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STRATEGIC AND OPERATIONAL PLANNING ... A STUDY TO IMPROVE LINKAGES

FOR

DEPARTMENT OF COMMUNICATIONS
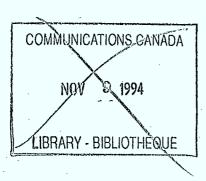## OTTAWA, ONTARIO

April 12, 1991

Strategic and Operational Planning
... a Study to Improve Linkages

for

Department of Communications
Ottawa, Ontario

Submitted to

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Strategy and Plans

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Department of Communications

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1.0 EXECUTIVE SUMMARY

The basis of this study was derived from a recommended action contained in the department management initiative entitled Challenge for Change.

For the purpose of this study Strategic Planning is a process of defining broad issues and direction for the Department as co-ordinated by DGSP. Operational Planning is a process of developing detailed workplans involving resource allocations. This study examines how well these two processes integrate or link with each other and explores how improvements could be made.

The findings and associated recommendations of this study resulted from conducting individual interviews with seventy-five department employees from October 25, 1990 to March 6, 1991. Interviews involved various levels of management and were conducted throughout the regions, at head office and with several of the Department's agencies.

The study was carried out by Bart Van Cromvoirt, a Special Advisor with DOC as a participant in the Business Government Executive Exchange Program. Bart is on exchange from Electrohome Ltd. where he is Director, Corporate Strategic Development.

Based on the findings of this study, the recommendations within Section 4.0 can be characterized by the following themes:

• Documenting and communicating clearly the strategic direction and objectives of the Department. The challenge will be to do this in a manner that illustrates how the employees' work, how the activity of other areas and how the minister's priorities all fit into the strategic direction of the Department.

• The commitment to strategic thinking needs to be consistently demonstrated by senior management.

• People want to feel part of the process. This includes the creation of shared values and improved consultations across the Department. Operations planning that is more rationalized and accountable will also help managers become more integrated within and committed to the process.

It is important to recognize that if real and sustainable improvements are to be made to the linkage between Strategic and Operational Planning, a shift in the Department's management culture will be required. This shift involves creating an environment that allows linkages or connections to be made within a climate which reinforces and supports this adjusted management behaviour. It remains the responsibility of all managers, but in particular the Deputy Minister, to take a

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continuing leadership role in creating such a linkage environment. Only then can linkages become an integral part of the management process within the Department.

The findings of the study are detailed in Section 3.0, however, a summary of same is outlined below:

• People see the need for and have requested that a Strategic Plan be developed for the Department. (over 50% of those interviewed requested this in one form or another)

• Present planning exercises are driven by short term priorities and lack a strategic orientation.

• There is no clear consistent understanding of the strategic planning process and who the Minister's priorities are integrated into overall Departmental workplans.

• There is a perception that strategic planning is not a priority of senior management.

• Strong support exists for a continuation of the strategic planning workshops. (62% of those interviewed felt this was a positive process)

• People questioned "where is this process (the workshops) taking us?"

• Some people did not understand role of DGSP

• Lack of shared values and at times, inadequate co-operation exists across sectors

• Precise communications and more consultations are requested

• Current approach to resource allocations is not conducive to increased management empowerment and accountability

• Lack of linkages or clear links within current process. (Over 65% of participants had this view)

In carrying out the research, it was found that for the most part, employees at DOC were dedicated, hard working, trying to do a good job and realistic about the realities of working in government. I also spoke to a large number of employees who were frustrated and cynical with the "system".

I believe that the aforementioned recommendations will allow the Department, but more importantly its people, to become more productive and satisfied in their jobs at DOC. These improvements will then compliment and strengthen the PS2000 initiatives currently underway within the Department.

2.0 INTRODUCTION

Background

The basis in part for undertaking this study comes from an initiative entitled Strategic and Operational Plan Linkages (item .3.7, page 15) taken from the Department's Challenge for Change dated January 1989.

The study was my assignment as a participant in the Business Government Executive Exchange Program administered by the Public Service Commission of Canada. The purpose of the exchange program is to improve business and government communications and understanding through the process of temporarily exchanging senior executives from both the private and public sectors.

Electrohome Ltd. is my current employer and the organization which nominated me to the exchange program. My last position before leaving was that of Director, Corporate Strategic Development, reporting to the CEO of the company. During some twenty years with Electrohome, I was fortunate to have had the opportunity to hold twelve different management positions, which included marketing, general management and corporate roles. My most recent assignment within the company involved the development of a process which allowed for a more effective way of monitoring the implementation of corporate strategy.

My personal interest has always been in the area of strategy implementation. An organization's success will, in the final analysis, be measured on its ability to implement its vision. It is within this context I agreed to take on this assignment and continue with my interest in this particular field of management endeavour.

My term with the Department ran from June 4, 1990 to April 17, 1991.

Study Purpose and Approach

Initial discussions were carried out with Alain-F. Desfossés (the Director General of Strategy and Plans when I started the assignment), Alain Gourd, Deputy Minister of DOC and other senior managers in order to confirm the points of reference for the study. This period of time also allowed myself to secure a meaningful appreciation of the management, planning and control process within the Department.

The objective of the study was to explore where improvements could be made to the linkage between Strategic and Operational Planning.

The scope of the study included a review of current Strategic and Operational Planning practices and the management decision and resource allocation process within the Department. All these activities were examined in the context of their impact on effective linkages.

The assignment was divided into five basic stages as outlined in the workplan (see Appendix 5.1 entitled Linkage Project Workplan).

The primary methodology used in carrying out the research for this study was to conduct interviews with seventy-five department employees. Individuals for the interviews were suggested by Alain Gourd and Jean Bélanger, Sector Co-ordinator, ADMCM, in addition, others were selected by the writer as the research progressed. Persons were selected, from various regions, sectors, agencies and levels of management throughout the Department. There was no real criterion for selecting participants, other than wanting to secure a varied representation from across the Department.

A questionnaire was developed (with input received from David Waung, Director, Strategic Policy Planning and used in the study process. The questionnaire, as outlined in Appendix 5.2 entitled "Study Questionnaire", was the primary research vehicle utilized to collect and organize the input received.

Ninety-seven percent of all interviews were conducted on a one-and-one basis. In this way individuals generally felt more comfortable in expressing more of their true views on this subject. While questionnaires were completed during each interview, individual identities and responses will not be revealed. The responses have been set up on a computer data base and organized by region, sector and management level. In this way study findings can be sensitized to different parts of the Department. The data base as structured, can also be utilized in future, to explore other areas that may not have been covered by the scope of this study.

During the Chantecler Strategic Planning Session, held in October 1990, Michel Séguin, Director General, Human Resources, requested that subsequent input be collected during the interviews. The purpose of this request was to solicit, from study participants, their views of the state of Human Resource Planning within the Department.

The input received from the participants on Human Resource Planning have, in part, been factored into this study. In order to maintain the integrity of the linkage research, it was decided to present the findings of the subsequent Human Resource request under separate cover.

The findings on the sequent request for input on Human Resource Planning will be presented to Michel Séguin, Director General, Human Resources.

This study will be presented to Eileen Sarkar, Director General, Strategy and Plans.

3.0 FINDINGS AND OBSERVATIONS

3.1 Introduction

The majority of interviews were carried out on location and utilized the questionnaire outlined in Appendix 5.2. The employees interviewed are listed in Appendix 5.3. A questionnaire was sent to the interviewee before each session. The duration of each interview was between one to one and half hours.

Before the interview started, an introduction was made regarding the background and purpose of the study.

The first two questions on the questionnaires were intended to secure an initial definition of Strategy and Operational Planning, before a base definition was given. The balance of the questions related, for the most part, to the linkage issue. The questionnaire was completed during the interview. The responses received were numerically coded to ensure that the identity of those interviewed was not revealed.

The actual responses have been compiled under separate cover. The responses have been set up on a computer data base and organized by region, sector and management level. In this way study findings can be sensitized to different parts of the Department. The data base as structured can also be utilized in future to explore other areas that may not have been covered by the scope of this study or to conduct an audit on how progress is being made on the linkage issue.

It should also be noted that the responses presented, for some of the questions, may have discrepancies in the number of times an issue is mentioned as compared to the percentage of those interviewed. This discrepancy exists because the same person may have made more than one comment relative to his or her response to a particular question.

3.2 Findings

The findings will be organized in part by the questions asked during the interviews. Some of the responses to the questions have been consolidated so that the material can be presented in a more meaningful way.

What Do You Define as Strategic Planning?

For the most part, people had a fairly good appreciation of what Strategic Planning was all about, with only 4% of the individuals not being sure of the definition.

Over 70% of those interviewed felt Strategic Planning was a process that involved defining where the Department wanted to go. It deals with broad and long term environmental issues facing the Department. It defines the strategic responses through creating goals/objectives for the Department. Planning timeframe ranged from 5 to 15 years. Only 13% for those surveyed mentioned that this was a process that included the Minister and about the same number felt this activity was a senior management responsibility.

What do you define as Operational Planning?

Again, most of the people interviewed had a good sense of what was meant by Operational Planning. The majority of the individuals defined the process as implementing the Strategic Plan and/or the broad objectives through the establishment of specific actions, tactics and activities. Resources are defined, with activities occurring over a short time horizon, from twelve months to three years. It was generally viewed that this process flowed out of the Strategic Planning activity.

What do you define as the linkage between Strategic and Operational Planning? (How in essence, should they link?)

The response to this question was varied, but re-occurring views emerged, typified by the following:

"The linkage is the relationship between Strategic and Operational Planning"

Other related and not so related views of linkages were:

"The link is an agreed to Strategic Plan which has a core theme through the entire process, including the Minister's priorities, plus a mechanism that continues to validate the direction of the plan".

"Linkages occur with manager's objectives at various levels".

"For linkages to work properly, the group priorities within the Department have to reflect and fulfil the external requirements, expected of the services of that group. In turn, they have to be in keeping with the priorities of both senior management and the Minister".

"The Deputy Minister is the linkage".

"People and resources are the linkage".

"Clearly tying back the Operational Plan to the Strategic Plan".

"The Assistant Deputy Ministers are the link".

"The link is, the interaction of the activities of the day, the political priorities that reflect the direction, and decisions of the Minister".

"Linkages happen by including the people (in planning), who prepare the Operational Plans".

"Linkage occur through consultations, especially with the Regions".

"The evaluation process is part of the linkage".

These various definitions touch on many aspects of the management process. These aspects are: key people, planning systems, control and monitoring, consultation (communications), employee evolvement, resources, priority and objective setting as major factors within the definition of linkages.

It is not one simple definition, but certainly a number of factors which taken in total, when carried out in a positive and constructive manner, allow the Department to strengthen an environment where good linkages can occur.

What is your view of the current state of linkages between Strategic and Operational Planning?

The majority of persons (over 65%) expressing their views on this question, felt that either there were no linkages, or linkages were weak or unclear between Strategic and Operational Planning. Some individuals weren't sure about the presence of linkages and assumed that they were evident, or that their supervisor was likely advised of the links before he or she started their job.

Linkages were more apparent, for employees, whenever persons were more closely involved with the delivery of major policy initiatives and/or legislation. This situation was typified by programs with the National Museum Policy, Spectrum Regulations, etc.

Persons also described linkages, which were more informal, and that a lot of the managers spent time interpreting either the link and/or the direction that should be taken. The lack of clear linkages also created this management interpretation situation to exist.

What might be some of the ways that we could improve the linkages in particular to resource implications and monitoring mechanisms?

The response to this question was varied. The suggestions for improvement are organized into seven categories, which represent over 75% of the responses. The following outlines the categories and illustrates the number of times people mentioned a specific improvement.

Ways to Improve Linkages	Number of times Mentioned	% of Total Interviewed
Develop a Strategic Plan or a document defining a few key priorities	21	28
Enhance cross sector consultation, downward communications and the involvement of people in the process	20	27
Create a more meaningful rationalization process for the allocation of resources, the priority of ongoing programs, while allowing for a challenge process on the results to be achieved	16	21
Better utilize current management reporting and control system, i.e.: BYOP, MYOP, New Minister briefing books and Ministerial Workshops, etc.	9	12
Better monitoring and evaluation of agreed to objectives	8	11
Clarify roles and improve co-operation between the sectors	5	7
Greater involvement by senior management in the planning process	4	5

The top three categories relate to developing a strategic plan, improve overall consultation and creating a meaningful rationalization process.

In your view what might be the roadblocks for such improvements? (as suggested in the response to the previous questions).

The responses to this question were even more varied. Generally speaking, however, the views of individuals could be categorized into about eleven different Roadblocks to Improving Linkages.

Roadblocks to Improving Linkages	Number of times Mentioned	% of Total Interviewed
Ministerial priorities and political realities	23	31
Lack of senior management commitment to the planning process	15	20
Lack of time and current workload	14	19
Fundamental differences (dichotomy) in the nature of the Department, i.e. technology versus arts, etc. Lack of shared values, etc.	13	17
Lack of cross sectoral consultation and communications	10	13
Lack of priorities established by senior management	8	11
Absence of good objectives setting, lack of accountability and a challenge process	7	9
Structural or process related	6	8
Senior management style	5	7
General lack of resources and staff turnover	5	7
Lack of client sensitivity and/or lower level input to the process	3	4

It was clear that the roadblock most mentioned was that of Ministerial priorities and political realities. At the same time most people recognized that this was part of working within a government environment and that this situation was not about to change. It was also recognized that the balance of the roadblocks can be positively influenced by senior management.

This leads us to the responses of the next two questions, that take into account these roadblocks.

What doable improvements might there be and what specific issues must be addressed by senior management that will allow sustainable enhancements to occur.

We will first examine the issue of doable improvements. It was interesting to find some variances in the responses to this question from the different sectors.

The majority of those responding (over 65%) from ADMCP were resigned to the fact that the Minister drives the priorities and that this situation, plus political realities, would make it extremely difficult to make any real improvements.

The Regions and parts of ADMRS, on the other hand, had some strong feelings about the need for a better balance between informality and formality of priorities, a requirement to increase the commitment to the basics of management and a request to improve consultation.

Overall, the responses to this question are summarized below.

Doable Improvements	Number of times Mentioned	% of Total Interviewed
Creation of a Strategic Plan and setting the priority to dialogue about longer range strategic issues	18	24
Rationalization (Challenge) process within the budgeting activity linked back to the Strategic Plan	11	15
Better communications and consultation - downward, across and upward on priorities and relevant issues	11	15
Clarify group roles and improve communication of same	8	11
Create on improved environment of co-operation and mutual trust through shared values and common vision	6	8
Commit to an objective/priority setting process both down and across	6	8
Spend more time on the basis of management and on the training of same for managers	5	7
Create a Network of Strategic Planners within the Department	3	4
Others	3	4

What specific issues must be addressed by senior management that would allow sustainable and doable improvements to occur?

It was found that many of the issues isolated in this summary were similar to those raised in the response to the previous question.

Issues that Must be Addressed by Senior Management	Number of times Mentioned	% of Total Interviewed
Work toward a greater co-operation and teamwork between the groups by in part recognizing the importance of all the parts and their subsequent contribution	21	28
Create a Strategic Plan and commit to dealing with longer term strategic issues	20	27
Improve communications, consultation and feedback to lower levels	16	21
Commit to a real rationalization and challenge process linked back to a Strategic Plan	14	19
Create meaningful objectives (part of appraisals) and a priority setting process that weighs the implications of implementation	11	15
Balance the priority process by managing up	7	9
DGs and ADMs should take a greater initiative in dealing with the strategic issues facing the Department	3	4
Challenge for Change and PS2000 should continue	3	4
Allow managers to manage; continue support for anti-bureaucracy activities; and review the use of executive time; were all misc. issues raised	2	3

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Will these Improvements help you do a better job in fulfilling your responsibilities at DOC?

The response was not surprising, with the majority (72%) of persons interviewed indicating that if improvements were made as previously mentioned, it would help them in carrying out their responsibilities at DOC.

What is your view of the current Strategic Planning Process?

The response to this question was also varied and the range of views are typified by the following actual quotations.

"Do we have one, I have never seen a document that places our objectives and our activities in any form of broader context. We see Global Vision only after it is completed".

"There is no incentive to do Strategic Planning with the Department. What does it really matter if it's done or not. There is lack of Senior Management commitment to the process. By adding things incrementally you're not deciding on priorities and without some linkages it's very hard to make trade-off decisions throughout the planning process".

"Strategic Planning in certain areas is good, such as, in the Spectrum Management group. Other areas are loose. Area interests seem to override the need for planning. The linkages between various units of the Department, which have to work together to attain the strategic objectives, are not always identified. Roles of units are not identified either".

"The strategic planning process used to be better defined. Process appears more on way now, with less interaction. There is less input from the Regions. It appears we are not thinking about the implication on other programs when thrusts come down from senior management. The lack of rationalization and a meaningful challenge process is also having an impact. No one seems to be allowing for or creating a co-operation between the sectors, the sectors seem not to be talking to one another".

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The responses are summarized in the following categories:

View of Current Strategic Planning Process	Number of Times Mentioned	% of Those Interviewed
What process? Don't understand it; what goes on; or to a lesser degree, what DGSP does?	18	24
Lack of commitment by management to the process	12	16
Lack of a strategy development and real challenge process	12	16
No real integration of all the processes and players	12	16
Focus is on Ministerial and Art & Heritage versus strategic priorities	11	15
Mission exercise was good but where do we go from here? Process seems incomplete; where is the link between strategy and the mission?	11	15
Lacks consistency, focus and is dependent on management style	10	13
Strategic Plan is needed and/or is currently lacking	6	8
Strive to ensure relevance of all the parts of the Department	6	8
Seems on track, process O.K. and improvements are coming	6	8
Good efforts by DGSP	6	8
Planning in the Regions is good and working	5	7
It's a senior management process, top down	5	7
Continue with working level involvement	4	5
The MYOP is our Strategic Plan; and if there is a Strategic Plan, it may be too political to communicate; were misc. views raised	1	1

Department of Communications

What is your view of the planning workshops organized by DGSP? How many did you attend?

Overall there was a very positive response to this question as illustrated below. More people would have attended from the Regions if they could have travelled to the Workshops.

View of Workshops	Number of Time Mentioned	% of Those Interviewed
Activity was good, meaningful, terrific, well organized, etc., attended, continue activity	23	31
Heard workshops were good, seems like a good process, didn't attend any sessions	To these 23 Regions 12 (travel issue) HQ 11	31 75 19
Didn't understand the process, where it fits and/or where all this activity was leading? The process created expectations	13	17
Issues didn't seem relevant, contents or other strategic issues should have been dealt with	7	9
Not interested, process or issues didn't seem to relate to me	6	8
Where were senior management?	5	7
Not clear that I could attend or didn't know workshops were going on	6	8
Couldn't attend, not enough time; and workshop summaries were good, both issues were mentioned three times	3	4

Any Ideas or thoughts for Improvements? (relative to the previous question on workshops organized by DGSP)

Some specific ideas on how to improve the workshops were:

"The workshops were not clear how they fit into the process, internal communications could be improved, more cross fertilization of ideas not just talk. Most importantly, we need to take this process somewhere now".

"The workshops were nice but where is it going. We have created expectations; what will be the final result of this process?"

"It will be important to continue to develop the Strategic Planning process. We will need creative ideas on how to tap the knowledge base within the Department. It may be a good idea to create informal networks within the Department. The purpose of this network(s) will be to draw on knowledgeable individuals so that position papers can be developed rather quickly on a particular issue facing the Department. This informal network(s) can be utilized to improve communications and interaction between the sectors. It seems natural for people who are very knowledgeable in a particular field to talk about what they're doing and what issues are emerging relative to their activities."

"Why are we talking about the issues presented by the workshops when we haven't even got the Department's act together, etc. We should be talking about the real issues facing the Department such as having the Department act as a unit versus moving ahead as individual tribes".

"a) better and more early consultations in the process would help; b) need to have a longer term document, this would help significantly to show how the regions fit into the total picture."

"The results of the workshops should have been used in a consolidated document. The output should have been summarized and some proposed responses to the issues discussed. These responses could have been brought forward to individual sector staff meetings and gone back to later sessions to secure consensus of the actions/directions of the Department. These issues, within this consensus building process, could eventually form the basis of the strategic goals for the Department. A strategic direction should come from the Deputy Minister. It should be in balance between the technical and cultural side of the Department in addition to accounting for the needs of the Minister. Overall, this vision should be flexible".

"Would like a workshop in the region in order to sensitize the process to the needs of the regions. We should also look at some internal issues facing the Department plus look at regional trends that will eventually impact the Department".

Additional suggested improvements can be summarized by the following:

Improvements to Workshops	Number of Times Mentioned	% of Total Interviewed
Get Regions involved and more regional sensitivity	10	13
Feedback needed on managements response to the process	8	11
Clarify how this fits into the process and what was next	5	7
Hold sessions on a regular basis	4	5
Expand role, informal discussion networks, etc.; have session panels made up of various levels; relate process to our day-to-day activities; more lower level staff should attend; better communications on the workshops; better links with other workshops carried out elsewhere in DOC; more senior management involvement; and more outside views were all suggestions mentioned at least twice.	2	3

What is your view of the current Operational Planning Process?

The view of those interviewed relative to this question are summarized below:

View of Operations Planning	Number of Times Mentioned	% of Those Interviewed
Useful process, helps you manage	Total 19 HQ 9 Regions 10	25 15 63
Not linked to a Strategic Plan or any strategic priorities	8	11
Doesn't seem effective	8	11
Lacks a challenge process and a real rationalization activity relative to resource allocations	7	9
Too much time spent in OPs meetings and the process itself is too cumbersome and detailed	6	8
Improvements continue	6	8
Process acts as a disincentive to managing your budget properly	4	5
Use of DM's fund, doesn't allow process to work properly; move to A Base approach; lacks feedback, human resource aspects and integration of other planning requirements	1	1

The operation process within regions appeared to be a more effective process. A majority of those persons interviewed felt it was a useful management tool and for the most part had good linkages back to the sectors' strategic plan (spectrum side of activity). This, however, was not the case for Arts and Culture activities, where few linkages exist; when there were linkages they were more of an informal nature versus documental priorities.

Are there any parts of the Operations Planning process that seem inappropriate or ineffective? Any ideas or thoughts for improvements?

Parts of OPs process that seem inappropriate	Number of Times Mentioned	% of Those Interviewed
Too many reporting systems, cumbersome, complex, process needs to be simplified	15	20
Doesn't deal with reality on what's really going on, need to move to A Base	11	15
Lack of linkages to the Strategic Plan or to Strategic Priorities	10	13
Lacks a challenge process, real review/rationalization activity and accountability	10	13
Requirements should be clarified and consultation within the process should be improved	8	11
Process acts as a disincentive to good management	6	8
Lack of dialogue on the implications of new priorities; human resource issues not adequately dealt with	4	5
No problems with the entire process; no real feedback; and that the documents were not useful were all mentioned less than three times	3	-

What parts of IMAA and PS2000 could be utilized to facilitate suggested Improvements to the linkage Issue?

The responses to this question is summarized below:

Impact of IMAA and PS2000 on Improving Linkage	Number of Times Mentioned	% of Those Interviewed
Unsure of Impact	14	19
PS2000 will force information to flow, better communications, legitimize the management process they're helping impact	10	13
IMAA and PS2000 will have a positive impact	10	13
No real impact - IMAA	8	11
- PS2000	4	5
Subject to the commitment by management on implementing PS2000	6	8
Too early for PS2000	3	4
Emergence of running costs will help	1	1

3.3 Observations

In carrying out the research, it was found that for the most part, employees at DOC were dedicated, hard working, trying to do a good job and realistic about the realities of working in government. I also spoke to a large number of employees who were frustrated and cynical with the "system".

This so called system seems to create roadblocks to allowing managers to manage, people to develop and in the final analysis, may prevent the Department from creating a more ideal linkage environment.

Good linkages occur within a working environment that reinforces management practices which allow clear connections to be made. This type of linkage environment requires a commitment from all employees but especially from management. In this way, it should also be understood that if improvements are to be made to current management practices, all levels of management will need to contribute.

4.0 RECOMMENDATIONS

As mentioned earlier, improving the linkages between Strategic and Operational Planning requires the Department to create an "environment where connections can be made more naturally". One single action will not create the environment, it will take actions and commitments from management and employees at every level. In particular, however, it is management which bears the final responsibility of ensuring that good linkages do occur.

In keeping with the aforementioned theme the following recommendations are broken out, based on various management levels within the Department and actions, which DGSP could take to positively influence the linkage process. Therefore, individual recommendations are presented for the Deputy Minister, Assistant Deputy Ministers (including the Department Senior Assistant Deputy Minister and Regional Executive Directors), Directors General, Directors (including Executive Assistants and Sector Co-ordinators), Managers (including Chiefs) and DGSP as a branch.

4.1 Deputy Minister

By the nature of this position the DM is viewed as the Department's Chief Executive Officer or to a great extent the Chief Strategic Planner of the organization. It will, therefore, be extremely important for the DM to continue to take the lead in concretely demonstrating to his senior management team that these recommendations are to be taken seriously.

1) Expedite the creation of a Strategic Plan or direction document for the Department in order to elaborate longer term strategic priorities.

2) Develop in co-operation with each ADM and Executive Director (with input from their respective organizations and responsive to the Minister's priorities) a short list of broad strategic objectives. These objectives should be referenced to the Department's Strategic Plan (as noted above) and form part of the annual appraisal process between the DM and his immediate senior management. This recommended process should be sensitive to the objectives which result from implementing recommendation 5) which follows.

3) Continue to demonstrate his support for creating a Strategic thinking culture within the Department. This can be carried out by continuing activities such as:

    a) Employee luncheons.

    b) Exposing views on Strategic Planning, as portrayed in the January 1991 issue of Communications Express, assists all employees in accepting the legitimacy of Strategic Planning.

    c) Announcement and support of the Strategic Planning process through the distribution of "Managing Change - An Agenda for Strategic Thinking" document.

4) A <u>better balance</u> of the allocation of time is needed during Strategic Planning sessions. More time should be allowed to deal with true long-term strategic issues facing the Department versus the preoccupation with short-term initiatives or status report discussions.

5) The importance of sharing a common vision for the Department within the senior management group could not be over-emphasized.

   This common vision can be most effective if it forms part of the Department's corpoate culture and beliefs. This can only be achieved by continually nurturing and strengthening the team spirit within the senior management cadre.

   It is therefore recommended that a team building exercise be undertakin. This exercise should be confined to the DM and his ADMs with input received from the DGs. The process should have as its mandate to:

   a) Forge in broad terms a proposed direction for the Department;

   b) Strengthen mutual trust and sector interdependence throughout the senior management team, and;

   c) Develop and agree on the strategic priorities for each sector.

   This sort of exercise is carried out by more progressive private sector firms. In most cases a professional team facilitator is retained to carry out the process. This may, however, not be the most ideal method within government.

6) Enhance the commitment to management training especially in the areas of how managers deal with and work through people, strategic planning and communication skills.

7) To demonstrate senior management's commitment to improving linkages report back management's response to the recommendations contained in this study.

4.2 Assistant Deputy Ministers

This category of managers includes all the Department's ADMs, its Senior Assistant Deputy Minister and its Regional Executive Directors.

1) Establish strategic objectives with Directors General as part of their annual appraisal process as well as defining more clearly the qualitative results or deliverables expected from the yearly BYOP process.

2) Re-evaluate the manner in which resources are allocated within the Department. The annual MYOP and/or BYOP process needs to be made more meaningful in order that managers can truly <u>manage</u> and be accountable to the process.

3) Assign an individual within each sector responsible to facilitate the strategy development process within the unit. Have this person communicate regularly and co-ordinate planning activities with DGSP.

4) Promote within each sector and across the Department an informal network of individual(s) who can periodically convey the environment or strategic implications relevant to their areas of expertise that may have an impact on the Department.

5) Examine the usefulness of the MYOP process. Either make it more meaningful or withdraw its use.

6) Examine how to use the DM's Reserve Fund more productively. Does its use deter an effective and accountable management process? Has the purpose and the application of the Reserve Fund been adequately explained or rationalized to managers?

4.3 Directors General

1) Staff meetings should be more broadly adopted across the Department. These should be held regularly and be issue centered.

2) Develop dialogue and consultation, both internally and externally, on strategic issues that face your area of responsibility. These strategic issues can then be incorporated into the planning process as co-ordinated by DGSP or within the sectors.

3) To assist in clarifying the role and purpose of branches within the sectors, each Director General should undertake with their management teams to create a brief branch mission and short list of key objectives. This will help to clarify the linkage between the Department's mission and the roles and contribution of each branch.

4.4 Directors

1) For those involved in policy development, strengthen the consultation carried out with the regions (when applicable) early enough so that policy implementation can secure greater regional sensitivity and input.

4.5 Managers and Others

1) Continue to get involved in the planning processes, especially when you are invited to contribute vis-à-vis a planning workshop or any other such forum.

4.6 DGSP

1) Re-examine the role of DGSP with the intent of legitimizing a challenge role within the Department's Strategic Planning process. This role should test the strategic fit of sector and/or Departmental initiatives within the overall direction of DOC.

2) Explore the practicality of adjusting the timing of the final portion of the strategic process so that the output coincides better to the start of the annual BYOP activity. Strategic issues or priorities can then better feed into the operational planning cycle.

APPENDIX 5.1

LINKAGE PROJECT WORKPLAN

EXHIBIT ONE   LINKAGE PROJECT WORKPLAN   SEPT 17/90   ISS.ONE
                                                                    JAN 18/91   ISS.TWO
                                                                    ADJUSTED TIMING

Project Stages	Activity	Timeframe	Status
Stage One			
"The Orientation"	* Introduction to strategic and operational planning at DOC (included several informal interviews both internal and external)	June/July	Completed
	*·Develop a graphical representation of the total process	August	Completed (Revision req'd)
Stage Two	* Confirmation of Mandate and Scope of Activity	August	Completed
"The Primary Research"	* Carry out primary research: - questionnaire being developed and tested - individual interviews (internal and external) - secondary research (topical papers, etc.)	Sept-Jan	In process
Stage Three	* Analyze survey results and selectively test conclusions	Feb/Mar	In process
"The Findings"	* Develop initial recommendations * Creation of report outline/structure		Planned Draft completed
Stage Four	* Test do ability of findings and recommendations	Mar	Planned
"The Report"	* Issue final recommendation & report	Apr 2/91	Planned
Stage Five	* Implementation of doable recommendations	T.B.D.	—
*The Implementation"			

APPENDIX 5.2

STUDY QUESTIONNAIRE

TO
À ▶

FROM
DE   SADM

SUBJECT
OBJET

Strategic and Operation Planning .... **A Study to Improve Linkages –** **Interviews**	**Planification stratégique et** **opérationnelle .... une étude pour** **améliorer les liens – Rencontres**

The Department is undertaking a study to see where improvements can be made to the linkage between Strategic and Operation Planning. Mr. Bart Van Cromvoirt, a participant in the Business Government Executive Exchange Program has been assigned to carry out the above study.

At this stage of the study, individual interviews will be conducted by Bart throughout the Department. The purpose of these interviews is to solicit your input to the research. This interview stage will be conducted sector by sector over an approximate three month period.

You will be contacted by DGSP so that a suitable appointment can be arranged for the interview. Please find enclosed a copy of a questionnaire which will help to guide the interview.

Le Ministère entreprend une étude pour explorer les possibilités d'amélioration du lien entre la planification stratégique et opérationnelle. M. Bart Van Cromvoirt, participant au Programme d'échanges de cadres de direction entre les milieux d'affaires et l'administration fédérale, est assigné pour faire l'étude ci-haut mentionnée.

A cet étape de l'étude, des rencontres individuelles seront rédigées par Bart à travers le Ministère. Le but de ces rencontres est de solliciter vos commentaires sur le processus. Cette étape de rencontre se tiendra secteur par secteur sur une période de trois mois.

Un membre du personnel de la DGSP communiquera avec votre bureau pour organiser cette réunion à l'heure qui nous conviendra. Veuillez trouvez ci-joint une copie du questionnaire qui servira de guide pour la rencontre.

This entire process is a priority for both the DM and myself therefore your usual support and cooperation are very much appreciated.

Cet exercice est une priorité pour le SM et moi-même et soyez rassurer que votre soutien et coopération habituels sont appréciés.

Ken Hepburn

Attachment

p.j.

LINKAGE PROJECT QUESTIONNAIRE

Name _____ Date _____

What do you define as Strategic Planning?

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What do you define as Operational Planning?

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For the purposes of responding to the balance of this interview, Strategic
Planning is a process of defining broad issues and direction for the department
as co-ordinated by DGSP. On the other hand, Operational Planning is a process
of isolating short term priorities and resources. The BYOP and MYOP are
examples of Operational Planning.

What do you define as the linkage between Strategic and Operational Planning?

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What is your view of the current state of linkages between Strategic and Operational Planning?

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What might be some ways that we could improve the linkages in particular to resource implications and monitoring mechanisms?

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In your view what might be the roadblocks for such improvements?

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In light of these hurdles what doable improvements are there?

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What specific issues must be addressed by senior management that would allow sustainable and do able improvements to occur?

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Will these improvements help you to do a better job in fulfilling your responsibilities at DOC? If not Why?

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What is your view of the current Strategic Planning Process?

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What is your view of the planning workshops organized by DGSP? How many did you attend?

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Any ideas or thoughts for improvement?

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What is your view of the current Operational Planning process?

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Are there any parts of the OP process that seem inappropriate or ineffactive?

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Any ideas or thoughts for improvements?

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What parts of IMAA and PS2000 could be utilized to facilitate suggested improvements to the linkage issue?

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Any other comments?

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View of Human Resource Planning

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QUESTIONNAIRE - PROJET DE LIAISON

Nom _____ Date _____

En quoi consiste pour vous la planification stratégique?

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Quelle serait votre définition de la planification opérationnelle?

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Voici deux définitions qui vous permettront de répondre au reste des questions de cette entrevue. D'une part, la planification stratégique est un processus par lequel on peut définir les grandes questions et l'orientation que le Ministère devrait prendre, sous la coordination de la DGSP. D'autre part, la planification opérationnelle consiste à isoler les priorités et à déterminer les ressources à court terme. Le POAB et le POP sont des exemples de planification opérationnelle.

Selon vous, en quoi consiste le lien entre la planification stratégique et la planification opérationnelle?

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À votre avis, quel est l'état actuel des liens existant entre la planification stratégique et la planification opérationnelle?

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À votre avis, quels seraient certains des moyens qui nous permettraient d'améliorer les liens, en particulier relativement aux répercussions sur les ressources et aux mécanismes de supervision?

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Quels seraient selon vous les obstacles à de telles améliorations?

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Tenant compte de ces difficultés, quelles seraient les améliorations réalisables?

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Quelles seraient les thèmes particuliers qui devraient être abordés par la haute gestion et qui engendreraient des améliorations durables et importantes?

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Ces améliorations vous aideront-elles à effectuer un meilleur travail dans l'exercice de vos responsabilités au MDC? Dans la négative, expliquez pourquoi.

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Quelle est votre opinion relativement au processus de planification stratégique actuel?

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Que pensez-vous des ateliers de planification organisés par la DGSP? À combien avez-vous participé?

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Avez-vous des idées ou des suggestions d'amélioration?

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Que pensez-vous du processus actuel de planification opérationnelle?

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À votre avis, y aurait-il des parties du processus de planification opérationnelle qui semblent inadéquates ou inefficaces?

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Avez-vous des idées ou des suggestions d'amélioration?

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Quelles parties de l'APRM et de FP 2000 pourraient être utilisées pour faciliter les améliorations suggérées relativement à la question du lien entre le plan stratégique et le plan opérationnel?

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Avez-vous d'autres commentaires?

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État de la planification des ressources humaines

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APPENDIX 5.3

INDIVIDUALS INTERVIEWED

3) Continue the workshop concept, however, review how sessions are marketed and communicated to participants. This includes their purpose, announcement, and eventual feedback on the results of each session.

4) Introduce all planning workshops with a 2 minute outline of the role of DGSP, purpose of the session and where this activity fits within the process of developing strategy within the Department.

Rhodena Guérette	DCM	ADMRS	Dec. 11/90
Jan Skora	DRP	ADMRS	Nov. 28/90
Thomas Racine	DASM	ADMRS	Nov. 9/90
Susan Baldwin	DTP	ADMRS	Nov. 22/90
Wendy Pride	DMG	ADMRS	Nov. 9/90
Bill Treurniet	DBR	ADMRS	Dec. 27/90
Rob Millar	DRL	ADMRS	Dec. 20/90
Barbara Bloor	ADM	ADMCM	Nov. 2/90
Susan Gervais		ADMCM	Nov. 1/90
Pat Borbey	DGFM	ADMCM	Dec. 28/90
Michel Séguin	DGHR	ADMCM	Nov. 9/90
Bob Ward	DCAT	ADMCM	Jan. 11/91
Marlo Giguère	DPF	ADMCM	Nov. 7/90
Jean Bélanger	DGAT	ADMCM	Oct. 29/90
Anne-Marie Giannetti	DPR	ADMCM	Nov. 13/90
Ed Joly	DSCS	ADMCM	Oct. 25/90
Jacques Lyrette	ADM	SMAQ	Nov. 20/90
Marie-Christine Seigneur		SMAQ	Nov. 20/90
Yvon Asselin	DGQ	SMAQ	Nov. 19/90
Alain Robillard	DDT	SMAQ	Nov. 20/90
Michel Gervais	DCGQ	SMAQ	Nov. 19/90
Paul Racine	ADM	ADMCP	Jan. 16/91
Yazmine Laroche		ADMCP	Dec. 18/90
Susan Katz	DPS	ADMCP	Jan. 15/91
Jamie Hum	DDI	ADMCP	Dec. 2/90
Richard Simpson	DDI	ADMCP	Jan. 17/91
Lisette Thibault	DMT	ADMCP	Jan. 22/91

Danielle Bouvet	DCT	ADMCP	Jan. 14/91
Robin Jackson	FPIO	ADMCP	Dec. 11/90
Charles McGee	ADM	ADMAH	Dec. 18/90
Carmen D'Aoust		ADMAH	Jan. 8/91
Gaston Blais	DGAP	ADMAH	Jan. 14/91
Charles Gruchy	CCI	ADMAH	Jan. 10/91
Peter Homulos	CHIN	ADMAH	Jan. 10/91
Barbara Rottenberg	CHIN	ADMAH	Jan. 17/91
Ronal Bourgeois	MAP	ADMAH	Dec. 13/90
Adam Ostry	DPA	ADMAH	Dec. 5/90
Nadine La Belle	DSMD	ADMAH	Dec. 4/90
Anne Séguin	DRS	ADMAH	Dec. 3/90
Donna Doyle	MAP	ADMAH	Nov. 30/90
Bruce Drake	RPR	VANCOUVER	Feb. 6/91
Wally Kozar	EDP	VANCOUVER	Feb. 6/91
Mike Helm	DGBP	ADMCP	Jan. 29/91
Sean Berrigan	EA	DMO	Nov. 9/90
Roger Collet	EDC	WINNIPEG	Mar. 4/91
Kevin Paterson	RCR	WINNIPEG	Mar. 4/91
Tim Hibbard	RCPA	WINNIPEG	Mar. 4/91
Dave Lyon	EDO	TORONTO	Mar. 6/91
Gerry Brushett	RDR	TORONTO	Mar. 6/91
Louise Philippe	EA	DMO	Unable to schedule
Serge Pressault	DNS	ADMCP	Unable to schedule
Michel Umbriaco	DGRI	SMAQ	Unable to schedule
Pierre Boudreau	EDA	MONCTON	Jan. 26/91

Department of Communications

George Richard	RAR	MONCTON	Jan. 26/91
Dale Snowdon	RAE	MONCTON	Jan. 26/91
Paul Soucy	RAI	MONCTON	Jan. 26/91

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Van Cromvoirt, Bart
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