USCSOM

Strategic Planning Process

PURPOSE

- Establish a unified strategic direction that positions the SOM for growth.
- Align all facets of the SOM to pursue the strategic initiatives and achieve the strategic goals.
- Identify and utilize external strategic assets and relationships to assist in the pursuit of the goals.
- Develop operational action plans with clear outcomes, accountability and resource requirements.
- Generate engagement and commitment among faculty and staff.
- Position the SOM to be an effective partner in its strategic relationships.
- Give serious consideration to development of Academic Medical Center.
- Understand change management and develop effective strategies for change.

CONTEXT

- Intelligent growth is essential
- The legislation that created the SOM provided a State Government defined mission.
- The USCSOM Strategic Plan needs to nest within USC's Strategic Plan
- Some indication of a University desire to relocate SOM.
- Mandate for change from USC's Central Administration.
- Expectation of change from the USC Board of Trustees.
- Significant change in national context since the founding of the SOM as a community-based medical school.
- Multiple strategic relationships, with multiple institutions such as PH, VAMC, GHS.
- Geographic separation of basic science and clinical science campuses
- SOM has not engaged in a full strategic planning process for over a decade.
- The current four-legged stool has two solid legs (teaching and service) and two legs (research and management) that need significant enhancement.
- The SOM is expected to be a major player in USC's strategic success.
- Window of opportunity to engage in joint strategic planning with PH.
- Opportunity to expand presence at GHS.
- Reassessment of partnership with DVAMC in light of VA national needs and Extended Use Lease development of local VA property.
- SOM management at all levels would benefit from a clear, focused guide for effective decision making and management of personnel, fiscal and organizational assets.

PRINCIPLES TO GUIDE THE PROCESS

- Transparency
- Inclusiveness
- Participatory
- Accountability
- Results Oriented

PROCESS

- Step One: Senior Leadership Retreat to articulate and develop a consensus on the strategic direction.
    - Pre-Retreat preparation

1. Questions and identified issues to be circulated to participants in advance.
2. Interviews to be held in advance with key strategic partners to get their input.
    - PH
    - VAMC
    - GHS
    - President Sorensen
    - VP Pastides
    - Health Sciences SC
    - Others (?)

    - Begin with ¾ of a day in an off-site location in the Midlands area early Oct.
    - Potential Membership:
        - Dean
        - Associate Deans/Finance leaders
        - Department Chairs
        - Representation from the faculty
    - Develop draft of Vision, Mission, Core Values and/or Guiding Principles.
    - Develop initial SWOT analysis of SOM in relation to the Vision-Mission.
    - Develop set of strategic initiatives necessary to success.
    - Identify critical success factors.
    - Develop implementation plan utilizing best practice in change management.
    - Materials will be distributed in advance to facilitate (jump start) the process.

- Step Two:
    - Hold facilitated general faculty meetings on the basic and clinical science campuses to share the working draft with the faculty.
        - Provide opportunity for feedback and engage in conversation about the work completed at the Senior Leadership retreat.
        - Summarize the results of the meetings.

3. If the feedback requires substantial change and rethinking, a small committee of the senior leadership will be convened to redraft the material for redistribution.
4. If the feedback is largely minor, assignments will be made for word crafting to develop a final draft for consideration and approval by the SOM Executive Committee.
    - Share working draft with key strategic partners for their comments.
        - Summarize the results for the SLG.

- Step Three: Reconvene the Senior Leadership Group to complete the strategic initiatives and critical success factors (This step may or may not be necessary).

- Step Four: Establish Action Plan Task Forces.
  - Phase One Charge:
    - Each Task Force will be assigned one or more segments of the strategic plan.
    - Each Task Force will have broad representation appropriate for the segment(s) being addressed, about 8-12 members.
    - Each Task Force will have designated consultative support – Moss Blachman, Michele Stanek, Ruth Riley or Donna Ray.
    - One or more members of the Senior Leadership Group will join the task force as a resource and liaison to the SLG.
    - Each leadership team - Chair, Co-chair and liaison - will determine their task force meeting schedule and include notification to Cheryl Sniegon csniegon@gw.mp.sc.edu for all meeting dates and locations so that meetings will be posted to the web site.
    - The Task Force Secretary will provide copies of all minutes for posting within 72 hours of the meetings. (csniegon@gw.mp.sc.edu)

- **TASKS:**

1. Develop a charter to define the work of your Task Force, using the draft provided by Task Force Leadership.
   - *Each Task Force is to establish a clear statement of its purpose, aims and scope of work.*

2. Develop a timeline for the work of the Task Force with estimated dates of completion. Submit to Senior Leadership Group.

3. Complete a SWOT Analysis for the work defined by your charter.

   - *The purpose of a strategic plan is to think carefully about the gap between where we are and where we want to be and design a plan of action that will close the gap. In the process, it is important to understand the conditions which will affect our action choices.*

- *The **SWOT** is a major mechanism for achieving that understanding. It lets us determine:*
    - *what current strengths we can bring to bear to achieve the goal(s);*
    - *what current weaknesses are likely to inhibit or deter our efforts to achieve the goal(s);*
    - *what current opportunities exist that we could take advantage of to achieve the goal(s); and, finally,*
    - *what current threats must we mitigate or avoid in order to achieve the goal(s).*

- *Many look at strengths and weaknesses as largely internal, while they often view opportunities and threats as largely external.*
- *Many consider how others might view us to see if that stimulates further appreciation of any other SWOT items.*
- *Note that sometimes, the same item can be both a strength and a weakness.*

- *Specific to the Task Force purpose and aims, ask the questions:*

    - *On what current strengths can we rely (use as leverage) to achieve the outcomes we have set in this Task force? Such as:*
        - *Advantages we have*
        - *Unique capabilities, assets or factors about us*
        - *Special resources or people or leadership*
        - *Things we do better than others*
        - *Reputation*
        - *Areas that need little or no improvement*

    - *At the present time, what weaknesses might make it difficult for us to achieve the outcomes we have set? Such as:*
        - *Important capabilities, assets or factors we either lack or are not sufficient*
        - *Things we do not do as well as others*
        - *Disadvantages we have*
        - *Gaps*
        - *Vulnerabilities*
        - *Areas that need improvement*

  - *Of what current or impending opportunities can we take advantage to bolster our efforts to achieve the outcomes we have set in this Task Force? Such as:*
    - *A trend that is favorable*
    - *New or available funding source*
    - *New people or positions that provide an opening to engage in a new or qualitatively different activity*
    - *Changes in policy- at whatever level*
    - *New players with whom we can interact*

  - *Of what current or impending threats do we need to take into account and find a way to minimize their potential negative affect on our ability to achieve the outcomes we have set in this Task force? Such as:*
    - *A trend that is unfavorable*
    - *Reduction or loss of funding source(s)*
    - *New people or positions that might close an opening to engage in a new or qualitatively different activity*
    - *Changes in policy- at whatever level*
    - *Competition in some form that would reduce our ability to achieve our goal(s)*

4. Use the SWOT Analysis to develop strategies which are expected to achieve success:

   - *Strategies are the cluster of actions that are essential to make the plan work to achieve the goal(s). They include, at least implicitly, if not explicitly, the reasoning why this particularly strategy and set of strategies will result in accomplishing the goal(s).*
   - *Strategies take into account the:*
     - *Strengths, building on them*
     - *Weaknesses, mitigating, avoiding or reducing their potential negative impact by neutralizing them or turning them into a strength*
     - *Opportunities, seizing on them for maximum advantage*
     - *Threats, ensuring they are avoided, neutralized or addressed in some fashion that reduces their harm to the minimum possible*

- *You will likely find that the items mentioned in any of the four SWOT categories are very different in terms of their relative importance to strategy development. It would be helpful to cluster and prioritize the items so that you spend your time thinking about the most significant ones*
- *Strategies are usually long-term*

5. Include a brief discussion to explain <u>why</u> this set of strategies is expected to achieve success. The discussion should address:

    - *Why each individual strategy/cluster of strategies was/were chosen*
    - *What other alternative strategies were considered and why they were rejected*
    - *Note: It is a good idea to have someone play Devil's Advocate if you come to a decision too quickly or do not consider a range of alternatives.*
    - *Both the anticipated and unintended, but knowable, consequences likely to flow from each strategy or the cluster of strategies*
        - *The probability of success, to the degree possible*
        - *The probability of undesirable consequences*

    - *Once the strategy(ies) is (are) determined, the path to success is defined. However, it is important to ensure that we continue to go in the right direction as the implementation proceeds. We need to know the how to define, in an operational manner, both the indicators of success and the exit signs along the route that will tell us whether we are on track or not. These indicators need to be evidence based so that data tracking or some other form of reasonable evidence can be used to assess progress or lack thereof. The best would be precise, verifiable statements.*

6. Include, as appropriate, an indication of the fiscal, organizational and/or personnel resources that these strategies will likely require.
        - *No one expects exact amounts at this stage. Reasoned guestimates would be helpful.*
        - *You might state the estimates in ranges:*
        - *This will require between $150,000 and $300,000*
        - *This will require 7 to 12 new FTEs at X level(s)*
        - *If the strategies make it possible to have savings, please estimate those as well.*

- *If the strategies should be funded through the redirection of existing resources, please so indicate.*
- *If new resources are likely to be required, please provide reasoned (high likelihood of success) recommendations for acquiring new resources.*

7. Submit a final draft report by the assigned deadline. (Date to be Determined)

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- Step Five:
  - Hold facilitated general faculty meetings on the basic and clinical science campuses to share the final draft report with the faculty.
    - Provide them with a formal opportunity to give feedback and engage in conversation about the work completed.
    - Faculty will be encouraged to provide comment in advance of any questions or significant differences so that the Task Forces may consider the issues and be able to respond at the meeting, if appropriate.
  - Share working draft with key strategic partners for their comments.
    - Summarize the results for the SLG

- Step Six: Reconvene the SLG to review the reports, taking into account the feedback from the faculty and key strategic partners.
  - Ensure that the strategies:
    - Appropriately address the issues.

5. Gaps are filled
6. Duplication/Overlap is eliminated

    - Are feasible.
    - Are aligned.
    - Are cost effective.
  - Charge the Task Forces with any changes or items for review.
  - Charge the Task Forces with developing specific action plans.

- Step Seven: Reconvene the Action Plan Task Forces.
  - Phase Two Charge:
    - Develop specific action plans to implement the strategies. Each action plan will have, at minimum:

7. A specific set of actions (activities) to implement.
8. Designation of a person or persons responsible for the implementation.
9. Resource requirements:
   - Fiscal (cost effective).
   - Organizational structure/support.
   - Personnel.
10. Timeline.
11. Success criterion/criteria and measurement process.
12. Program theory (logic model) or justification explaining why this set of actions is expected to achieve success.
13. Consideration of unintended consequences.

    - Distribute the report to the Dean and SLG.

- Step Eight: Reconvene the SLG.
  - Review the reports and request changes or accept them as good working drafts.
  - Distribute to faculty for feedback, once all segments are completed as good working drafts.
  - Make sure there are plans to:
    - Ensure organizational capacity/readiness
    - Develop an effective Quality Improvement process
    - Establish an effective reporting system

- Step Nine: Hold facilitated general faculty meetings on the basic and clinical science campuses to share the working action plan draft with the faculty.
  - Provide them with the opportunity to give feedback and engage in conversation about the work completed.
  - Faculty will be encouraged to provide comment in advance of any questions or significant differences so that the Task Forces may consider the issues and be able to respond at the meeting, as appropriate.

- Step Ten: Establish a Strategic Planning Executive Committee and charge it with oversight of the implementation.
  - Issue periodic reports to the SOM Executive Committee and the faculty