be released?
• Who will the MDAs nominate to do the work during the pilot? Will they be released from their day duties?
• What training or sensitisation needs to take place prior to the pilot launch?
• How to keep people informed and enthusiastic and maintain momentum during the pilot process?
• What will be the role of SPARC, what resources etc. will be required?

Once the pilot phase CP has been completed and the methodology adequately followed, the results should then be validated, adjusted and formalised by the senior decision-making body.

The process should be conducted in stages with quality assured at the end of each stage. It is important that each stage build on the firm foundation of its predecessor.

The formal recommendations should include a detailed work plan for proposed implementation of any changes which are to be rolled-out across the service.

**MDA-level Corporate Planning Preparations**

At the MDA level, the CP process needs clear management arrangements and structures if it is to succeed. It is up to each MDA to work these out for itself but they are likely to include:

• Some sort of temporary oversight structure (or steering committee) including the top officials such as the Commissioner, the Permanent Secretary (PS) and relevant Special Advisors (SAs) to plan, manage and communicate the process, approve the corporate plan and ensure its implementation;
• Specific technical team(s) reporting to the steering committee, with membership representative of the various departments of the MDA which will do the detailed consultations, data gathering, analyses, ideas etc;
• A mini ‘secretariat’ which drives, co-ordinates and supports the various teams or committees on a day to day basis.

Membership of the steering committee and technical teams should be selected from reform-minded officers.

If there is an agency charged with central support or oversight of CP or public service reform in general, it should also be represented in the technical team(s) and/or on the steering committee.
The MDA Steering Committee should decide how the MDA will develop its Corporate Plan. In order to do this the MDA CP team should undertake a preliminary scoping exercise to tailor the approach to the MDA’s circumstances. This will take account of, for example, pre-existing Vision or Mission Statements, MTOs, or ongoing structural or other reforms which must be accommodated. The timing of major data-gathering or other exercises should match the MDA’s calendar of events and make allowances for known peaks and particular workload ‘bulges’ (e.g. avoiding the budget period in MDAs responsible for budgeting and planning). When the precise approach has been agreed a formal plan and timetable should be developed and made public. This should include decision points and the submission deadlines and proposed contents of the stage reports identified in Table 1 above.

The planning timetable of activities should be developed for all committees and teams involved in the process. This should provide clear indications of when and where specific corporate planning activities will take place and who is responsible for what. For each committee, the following issues should be clarified:

- Who will organise meetings and workshop events?
- What results are expected from each?
- What support or facilitation is required?
- How will decisions be made and agreement reached on important issues?
- When and how will other stakeholders be involved in the corporate planning process (for example, the heads of department and clients)?

**Communicating throughout the Corporate Planning Process**

The SPARC OD approach to CP is based on management commitment, but also relies on communication, and active employee participation to achieve a degree of ownership and enhance the chances of success. Key features of this will be:

- A preliminary programme of e.g. briefings, posters, leaflets to ensure that all staff of the target MDA understand the reasons and objectives of the corporate planning process, understand how it will be implemented, and how they will be involved;
- A plan for continuing communication through workshops and meetings as well as paper-based information and updates.

The CP approach will balance highly participative methods in the earlier stages, (including mini-roundtables, forums, meetings, retreats, feedback sessions, etc.) with more extractive, expert and advisory processes for the later, decision-making stages. However, even where the latter are used, results and outcomes should be regularly publicised when managers have made their decisions.

Communication is fundamentally important to the success of a CP initiative and so it is essential to think this through in advance and set up an appropriate system. There are three areas to consider:

- Communication between the core actors, the committee members and various teams;
- Communication with the wider staff members and unions in the MDA;
- Communication with the public.
Communication between the core actors, the committee members and various teams
This level of communication will normally be achieved through regular meetings, mini workshops and retreats. It is essentially about managing and guiding the CP process ensuring common vision and direction, monitoring progress, resolving problem issues etc.

Communication with the wider staff members and unions in the MDA
Communication at this level is about keeping faith with the wider group of employees and their unions, informing and educating them on the corporate planning process. Any internal review or change process will create uncertainties, worries and rumours amongst staff. It is therefore important to ensure that staff clearly understand what is being done and why. It is also important to set up means by which they can directly question those driving the process, contribute ideas, express their concerns and see that these are being taken account of.

Communication methods will include large meetings led by top management, presentations, regular newsletters or briefing notes, posters etc. It may also be necessary for top management to hold specific meetings with union officials at an appropriate stage.

Communication with the public
Whilst the public will not really be concerned with the internal organisational arrangements of the MDA (unlike the staff), they should be informed about the strategic plans, objectives and service delivery arrangements. The external stakeholders or clients will need to know how corporate planning will impact on service delivery.

Communication with this group of stakeholders involves providing information through stakeholders’ meetings, focused roundtable discussions, print and radio/TV media, posters, information desks etc. It also may include inviting feedback through focus groups, suggestion boxes and public meetings.

Funding for Corporate Planning Activities
A corporate planning process does not need to be expensive but inevitably requires resources. Some amount of money should be earmarked for this purpose. This should ideally come from budgetary overheads on the MDA’s administration. It may also be possible to get support from donors supporting public service management reforms and capacity building. Where there is an existing donor funded programme in the MDA, the likelihood of getting funds or assistance in kind should be explored.

Areas where funding support will be needed may include:

- Workshops and meetings;
- Consultant facilitators;
- Stationery;
- Computer and internet access;
- Refreshments for committee work;
- Office supplies and support for the coordinating secretariat;
Publication and distribution of outputs such as CP progress reports, mandates, vision and mission statements, etc.

**Corporate Plan Documentation Format**

At the outset, a decision needs to be made about how the corporate planning process is to be documented. Although the MDA should be able to choose how they want the outcomes to the documented it is strongly recommended that the MDA receives interim reports and a final report as the stages in the CP process are completed. Ideally there should be four interim (Stages 1, 2, 3 and 4), and one final (Stage 5) report which includes summaries of all of the stages as a comprehensive record of the process together with all recommendations, an Implementation Plan and record of lessons learned.

**The Toolkit resources supporting Stage 1 are**

1a Briefing note on Corporate Planning
1b Readiness for change checklist
1c PowerPoint presentation: Introduction to Corporate Planning
1d Sensitisation exercise: walk-through Corporate Planning end-to-end
1e Model Corporate Planning Timetable
Section 5: Stage 2 Revised Corporate Planning Process: Mandates, Mission, Vision, Medium Term Objectives

Duration: 2 Weeks

Key Features
- Short and sharp, but participative.
- Wide involvement.
- Drawing on whatever strategic plan, mandates, MTSS or other sources already exist rather than beginning with a 'blank sheet'.

Introduction
This stage should be participative, but it should not be overextended. While wide involvement is desirable, this should be balanced with completing the work in a relatively short timescale. This stage of the process was the most likely to be described as ‘long and boring’ by many MDA staff in earlier CP processes. SPARC should not expect or encourage state CP teams to manage this through large or lengthy workshops. Experience suggests that as many as 40 participants may be manageable for some MDAs, but as few as 10 to 15 might be more appropriate in some circumstances.

Be realistic about who can usefully contribute to the discussions. Technical and professional staff may have valuable information and insights, and will benefit in terms of personal development. More junior staff should be represented, but it will be more effective to primarily involve those with the knowledge to contribute and the seniority to make decisions. However, the outcomes of the process should be widely shared with staff and a mechanism to allow staff to comment on the outcomes at a draft stage can improve engagement.

Many MDAs will already have usable documents or outputs relating to the different stages which will reduce the amount of work needed. If possible, existing mandates, mission, vision and MTOs should be reviewed and validated rather than ‘re-invented’. All relevant documents need to be brought to the table to facilitate this.

At the other extreme, some MDAs may not have any long-term strategic plan. However they should still be able to carry out CP effectively provided they are in a position to generate satisfactory long-term goals which are adequate to provide a basis for some medium-term plans. However it is highly desirable to have some form of long-term strategic plan (and preferably a detailed MTSS) in place as the basis for MTOs. With careful design of facilitated analytical exercises it should be possible to generate adequate outputs for these stages in a shorter time frame than has been adopted to date.

Clarifying Mandates
Clarifying an MDA’s mandate is a crucial first step in the corporate planning process. It defines the specific functions and responsibilities of the MDA within the scope of overall
Government activities. Mandates define responsibilities for services and functions between Ministries and agencies and between the tiers of government.

A mandate can be defined as:
- An official order or authorisation given to an MDA to act on behalf of government;
- Power or authority to implement certain policies, functions or programmes;
- A document giving an official instruction or power given to deliver a service.

**Note that many states will have already completed an exercise to clarify mandates across the government before attempting CP. Where this has happened then these should simply be cited and accepted as the mandate basis for CP.**

Once the mandate is documented\(^9\), the remainder of the CP process then determines how each MDA will deliver agreed services, targets and standards in accordance with the mandate. But before this can be done, it is necessary to ensure that the mandate is robust, and resolve any mandate problems, as described below.

A good starting point for clarifying mandates is to refer to the various pieces of legislation which may have been passed to establish the MDA. These will normally include the specific functions, powers, responsibilities and service delivery related activities which are thereby legally entrusted to the MDA. It should be possible to discern the core mandate and then the supporting functions.

Legislation may have been passed at different times in the past and it is best to get copies of all relevant legislation. Be aware that government may sometimes omit to repeal or amend legislation which has been superseded. This is a common cause for overlapping mandates.

The next stage is to review what functions and responsibilities the MDA is actually carrying out in practice.

- Is it implementing all of the functions in its enabling legislation or is it omitting some of them? If so which ones?
- Is it carrying out some functions which are not within its legislation? What are these and which MDA should be doing them?
- Have some other MDAs taken over some of the functions, if so which ones?
- Are some of the functions delegated to a parastatal or another tier of government? Which ones and exactly who is doing what?
- Are there conflicts over the mandate with another MDA or with a different tier of government?
- To what extent have gender and social inclusion issues been mainstreamed into the functions and responsibilities of the MDAs?

After reviewing the practical realities, any areas of mandate conflict and/or confusion should be readily apparent. These need to be resolved before proceeding further with the

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\(^9\) Changes to an MDA mandate should be submitted to the relevant official body and gazetted.
corporate plan. Resolution can best be achieved by holding direct consultative meetings with the MDAs where there is any confusion.

**Defining Vision, Mission and Core Values**

Developing long-term goals, objectives and strategies (covering a 5 – 10 year time frame) for the MDA is a crucial multi-stage process which starts with the setting of vision, mission and core value statements. This effectively articulates the key strategies (courses of action) by which the goals defined in the mission will be met. In essence, by developing prioritised long-term goals, the MDA defines its direction, and makes outline decisions on allocating its resources, including funds and people.

Vision, Mission and Core Value statements provide a strategic direction for the MDA through simple, succinct explanations of what the organisation is trying to achieve, how it will do it and who will work with it to achieve the desired outcomes. They also act as a focal point for achievement and bring people together to achieve a common agenda.\(^\text{10}\)

**Vision:** The Vision is the guiding picture and sense of direction that inspires the people of the organisation. It is about what will be achieved in the wider sphere if the organisation and others are successful in achieving their individual missions. A Vision Statement is an aspirational description of what an organisation would like to be and to achieve in the mid to long term. It is intended to serve as a clear guide for choosing current and future courses of action.

**Mission:** A Mission Statement is a brief written statement of the purpose of a public or private organisation, (including a ministry or department). Ideally, a mission statement guides the actions of the organisation, spells out its overall goal, provides a sense of direction, and guides decision making for all levels of management. A Mission statement often contains the following:

- Purpose and aim of the organisation;
- The organisation's primary stakeholders: clients, staff etc;
- Responsibilities of the organisation towards these stakeholders;
- Products and services offered.

**A Value Statement** sets out, in explicit terms, the beliefs that are shared by the stakeholders in an organisation and hence the ways in which it intends to relate and engage with its customers/clients/users/stakeholders. Values drive the organisation’s culture and priorities. The core values show what the MDA stands for and what is distinctive about its character.

Vision and mission statements that are developed by a wider senior management team (e.g. Hon. Commissioner, Permanent Secretary/CEO\(^\text{11}\) and Directors/Heads of Department) with inputs from other service-minded people in the MDA take longer to produce but are more powerful. Sharing the process of setting these goals, values and aspirations helps

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\(^{10}\) Many people confuse vision and mission statements and sometimes one is simply used as a longer version of the other, however they are quite different. A Vision statement expresses a state of being whereas a Mission statement is more specific about what the MDA should do

\(^{11}\) Chief Executive Officer
greatly in developing an effective organisational team. People in the organisation should see their needs and wants represented.

One approach to defining Vision and Mission is to pose two questions. Firstly, ‘What aspirations does the organisation have for the world in which it operates and has some influence over?’, and following on from this, ‘What can (and /or does) the organisation do or contribute to fulfil those aspirations?’ The answer to the first question provides the basis of the Vision Statement. The answer to the second question determines the Mission Statement.

**Goals, Objectives, Outputs and Activities**

It is very easy to become confused by definitions of terms like goals, objectives, outputs, results etc. Different organisations and people use these words to mean different things – sometimes interchangeably. What is important is to create a clear and agreed understanding of why the MDA exists, what it is trying to do and how it is planning to do it. A goal is a broad statement about the ultimate or long term aim of the MDA, the higher-order cause to which the work of the sector/MDA is intended to contribute (e.g. provision of affordable basic education for all ultimately contributing to improved living standards). Sometimes the statements describing the vision are essentially goal statements.

Objectives are a second order. An MDA may have one or several objectives which each contribute to the achievement of the goal. Objectives are usually shorter-term and more specific. They be aligned with the whole MDA or individual departments. Outputs and Activities come next in the hierarchy of purpose – more specific, more time-bound, more controllable. Table 2 summarises the hierarchy of Goals, Objectives Outputs and Activities.

**Table 2: Hierarchy of Goals, Objectives, Outputs and Activities**

<table>
<thead>
<tr>
<th>LEVEL</th>
<th>DESCRIPTION</th>
<th>Responsibility and Control</th>
</tr>
</thead>
<tbody>
<tr>
<td>GOAL</td>
<td>The Goal is a higher order or outcome longer term outcome that the MDA contributes to. It can be defined as the overall “big picture” need or problem being addressed.</td>
<td>The Governmental level Goals are something that one MDA alone does not totally control. Attainment of a goal requires a number of actors and positive external factors to come together</td>
</tr>
<tr>
<td>OBJECTIVE</td>
<td>The Objective(s) describe the specific and immediate purpose of the MDA. The Objective(s) need to be clearly defined so all key stakeholders know what the MDA is trying to achieve. The WHY Question.</td>
<td>The MDA level The objectives of an MDA are more within the scope of its control but not totally so. They are the sum of the outputs from the Departments. Their attainment will usually require some collaboration with others.</td>
</tr>
<tr>
<td>OUTPUTS</td>
<td>The Outputs describe what the MDA will actually deliver over a specific period of time. They can be thought as being the Terms of Reference for a department.</td>
<td>The Departmental or Divisional level Outputs should be under almost total control of departmental managers</td>
</tr>
<tr>
<td>ACTIVITIES</td>
<td>The Activities describe what will be done to achieve each output. The HOW question</td>
<td>The Individual or Unit level Activities are something which individuals or small groups are completely in control of their day to day work.</td>
</tr>
</tbody>
</table>
Defining Medium Term Objectives

Defining MTOs is a very important part of the CP process in terms of clarifying exactly what the MDA should be doing, setting performance measures and deciding the financial and human resources required to implement the strategies and policies.

Note that developing MTOs in the absence of some form of Sector Strategy/MTSS is a major undertaking that will require expert strategic planning and budgeting expertise as well as technical knowledge of the MDA’s technical sphere of operations. Very careful consideration should be given to whether it is possible to carry CP forward in a situation where no strategic objectives have already been defined and ratified for the sector or MDA.

The relationship between a longer-term goal, medium-term objectives and ongoing activities and inputs are shown in a simplified results chain in Figure 3 below. A results chain shows how the MDA’s inputs translate into ultimate impacts (the achievement of the goal) through activities, outputs and outcomes.

**Figure 3: Results Chain**

Desired outputs and outcomes should be defined as MTOs for all aspects of the work of the sector/MDA. There can be several different categories of MTO, including:

- Technical (sector/sub-sector specific) (These are critically important and must be covered);
- Institutional (new legislation, regulations etc);
- Organisational (structural and functional changes);
- Human Resources (staff development, deployment etc);
- Governance and accountability.

MTOs are essentially policy-based targets to be achieved within the medium term (3 to 5 years). They need to be realistic and affordable in terms of the human and financial capacity of the implementing agency. They should therefore be derived from, and relate to, reasonably accurate data and statistics on service needs and also the likely budgets available. In terms of policy they should be guided by any national or state policy or strategic plan (development plan, MTSS or other).

Some MDAs will already have some sort of MTOs in the form of 3 Year Rolling Plans or Medium Term Sector Strategies (MTSS). Ideally Medium term plans should also be part of a Medium Term Expenditure Framework (MTEF). However, the absence of these need not
prevent the MDA from defining its MTOs, provided it has a clear mandate, vision and mission and some strategic objectives have been defined and ratified.

It is particularly important to challenge MDAs on the quality of the MTOs which they propose: a consistent flaw in corporate plans developed so far is that many of the MTOs relate to building the capacity and resources of the MDA itself, rather than the services which the MDA should deliver. MDAs must be helped to define their actual responsibilities to deliver services and meet standards: without this, there is only a weak foundation for the next stage of the CP process.

**Linking Medium Term Objectives and Service Delivery Standards**

MTOs should include details of services and activities which can be measured through some sort of indicator. Indicators at the highest level can be about improvements in human development indices or Millennium Development Goals (MDGs) (more relevant to long term strategies than medium term plans). At the next level down they are usually about quantity, quality and equality of services delivered.

**Although not a formal requirement to complete the CP process**, it should be noted that once indicators are agreed, standards and performance targets can be set. And when an MDA has identified its performance targets and standards it is possible to make an immediate and direct link to service delivery and service charters. Service Charters are powerful tools for improving standards of public service, achieving greater accountability and transparency in service delivery, and reinforcing democratic principles by empowering the citizen. Many MDAs in the original SPARC states are already working on these, either as a direct follow-on from CP or through a separate SERVICOM-style stand-alone process. If the MDA is working through CP in an effort to address service delivery issues, it may be helpful to devote more attention to defining high quality indicators and standards at this stage - especially since this will improve the accuracy of the functional and process reviews at Stage 3 of the CP process. Alternatively these can be developed at a later stage - which may be preferable if the MDA is struggling with the service delivery concept.

**The Toolkit resources supporting Stage 2 are:**

2a  Checklists and examples for setting Mission, Vision and Values

2b  Guidance and template for development of Medium Term Objectives

2c  Guide to producing Service Charters
Section 6: Stage 3 Revised Corporate Planning Process: Functions, Structures and Processes

Duration: 2 Months

Key Features

- Expert-led in two distinct stages.
- First step is to review functions and align structure.
- Second step targets critical processes for recommended functions, to include,
  - Identification of existing processes to establish whether they are sufficient, and whether improvements to the processes are required.
  - Identification and description of any missing processes which need to be introduced for critical functions.
  - Identification of redundant processes to be abolished.
- Guided by a standardised methodology and templates.
- Conducted by trained consultants and/or state team members.
- Mainly extractive but with participative validation.
- Reporting clearly focused on the MDA decision maker(s) who will need to approve and implement the recommendations, rather than a general consensus-based process.
- Particular attention to be paid to communicating the outcomes to other staff.

Overview

This stage is one of the most fundamental and most difficult parts of the CP process. This is where the functions and processes of the MDA are analysed and refined and the organisational structure is redesigned to optimally deliver the MTOs. This stage consists of two distinct steps: review of the functions and redesign of the organisation structure, followed by review of the key processes involved in carrying out each function.

These have been the most problematic stages in CP exercises to date. Specifically:

- MDAs have not previously considered the relationship between their functions and the organisation structure, with the result that the structure does not readily map onto the necessary functions;
- Departments and units have proliferated for special purposes and been allowed to remain after their role has ended, often resulting in substantial resistance from MDA personnel to restructuring or abolishing them;
- Within departments and units the staff structure is merely a hierarchy of grades, without any consideration of the roles which are necessary to deliver the functions;
- Most significant of all, many of the processes which should be necessary to discharge the functions are not in existence, and MDA personnel are often unable to make the link between designing and operating process and delivering objectives.

As a result, facilitators have found themselves designing structures and processes for the functions on paper which bear no relation to the actual circumstances of the MDA. It is
apparent that this stage requires expert technical direction to ensure that proposed structures and processes are of sufficient quality. Participation should therefore be limited to small groups directly involved in the function and process. This analysis does not lend itself to large group workshops, and decision-making should not simply be on the basis of participants’ consensus. Final decisions on structures (which may have very significant implications for future staffing) must be the prerogative of senior managers.

Various approaches have been tested to streamline the functional, structural and process review. In a number of cases the three reviews have been combined, but this has led to extremely lengthy reports which essentially become lists of ‘ideal world’ structures and processes.

This guide proposes a different approach, as follows:

- The first step will be to ensure the organisational structure is consistent with the functions. This should be completed as a stand-alone task;
- Only when the functions and structure are agreed by the MDA Steering Committee should the process review be conducted;
- The process review should identify the small number of core functions which are necessary to discharge the function and meet the MTOs - and concentrate on these;
- The processes should be presented as simplified flowcharts showing the ‘as is’ and ‘future state’ processes (which incorporate necessary improvements and revisions) side-by-side.

The Toolkit provides examples and templates for the process.

**Definition of Terms**

**Function**: the special purpose, role or task of a public institution assigned to it by a higher authority - a duty specific to a particular department, unit, post or job.

**Functional Review**: examines the functions and structures of state agencies or budget entities and asks whether the functions need to be done at all, whether other agencies or actors could do them more efficiently or effectively, and what the consequences are for the organisation’s structure.

**Process**: a sequence of logically related activities, tasks or procedures delivering a clear output which contributes to the achievement of a core function, service standard or MTO outcome.

**Process Review**: an important exercise to ensure that the necessary processes are being operated to deliver the specified outcomes or services. Processes can cross departmental and unit boundaries (for example the recruitment of a new civil servant spans the Civil Service Commission, Office of the Head of Service and Finance.) Processes are mapped - usually using a flowchart methodology which identifies the steps in the process and the sequence in which they should be completed. Decision points which lead to branches in the process are identified, and the flowcharts can also locate the responsibility for completing each step.
Functional and Structural Review

Functional and structural reviews usually involve looking at the organisation from different perspectives and then reconciling these to achieve the optimum arrangement. These perspectives include:

- The alignment of structure and functions in terms of the mandate, mission and objectives;
- The implications of functional allocation and structure for the organisation’s actual performance and level of achievement.

Using these different perspectives, the functional review should consider:

- Is the organisation carrying out the right functions to fulfil its mandate and deliver its MTOs?
- Are some functions inappropriate? Could some be dropped? Should others be created?
- Are the functions that are to be retained organised and set up to achieve optimum performance?

Once the necessary functions are defined, the dimension of organisational structure can be considered. The two are completely interrelated. There is no one correct organisational structure - the design of an organisational structure is an exercise in finding the best match for the functions which are necessary. Many criteria need to be considered in arriving at the best structure, and it is usually necessary to negotiate through a number of iterations to fine-tune the structure. Some aspects to consider are:

- Ensuring that the structure reflects the role, relationships and distribution of the functions of the organisation (e.g. who needs to work, co-ordinate or communicate closely with whom);
- Ensuring that the structure achieves the desired balance of staff motivation, checks and balances and accountability;
- Ensuring that the structure provides for an appropriate ‘span of control’ (with between 5 and 7 people reporting to any supervisor (although the span of control can vary widely depending on the nature of the work and at different levels in the organisational hierarchy);
- Ensuring that the structure operates with the minimum levels of hierarchy (i.e. as flat an organisation as possible);
- Ensuring that the structure facilitates efficient internal control and speed of response;
- Ensuring that the structure fosters synergy of skills, expertise or knowledge aligned to the core function or service areas;
- Ensuring that the structure will comply with and if possible facilitate achievement of relevant gender and social inclusion equality targets.

It is very important that the proposed structure is shown alongside the existing structure, and that every significant change is identified, explained and justified in terms of how it
better aligns the organisation to fulfil its functions, and also how well it meets the other criteria defined above.

A key output of the functional and structural review should be the description of proposed responsibilities and functions of each department or unit and this should be taken as the starting point for the revised Establishment in Stage 4 of the CP process.

Public service organisations are normally extremely resistant to making changes to the structure, so it is essential to make a clear case for any proposed changes. Also be prepared to deal with inertia, and a tendency to simply accept and argue for the status quo – this is one of the reasons why structures should not be redesigned on the basis of a ‘workshop consensus’.

**Process Review**

The purpose of the process review is to map the processes which are necessary to deliver the core functions and MTOs of the MDA. Based on experience in the first wave of CP processes, there is almost always a large discrepancy between the actual processes in existence in the MDA and those which are required. Further, there is a wide variation between the comprehensiveness and fitness for purpose of different types of processes (typically finance processes are better defined than others), and wide variation between states (with some MDAs in some states being almost unable to articulate any defined processes for their work). Often there is no written procedure and sometimes people involved with the same process have very different versions of what takes place. The process is at best inconsistent and so difficult to record. In these cases it really is a matter of deciding whether the process is legitimate and needed and if so starting from scratch to lay out a reasonable set of steps. Finally, the poor design of many processes leads to a default position where decisions may only be taken by middle (or even senior) managers - with the result that these create bottlenecks.

The revised CP guidance adopts a pragmatic approach to process review, as follows:

- Focus on the key processes that impact most significantly on the service delivery of the unit;
- Set criteria to choose the processes to be analysed, which may include level of impact, the frequency of execution, the number of beneficiaries, the complexity of the processes, etc.;
- **Agree a short list of the most important processes to be reviewed**;
- For each of these processes, record the current process (the ‘as is’) on a flowchart;
- Carefully analyse each ‘as is’ process to identify whether it is fit for purpose or could be improved;
- Identify the time the process takes and who is involved (including players outside the MDA);
- Record any proposed improvements to the process on a new ‘to be’ flowchart;
- Itemise the changes which would be necessary to implement the improved process to assist the MDA to consider the proposals and take action.
The flowcharts need not be complex. They should simply capture the information in such a way that the process can be understood by the reader. The Toolkit contains examples of both simple and more complex flowcharts.

It is very important that the revised process is shown alongside the existing process, and that every significant change is identified, explained and justified in terms of how it better aligns the organisation to fulfil its functions. Expectations should be realistic: this process-oriented approach represents a very major cultural shift for most MDAs in most states.

The Toolkit resources supporting Stage 3 are:

3a  Step by step guidance to functional, structural and process reviews
3b  Guidance and templates to assist with process review
3c  Examples of simple and complex process flowcharts
Section 7: Stage 4 Revised Corporate Planning
Process: Establishment and Workforce Planning
Duration: 2.5 Months

Key Features

- To include proposed establishment structures which will require some workload analysis as well as drawing on processes.
- Primarily expert and extractive.
- Involves collecting and organising large quantities of information.
- Guided by a standardised methodology and templates for workforce planning.
- Conducted by trained consultants and/or state team members.
- Job descriptions to be prepared and job analysis to be undertaken as needed.
- Reporting clearly focused on the MDA decision maker(s) who will need to approve and implement the recommendations, rather than a general consensus-based process.

Once the structure and functional organisation of the MDA are clear, the next challenge is to set out the plan for the workforce composition, including jobs, skills, knowledge and behaviours to achieve the MDA’s objectives and how these will be addressed.

Earlier stages of the CP process will have led to a reconfiguration of the structure of the MDA, modifications to its functional responsibilities and their distribution as well as ways to improve the efficiency and effectiveness of the processes carried out. When adopted by the MDA, all of these organisational changes will have significant implications for the numbers, distribution, responsibilities and capabilities of the staff employed in the MDA. To align the MDA’s staff for the changes provided by the corporate plan, three interrelated steps must be completed:

- **Define a revised Establishment for the MDA**: to define the composition of the workforce in terms of posts, jobs, and skills required to respond to the structure, functions and processes proposed and adopted;
- **Analyse the Existing Workforce and Identify Gaps**: specifically match the current numbers, experience, competences and demographics of the existing MDA staff with the needs and identify the shortages in terms of staff, numbers, grades or competences which must be addressed;
- **Prepare a Work Force Plan**: which sets out the process of getting the right people, with the right skills, in the right jobs (identified in the revised Establishment) at the right time to enable the MDA to deliver its goals, strategic objectives and service delivery targets.

**Defining the Establishment**

In the public service an ‘Establishment’ is the list of posts approved for an MDA or a Department or other sub-component of the MDA that is intended to enable the MDA or sub-component to effectively and efficiently undertake its functions. The Establishment lists
each post by its title and grade. While the Establishment defines all approved posts, whether filled or vacant, the Nominal Roll provides a list of the staff that have been appointed and are in-post at any one point in time. The two should not be confused.

The revised Establishment should define the posts and disposition of staff needed to enable the MDA to undertake its responsibilities once all reorganisation and reconfiguration of the structure, organisation or functions of the MDA have been approved or at least agreed. One output of the functional and structural review should be the description of responsibilities and functions of each department or unit and this should be taken as the starting point for the revised Establishment.

Each Establishment must be designed for a particular department or unit and the establishment for every department will almost certainly be different from all others. The only possible exception to this will be some administration units, which will have identical or very similar duties no matter in which department they are located. The practice of creating identical post hierarchies (for example Department Head x 1, Department Head x 2, Principal Officer x 4, Senior Officer x 8 and so on) irrespective of the nature of the tasks being undertaken must be abandoned.

It should be recognised that in the revised Establishment that fits the MDA’s new structural and functional needs, some posts may now be redundant, new posts may need to be created, others may need to be transferred to a different department. Establishment planning, therefore, involves an MDA defining the posts it requires and assigning to each post the requisite job description/schedule, the necessary skills, grades and competencies. Part of this process includes job analysis and job evaluation.

**Job Analysis**
This is the process of assessing the characteristics, level of responsibility, competences and experience required of a job. This includes analysis of:

- The tasks that make up a job;
- The conditions under which they are performed;
- What the job requires in terms of aptitudes, attitudes, knowledge, skills, and the physical condition of the employee.

Job analysis should result in the preparation of a job description or job schedule which includes a list of the tasks, or functions and responsibilities of a position. Typically, it also includes the managerial reporting relationships of the post, as well as specifications such as the qualifications, experience needed by the person in the job etc.
**Job Evaluation**

This is the process of systematic comparison of jobs to assess their relative value and assigning jobs to a grade which is in turn linked to a salary scale. Job evaluation in the Civil Service is done across the board rather than on the basis of an individual MDA.

**Summary of Stages in Establishment Planning**

- List all existing posts (grades, required qualifications, experience level and competences).
- Compare this list to the output from the function, structural and process reviews.
- Create a new list of posts which fits the new structural and functional needs.
- Produce a new Establishment plan.
- Review the job descriptions for the existing posts which will continue.
- Consider gender equality and social inclusion.
- Create new job descriptions and grades for the new posts that have been created.

We know from the first round of CP experiences that few job descriptions exist, and the task of preparing job descriptions from the beginning is likely to be too time-consuming for SPARC to resource directly. Therefore consider preparing a few of the most important job descriptions while training and supporting the counterpart technical team to complete the remainder.

It is important to be aware that many civil servants will find the process of preparing job descriptions for their jobs highly threatening. They may be unwilling to cooperate with the process. More usually, they will overstate the duties and responsibilities of their positions. For this reason, job descriptions should be based on expert interviews rather than relying on staff-completed questionnaires.

**Workforce Planning**

Effective people management and development is fundamental to achieving service improvement. Unless the MDA can attract, retain, develop, manage and motivate skilled people it will find it difficult to keep pace with the increasing demands for high performance, improvement, modernisation and efficiency.

The goal of the Workforce Plan is to get the right people, with the right skills, in the right jobs (as identified in the revised Establishment) at the right time. A comprehensive workforce plan should identify the strategies for building the relevant skills and capacity needed for organisational success. It should set out how the MDA will recruit, support, develop and retain the employees it needs for the future. It will also show where employees will need to move to new jobs to meet changing needs and priorities and in some cases where there will be redundancies. The first part of workforce planning is a gap analysis that compares current workforce demography and capabilities with the workforce that will be required for future functions and responsibilities when revised structures and processes become operational. The second part is defining the required workforce and developing actions to bridge any gaps that may be identified.
However, workforce planning does not exist in isolation. It must mirror and take full account of the changes that a corporate plan might engender. Changes in organisational priorities, functional responsibilities or processes used to undertake activities will all create changing demands on the staff of an MDA. The workforce plan must also respond to wider development and service goals of the State Government as well as policies concerning recruitment and budget constraints. Equally any workforce plan must address strategic directions dictated by the MTSS and other MDA strategies.

Critical workforce planning questions are:

- Have the priority managerial skills that are needed for high performance been identified? (e.g. project and programme management; finance and planning, performance management; procurement; maximising the use of technology);
- Have the current and future occupational shortages been identified?
- Have the key generic skill gaps been identified across the organisation? (e.g. leadership, management development, customer care, health and safety, equal opportunities/diversity etc.);
- Have the potential future skills shortages/gaps been identified in relation to projected or expected changes to the workforce profile? (e.g. key occupational areas where there are large numbers of people nearing retirement or where there is high turnover; areas where skills needs are expanding such as technology);
- Have the potential future skills shortages/gaps been identified in relation to projected or expected changes in service delivery, working methods, technology, legislation or government policy?
- Has the 35% female staff target required in the National Gender Policy been considered?

Figure 4 below summarises the information which is used in Workforce Planning.
Analysing the Existing Workforce

**Summary of Stages in Workforce Analysis**

- Prepare a staff list showing details of all personnel currently employed by department.
- Compare the nominal roll (the workforce) with the establishment plan to identify mismatches and gaps.
- Identify the skills required to effectively undertake the new responsibilities.
- Conduct a personnel and skills audit to compare current skills against those which are required.
- Assess the projected size and nature of future demand for numbers and skills of staff.

Preparing the Workforce Plan

Once the needs and gaps are agreed, a workforce plan can be drawn up that addresses all the issues arising. Such a plan must consider immediate and medium term staffing demands reflecting any plans to increase the workload or breadth of responsibilities of the MDA. The plan should have clear objectives based on a staff management policy, including recruitment and training.
The plan should include proposals to:

- Fill gaps through recruitment and promotion;
- Provide training to address skills shortfalls;
- Retain key staff;
- Make provision for succession and/or future demand for staff at various levels and expertise;
- Reposition staff who no longer have relevant skills for the organisation;
- Ensure reasonable balance in the numbers of men and women at all levels of the organisation.

In addition to developing a plan to fill the immediate needs of the Establishment, a workforce plan should also include specialist plans for recruitment and retention, for succession and for training and staff development. **However, be aware that it may not be feasible to develop these detailed plans within the main CP ‘envelope’. It may be more appropriate to include the development of recruitment and retention, succession and training and staff development plans in the Implementation Plan - as one of the tasks to be undertaken by the MDA when implementing the approved Corporate Plan.**

Recruitment and retention plan
A recruitment plan sets out what jobs are required over a set period of time and what recruitment actions the organisation will take in order to meet these resourcing needs. The recruitment and retention plan will usually include an overarching statement of specific strategies to be deployed in meeting the recruitment and retention needs.

Succession plan
Succession planning is a process for identifying and developing internal personnel with the potential to fill key or critical organisational positions. It ensures the availability of experienced and capable employees that are prepared to assume these roles as they become available. Succession planning accelerates the transition of qualified employees from individual contributors to managers and leaders. It counters the increasing difficulty of recruiting employees externally and is very important for many MDAs which have very uneven workforce age profiles due to past freezes on recruitment. There are four stages to developing an effective succession plan:

- Identifying roles for succession;
- Developing a clear understanding of the capabilities required to undertake those roles;
- Identifying employees who could potentially fill and perform highly in such roles;
- Preparing employees to be ready for advancement into each identified role.

Training and workforce development plan
Preparing a training and staff development plan is the last key stage in the workforce planning process. It should be developed in the context of an overall training policy which has established key principles and a framework within which capacity building and training can take place. The plan itself should first set out some objectives and an analysis of the situation (gaps, succession needs, performance needs etc.) it is trying to
address. It should then elaborate what skills, knowledge, competencies and behaviours need to be in place within the organisation in order to achieve its objectives and how these will be met. Elements will include the overall approach to learning and capacity building, who is to be trained and what they should be learning, what type of courses should be attended (long term, short term etc.), where training should be carried out (on the job, distance learning, local workshops, state training institutions, national or international institutions) how training should be followed up. The plan should have a timeframe and be costed.

It is also useful to focus part of the plan on ensuring that talent is available for an organisation’s more strategic posts where impact on organisational success may be longer-term. This will include the systematic attraction, identification, development, engagement/retention and deployment of those individuals with high potential who are of particular value to an organisation.

The establishment and workforce planning stage usually involve collecting and organising large quantities of information. The HR spread sheet which has been developed as part of the SPARC HRM\textsuperscript{12} Resource Suite 2013 can be a valuable tool for collating and analysing workforce data, and is included in the Toolkit.

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\textsuperscript{12} Human Resource Management
Section 8: Stage 5 Revised Corporate Planning Process: implementation Plan and Handover

Duration: 2 Weeks

Key Features

- Summarising all of the key recommendations.
- Identifying an implementation timetable and responsibilities.
- Including a transition plan covering,
  - Workforce migration to new posts.
  - Communications strategy.
  - Progress reviews.
- Formal agreement and sign-off by MDA decision makers.

The final stage of the revised CP process is concerned with bringing the engagement to an orderly close, finalising and documenting the handover of all key recommendations and formally transferring responsibility for implementation to the MDA. Experience of earlier CP processes has shown that is a critically important stage to achieve closure and signal to the MDA management and staff that the process is completed, even in the common situation where slow decision-making means that implementation is not progressing on schedule. There are four main aspects to consider at this stage:

- Final handover of the approved Corporate Plan;
- Handing over a detailed Implementation Plan;
- Communicating the contents of the plan;
- Ensuring governance and decision making are in place for implementation;
- Monitoring progress with implementation.

Approval of Corporate Plan

The Corporate Plan should be formally presented to the Senior Management team (e.g. the Hon. Commissioner and Permanent Secretary), for consideration and adoption. As described above, the revised approach calls for four interim reports (covering Stages 1, 2, 3 and 4 respectively), and a final report which amalgamates and summarises the entire CP output into a single unified volume along with the implementation plan and a review of lessons learned.

Ideally, the senior management team members will be fully conversant with the plan before the handover. If not, it is highly desirable to make a presentation of the key contents. Discussion on implementation of the Corporate Plan should emphasise ‘who does what and when’ as well as detailed questions of resources, plan monitoring and evaluation, and timing.

Once the senior management has adopted the plan, it will probably be necessary to prepare a submission to Office of the Head of Service (OHoS) and onwards for ExCo. This is particularly essential if the plan involves changes in function, structure and staffing.
Implementation Action Plan
Implementation of the Corporate Plan, particularly changes to functions, structures, establishment and workforce, is a challenging task which may meet considerable resistance from within the organisation. It is therefore essential that the last stage of SPARC support delivers a comprehensive Implementation Plan which sets out clearly:

- The decisions which are required;
- The tasks which should be completed;
- The responsibilities for implementation;
- Timelines and deadlines and for implementation.

The Implementation Plan should recognise that changes of the scale called for by a comprehensive CP exercise cannot be implemented overnight, and so should include a realistic transition time (likely to be of the order of at least one year and possibly longer). In particular, transition plans should include practical proposals for migration to a new Establishment and dealing with the process of migrating personnel to new posts, retraining, new job descriptions etc.

It is highly desirable to provide some estimate of the cost of implementation, or at least to assist the technical counterparts to prepare a realistic estimate.

Implementation lies outside SPARC’s control, but SPARC support should focus on motivating the senior management team, who in turn need to:

- Act responsibly so that the sub managers and staff have confidence in the MDA’s ability to achieve the desirable results;
- Agree the specific actions to be taken and set a realistic timetable;
- Ascribe clear responsibilities to managers;
- Keep key stakeholders informed and constantly involved;
- Monitor progress regularly and publicly;
- Use every opportunity to learn from experience;
- Manage the available resources wisely and get the most value for money.

Communicating the Plan
The senior management team should determine how the Corporate Plan will be shared with others in the MDA and with key stakeholders. The plan and key supporting data should be distributed to all key people in the MDA. The vision, mission and value statements should be cascaded throughout the MDA.

In the process of plan implementation, the MDA should adopt a communication approach that ensures the exchange of accurate, timely and useful information among all key employees involved in achieving the Corporate Plan. The approach may include the following:
Face to Face Meetings

- Commissioner with senior management team.
- Senior management team with heads of departments and members of the corporate planning committees.
- Project status meetings with all – Commissioner, senior management team, heads and deputy heads of departments and members of the corporate planning committees.
- Project team meetings - heads and deputy heads of departments and members of the corporate planning committees.
- Mini presentations across the MDA, outlining priority actions that will enable goals to be achieved.

Written Communication

- In-house publications – articles on project status, etc.
- Government Newsletter – include items on the MDA to communicate project successes.
- Posters.
- Monthly project status reports to the Commissioner and Permanent Secretary by the coordinating secretariat/committee, based on reports from the heads of departments/corporate plan committees.
- Published recognition for corporate planning teams achievements and their successes.
- Quarterly reports.
- Inviting employee feedback on issues of concern.

In communicating the plan, the MDA senior management should primarily be guided by what it can do to make the Corporate Plan understandable and acceptable to people who have not participated in its development.

Monitoring Corporate Plan Implementation

The MDA senior management team have a crucial monitoring role to play which should focus on, ‘how well are we doing in meeting the deadlines and staying on track?’ and ‘how well are the plan’s goals being carried out?’ Some questions that need to be answered are:

- How will progress be documented?
- How often will progress be reported?
- Who will be responsible for tracking the progress?
- Who will receive the progress reports?
- How often should the senior management team review progress and discuss barriers to progress?
- How will achievement of goals be recognized and rewarded?

Communication to the whole organisation is necessary once these questions have been answered. Everyone should be clear on what will be tracked, how it will be tracked and by whom.
Cyclical Review of Corporate Plan

In some circumstances a corporate plan may need to be adjusted in the light of implementation experience, unexpected problems or circumstances. Regular review will help the MDA senior managers make the best decisions based on up to date information. Having said that, the MDA should not immediately revise its corporate plan every time it identifies something that needs to be changed. Constant changes can weaken the plan and lead key people and staff to lose confidence and interest in the process. As far as possible, a fixed review cycle should be used rather than relying on ad hoc decision making. The Implementation Plan should describe an official process to change the Corporate Plan. This will allow those who helped develop the plan to learn about the proposed changes and participate in refining and approving them.

The Corporate Plan should be reviewed at approximately five-year intervals. This can be done by the senior team (Hon Commissioner, Permanent Secretary and Directors), or responsibility could fall to the State’s designated organisation for public service improvement and reform. A cyclical review would include:

- Adopting and adapting the guidance and Toolkit; using and developing CP capability and knowledge of the methodology; capturing examples to add to the tool kit;
- Assigning responsibility for the review programme (e.g., to the OHoS, MDAs or the state reform body);
- Developing and publishing a timetable for the review programme; communicating with each MDA and drawing up a plan;
- Being prepared to undertake ad hoc reviews when necessary (e.g. where an Hon Commissioner or Permanent Secretary invites a review for specific reasons such as changes to mandate and function, or on the merger or creation of a new MDA to ensure functions are clear and duplication is avoided).

Lessons Learned and Shared

As well as ensuring that lessons learned are captured in the interim and final reports to the MDA it will be important to track and disseminate lessons learned to the wider SPARC community. These might include:

- Ideas and methodologies that worked - and why they succeeded;
- Blocks and barriers identified in the CP process and how these were dealt with;
- What methodology could be replicated in other MDAs, and what methodological changes would better suit the particular needs of the state;
- Examples to add to the Toolkit;
- Linkages with other work streams and activities (e.g. strategic planning, MTSS, MDA evaluations, HRM development and application);
- Sources of technical support;
- An appraisal of the state’s capacity to adopt and apply CP methodology and results, including the skill of technical partners and their further competence needs.
The Toolkit resource supporting Stage 5 is:

5a Example of CP Implementation Plan