**Commission on Human Rights
United Nations Development Programme**

**PHI/02/011 – RIGHT TO DEVELOPMENT:
STRENGTHENING INSTITUTIONAL CAPACITIES
TO MAINSTREAM GENDER AND HUMAN RIGHTS**

CHR Reengineering Project

Strategic Planning

DESIGN REPORT

OCTOBER 2003

cPRm CENTER FOR PUBLIC RESOURCE MANAGEMENT, INC.

CPRM CONSULTANTS, INC.

**PHI/02/011 – RIGHT TO DEVELOPMENT:
STRENGTHENING INSTITUTIONAL CAPACITIES
TO MAINSTREAM GENDER AND HUMAN RIGHTS**

CHR Reengineering Project
Strategic Planning

DESIGN REPORT

OCTOBER 2003

CONTENTS

EXECUTIVE SUMMARY

STRATEGIC PLANNING

1   INTRODUCTION

1.1.1   In consideration of the Philippine and International Human Rights Systems, the institutional assessment and review of program performance of the Commission on Human Rights [CHR] have profound implications on defining, focusing and enhancing the institutional and operating capacity of the Commission along its various strategic areas of reforms. This design on the CHR Strategic Planning System provides a framework, set of conceptual approaches, processes and tools, which the Commission could use in its regular Strategic Planning, review and updating either in the short term or medium term.

1.1.2   As envisioned for the CHR, this system for strategic planning provides planned and change processes for piecing together all areas of strategic reforms identified in the CHR's Institutional Assessment conducted in 2003 and such subsequent reform efforts related to this. It presents a process that is sensitive to both its internal and external environments.

1.1.3   The Strategic Planning System will be founded on the menu of reforms of the CHR, strategic decisions will be crafted on the best institutional options to take to enhance the autonomy and efficiency of the CHR in serving its constitutional mandate for the promotion and protection of human rights and in complying with the United Nations Principles that govern all functioning national human rights institutions. This system will enable the CHR to redefine its organizational and operational thrusts in so far as the following reform challenges are concerned:

- Improving its institutional and operating capacity with respect to improving performance of its constitutional mandates and its effective functioning consistent with the criteria and standards set under the United Nations Paris Principles for national human rights institutions;

- Broadening of its Institutional framework in relation to the translation of pervading human rights principles on the universality, indivisibility, interdependence and inter-relatedness of both civil and political rights and economic, social and cultural rights;

- Expanding concerns of human rights in relation to the existing human development and poverty conditions in the country;

- Achieving real independence and autonomy in terms of the individual and institutional capacity of the CHR management and manpower force in taking actions that promote and protect human rights and exercising the freedom to plan, allocate, have direct control of and utilize physical, manpower, financial and technological resources to support the operations of the CHR.

- Concretizing and sustaining the various reforms established for the CHR to include Finance and Administrative and Mission Critical Reforms, several of which will have to be instituted and programmed and should therefore, be incorporated into the CHR Strategic Plan in appropriate sequencing, synchronization and pacing;

- Achieving broader and continuing consensus among the CHR officers both at the central and regional level and with other external human rights stakeholders and key players that will impact on the country's human rights policies and programs and human development goals.

1.1.4   The strategic planning system provides a mechanism for each operating unit of the CHR including both the central and regional offices and units, to contribute to decision making and charting of its organizational focus and direction for human rights capacity building both at the institutional and operating levels.

1.2   Scope of the Design Report

1.2.1   This design report takes a comprehensive view of the role of strategic planning in strategic management of the various reform programs of the CHR. It is through the strategic planning system that this menu of reforms will be integrated and further strategized in terms of the following: achieving clearer objectives for the reforms on the basis of where the CHR is and where should be in; in recognizing and capitalizing on opportunities and defending the CHR against threats; and in planning effective and allocation and use of CHR resources.

1.2.2   The design encompasses the role and participation of the different units of the CHR in the strategic planning system, as follows: The Commission En Banc; Executive Director; the four (4) functional groups such as the HR Protection, HR Promotion, Linkages Development and Finance and Administrative Group comprising nine (9) major subdivisions in the central office; 15 Regional Offices to include 5 sub regional offices.

1.3   Reform Objective

1.3.1   The strategic planning system supports the development of the CHR's capacity for independence, autonomy, pluralism, broadness of mandate and sufficiency of resources and efficiency of operations. Specifically, the system prescribes a regular process, whereby the capacity of the CHR would be developed in the following areas:

    a)   Assessing the present state of the CHR and charting the direction it should take in fulfilling its mandate of promoting and protecting human rights in the

context of both the Philippine Human Rights System and International Human Rights System.

b)   Revisiting its vision, mission and core values, which will serve as the guiding spirit of all the reform programs on which the operations of the different units and offices of the CHR will be hinged;

c)   Developing strategic options that would enable the CHR to select and prioritize among strategies to implement menu of reforms that will make the CHR more responsive to its changing environment and improve capacity to access external influences that are vital in achieving optimal level of efficiency and effectiveness.

1.4   Design Objectives

1.4.1   The design of the strategic planning system will specifically capacitate the CHR .in reviewing and defining its vision, mission, core values, key result areas and performance targets and outcomes in the light of a reforming institution. Specifically, the system capacitates the CHR in the following areas:

a)   Engaging the organization in a process of conscientious planning that would be its guide where the organization as a whole or individual offices or units should be going in the context of a redefined vision, mission, objectives, strategies and policies, which will enable the organization to adapt, shape and develop in its environment over a period of time.

b)   Linking the strategic plan with operations plans, which will provide the different operating units and offices of the CHR with a single purpose and goal that will guide and provide a unifying objective upon which the design of their programs, projects and activities will stand; and

c)   Guiding the management of the CHR in strategic management specifically in monitoring the progress of its operations using strategic performance measures.

2   STRATEGIC PLANNING PHILOSOPHY

2.1.1   As may be contextualized within the framework of both the Philippine and International Human Rights Systems, the CHR's, planning for superior performance always involves initiating changes. Most often, changes have to be made in the organization's vision, strategy, programs, processes, and culture and values, organization and employee competencies to achieve superior performance. Shown in Figure 1 is the change framework for CHR's Strategic Planning.

FIGURE 1
CHANGE FRAMEWORK
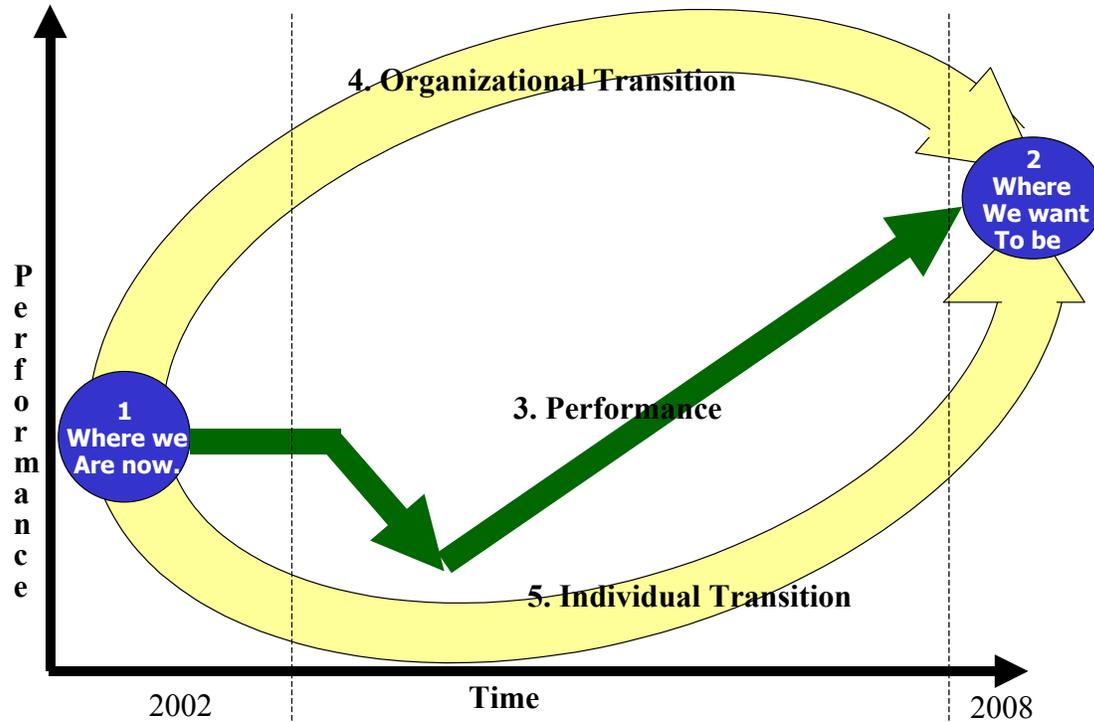
2.1.2   Change is not "just" change but an improvement over the present state. Change initiatives or programs will propel the organization to "where we want to go." In defining the desired state of the CHR, the criteria and standards for an effectively functioning human rights institution may be considered among others in addition to a realistic appraisal of the demands and expectations of the different human rights stakeholders.

2.2   Overview of Strategic Planning

2.2.1   Strategic planning would cover fundamental concepts that may range from the organization's mission-vision-values to determining internal strengths and weaknesses and considering external opportunities and threats (i.e. SWOT analysis). Fundamental changes such as new services, processes, systems, and operating mechanisms may be made as a result of a strategic plan.

2.2.2   Shown, as Figure 2 is the overall approach in strategic planning. This approach ties up strategic planning with operational planning. The strategic planning phase will define the strategic vision and mission of the CHR. It will also identify long-term issues, as well as goals and strategies for addressing those issues.
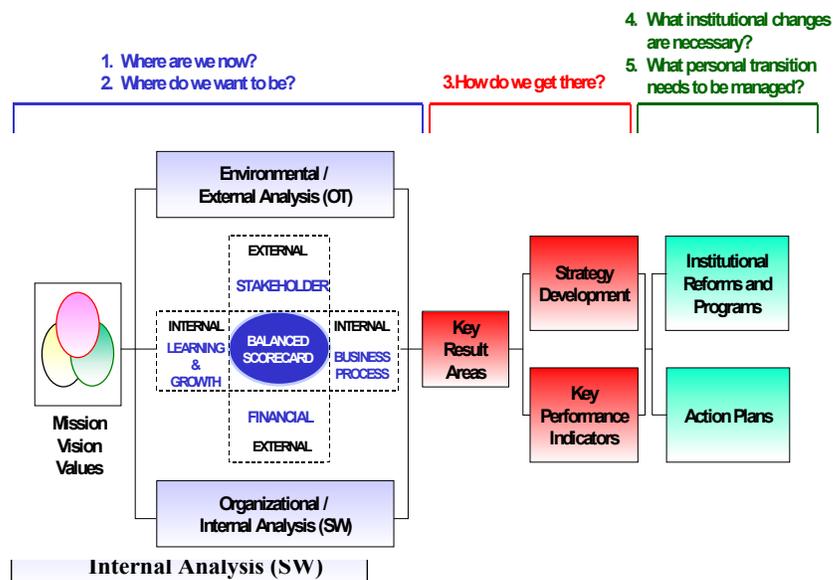
2.2.3   The operational planning phase takes the strategic plans and identifies specific objectives and targets to be accomplished during a specific period (usually one year). This approach also presents a unique opportunity to connect the strategic planning process with the budget development activities. Strategic planning and budget development are integrally connected as part of a larger strategic management cycle. Strategic planning provides the framework for making tough decisions about setting priorities for change, innovation and improvements and provide bases for determining what expenditures to include in the budget.

2.2.4   In its simplest form, strategic planning answers three general questions about the organization.

   a)   WHERE ARE WE NOW? – This stage defines the current situation the organization is in. This can be discerned by:

   • Defining the role of a national human rights institution in the context of the economic, social, political and cultural development of the country

   • Identifying the CHR's internal and external stakeholders and their expectations,

   • Developing or reviewing the CHR's mission, vision and core values,

   • Conducting internal and external situational analysis using SWOT techniques and balanced scorecards,

   • Identifying strategic issues that impact on achievement of the CHR's mission and vision.

**FIGURE 2
STRATEGIC PLANNING APPROACH**

    b)   WHERE DO WE WANT TO BE? – This stage defines the desired outcome of the strategic plans – choosing a desired future. It involves:

- Defining the key result areas;

- Developing goals and policy areas.

    c)   HOW DO WE GET THERE? – This stage defines the means to achieve the goals, mission and vision of the CHR. It involves:

- Defining strategies or thrusts;

- Identifying relevant key performance indicators;

- Setting performance targets;

- Developing institutional and personal transition programs and projects.

2.2.5   The strategic plan is no more and no less, than the set of decisions about what to do, why do it, and how to do it. Because it is impossible to do everything that needs to be done, strategic planning implies that tough choices have to be made and that much of strategic planning lies in making the tough decisions about what is important to achieving organizational success.

2.3   Roles in Strategic Planning

2.3.1   The following have key roles and responsibilities for strategic planning:

    a)   Strategic Planning team of the CHR

    b)   Planning Committee

    c)   Planning Secretariat

    d)   Planning Director

    e)   Strategic Planning and Development Office

2.3.2   **Strategic Planning Team of the CHR** consists of the Chairperson, Commissioners, Commission Secretary, Executive Director and Director of the Strategic Planning and Development Office, The Strategic Leadership Team has the ultimate responsibility for developing the strategic plans and then completing, deploying and developing mechanisms for the implementation of the strategic plan. It is responsible for engaging the whole organization's participation and support for the plan and for committing the time and resources necessary to achieve success.

2.3.3   **The Planning Committee** is a policy-level committee within the CHR to provide leadership a focus on key issues of the Commission during the strategic planning process. It has delegated authority from the Commission En Banc to plan for, develop, and monitor deployment and implementation of the strategic plan on behalf of the Commission En Banc. It is composed of the Executive Director, the

Commission Secretary and all the Directors of all offices at the central office and one representative regional director from Luzon, Vises and Mindanao. The specific roles of the Committee are as follows:

a)   Provide leadership, guidance and direction during the planning process;

b)   Review and approve administrative requirements for the planning process including timetable, venue, participants, facilitators, etc.;

c)   Recommend to the Commission En Banc approval of the Strategic Plans;

d)   Monitor and review performance of the CHR against Plans.

2.3.4   **The Planning Secretariat** is an administrative support group for the Planning Committee to assist the Committee in the planning and conduct of the Planning workshop and related activities geared toward the preparation and finalization of the CHR strategic plans. It is chaired by the Planning Director and consists of members coming from the Strategic Planning and Development Office, Human Resource Development Division and Financial Management Office

a)   Assist the Committee in preparing for and conducting the Planning process;

b)   Administer and facilitate the Planning Workshop by selecting venues, preparing workshop materials, determining and confirming participants, etc.;

c)   Gather relevant data and analysis needed for planning;

d)   Assist in facilitating the planning workshop;

e)   Document planning minutes and outputs, follow up resolution of issues and draft and finalize and publish the Plan.

2.3.5   **Planning Director** acts as the owner of the strategic planning process. It is the Planning Director's responsibility to maintain and improve the strategic planning process in response to the needs of the CHR.   It is also the responsibility of the Planning director to initiate and ensure preparation and completion of all planning guidelines, documents and the like, for purpose of strategic planning. Part of its responsibility is ensuring that top-bottom planning converges with bottom-up participatory planning in terms of relevant inputs at every stage of the strategic planning process. Thus, in the planning guidelines, the Planning Director should be able to define the developmental participation of each office/unit and their appropriate and adequate representations in the process.

2.3.6   **Strategic Planning and Development Office** is under the Office of the Chairperson. It is responsible for assisting the Planning Committee in performing its mandate. It provides people and resources to document and monitor the Plan, gather specific information for planning and monitoring purposes and monitor the implementation status of the approved strategic plan. Hence, the work of the office with respect to maintenance of the strategic planning system is iterative and falls within the regular function and operation of the office. Its tasks of monitoring, reviewing and evaluating the implementation of the CHR's Strategic Plan would be done periodically in order

for the office to input to management all possible intervening policies, guidelines, decision and actions that would facilitate implementation of the plan.

3   STRATEGIC PLANNING PROCESS

3.1.1   This design report prescribes the procedural steps in preparing for a strategic planning workshop, the programme, content, methodology and processes in the actual conduct of the workshop, the contents and format for the finalization of a strategic plan and the monitoring of the implementation of the strategic plan.

3.1.2   Also, included in the report are the various requirements at every stage of the planning process and the management responsibilities of the strategic planning organization.

3.1.3   The detailed processes are presented in activity flow charts.

1
INTRODUCTION

1 RATIONALE

1.1.1   In consideration of the Philippine and International Human Rights Systems, the institutional assessment and review of program performance of the Commission on Human Rights [CHR] have profound implications on defining, focusing and enhancing the institutional and operating capacity of the Commission along its various strategic areas of reforms. This design on the CHR Strategic Planning System provides a framework, set of conceptual approaches, processes and tools, which the Commission could use in its regular Strategic Planning, review and updating either in the short term or medium term.

1.1.2   As envisioned for the CHR, this system for strategic planning provides planned and change processes for piecing together all areas of strategic reforms identified in the CHR's Institutional Assessment conducted in 2003 and such subsequent reform efforts related to this. It presents a process that is sensitive to both its internal and external environments. From its internal context, the Strategic Planning System will consider the different dimensions of organizational performance to include integrity and organization, structural and services delivery, the management, behavioral and development systems and the institutional resources.   At the external context, the Strategic Planning System will see through the impact and influence of the national government's fiscal, administrative policies and rules on Cur's institutional capacity, to include those of other government agencies, private sector and civil society as wells as, those of other international human rights organizations.

1.1.3   The Strategic Planning System will be founded on the menu of reforms of the CHR, strategic decisions will be crafted on the best institutional options to take to enhance the autonomy and efficiency of the CHR in serving its constitutional mandate for the promotion and protection of human rights and in complying with the United Nations Principles that govern all functioning national human rights institutions. The strategic planning system serves as a tool for setting its institutional direction, determining long-term objectives and prescribing a single focus for all reform interventions. This system will enable the CHR to redefine its organizational and operational thrusts in so far as the following reform challenges are concerned:

- Improving its institutional and operating capacity with respect to improving performance of its constitutional mandates and its effective functioning consistent with the criteria and standards set under the United Nations Paris Principles for national human rights institutions;

- Broadening of its Institutional framework in relation to the translation of pervading human rights principles on the universality, indivisibility, interdependence and inter-relatedness of both civil and political rights and economic, social and cultural rights;

- Expanding concerns of human rights in relation to the existing human development and poverty conditions in the country;

- Achieving real independence and autonomy in terms of the individual and institutional capacity of the CHR management and manpower force in taking actions that promote and protect human rights and exercising the freedom to plan, allocate, have direct control of and utilize physical, manpower, financial and technological resources to support the operations of the CHR.

- Concretizing and sustaining the various reforms established for the CHR to include Finance and Administrative and Mission Critical Reforms, several of which will have to be instituted and programmed and should therefore, be incorporated into the CHR Strategic Plan in appropriate sequencing, synchronization and pacing;

- Achieving broader and continuing consensus among the CHR officers both at the central and regional level and with other external human rights stakeholders and key players that will impact on the country's human rights policies and programs and human development goals.

1.1.4   The strategic planning system provides a mechanism for each operating unit of the CHR including both the central and regional offices and units, to contribute to decision making and charting of its organizational focus and direction for human rights capacity building both at the institutional and operating levels.

1.2   Context

1.2.1   The Strategic Planning System is contextualized within the overall strategic reforms of the CHR. It is envisioned that through a unified planning system, the CHR will be able to function as one organization system that will give each unit the capacity to support its reform goal and the achievement of a commonly understood and shared institutional vision and direction within the framework of both the Philippine and International Human Rights System.

1.3   Scope of the Design Report

1.3.1   This design report takes a comprehensive view of the role of strategic planning in strategic management of the various reform programs of the CHR. It is through the strategic planning system that this menu of reforms will be integrated and further strategized in terms of the following: achieving clearer objectives for the reforms on the basis of where the CHR is and where should be in; in recognizing and capitalizing on opportunities and defending the CHR against threats; and in planning effective and allocation and use of CHR resources.

1.3.2   The design encompasses the role and participation of the different units of the CHR in the strategic planning system, as follows: The Commission En Banc; Executive Director; the four (4) functional groups such as the HR Protection, HR Promotion, Linkages Development and Finance and Administrative Group comprising nine (9) major subdivisions in the central office; 15 Regional Offices to include 5 sub regional offices.

2
PROPOSED STRATEGIC PLANNING SYSTEM

1   OBJECTIVES

1.1   Reform Objective

1.1.1   The strategic planning system supports the development of the CHR's capacity for independence, autonomy, pluralism, broadness of mandate and sufficiency of resources and efficiency of operations. Specifically, the system prescribes a regular process, whereby the capacity of the CHR would be developed in the following areas:

a)   Assessing the present state of the CHR and charting the direction it should take in fulfilling its mandate of promoting and protecting human rights in the context of both the Philippine Human Rights System and International Human Rights System.

b)   Revisiting its vision, mission and core values, which will serve as the guiding spirit of all the reform programs on which the operations of the different units and offices of the CHR will be hinged;

c)   Developing strategic options that would enable the CHR to select and prioritize among strategies to implement menu of reforms that will make the CHR more responsive to its changing environment and improve capacity to access external influences that are vital in achieving optimal level of efficiency and effectiveness.

1.2   Design Objectives

1.2.1   The design of the strategic planning system will specifically capacitate the CHR .in reviewing and defining its vision, mission, core values, key result areas and performance targets and outcomes in the light of a reforming institution. Specifically, the system capacitates the CHR in the following areas:

a)   Engaging the organization in a process of conscientious planning that would be its guide where the organization as a whole or individual offices or units should be going in the context of a redefined vision, mission, objectives, strategies and policies, which will enable the organization to adapt, shape and develop in its environment over a period of time.

    b)   Linking the strategic plan with operations plans, which will provide the different operating units and offices of the CHR with a single purpose and goal that will guide and provide a unifying objective upon which the design of their programs, projects and activities will stand; and

    c)   Guiding the management of the CHR in strategic management specifically in monitoring the progress of its operations using strategic performance measures.

2   CONCEPTUAL PLANNING FRAMEWORK

2.1   Benefits of Strategic Planning

2.1.1   Strategic planning is a prelude to strategic management. Strategic management is a systems approach to identifying and making the necessary changes and evaluating the organization's performance as it moves toward its vision. Strategic management has four processes – strategic planning, deployment, implementation and evaluation. Under these processes, strategic management should enable the organization, like the CHR in critical analysis, creation of choices and development of new strategies and enhancing of existing ones. Strategic planning, if not followed by deployment and implementation of the plan and evaluation of results, is insufficient. Leaders have the responsibility to strategically manage the organization. Leaders must not only be strategic thinkers but also coaches, facilitators and consensus-builders, as they lead the organization in implementing the Plan.

2.1.2   Strategic planning is the first process in strategic management. It is a process by which leaders of an organization like that of the CHR to envision its future and develop the necessary procedures and operations to achieve that future. It is not a clean, step-by-step process, but an iterative process that requires hard work and dedication from key people in the organization. Strategic planning defines clearly what the organization wants, what it is all about, what it intends to get out of its efforts and how specifically it should move over time. It is a set of guiding principles, which, put together, would produce the best result-to-effort, outcome-to-task and output-to-input ratios.

2.1.3   The purpose of strategic planning is to transform the organization. It helps leaders, for instance of the CHR, to build and shape its institutional and operating capacity along its redefined roles in relation to government, social forces, human rights victims, general public and vulnerable/disadvantaged groups. Thus, this system on strategic planning will help CHR to:

    a)   Create their own organization's future;

    b)   Provide a framework and focus for improvements;

    c)   Provide a means to engage people and get their commitment to change;

    d)   Optimize organizational infrastructure;

    e)   Provide guidance for day-to-day decision making;

      f)   Provide a means for assessing progress;

      g)   Provide a learning opportunity for senior leaders.

2.1.4   Strategic planning is usually undertaken at certain stages in an organization's life and may be triggered by internal or external events or specific milestones. The formation of new management team initiated by the appointment of new Chairperson or majority of the members of the CHR may trigger preparation of a strategic plan.

2.1.5   Strategic leadership in Strategic Planning is crucial. Long-term strategic success requires that the management of the CHR from the Commission En banc to the middle management is coordinated. This is the task of the CHR Chairperson and the Executive Director.

2.1.6   Should Strategic Planning be skipped or not sufficiently completed, the CHR runs a significant risk that:

      a)   Organizational resources (time, effort, finances) would be misapplied toward goals that are not aligned or responsive to the country's human development objectives, to the overall goals of the human rights sector, and to the demands of all other human rights stakeholders;

      b)   Opportunities to create greater value to the citizenry and stakeholders would be lost or benefits from pursuing other value-creating actions would be greatly diminished;

      c)   Productivity level, coherence and synchronization of the operations of different units and offices would not be enhanced due to their lack of focus in terms of commonly shared direction;

      d)   Organizational resistance and worst, organizational complacency and timidity against future changes would be increased which would, in turn, increase the investment of time and effort required for successful execution of subsequent change initiatives.

2.1.7   Strategic planning is distinct from business planning or operational planning. Business planning or operational planning follows strategic planning and is the formal, usually annual process of planning the operations and business of an organization in accordance with the strategic plan. A business plan spells out the expected outputs, committed resources within a short timeframe (usually, a year).

2.2   Strategic Planning Philosophy

2.2.1   As may be contextualized within the framework of both the Philippine and International Human Rights Systems, the CHR's, planning for superior performance always involves initiating changes. Most often, changes have to be made in the organization's vision, strategy, programs, processes, and culture and values, organization and employee competencies to achieve superior performance. Shown in Figure 1 is the change framework for CHR's Strategic Planning.

FIGURE 1
CHANGE FRAMEWORK
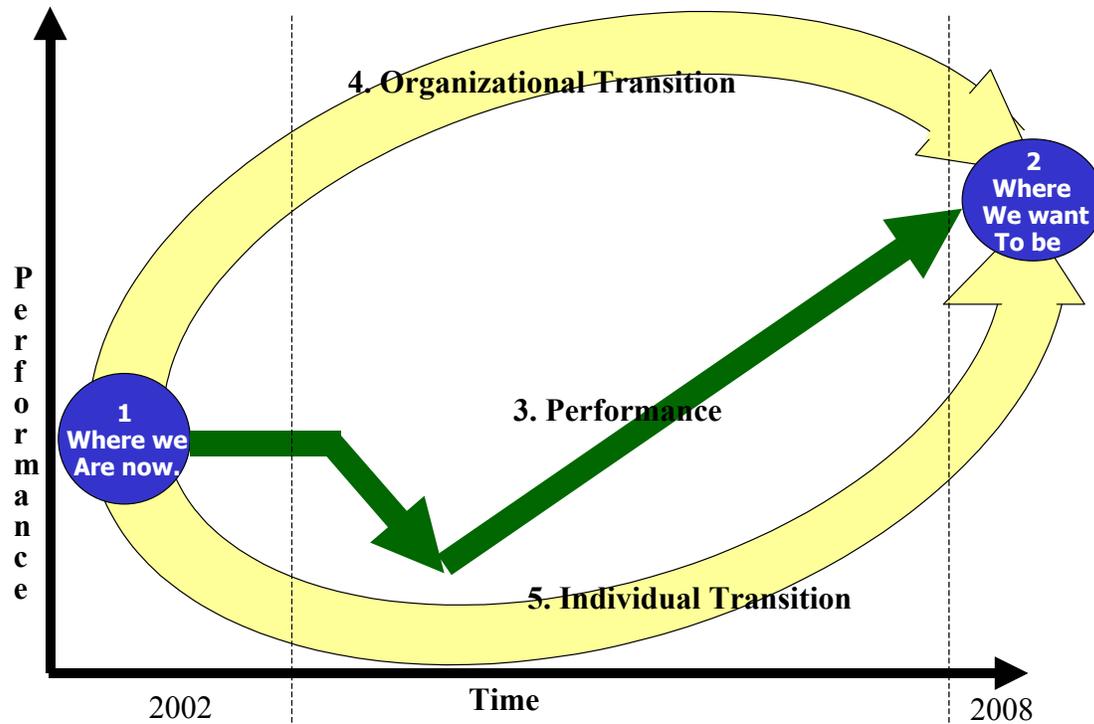
2.2.2   Change is not "just" change but an improvement over the present state. Change initiatives or programs will propel the organization to "where we want to go." In defining the desired state of the CHR, the criteria and standards for an effectively functioning human rights institution may be considered among others in addition to a realistic appraisal of the demands and expectations of the different human rights stakeholders.

2.2.3   There are many types of change. In strategic planning, we are seeking for breakthrough changes that can result in significant and speedy improvements from the present state. This therefore discounts the other forms of changes: the "repair job" which only corrects but does not improve on the present state; or the "continuous improvement" which involves incremental graduated change over time but does not seek a significant, fundamental and immediate result. In the context of the CHR, the strategic planning system would institutionalize a process of looking into the desired changes that would continuously transform the institutional and operating capacity of the CHR in so far as achieving the role that it should play in the local and international human rights community.

2.2.4   As the change programs are implemented, there is an expected "dip" in performance as one transitions from the "where we are now" to "where we want to be." The objective is to reduce the duration and depth of that dip by making appropriate initiatives to manage the transition at the appropriate time within the shortest possible

timeframe. Transition plans for the CHR from its present to its desired state in the context of the criteria and standards set by the UN under the Paris principles have wide implications in terms of managing initiatives that will transform CHR into a multi-disciplinary institution as it touches on a wide range of human rights covering both civil and political rights and economic, social and cultural rights.

2.2.5   When considering where and how an organization might develop or change in the future, both the desired and realistic objectives are considered. Desired objectives relate to where the strategic leader and other decision makers in an organization would like to take the organization. Realistic objectives incorporate the opinions and influence of other stakeholders external to the organization. The limited view of key government stakeholders on the jurisdiction of the CHR, the high demands of the non-government organizations and local human rights community and the evolving universal view of the jurisdiction of the CHR over both set of civil and political rights and economic, social and cultural rights are inputs to this process of developing planned change in the Commission.

2.2.6   The organizational transitions such as changes in systems, processes, structure, information, and communication methods need to be effectively managed. At the same time, personal transitions on roles, competencies, and commitment, continuing learning at all levels have to take place in a pervasive way. These are oftentimes referred to as the change programs, which are created as a result of the planning exercise. In the case of CHR, the system for strategic planning and updating would be instrumental in seeing to it that all these changes would be managed at different levels of organization to ensure departure from obsolete systems and processes that impede level of responsiveness of the CHR as an institution.

2.3   Overview of Strategic Planning

2.3.1   Strategic planning would cover fundamental concepts that may range from the organization's mission-vision-values to determining internal strengths and weaknesses and considering external opportunities and threats (i.e. SWOT analysis). Fundamental changes such as new services, processes, systems, and operating mechanisms may be made as a result of a strategic plan.

2.3.2   Shown, as Figure 2 is the overall approach in strategic planning. This approach ties up strategic planning with operational planning. The strategic planning phase will define the strategic vision and mission of the CHR. It will also identify long-term issues, as well as goals and strategies for addressing those issues.

2.3.3   The operational planning phase takes the strategic plans and identifies specific objectives and targets to be accomplished during a specific period (usually one year). This approach also presents a unique opportunity to connect the strategic planning process with the budget development activities. Strategic planning and budget development are integrally connected as part of a larger strategic management cycle. Strategic planning provides the framework for making tough decisions about setting priorities for change, innovation and improvements and provide bases for determining what expenditures to include in the budget.

2.3.4   In its simplest form, strategic planning answers three general questions about the organization.

a)   WHERE ARE WE NOW? – This stage defines the current situation the organization is in. This can be discerned by:

- Defining the role of a national human rights institution in the context of the economic, social, political and cultural development of the country

- Identifying the CHR's internal and external stakeholders and their expectations,

- Developing or reviewing the CHR's mission, vision and core values,

- Conducting internal and external situational analysis using SWOT techniques and balanced scorecards,

- Identifying strategic issues that impact on achievement of the CHR's mission and vision.

FIGURE 2
STRATEGIC PLANNING APPROACH

b)   WHERE DO WE WANT TO BE? – This stage defines the desired outcome of the strategic plans – choosing a desired future. It involves:

- Defining the key result areas;

- Developing goals and policy areas.

c)   HOW DO WE GET THERE? – This stage defines the means to achieve the goals, mission and vision of the CHR. It involves:

- Defining strategies or thrusts;

- Identifying relevant key performance indicators;

- Setting performance targets;

- Developing institutional and personal transition programs and projects.

2.3.5   The strategic plan is no more and no less, than the set of decisions about what to do, why do it, and how to do it. Because it is impossible to do everything that needs to be done, strategic planning implies that tough choices have to be made and that much of strategic planning lies in making the tough decisions about what is important to achieving organizational success.

2.4   Roles in Strategic Planning

2.4.1   The following have key roles and responsibilities for strategic planning:

a)   Strategic Planning team of the CHR

b)   Planning Committee

c)   Planning Secretariat

d)   Planning Director

e)   Strategic Planning and Development Office

2.4.2   **Strategic Planning Team of the CHR** consists of the Chairperson, Commissioners, Commission Secretary, Executive Director and Director of the Strategic Planning and Development Office, The Strategic Leadership Team has the ultimate responsibility for developing the strategic plans and then completing, deploying and developing mechanisms for the implementation of the strategic plan. It is responsible for engaging the whole organization's participation and support for the plan and for committing the time and resources necessary to achieve success.

2.4.3   **The Planning Committee** is a policy-level committee within the CHR to provide leadership a focus on key issues of the Commission during the strategic planning process. It has delegated authority from the Commission En Banc to plan for, develop, and monitor deployment and implementation of the strategic plan on behalf of the Commission En Banc. It is composed of the Executive Director, the Commission Secretary and all the Directors of all offices at the central office and one representative regional director from Luzon, Vises and Mindanao. The specific roles of the Committee are as follows:

a)   Provide leadership, guidance and direction during the planning process;

b)   Review and approve administrative requirements for the planning process including timetable, venue, participants, facilitators, etc.;

c)   Recommend to the Commission En Banc approval of the Strategic Plans;

d)   Monitor and review performance of the CHR against Plans.

2.4.4   **The Planning Secretariat** is an administrative support group for the Planning Committee to assist the Committee in the planning and conduct of the Planning workshop and related activities geared toward the preparation and finalization of the CHR strategic plans. It is chaired by the Planning Director and consists of members coming from the Strategic Planning and Development Office, Human Resource Development Division and Financial Management Office

a)   Assist the Committee in preparing for and conducting the Planning process;

b)   Administer and facilitate the Planning Workshop by selecting venues, preparing workshop materials, determining and confirming participants, etc.;

c)   Gather relevant data and analysis needed for planning;

d)   Assist in facilitating the planning workshop;

e)   Document planning minutes and outputs, follow up resolution of issues and draft and finalize and publish the Plan.

2.4.5   **Planning Director** acts as the owner of the strategic planning process. It is the Planning Director's responsibility to maintain and improve the strategic planning process in response to the needs of the CHR.   It is also the responsibility of the Planning director to initiate and ensure preparation and completion of all planning guidelines, documents and the like, for purpose of strategic planning. Part of its responsibility is ensuring that top-bottom planning converges with bottom-up participatory planning in terms of relevant inputs at every stage of the strategic planning process. Thus, in the planning guidelines, the Planning Director should be able to define the developmental participation of each office/unit and their appropriate and adequate representations in the process.

2.4.6   **Strategic Planning and Development Office** is under the Office of the Chairperson. It is responsible for assisting the Planning Committee in performing its mandate. It provides people and resources to document and monitor the Plan, gather specific information for planning and monitoring purposes and monitor the implementation status of the approved strategic plan. Hence, the work of the office with respect to maintenance of the strategic planning system is iterative and falls within the regular function and operation of the office. Its tasks of monitoring, reviewing and evaluating the implementation of the CHR's Strategic Plan would be done periodically in order for the office to input to management all possible intervening policies, guidelines, decision and actions that would facilitate implementation of the plan.

3   DEFINITION OF TERMS

MISSION

3.1.1   Mission is the broad description of what we do, with/for whom we do it, our distinctive competence and why we do it. It is an enduring statement of purpose of the CHR's existence that distinguishes itself from others. It usually answers the questions: "Who are we? Why do we exist?" Mission is both identity and philosophy. It identifies the following:

- Its core purpose in the light of the Philippine and International Human Rights Systems;
- The human rights concerns and its inter-relatedness with human development conditions that the CHR addresses;

- The people it serves, what the CHR stands for. It covers not only an organization's mandate but defines what its clients and employees see would be its services and the value it would bring to them and their clients. For purposes of the CHR, clients would refer to the cross-section of society with special reference to vulnerable and disadvantaged groups;

- It makes clear what is unique about what the organization does and what it is. It is usually built upon the organization's core values and provides a consistent focus. The mission statement also provides the philosophical context for the planning process. In the case of the CHR, the definition of its mission could be guided by its constitutional mandate and the international framework set for national human rights institutions.

VISION

3.1.2   Vision is a commonly shared picture of what the CHR wants and is committed to become some time in the future. It is the guiding and motivating compass of the organization to bring about change, capturing the desired spirit of what its people passionately want the organization to become. It is an achievable but challenging and compelling future state experienced and begun in the present and lived by everyone everyday. The vision statement provides direction and inspiration for organizational goal setting.

VALUES

3.1.3   Values are beliefs held by an individual or group. The values of individuals and groups could or should reflect human rights values

CULTURE

3.1.4   Culture is shared or collective beliefs, values, attitudes and expectations that shape the behavior of individuals in the groups

SWOT ANALYSIS

3.1.5   SWOT Analysis is the examination of an organization's internal strengths and weaknesses, and its environments' opportunities, and threats. It is a general tool designed to be used in the preliminary stages of decision-making and as a precursor to strategic planning in various kinds of applications[1]. When correctly applied, it is possible for the CHR to get an overall picture of its present situation in relation to all its internal and external stakeholders. Also in the case of CHR, it could or should consider stakeholders in the local human rights community and international human rights community, as well.

BALANCED SCORECARD

3.1.6   Balanced Scorecard is a powerful framework to help organizations like the CHR rapidly implement strategy by translating the vision and strategy into a set of operational objectives that can drive behavior, and therefore, performance. It is a mechanism for translating the CHR's vision and strategy into a coherent set of objectives and performance measures along four important perspectives – Financial, client, internal business processes and learning and growth. For the CHR. the four perspectives are human rights stakeholders, internal and support processes, learning and growth, and finance and budget

KEY RESULT AREAS (KRAs)

3.1.7   Key Result Areas are areas of organizational functions, programs or systems where superior performance will produce outstanding results in terms of benefits to the stakeholders. The CHR has numerous stakeholders considering that human rights are not its monopoly. Human rights cut across sectors.

GOALS

3.1.8   Goals are broad statements of what the CHR hopes to achieve in the next three to five years. Goals focus on outcomes and are qualitative in nature. As goals represent outcomes, these are defined in terms of changes and impact of the CHR in improving conditions such as human development, poverty or the like indicating widening of choices and opportunities in the enjoyment of rights facilitated by the CHR.

STRATEGIES

3.1.9   Strategies are statements of major approach or method selected from various alternatives for attaining goals and resolving strategic issues. Oftentimes, strategies are embedded in the statement of goals. As concern for human rights cut across sectors, the CHR could or should consider alternative strategies.

---

[1] (Johnson et al., 1989; Bartol et al., 1991

KEY PERFORMANCE INDICATORS (KPIs)

3.1.10 Key Performance Indicators are metrics that measure the progress toward a Key Result Area, either directly or indirectly.   It is the way in which one can gauge if a KRA is being achieved or not. KPIs are the measure of success of the stated KRAs.

OPERATION PLAN

3.1.11 The Operation Plan follows strategic planning and is the formal, usually annual process of planning the operations and business of the CHR in accordance with the strategic plans. A business plan spells out the expected outputs, committed resources within a short timeframe (usually, a year).

PROGRAMS

3.1.12 Programs deliver capability. It involves leading complex and integrating multiple projects and capability releases.

PROJECTS

3.1.13 Projects provide deliverables. It involves managing scope, quality, effort, risk and timeline. A combination of several deliverables is "Capability."
ACTION PLANS

3.1.14 Action Plans are detailed operational documents indicating specific tasks, performance measurement, completion dates and individuals responsible.

4   PREPLANNING ACTIVITIES

4.1   What to Plan

4.1.1   The Strategic Planning Team usually develops strategic plans initially in a two-to-three day workshop. Preplanning activities are important in making the workshop successful.

4.1.2   The Planning Secretariat under the direct supervision of the Planning Committee largely undertakes preplanning activities. The Planning Secretariat is organized as soon as a decision is made by Commission En Banc to conduct a strategic planning exercise. The Planning Director under the guidance of the Planning Committee shall identify the members of the Planning Secretariat.

4.1.3   The first order of business is for the Planning Committee to set the guidelines for the preplanning activities and milestones of the strategic planning process. The Planning Secretariat will then develop a timetable for the key activities leading to the finalization and publication of the strategic plan. As a guide, the whole process of preplanning up to the publication of the final strategic plan approximately takes three to four months to complete.

4.1.4   The preplanning activities will include:

    a)   Selecting participants to the Workshop;

    b)   Creating the workshop agenda;

    c)   Selecting the workshop facilitator;

    d)   Arranging for the workshop venue;

    e)   Preparing workshop materials, supplies, equipment;

    f)   Gathering and analyzing pre-workshop information;

    g)   Arranging for workshop support personnel and other logistical support.

4.2   Selecting participants

4.2.1   The participants to the Strategic Planning Workshop will normally include various key leaders who can provide various inputs and viewpoints on human rights issues. Usually they include the Chairperson, members of the Commission, Executive Director, Commission Secretary, All Central Directors and Regional Representatives from Luzon, Visayas and Mindanao.

4.2.2   The ideal number of participants to the Planning Workshop is from 15 to 20. While a large group maximizes inputs to the planning, the quality of inputs has a diminishing return. More often than not, a large group limits participation of individuals and would have difficulty achieving consensus on the issues. A smaller group can reach consensus more easily. The downside is that they limit the amount of input and tend to be elitist. With proper preparation and communication, this perception can be minimized. The pre-planning activities should involve all inputs coming from central and regional offices down to the division level.

4.2.3   An important decision has to be made as to whether the public or external stakeholders should participate in the planning activities. For the CHR, the planning process is an internal affair. But it is important to provide a means to consider views of external stakeholders. Thus, as part of the pre-planning activity, reviews, opinions of external stakeholders on CHR performance could or should be solicited

4.3   Developing the workshop agenda

4.3.1   The workshop agenda will largely depend on the expected outputs. A workshop that is committed to draft/review the mission and vision, identify strategic issues, develop strategic goals, set measures and targets and develop action programs will take about three days. A sample agenda for a three-day planning workshop is shown as Annex A.

4.4   Selecting the workshop facilitator

4.4.1   Selecting the workshop facilitator may be the most important decision of the preplanning process. It is often possible to get one from within the organization who has facilitation skills or from external organizations knowledgeable of strategic planning in government.

4.4.2   Once the facilitator is selected, he/she should meet with the Planning Secretariat to agree on the facilitator's role, the strategic planning concepts, the methodology to be used, what is expected to be accomplished, what the agenda will be, and what the workshop ground rules will be. The Planning Secretariat should involve the facilitator in planning the workshop.

4.4.3   The facilitator should prepare for the planning workshop. Part of the preparation is to understand the current environment of the CHR and get advance information on the key issues and future direction from the point of view of the members of the Commission. To do this, the facilitator may interview the Chairperson and the members of the Planning Committee.

4.4.4   The facilitator should prepare a bullet-point summary of the interviews and provide copies to the Planning Committee so that they will have the opportunity to review the information and see in advance what the strategic issues are. The Planning Committee should decide whether or not the summary would be shared with the participants of the Workshop. If not shared, the members of the Planning Committee should ensure that the issues are brought up and discussed during the Workshop.

4.5   Arranging for workshop venue

4.5.1   The venue should be away from the office. This will allow the participants to concentrate on the strategic planning effort with no interruptions from regular office work. It would be best if the venue were off-site with live-in arrangements where the group can work into the evenings, if necessary.

4.5.2   The venue should include breakout rooms for group discussions and separate halls for meals and social gathering. The Planning Secretariat should also consider other facilities such as exercise/game room and other facilities for relaxation.

4.5.3   The recommended layout of the workshop venue is a conference type u-shape arrangement. This is ideal for a 20-participant workshop. Shown in Annex C is a suggested layout for the workshop venue.

4.6   Preparing workshop materials, supplies and equipment

4.6.1   Workshop materials should be prepared ahead of the date of the workshop. They include participant materials and facilitators materials. Participant materials generally include the workshop schedule, reading/reference materials related to the topics, copy of the presentation materials of the facilitators and resource persons, blank worksheets to document group discussion or individual work. See Annex D for

sample list of participant materials. The facilitator's materials usually consist of presentation materials in PowerPoint files, instructions for group activities and notes on how to process the workshop activities.

4.6.2   Participant materials should be prepared, reproduced and distributed to the participants before the start of the workshop.

4.6.3   If the venue provider does not provide supplies and equipment, the Planning Secretariat should make sure that it brings the needed supplies and equipment to the workshop venue. A checklist of supplies and equipment needed for the workshop is contained in Annex E.

4.7   Gathering and analyzing pre-workshop information

4.7.1   This is an important activity to supplement the interviews made by the workshop facilitator. Information that might be gathered include the following:

a)   Trends that will affect the quantitative and qualitative demands for human rights services;

b)   Performance issues such as productivity of the different central and regional offices, case backlog, people quality and quantity issues, facility, equipment and technology issues;

c)   Ongoing and planned programs and projects with brief description of the programs/projects, program/project benefits and outcomes, impact of the program/projects on performance issues, program/project timeline, and Implementing unit(s).

4.7.2   Information can be collected from the institutional performance review reports made by the Strategic Planning and Development Office, the revenue, budget and funds performance reports prepared by the Financial Management Office, pertinent researches conducted by other organizations that will impact on the directions that the CHR will take, existing management reports, survey materials collected nationally or regionally, personal interviews with senior leaders, outside studies of CHR and reform programs, surveys administered to select groups or units. The Strategic Planning and Development Office will be responsible for consolidating all these reports into a coherent and useful input in the strategic planning exercises.

4.7.3   A sample survey questionnaire covering planning data requirements is shown in Annex B.

4.8 Arranging for workshop support personnel and other logistical support

4.8.1 The Planning Secretariat or the Strategic Planning and Development Office will provide most of the support requirements for the Planning Workshop. Logistical requirements such as participant material reproduction and distribution, venue preparation, room assignment (for live-in arrangement), transport arrangement, meal arrangements, etc. will be the responsibility of the Planning Secretariat. In addition, the Planning Secretariat should get skilled staff to document the proceedings. However, the number of support staff should be limited for a couple of reasons, First, the participants may not express their ideas openly if there are a number of staff around. Secondly, there is a tendency to delegate the work to the staff that is present to lessen their workload.

4.9 Application of the preplanning process in the CHR

4.9.1 Strategic planning is not so much about producing a planning document. It entails a top-bottom and bottom top process of putting together the key elements of decision making on what the CHR wants to do as an organization and how it intends to accomplish the things that it will decide to do. This puts into perspective the necessity of involving or assigning each level of the institution with specific roles and responsibilities in contributing to the production of the strategic pan document. The following process describes the application of the preplanning process in the CHR.

4.9.2 Strategic Planning is the responsibility of the top leaders of the CHR. In order to engage the top leaders of institution to the strategic planning exercise, preparatory work will have to be done by every unit of the organization. The so-called preparations include the following critical stages:

a) Upon the direction of the Chairperson, the Strategic Planning and Development Office [SPDO] conducts a comprehensive review of operations. Based on the accomplishment reports of the different units, the SPDO produces an evaluation report of the organization and operations of the CHR. At this stage, wherein studies had been conducted on various aspects of the operations of the CHR, the SPDO should be able to consolidate the diverse findings of the studies and prepare a plan document identifying the critical issues and concerns that have to be addressed by the Strategic Planning. Other than the findings, the SPDO should be able to present a highlight of the various reform measures that have to be taken up during the strategic planning.

b) Thereafter, the SPDO will be made to prepare a Strategic Planning Call that specifies the guidelines and procedures for the Strategic Planning that is linked with the conduct of the Operations Planning of the different units of the CHR. Each unit will be tasked to review the various reform programs presented in a worksheet and also tasked to assess how each reform measure will contribute to the improvement and enhancement of the strategic direction of the CHR particularly, the operation of their respective offices.

c)   Each unit and office will submit to the SPDO its inputs with a categorization and assessment rating as to high, medium and low impact. Their inputs should include an identification of the enhancing and hindering factors for their realization.

d)   Hence, the SPDO consolidates the assessment of the different operating units and attaches the consolidated report to the draft Administrative Circular for the Strategic Planning Call;

e)   The Administrative Circular is disseminated to the different units of the CHR to include central and regional offices, which in turn, convene their respective offices and staff for appraisal of the different reform programs of the CHR. The process provides for the internalization of the much-needed reforms in different aspects of the organization and operations of the CHR Under each reform area; the attendant assessment and or diagnostic studies made will be reviewed for comments/feedback and prioritization of the concerned offices. Prioritization will be based on the possible impact of the designed reform measures, as well as, how these measures will contribute to the overall operations of the CHR.

f)   The different central and regional offices provide inputs on the direction and thrust that the reform measures should take. These are consolidated by the SPDO. The general policy thrust of the CHR on these reforms will be determined, which will serve as the Strategic Planning Agenda.

g)   The Strategic Planning Agenda represent the priority reform issues and concerns that should be taken up in the formulation/enhancement of the mission, vision, core values, key result areas and performance indicators during the strategic planning proper.

h)   Once endorsed for review and approval by the Commission En Banc, these Policy Thrusts of the Reforms for the Strategic Planning will be deliberated. After which the same will be circularized to prepare the participants of the Strategic Planning.

i)   The Chairperson convenes the Planning Committee and Planning Secretariat for the organization of the Strategic Planning Proper. The composition of these bodies is discussed under the planning mechanics.

j)   The preparation for the conduct of the Strategic Planning proper consists of both administrative and technical designs.

k)   The Strategic Planning Proper is conducted based on the prescribed design under the responsibility of the Planning Committee and Planning Secretariat.

4.9.3   An indicative application of the preplanning activities for the CHR is indicated in Figures 3 and 4.

5   STRATEGIC PLANNING WORKSHOP

5.1   Organizing the workshop

5.1.1   Consistent with its role, the Planning Committee assumes leadership of the planning workshop. It is responsible for developing the strategic plan with the participation of the other key leaders of the CHR. The main role of the Planning Committee during the Planning Workshop is to make decisions on issues when the participants arrive at no consensus.

5.1.2   The Planning Secretariat will be responsible for all administrative and logistical requirements of the workshop. It will monitor attendance, coordinate with venue staff with regards to venue facilities, equipment and services. It is also be responsible for documenting the proceedings and managing the evening activities such as fellowship and team building activities.

5.1.3   The facilitator is responsible for handling the workshop sessions with assistance from other resource persons, if necessary. The facilitator will alternate between mini-educational sessions and facilitated exercises. The facilitator and the Planning Secretariat, based on the information obtained during the preplanning interviews or surveys, would determine the educational level of the participants. The facilitator may be assisted by invited resource persons to handle some of the mini-education sessions.

FIGURE 3
PREPARATION OF PLAN DOCUMENT

SPDO   Chairperson

FIGURE 4
CONSOLIDATION OF PLANNING INPUTS

SPDO   Chairperson   All Operating Units/
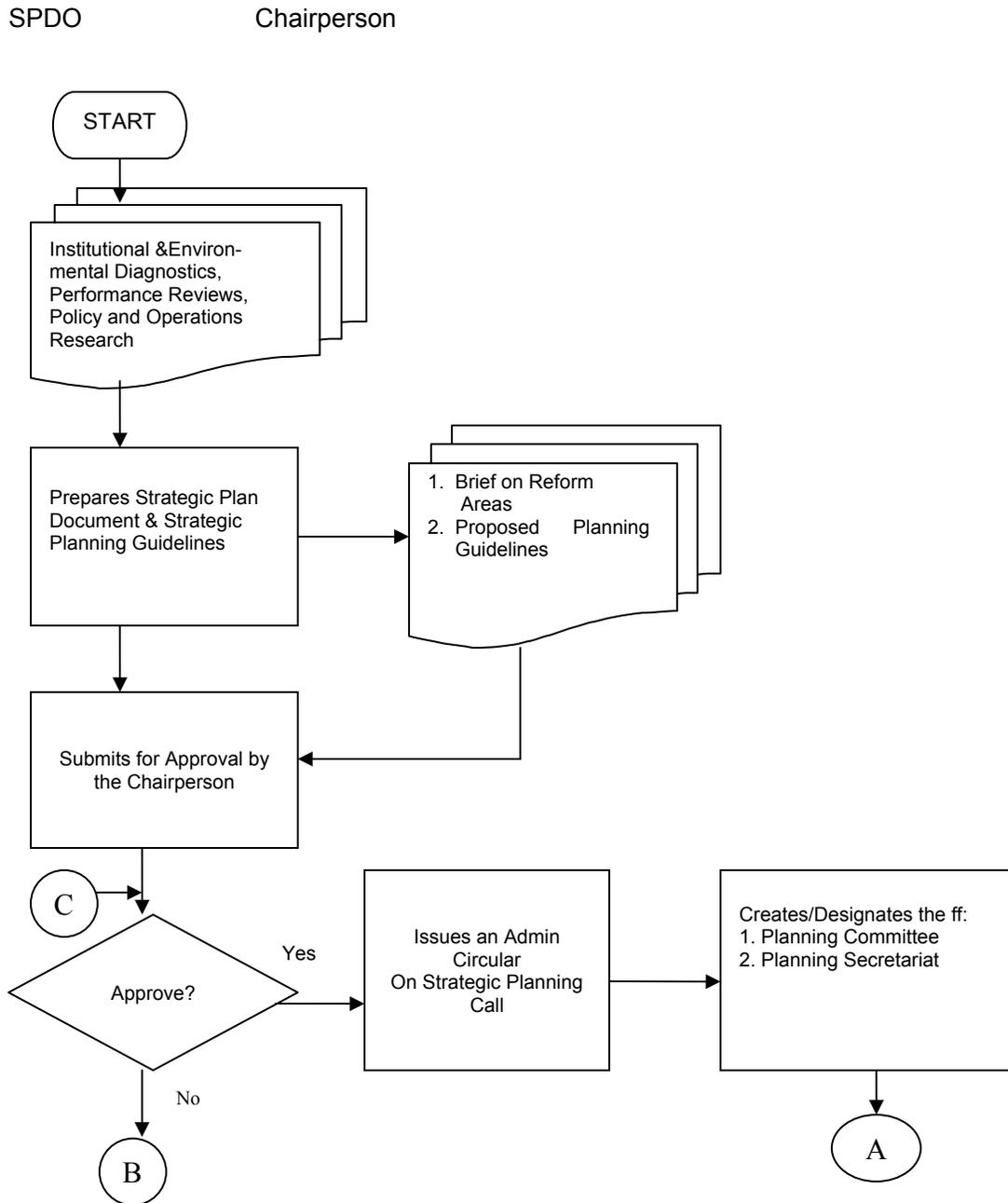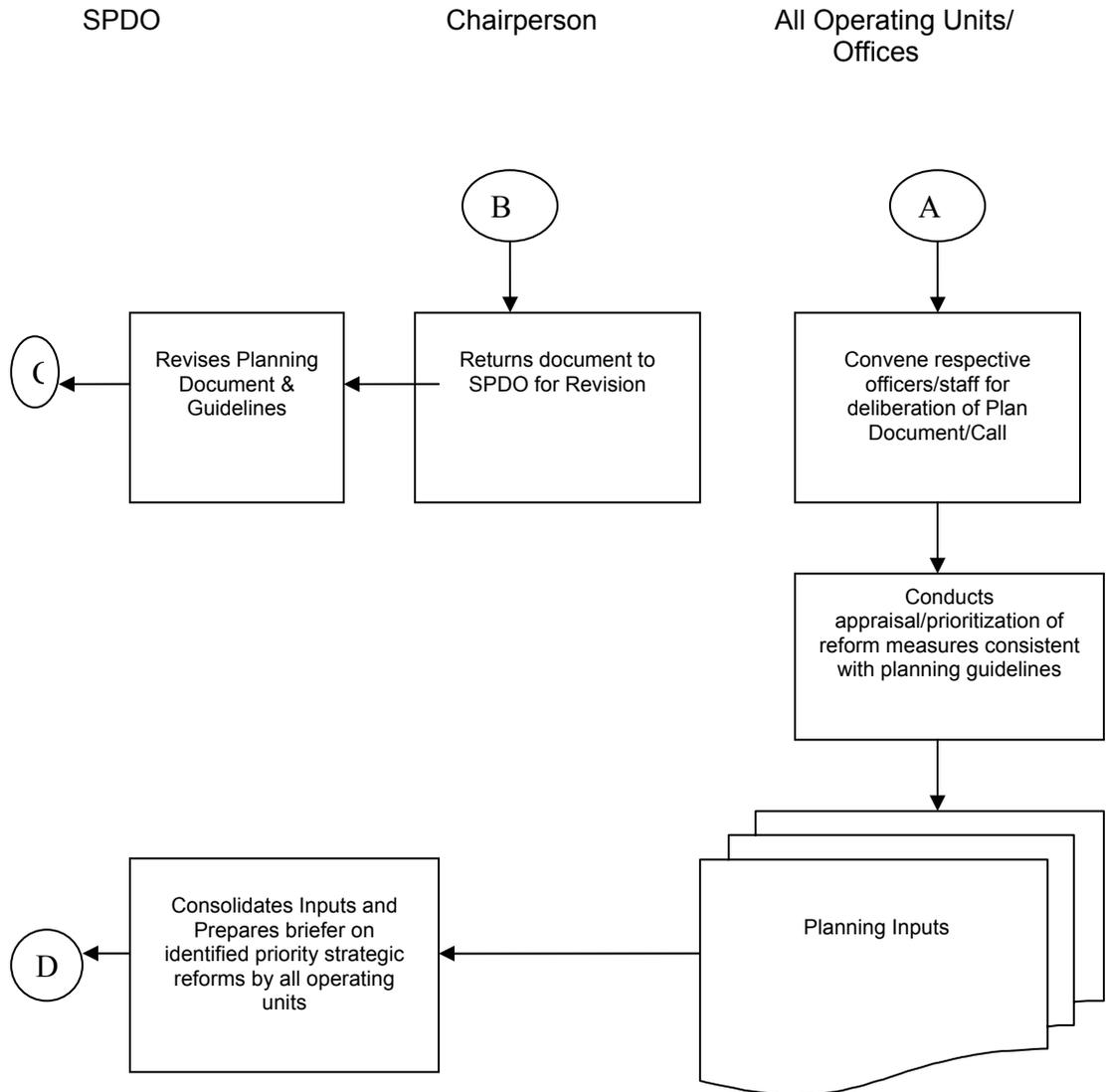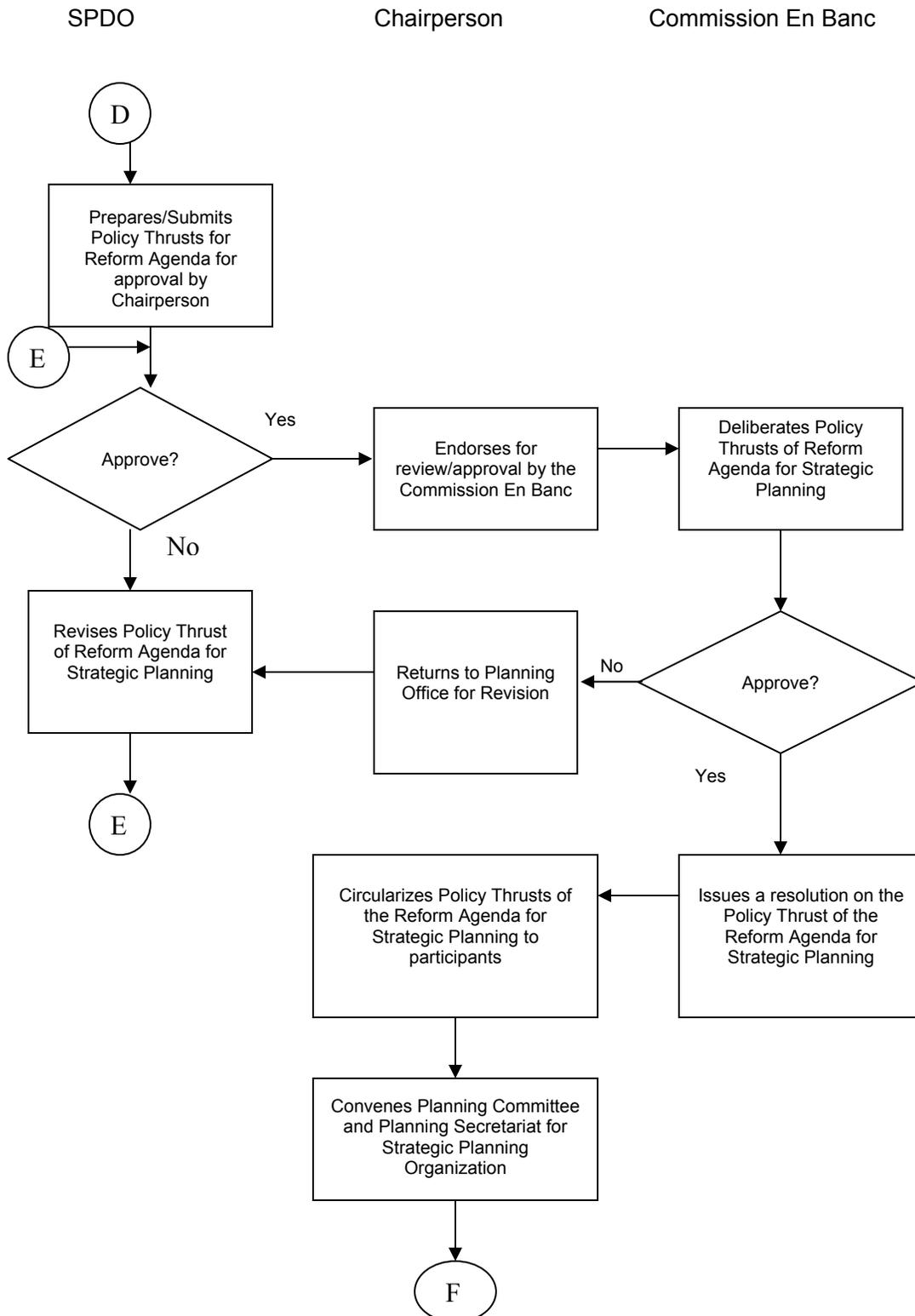   Offices

FIGURE 5
DEVELOPMENT OF POLICY THRUSTS OF THE REFORMS
FOR THE STRATEGIC PLANNING AGENDA

5.2 Starting the workshop

5.2.1 The CHR Chairperson or the Chairperson of the Planning Committee should open the Workshop and welcome the participants. He/she should express personal commitment to the process, thank the participants for coming and provide the group with an idea of what to expect of the workshop and what is expected from them.

5.2.2 The Chairperson of the Planning Secretariat should provide information about administrative arrangements like accommodations, messages, meals and coffee break schedules, facilities and amenities available to the participants. This is to ensure that participants' needs are taken care of during their stay at the venue premises. He/she should also discuss basic house rules to facilitate the workshop conduct. Shown in Annex F is a sample list of administrative matters and house rules.

5.2.3 The Chairperson of the Planning Committee will also walk the participants through the workshop schedule. In addition, he/she will discuss any planning assumptions, which were developed during the pre-planning activities as a result of the pre-planning interviews or surveys. With the assistance of the facilitator, a brainstorming session may be undertaken to provide the participants an opportunity to add, or modify the assumptions.

5.2.4 After the discussion of administrative matters, the facilitator orients the participants on the strategic planning process that will be used during this workshop. The orientation will focus on the basic principles, concepts, framework, activities and outcomes and benefits of strategic planning. This orientation is aimed at bringing the participants to common understanding of the strategic planning process.

5.3 Developing/revisiting mission, vision and values

5.3.1 If mission and vision statements already exist and the values of the CHR articulated, then the focus of this step is on reviewing them in the light of emerging issues and challenges facing the CHR. Mission, vision and values are the fundamentals of any organization. They interplay with one another and distinctively define that organization, where "mission" is purpose, "vision" is desired state, and "values" are the fundamental beliefs that guide behavior. The guiding definitions of these three are:

a) **Mission** - an enduring statement of purpose of the CHR's existence that distinguishes itself from others. It usually answers the questions: "Who are we? Why do we exist?" Mission is both identity and philosophy. It identifies its core purpose, the needs the CHR addresses, the people it serves, what the CHR stands for. It covers not only an organization's mandate but defines what its clients and employees see would be its services and the value it would bring to them. It is usually built upon the organization's core values and provides a consistent focus. The mission statement also provides the philosophical context for the planning process.

b)   **Vision** - a commonly shared picture of what the CHR wants and is committed to become some time in the future. It is the guiding and motivating compass of the organization to bring about change, capturing the desired spirit of what its people passionately want the organization to become. It is an achievable but challenging and compelling future state experienced and begun in the present and lived by everyone everyday. If visioning is included at an early point in the planning cycle, it may help establish the groundwork for strategic planning by describing the ideal future.

c)   **Values** - fundamental beliefs that will guide the CHR's behavior in meeting its objectives and in dealing with others. It answers the question of: "What is important to you?" Where an organization has shared values, they serve as the standards that influence how each individual conducts himself or herself; the moral judgments, the response to others, the commitments to personal and societal goals.

5.4   Constructing a mission statement

5.4.1   Developing a mission statement will orient the participants toward adopting a long-range outlook. Its role in the planning process is two-fold:

a)   It provides a point of reference for decisions about issues addressed in the plan. It can be used as a guide to settle disputes, to ensure consistency in developing goals, and to provide guidance about implementation priorities.

b)   The process of developing or reviewing a mission statement is frequently more valuable than the final statement itself. The consensus on the CHR's primary purpose is the more important result of the process.

5.4.2   Dividing the planning participants into groups can do this process. In this manner, several versions can be considered and adopting salient points from the other versions can develop the final mission statement. The steps that the groups can take in developing mission statement options are as follows:

Step 1. Consider the CHR's mandate, previous mission statement or statements and the Guidelines for an Effectively Functioning National Human Rights Institution, as a frame of reference for your statement. Legislative mandates are often a key influence on the development of the mission statement; hence, part of the work of drawing up a mission statement consists of reviewing these mandates.

Step 2. Define the characteristics and qualities of your organization on the following dimensions.

a)   Its constituents and stakeholders;

b)   The needs met, functions served, or problems addressed;

c)   The product and services provided;

d)   The values and standards that underlie your operations.

Use key words in describing qualities and characteristics e.g.

Vulnerable and disadvantaged groups	Justice
General public	Fairness
Human development conditions and poverty	Oversight monitoring of human rights standards
Enjoyment of human rights	Linkages development
Protecting individual human rights and freedoms	Legal and para legal assistance
Educating on human rights	Accessibility and operational efficiency
Advising and assisting government	Broadness of mandate
Impartiality and independence	Pluralism and sectoral representations
Investigating and other remedies	Collegiality

Step 3. Write a mission statement using the key words generated in step 2 that meets the following criteria:

a)   Does it support the constitutional mandate of the CHR and its functions as a national human rights institution under the UN Paris Principles?

b)   Does it address the dimensions of step 2?

c)   Is it clear and readable?

d)   Is it challenging to the CHR? Motivating for its official, officers and entire workforce?

This step begins the drafting process. One to three sentences are sufficient for a draft mission statement. Longer statements risk becoming bureaucratic and non-motivating.

Step 4. Check for group consensus on the mission statement. This step suggests that the mission statement takes its final shape through discussions among the participants as to which concepts and values are to be included in the text. Since the groups develop several versions, it is suggested to pick one as the base version, then add and delete words or ideas from the other versions.

5.5   Defining the Vision

5.5.1   Visioning means developing a statement of the preferred future. The CHR should ask the question. "If we could create the CHR organization of our dream and have the impact we most desire in relation to community, sectors or constituency we serve in the local human rights community or even in the light of the international human rights community, what would it look like five years from now?" Visioning emphasizes thinking about excellence and future state of the organization and often is a useful way to get planning participants to look beyond immediate budgetary and political constraints. The visioning scenario is ideally about 5 to 10 years.

5.5.2   A visioning exercise tool to help members of an organization articulate the vision in its many states is a visioning worksheet below which covers the following elements on which a "Now" and "Future" states are described:

TABLE 2
VISIONING WORKSHEET

ELEMENTS	NOW	FUTURE
Human Rights Services		
Constituents/community		
Human Rights Stakeholders to include duty holders and claim holders		
Core competence		
Organization Culture		
Human Rights Protection System		
Values and Behavior		
Structure of the CHR at central and regional levels		
Image/reputation/credibility		

5.5.3   The steps in visioning are similar to mission statement development. The same groups can be tasked to draft their vision using the visioning worksheet. The group should describe first the "Now" column using the knowledge of the organization and the information gathered during the pre-planning preparations.

5.5.4   The important part is filling up the "Future" column. The group will be asked to dream the core vision elements that are most inspiring to the group members. To help facilitate the definition of the future CHR, the following questions may be used to stimulate the thinking of the group members.

What impact do we want to achieve with our plans and programs five years from now? Who will we be involving/serving and how? What impact will we have on the nation, region and community? What will success look like? The changes that we envisioned?

What will the organization look like in ideal terms to deliver the desired impact? How will the organization act? Behave? What will its reputation be? What will be the nature of its services? How will technology be used?

5.5.5   After filling up the "Future" column, the group can now proceed to draft the group's vision for the CHR. Using the key words in the Visioning Worksheet, craft a visioning statement incorporating the key concepts and ideas of the future state of the organization. This is an iterative process that continues until the group is satisfied and comfortable with the elements of the vision statement. In crafting the vision, the following criteria of a good vision can serve as a guide:

   a)   Provides a picture of the future and should assure stability and continuity of direction;

   b)   Is easy to read and understand; can be used to guide decision-making;

   c)   Outlines the goals, values and characteristics the organization strives to attain;

   d)   Reflects competitive strengths, employee philosophies and a desired fiscal responsibility in the community;

   e)   Offers a guiding light for change and should transcend temporary or situational changes;

   f)   Provides a primary focus and elicits the pride and commitment of people;

   g)   Must be realistic (attainable and measurable); at the same time, it must be challenging and compelling, stretching people beyond what is comfortable.

5.5.6   The same procedure is used in drafting the final vision statement as in the mission statement.

5.6   Statement of Core Values

5.6.1   Most often, core values are embedded in the vision statements. However, it is best to develop a list of core values that reflect what people believe and how they behave as a group of individuals in conjunction with the CHR's culture and desired public image. These are paramount values that are required to accomplish our mission.

5.6.2   As with the mission and vision exercise, the participants can be divided into groups to brainstorm the values and behavior necessary for success. In a plenary session, the final list can be agreed upon by combining and modifying the list prepared by the various groups. Some samples of core values adopted in the CHR are:

   •   Independence

   •   Accountability

   •   Open mindedness and fairness

   •   Transparency

5.6.3   A simple guide in coming up with the list of core values is simply completing the phrases below:

Commitment to.

Emphasis on.

Appreciation for ………

5.7   Assessing the current situation

5.7.1   Assessing the current situation involves identifying a wide range of possible planning issues and selecting critical issues, which have significant impact on the core purpose of the CHR. This exercise should result in the distillation of a few but critical issues for the CHR – a list of what must be done to achieve a broader definition of organizational success.

5.7.2   Organizations have devised many ways to identify critical issues, which might be included in the planning process. We are recommending the use of the SWOT (Strengths, Weaknesses, Opportunities, Threats) Analysis technique in tandem with the Balanced Scorecard Technique[2]. The SWOT technique provides the basic technique for assessing the current situation by analyzing the internal strengths and weaknesses and external opportunities and threats of an organization. The balanced scorecard technique provides focus on key elements of success of an organization. By using both the SWOT and Balanced Scorecard techniques in assessing the current situation and identifying critical issues of the CHR, it ensures that strategies developed are relevant to the success of the CHR.

5.7.3   The Balanced Scorecard is a framework for strategic management. It forces the CHR to focus on strategic issues and consequently, develop strategic goals on the four perspectives of the scorecard. These four perspectives in the balanced scorecard are the critical elements that an organization has to manage and innovate to be successful.

5.7.4   A distinctive feature of the Balanced Scorecard is the use of four perspectives - balanced along external and internal measures. External measures are those of the stakeholders (usually expressed in financial terms for business enterprises) and customers or clientele. In the case of the CHR, external measures are usually expressed, for example, in terms of the services it provides to the public. Internal measures are critical business processes, and learning and growth rates. Major companies in the private sector are using the balanced scorecard concept to develop strategic measures for their strategic planning process. Some public service organizations have experimented on this concept with success. With the operationalisation of the independence and autonomy of the CHR, the Balanced Scorecard becomes very useful in enabling the CHR to assess and plan based on a more complete perspective of the Commission's organization.

---

[2] Drs. Robert Kaplan and David Norton, 1996 Harvard Business Review

5.7.5   The balanced scorecard allows leaders to view the organization from four important perspectives in an integrated manner. The balanced scorecard perspectives can be likened to the dials of an airplane cockpit. In navigating and flying the plane, the pilot needs information from several aspects of the flight. Reliance on one instrument will be fatal. Similarly, the complexity in leading an organization requires the leaders to lead and view performance from several perspectives simultaneously. As such, we recommend that strategic goals be set on these four perspectives and measured to monitor organizational performance.

5.7.6   For the CHR, we will use the following perspectives:

a)   **Citizens and Stakeholders** – How do citizens and stakeholders see the services provided by the CHR? This perspective refers to the management philosophy that stakeholders or public focus and satisfaction is a leading indicator of performance. In the context of the CHR Reform Program, the question may be – how should the CHR be perceived by the citizens and stakeholders in the following areas:

- Protection of Human Rights for all

  - CHR autonomy

  - Access to human rights legal and para-legal services

  - Quality of external inputs to investigation process

  - Quality of service delivery in terms of dignity, integrity, accountability

    and transparency

b)   **Finance and Budget** – How do we look to citizens and stakeholders in managing the resources of the CHR? This perspective measures the cost of delivery of the organization's services, how effective it is in raising or obtaining funding for its operations and how efficient it is in utilizing these resources to provide human rights services?

c)   **Internal Processes** – what must the CHR excel at doing? This perspective refers to the mission-oriented processes that have significant impact on the delivery of the CHR's services. Excellent delivery of services derives from processes, decisions, and actions occurring throughout the organization.

d)   **Learning and Growth** – How will the CHR be able to sustain its ability to change and improve? This perspective includes employee training and corporate culture related to both individual and organizational self-improvement. In a service organization, people, the only repository of knowledge, are the main resource. In the current climate of rapid change, it is becoming necessary for CHR officers and support staff to be in a continuous learning mode.

5.7.7   The external perspectives of the balanced scorecards are the citizens and stakeholders and finance and budget perspectives, while the internal are represented by the internal processes and learning and growth perspectives.

5.7.8   SWOT (Strengths, Weaknesses, Opportunities, Threats) is a simple, easy to understand technique used in formulating strategies and policies for any organization. It involves the examination of an organization's internal strengths and weaknesses, and its environment's opportunities and threats.

5.7.9   It is a general tool designed to be used in the preliminary stages of decision-making and strategic planning as this assists in forming a vision of the future. The CHR can get an overall picture of its present situation in relation to its community, stakeholders, and clientele that would translate into formulating strategic changes.

5.7.10   Making a list of internal weaknesses could reveal areas that can be changed to improve the CHR organization, or things that are beyond control. Present strengths are enlisted as well. Examples of potential strengths could be: (a) strong and dedicated staff with a high morale; (b) a strong reputation for quality service; and (c) competent and caring human rights investigators and lawyers.

5.7.11   The external look is complementary to the internal self-study. Threats and opportunities need to be ascertained. These are never seen as absolute. What might at first seem to be an opportunity, may not emerge as such when considered against the resources of the CHR or the expectations of society. The greatest challenge in the SWOT method could probably be to make a correct judgment that would benefit both the CHR and the community.

    a)   STRENGTHS - Competencies possessed by the organization that will enable it to achieve its objectives

    b)   WEAKNESSES - Areas that limit or inhibit the organization's overall success

    c)   OPPORTUNITIES - Economic, social, political, technological and professional trends and events that could significantly benefit the organization in the future

    d)   THREATS - Economic, social, political, technological and professional trends and events that are potentially harmful to the organization's present and future

5.7.12   A SWOT Worksheet could be used as a further guide in generating ideas for the SWOT analysis.

TABLE 3
SWOT WORKSHEET

Strength	Weaknesses
Any internal asset (know-how, motivation, technology, finance, network) which will help to deliver quality service and to fight off threats Key Questions: **What are we good at?** **How are we delivering our services?** **What are our resources***?* Examples • Well-trained employees • Well established knowledge base • Technology, etc.	*Internal deficits hindering the organization in delivering quality service* Key Questions: **What are we doing badly?** **What annoys the citizens most?** Examples • Lack of motivation • Lack of competency • Low reputation (The lack of a particular strength)
Opportunities	**Threats**
Any external circumstance or trend that favors the demand for an organization's specific competence *Key Questions:* What changes do you expect to see that will facilitate the delivery of our services over the next years? Examples: • Use of new technology	*Any external circumstance or trend which will unfavorably influence demand for an organization's competence* *Key Questions:* **What future changes will affect our organization?** Examples: • Lack of funding from Gob's • Increase in technology crime

5.7.13 The first step in identifying critical issues that should be addressed by the strategic plan is preparing a SWOT analysis on the four perspectives of the balanced scorecard. For the external perspectives, determine the threats and opportunities and for the internal perspectives, the strengths and weaknesses. In this manner, critical issues on each perspective can be identified and corresponding strategic goals can be developed to address the issues. Shown in Annex G is a Situation Analysis Worksheet using the SWOT and balanced scorecard techniques?

5.7.14 In analyzing citizens and stakeholders, it is important that the following be included as part of stakeholders:

    a)   Political oversight forces (Congress, Executive Branch, local executives, COA, etc.)

    b)   Professional forces (IBP, etc.)

    c)   Citizen forces including public service interest groups (NGOs and other human rights groups

    d)   Service user forces including human rights victims or survivors, people's organizations, etc

    e)   Others (public in general)

5.7.15   As soon as the SWOT analysis is completed, identification of critical issues comes next. List issues per perspective. If the CHR cannot do anything about it, it is not an issue – at least for the CHR organization. The consequence of failure to deal with the issue should be identified. If there is none, then there is no issue.

5.7.16   The list of issues per perspective should be trimmed down to the significant issues. A quick review is often useful by ridding the list of secondary issues. More thorough discussions are needed to further trim the list to a significant few. When examining the significant few, a broader definition of issues will further reduce the list. As necessary, issue statements are combined, restated or in some way reordered into statements that are both long term and affect the core purpose of the CHR.

5.7.17   This list of issues identified by a small group of planning participants is then discussed with the planning participants in a plenary session. The aim is to get consensus on the list of critical issues. Other groups will have their list, which may be completely different from each other. Critical issues should not be more than eight. The list of issues from the various groups can be combined, modified, added to come up with the final list of issues. The difficult part is getting a consensus on the list of critical issues.

5.8   Developing Key Result Areas (KRAs)

5.8.1   Key Result Areas (KRAs) are those functional areas in which the CHR must continually pay attention to in terms of results and improvements. KRAs are highly selective areas (usually four to five only) in which an organization must achieve a high level of performance to be considered successful.

5.8.2   KRAs are basic functions or resources on which goals are to be set. KRAs establish the "what." KRAs are not activities, tools, processes, procedures, inputs, means or how's.

5.8.3   Combined with the concept of Balanced Scorecard, KRAs can be developed with balance in mind. A KRA can be developed for each of the Balanced Scorecard perspectives: Citizens and Stakeholders, Finance and Budget, Internal Processes, and Learning and Growth. A KRA developed for each perspective addresses the key issue for that perspective.

5.8.4   KRAs give focus and clarity of direction and efforts. For this reason, limiting the number of KRAs is essential in the process. The "critical few" CHR-wide KRAs help develop strategic thrusts and key performance indicators (KPIs) across the CHR organization. These KRAs and corresponding KPIs are cascaded down into the various CHR offices, as each unit translates the KRAs into its specific role in the common KRA. Each unit is able to relate and contribute to the CHR-wide KRA in its particular role in the organization. Having a "critical few" KRAs also prevents the CHR from falling into the "activity" or "busyness" trap.

5.8.5   Once KRAs are identified, goals have to be to set for each KRA. Goal-setting means choices have been made among several options of achieving successful performance in each KRA. To be effective, the goal should describe a result or outcome that is measurable, time-bound, challenging and achievable. A goal

represents a new policy, program or initiative. It is not business as usual. Some samples of KRAs and goals are shown below. Presented in Annex H is a Goal Development Worksheet.

TABLE 4
SAMPLES OF KRAS AND GOALS

Balanced Scorecard	KRAs	Goals[3]
Citizens & Stakeholders	Access and Fairness	All citizens will have equal access to human rights services, and will be treated in a fair and just manner
	Public Trust and Confidence	The public shall have trust and confidence that the basic human rights investigation function are being conducted expeditiously and fairly and the decisions shall have integrity. The CHR shall be perceived to be independent, not unduly influenced by other components of government and shall be accountable.
Finance and Budget	Fiscal Autonomy and Accountability	Achieve fiscal autonomy that responsibly seeks, uses, and accounts for public resources needed for its operations.
Internal processes	Modernization of CHR and support processes	Human Rights services will be administered in a timely, efficient, and effective manner that utilizes modern management practices, quick and responsive investigative practices and case management, and information technology
Learning and Growth	Enhanced competency of people	Broaden and deepen competencies of CHR investigators, lawyers and information officers through mass-based education services and professional development

5.9   Identifying Key Performance Indicators (KPI)

5.9.1   Key performance indicators (KPIs) are metrics that measure the progress toward a Key Result Area, either directly or indirectly.   It is the way in which one can gauge if a KRA is being achieved or not. That is, KPIs are the measure of success of the stated KRAs.

5.9.2   Key performance indicators (KPI) are qualitative and quantitative measurements that assess progress towards key result areas.

5.9.3   KPIs are classified into the following categories:

   a)   Cost: Are we utilizing resources effectively?

   b)   Time: How long does it take?

   c)   Quality: Does the result conform to requirements?

---

[3] California Judicial Council Strategic Plans

d)   Client service: Are we exceeding the expectations of our clientele or service users?

5.9.4   When identifying KPIs, strategic choices have to be made to provide direction and focus.   Therefore, no more than three KPIs per KRA are suggested.   In addition, the set of KPIs should have a balance of output and process KPIs.   Output KPIs measure the throughput of a key process, while process KPIs measure consistency or capability of the process that will provide future success. Some examples of output and process KPIs are as follows:

TABLE 5
EXAMPLES OF OUTPUT AND PROCESS KPIs

BALANCED SCORECARD	KRAS	KPIS
Citizens & Stakeholders	Public trust and confidence	% increase in perceived public trust
Finance and Budget	Cost effectiveness	% Reduction of average cost of resolving cases (process KPIs)
Internal processes	Modernization	% Completion of computerization of administrative systems (output KPIs)
	Quality of human rights service	% Reduction of average completion time of human rights cases. (Process KPIs)
Learning and Growth	People competency	% of human rights investigators and lawyers completing 24-hrs training per year (Output KPIs)

5.9.5   In some cases, "soft" measures are needed. Some of these will keep the KPIs from being too financially and internally focused. Soft measures are hard to quantify and usually measure perceptions of the human rights services users, community or citizens as a whole. Soft measures are normally done through focus group discussions or surveys. Results sometimes do not fit the facts, but it is a reality. Examples of soft measures are the CHR's image or reputation, awareness of the services, skill level or assessment, attitudes toward the CHR's regional offices.

5.9.6   In identifying KPIs, the following criteria are best followed:

a)   RELEVANCE - Does the measure reflect the most important results?

b)   INTEGRATION - Can the measure be cascaded downward from the Agency level to the operating units?

c)   SUSTAINABILITY - Can the measure accurately forecast the trend of results into the future?

d)   MEASURABILITY - Can the measure be calculated from readily available data?

e)   RELIABILITY - Would different judges make the same calculations?

f)   MANAGEABILITY - Can the results be controlled by the individual?

g)   COMMUNICABILITY - Can the measure be explained easily and clearly to internal and external audiences?

h)   TIMELINESS - Can the measure be applied annually, even if it is designed to be used in the longer term?

i)   CONSISTENCY - Can the measure be related to past performance and competitive performance?

j)   CREDIBILITY - Is the measure resistant to manipulation?

k)   DIFFENTIATION - Do the results vary enough from one another so that people know what specific goal has been achieved?

5.9.7   Additional guidelines in developing KPIs are as follows:

a)   Work from a long list of KPIs and narrow these down to the important few. When too many KPIs are identified, this may create a situation where there is lack of direction and focus. Therefore, subsume intermediate measure KPIs under a few all-encompassing final or output measures.

b)   Not all KPIs need to be output KPIs. Process KPIs can also be developed to balance the approach and perspective. There is value in looking for quality-based process measure in terms of timeliness, conformance to standards or requirements or to court users' expectations. A process KPI may address the quality of the promotion process as perceived by the clients. Another process KPI may be developed to address reforms needed in the promotion area.

c)   Use the initial KPIs that were dropped as KPIs into action plans. Some of the suggested KPIs are ideas for implementing plans that will contribute to the attainment of the KPI targets.

d)   Not all activities of the CHR need to fall into a particular KPI. Therefore, the intent is not to have every activity reflected in a KPI. It is important, however, that an organization unit's activity is always related to one or a set of KPIs.

5.10   Setting Performance Targets

5.10.1 Setting performance targets closely follows KPI development. In setting your performance targets, do so initially on broad strokes – for example, at a program level. Then intermediate or supporting targets at the project level can be set when these are cascaded to the lower levels of the organization.

5.10.2 Targets may be a date of completion (i.e. a milestone) and in points over a period of time. In the case of major institutional reform, begin with establishing targets for the end-state year and then set progressive targets starting from start-year thereon. Shown as Annex I is the KPI and Target Setting Worksheet.

5.10.3 Targets may be a condition or level of performance.   In setting targets and levels of performance, the following level definitions may be useful:

a)   MINIMUM ACCEPTABLE – that which can be tolerated without detracting from organizational performance, under expected conditions

b)   EXPECTED – most probable result given present time and resource allocation, under expected conditions

c)   MAXIMUM PROBABLY – the best you could reasonably expect to do under expected conditions

5.11   Review of Reform Programs and Projects

5.11.1 When the targets have been agreed upon, strategic actions (sometimes called action program) have to be developed and decided upon. Strategic actions are action programs that will achieve the stated KRAs and corresponding KPI targets. Part of this exercise is the review of ongoing reform programs, initiatives, as well as key services extended to the public to ensure that these are aligned with the new direction of the CHR. In the process of program and project evaluation, the simple framework presented in Figure 5 below may be useful. It consists of four quadrants within which programs and projects are evaluated on the basis of: impact of the program to the CHR's overall mission and its consistency with the strategic goals and current capability or competency to implement the program/project.

FIGURE 6
PROGRAM/ PROJECT EVALUATION FRAMEWORK
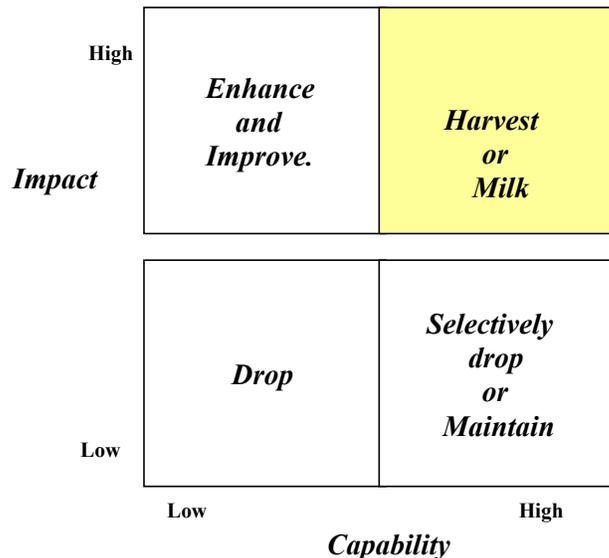
5.11.2 Each quadrant in the framework has a specific action to be taken.

a)   Where there is low capability and low impact – drop option is the recommended action;

b)   Where there is high capability but low impact – selectively dropping or maintaining is the recommended action;

c)   Where there is low capability but high impact – enhance and improve is the recommended action;

d)   Where there is high capability and high impact – "harvest or milk" is the recommended action.

5.11.3 Furthermore, new programs and projects which would be necessary to achieve the vision and goals of the CHR may have to be identified. In doing so, it may be useful to follow the simple concept as shown below:

a)   "Programs" deliver capability. It involves leading complex and integrating multiple projects and capability releases

b)   "Projects" provide deliverables. It involves managing scope, quality, effort, risk and timeline.

c)   A combination of several deliverables is "Capability".

5.11.4 An indicative application of the strategic planning process for the CHR is contained in Figure 7.

5.12   Developing action plans

5.12.1 Action planning occurs when the KRAs, KPIs and corresponding programs and projects are finalized and approved. Action plans are program/project tasks to be undertaken to achieve the required program/project results. Action planning links strategic planning with operational planning. It involves breaking down the program/project into its component tasks, identifying accountabilities, resources and timeline.

FIGURE 7
STRATEGIC PLANNING PROPER, CHR

SPDO   CHAIRPERSON/COMMISSION EN BANC

```
        ( F )

   ┌──────────────────┐              ┌──────────────────┐        ┌────────┐
   │ Initiates        │              │ Chairperson issues│───────▶│  end   │
   │ /organizes all   │              │ Admin Order for   │        └────────┘
   │ administrative   │              │ Implementation    │
   │ preparations     │              └──────────────────┘
   │ using the        │                       ▲
   │ prescribed       │                       │
   │ planning         │              ┌──────────────────┐
   │ mechanics        │              │ Commission En Banc│
   └──────────────────┘              │ issues a Resolution│
            │                        └──────────────────┘
            ▼                                 ▲
   ┌──────────────────┐   ┌──────────┐
   │ Conducts         │   │ Revises  │
   │ Strategic        │   │ Strategic│
   │ Planning Proper  │   │ Plan     │
   │ using the        │   │ Document │
   │ prescribed design│   └──────────┘
   └──────────────────┘
            │
            ▼
   ┌──────────────────┐                Yes        ┌──────────────┐
   │ Conducts         │              ◇ Approve? ─No─▶ Returns to   │
   │ intervening      │                             │ Planning Office│
   │ consultation     │                             │ for Revision  │
   │ with key         │                             └──────────────┘
   │ officials/officers│
   │ on Key Performance│
   │ Indicators and   │
   │ Targets          │
   └──────────────────┘
            │
            ▼
   ┌──────────────────┐              ┌──────────────────┐
   │ Completes the    │              │ Endorses the     │
   │ plan document    │              │ Strategic Plan to│
   │                  │              │ the Commission   │
   └──────────────────┘              │ En Banc for      │
            │                        │ Approval         │
            ▼                        └──────────────────┘
   ┌──────────────────┐        Yes            ▲
   │ Submits completed│                       │
   │ Strategic Plan to│     ◇ Approve? ─No─▶ ┌──────────────┐
   │ the Chairperson  │                       │ Returns to   │
   └──────────────────┘                       │ Planning Office│
                                              │ For revision │
                                              └──────────────┘
```

5.12.2   Action planning also happens when continuing operational activities are realigned with the KRAs and strategic goals of the CHR. The KRAs and KPIs are cascaded down to each level of the CHR organization, where KPIs and targets cascaded are set and disaggregated through organization-wide KPIs and targets to the various units of the organization. The cascade of KPIs can happen up to the individual level where practicable.

5.12.3   The Action Planning Worksheet shown in Exhibit 2 may be helpful in the process of generating action plans and timelines around these decisions.

5.12.4   This action planning worksheet can be directly linked to the Budget development process of the CHR.

6   COMPLETING THE PLAN

6.1.1   Two types of plans come out of this process – strategic and operational plans. The strategic plan includes the mission, vision, values, and organization-wide KRAs, and KPIs. The operational plan includes the aforementioned as well as annual targets for organization-wide KPIs and cascaded KPIs and annual targets of organizational units. It also includes the programs and action plans needed to move the organization toward achieving its vision.

6.1.2   Upon completion of the initial draft of the strategic plan, it is good practice to get feedback from mid-level managers and different offices down to the division level at this point. Their perspective and insight can make a better and executable plan. Besides, by involving them and thus making them participants in plan development, they are more likely to support the implementation plans and programs.

6.1.3   The consultation can be done through a half-day session where the plan will be presented to the managers, and other senior officers and feedback is solicited from them. Alternatively, a senior management member can discuss the plan with selected middle managers, senior officers, and provide feedback to the senior management team.

6.1.4   Top management, particularly those involved in the strategic planning process, is responsible for considering all feedback and incorporating what is appropriate into the strategic plan. After finalizing the plan, top management should let the managers and different offices/division know how their feedback was used. Particularly important is explaining why a key issue shared by many was not considered. This will be very helpful in understanding the direction of the organization.

6.1.5   The final strategic plan should be documented and published, with all central and regional offices/units provided with one copy. The published strategic plan is for internal purposes only. An external version will exclude the targets for each KPIs, as these may quickly change over time outdating the plan.

6.1.6   With the completion of the strategic plan, operational planning can start in earnest with the strategic plan as basis. While the strategic planning process may not be done every year, updates or review may be made which have impact on the operational plan.

6.1.7   Operational planning takes off from the KPIs and annual targets specified in the strategic plan. Taking the first year targets, the various organizational units of the CHR should develop their action plans for the planning year taking into consideration the priorities established in the strategic plan. Action planning will include resource planning which detail the equipment, materials, people and other resources needed to carry out the action plans. All action plans developed by the various organizational units are consolidated and reviewed by the SPDO for alignment with the strategic plan.

6.1.8   Finalization of operational plans is also an iterative process and is directly linked with the budgeting process. The final operating plans are documented and published for monitoring purposes.

7   MONITORING THE PLAN

7.1   Monitoring as a function

7.1.1   Planning is an evolutionary process that allows new ideas to be tested within legitimate constraints faced by the organization. As these ideas are tested and success is measured, the JCHR refines its Plan and looks for new ideas to move toward its destination.

7.1.2   Monitoring the plan is a management function and will be undertaken by the SPDO on behalf of top management. Monitoring involves measuring actual results against targets set in the Plan. It also involves evaluation of interim steps to predict or assess whether the ultimate goals and, eventually, the vision will be reached.

7.1.3   Regular monitoring of the Plan is necessary to keep management informed of the status of its implementation. A simple, short monthly report is recommended to keep track of the status. A comprehensive semi-annual report will be prepared that will include the assessment of performance and recommendations on what actions to take on deviations from the Plan.

7.2   Strategic measurement system

7.2.1   Strategic measurement is an integral part of strategic planning and management. "What cannot be measured cannot be managed." Strategic measurement involves the identification, development, collection and assessment of selected critical measures that are directly linked to the organization's performance of its mission and the attainment of its vision.

7.2.2   The critical measures are identified during the KRA and KPI development stage in the planning process. During the planning process, KRAs and KPIs on each of the important planning perspective of citizens and stakeholders, internal processes, finance and budget and learning and growth are established. Also, long-term targets of these KPIs are agreed upon and are cascaded down to the organizational units with their respective targets established.

7.2.3   All of the CHR-wide KPIs and related measures cascaded down the organizational levels are shared by a number of people across the CHR. This results in the need for employees to team up with employees in other functions or areas. This teaming ensures:

     a)   Control over the KPIs and performance measurements being tracked;

     b)   "Walls" between functional groups/areas break down;

     c)   Employees across different functional groups/areas are all focusing on the same outcomes;

     d)   Resources across functional groups/areas are used effectively.

7.2.4   A system of tracking and reporting actual results should be developed and implemented at the transaction and implementing level.

7.2.5   Management should be aware that collection of information and accurate assessment of the effect of the Plan require substantial commitment of time, effort and resources. In some instances, management should decide on whether an outside evaluation is needed. For instance, in evaluating the satisfaction of the citizenry with the services of the CHR Regional Offices particularly its investigative and legal services, there might be a need to hire an external group to conduct an objective and impartial survey of the perceptions of the citizenry on this subject.

ANNEX "A"

The Commission on Human Rights'
STRATEGIC PLANNING WORKSHOP AGENDA
Date

Day 1		
Time	**Session/Description**	**Facilitator**
8:00 – 8:30	**Registration**	
8:30 – 9:30	**I. INTRODUCTION** Opening Prayer National Anthem Welcome Remarks Workshop Objectives / Introductions Administrative Matters; Expectations from Participants Workshop Agenda/ Roadmap Pre-Workshop Survey Summary	Planning Secretariat SC Justice Planning Secretariat Planning Secretariat
9:30 – 10:00	**1.1 INTRODUCTION TO STRATEGIC PLANNING**	Facilitator
10:00 – 10:15	**COFFEE BREAK**	
1. WHERE ARE WE TODAY? 2. WHERE DO WE WANT TO GO?		
10:15 – 10:30 10:30 – 11:30 11:30 – 12:30	**III. THE MISSION COMES FIRST** Mission – Vision – Values CHR Mission/Vision – Revisited Defining the final outcome Small group discussion – Activity 1 Group presentation	Facilitator Facilitator
12:30 – 1:30	**Lunch Break**	
1:30 – 1:50	**IV. HOW ARE WE DOING?** **WHERE DO WE WANT TO GO?** Lecturrette: Balanced Scorecard SWOT Analysis Framework	Facilitator
1:50 – 3:00 3:00 – 4:00	Small group discussion - Activity 2 Who are our "customers/beneficiaries"? our Stakeholders? What are our key strengths/weaknesses from their point of view? In what areas should we excel for our customers/beneficiaries? Our stakeholders? What are the strategic issues of the CHR? Small group presentation	Facilitator Facilitator
4:00 – 4:30	Coffee Break	
4:30 – 5:30	Plenary Session: **What are the strategic Issues?**	Facilitator

Day 2		
3. HOW DO WE GET THERE?		
8:00 – 8:05	**Opening Day Message**	Planning Committee
8:05 – 8:15	**Summary of Day 1** **Roadmap for Day 2**	Planning Secretariat
8:15 – 8:30 8:30 – 9:30	**V. KEY RESULT AREAS - From Mission to Performance** Lecturrette: Key Result Areas (KRAs) Small group discussion - Activity 3 What are our organization-wide key result areas?	Resource Person Facilitator
9:30 – 9:45	Coffee Break	
9:45 – 10:45 10:45 – 12:00	Group presentation of Key Result Areas **Plenary Session: Consensus building on CHR KRAs**	Facilitator Facilitator
12:00 – 1:00	**Lunch Break**	
1:00 – 1:30 1:30 – 3:00	VI. KEY PERFORMANCE INDICATORS (KPIs): FROM MISSION TO PERFORMANCE Lecturrette: Managing Performance Small group discussion - Activity 4. Identify CHR-wide Goals and KPIs for the key result areas generated in Activity 3	Resource Person Facilitator
3:00 – 3:15	Coffee Break	
3:15 – 4:15 4:15 – 4:30 4:30 – 5:30	Small group presentation Reaction from the Planning Committee Plenary Session – Consensus building on Goals and KPIs and Establishing Annual Targets	Facilitator Planning Committee Facilitator
Day 3		
Time	**Session/Description**	**Facilitator**
8:00 – 8:05	**Opening Day Message**	Planning Committee
8:05 – 8:15	**Summary of Day 1** **Roadmap for Day 2**	Planning Secretariat
	4. WHAT INSTITUTIONAL CHANGES ARE NECESSARY? **5. WHAT INDIVIDUAL TRANSITION NEEDS TO BE MANAGED?**	
8:15 – 8:30 8:30 – 10:00	VII. INSTITUTIONAL REFORMS AND PROGRAMMING Lecturrette: Program/Project Evaluation Small group discussion - Activity 5 Identify CHR-wide programs/projects supportive to its mission, KRAs, KPIs Assess existing programs/Projects Determine new programs/projects	Resource Person Facilitator
10:00 – 10:15	Coffee Break	
10:15 – 11:15 11:15 – 11:30 11:30 – 12:30	VII. INSTITUTIONAL REFORMS AND PROGRAMMING (Cont.) Group presentation Reaction from Planning Committee Plenary Session – Programs/Projects	Facilitator Planning Comm. Facilitator
12:30 – 1:30	**Lunch Break**	
1:30 – 3:00	VIII. BEYOND THE WORKSHOP. NEXT STEPS Summary of Workshop Process, Consensus and Issues Plenary Discussion – Refining and finalizing the Plan Schedule, Accountable Persons/Groups Guidelines on work ahead	Facilitator
3:00 – 3:30	IX. CLOSING Open Forum Commitments And Closing	Planning Committee

ANNEX "B"

Republic of the Philippines
Commission on Human Rights
Planning Workshop – (*Date*)

PRE-PLANNING ACTIVITY

Introduction and Instructions

This is an important input to the Planning Workshop we will be having on *(Date)*. All respondents are requested to submit this directly to _____ of the SPDO on **or before *(Date)*** (see addressee below)

For participants in the Planning Workshop, you are requested to think through the questions and, in consultation with your various groups and teams, answer them as candidly as you can.

The SPDO will handle processing and all answers will be treated confidentially. No answers will be reported with the respondent's identity included.   The overall responses will be presented and discussed during the workshop. We will only classify/group responses by level. Therefore, we will need to know if this is a CHR Central Office, Regional Office, Lawyers, Investigators, Information Officers, etc. *(This segmentation can be changed according to needs.)*

There are two parts to this pre-planning material.

PART 1 is open-ended. Please answer briefly.

PART 2 has questions with five possible responses. "Strongly Disagree" "Disagree" "Neutral" "Agree" "Strongly Agree". Check the column choice that **most closely** represents your response

---

When completed, send this Pre-Workshop Questionnaire to:

Send to Email addresses: ------------- attention Mr. _____

Or Fax to Fax No. _____

Basic Respondent Profile
Please check appropriate column.

	Investigators	Lawyers	Info Officers	Others
Central				
Regional				
Other				

Part 1

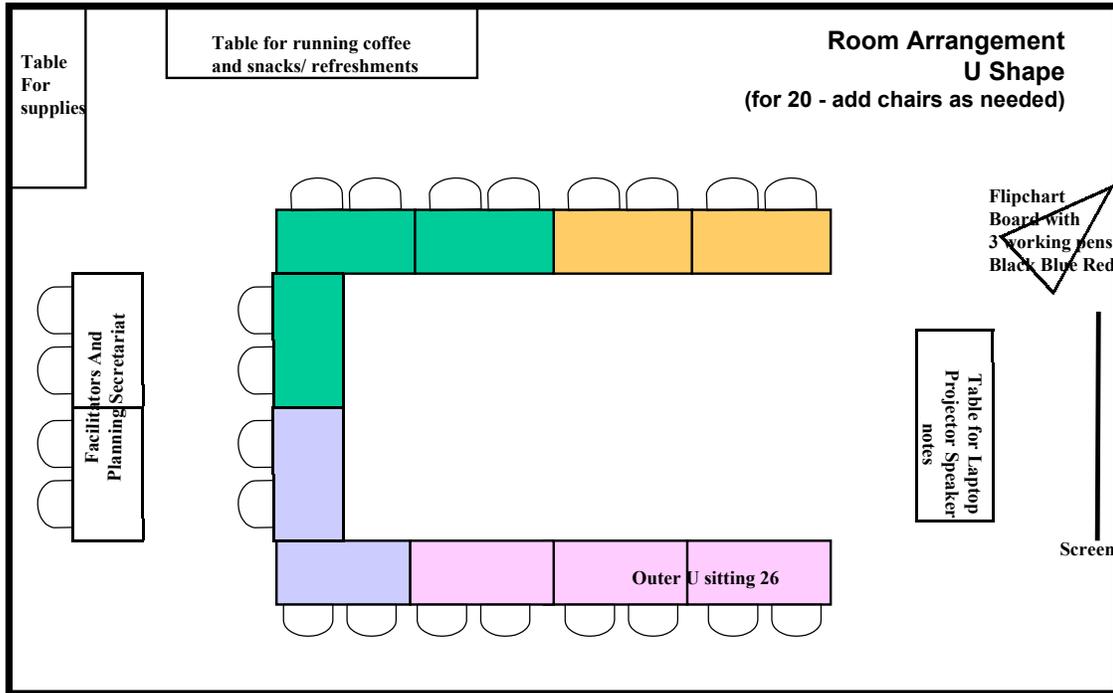| Item	
1	My expectation for this planning workshop is:
2	I think the major strength(s) of the CHR as an organization are: (no more than three)
3	I think the major weakness (es) of the CHR as an organization are: (no more than three)
4	I think the "burning" issue(s) of the CHR as an organization today are: (no more than three)
5	I think the CHR should STOP DOING:
6	I think the CHR should START DOING:
7	I think the CHR should CONTINUE DOING:

(see next page for Part 2)

Check the column choice that **most closely** represents your response

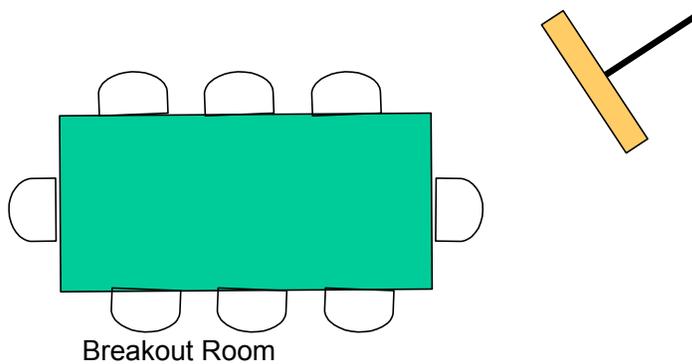| Strongly Disagree	You disagree with the statement and it is clearly not correct or true
Disagree	You believe the statement is incorrect but you are not sure
Neutral	You neither agree nor disagree.
Agree	You believe the statement to be accurate but are not sure; or if the statement is usually correct
Strongly Agree	You fully agree with the statement; or if the statement is always the case

Part 2	The Question	Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
1	This planning workshop is a welcome idea and is done at the right time.					
2	I am proud to be in the CHR					
3	I have confidence in the leadership of the CHR					
4	Most employees behave responsibly and are committed in meeting the CHRobjectives					
5	My department has adequate resources (tools, equipment and supplies) needed to give quality performance					
6	I understand the CHR's mission, vision and values					
7	Effective actions and positive changes will happen because of this planning workshop					
8	I am satisfied with the quality of the day to day performance of the CHR					
9	I feel that employees in our department work together to find solutions to problems					
10	There is a genuine understanding of CHR's mission among: a) Investigators and lawyers					
11	a) Information Officers					
12	b) Politicians					
13	c) Human Rights clients					
14	d) The general public					
15	The CHR is seen as dispensing effective, just, prompt and inexpensive resolution of disputes by: a) Human rights client					
16	b) The general public					
17	Damaging conflict or unproductive conditions are effectively resolved.					
18	The CHR's policies and procedures help me to give quality performance					

ANNEX "C"

SUGGESTED LAYOUT OF THE WORKSHOP VENUE

Table For supplies

Table for running coffee and snacks/ refreshments

Room Arrangement
U Shape
(for 20 - add chairs as needed)

Flipchart Board with 3 working pens Black Blue Red

Facilitators And Planning Secretariat

Table for Laptop Projector Speaker notes

Outer U sitting 26

Screen

Plenary Session Hall

Breakout Room

<div align="right">

ANNEX "D"
</div>

STRATEGIC PLANNING PARTICIPANTS KIT

	Handouts – BEFORE WORKSHOP	DURING/AFTER SESSION
	Cover Title Page	
	Welcome letter from the Chairperson	
	List of Participants and their position title	
	Short CVs of Facilitators and Resource Persons	
	Administrative Arrangements and Reminders	
	Planning Workshop Agenda	
	Tab Divider "Day 1 – Introduction"	
	Workshop Objectives Strategic Planning Overview Change Framework Planning Approach	Pre-workshop Survey Results
	Introduction to Strategic Planning Strategic Planning and Management Concepts Definition of Terms	
	Tab Divider "Day 1 – Where are we today? Where do we want to go?"	
	Mission Comes First Mission Vision Values	Mission Worksheet Visioning Worksheet
	Situation Analysis SWOT – Strengths, Weaknesses, Opportunities, Threats (External & Internal Analysis) SWOT – Management Tool for Strategic Change Balanced Scorecard	Situation Analysis Worksheet
	Tab Divider "Day 1 – How do we get there."	
	Handouts – BEFORE WORKSHOP	**DURING/AFTER SESSION**
	KRAs Performance Management Six Thinking Hats Key Result Areas	Goal Development Worksheets
	KPIs Key Performance Indicators	KPI and Target Setting Worksheet
	Tab Divider "Day 3 – Institutional Reforms and Programming"	
	Program Evaluation Project Evaluation Quadrant Model	Project Summary Program/Project Evaluation Sheet
	Tab Divider "Day 3 – What are going to help us or hinder us in our change? The Path to a High Performing Model Readiness for Change and Managing Change	
	Tab Divider "Day 3 – Personal Transitions Lessons from Geese – V Formation Who Moved My Cheese Managers Guide to Personal Transition	
	Tab Divider "Day 3 – Next Steps" Strategic Planning Timetable	
	Other	
	At least five blank sheets for note-taking	

ANNEX "E"

CHECKLIST OF SUPPLIES AND EQUIPMENT

Supplies and Equipment	Person Responsible
☐ Easel Board (1 per discussion group)	
☐ Flip Chart Paper	
☐ Marking Pens for Paper and Whiteboard (Black, Blue and Red)	
☐ Transparencies	
☐ Transparency Marking Pens (Black, Blue, Red, Green)	
☐ Paper and Pencils	
☐ Post-it™ Notes	
☐ Masking Tape	
☐ Scissors	
☐ Puncher (2 and 3 holes)	
☐ Name Tags	
☐ Stapler	
☐ Folders	
☐ Diskettes	
☐ First Aid Kit and medicines for common illnesses	
☐ Laptop Computer with MS Office (1 for facilitator and 1 for Documentor)	
☐ Multimedia Projector	
☐ Overhead Projector	
☐ Printer and paper	
☐ Screen	
☐ Photocopying Machine	
☐ Sound system with wireless microphones	

ANNEX "F"

Philippine CHR
Administrative Matters and Expectations from Participants

PLANNING WORKSHOP

I.   Administrative Matters

o   Rooming and sleeping arrangements

o   Check-in and check-out time and arrangements

o   Facilities provided as part of the package

o   Cost of facilities outside of the package

o   Hours observed

o   Meals and snacks as part of the package

o   Cost of meals and snacks outside of the package; how these are to be paid

o   Reimbursement arrangements

o   Medical facilities and services in the area; what to do in case of medical emergency

o   Transportation facilities – going to (March 17) and leaving from the venue March 20); transportation facilities during the workshop if any

o   Attire is "smart casual" (i.e. slacks, collared shirts, loafers are appropriate. Jeans are accepted. However, shorts and sandals are not appropriate)

2.   Expectations from Participants –

3.   To get the most from the Planning Workshop

4.   To be articulated during the Workshop Introduction on Day 1 morning.

5.   To be posted in colored cards throughout the function room.)

o   Be on time – for workshop and for fellowship

o   Cell phones – Off or on silent mode

o   Wear ID/Name tags

o   Don't let rank get in the way of effective participation (a.k.a.: Leave your stripes at the door)

o   Practice active listening. (Don't just "hear", "listen". Get the most from what is being said by engaging yourself into the conversation when appropriate.)

o   Be open to others' ideas. (Don't shut out just because it's new or radical or coming from someone who you usually don't listen to.)

o   Be open to new ideas. (Respect the past including current tradition but no need to be stuck.)

o   Respect others and others' ideas even as we disagree. (A.k.a. Dialogue with mutual respect. Let us disagree agreeably. And: "walang personalan".)

o   Agenda: Stay with the agenda.

o   Agenda. No hidden agenda.

o   Share your feedback on workshop process with facilitators (- personally, verbally and/or feedback wall)

o   Work with others you have not yet worked with.

o   Participate. Participate. Participate.

o   Volunteer. Volunteer. Volunteer.

o   Lead by example

o   Have fun

ANNEX "G"

SITUATION ANALYSIS WORKSHEET

INSTRUCTIONS: *This activity aims at identifying critical issues that will have a substantial impact on the CHR's performance. It represents a strategic topic or a fundamental policy or program concerns – that is, it impacts mission success.*

Your task is to identify strength weaknesses or threats and opportunities in the four scorecard perspectives

Citizens and Stakeholders	Finance and Budget
(What external opportunities do you see that may be beneficial to the future direction of the CHR? Threats?) **Opportunities** 1. 2. 3. **Threats** 1. 2. 3.	(What external opportunities do you see that may be beneficial to the future direction of the CHR? Threats?) **Opportunities** 1. 2. 3. **Threats** 1. 2. 3.
Internal Processes	**Learning and Growth**
(What internal strengths and weaknesses might have a bearing on the future capability of the CHR? **Strengths** 1. 2. 3. **Weaknesses** 1. 2.	(What internal strengths and weaknesses might have a bearing on the future capability of the CHR? **Strengths** 1. 2. 3. **Weaknesses** 1. 2. 3.

Summary of Issues:

ISSUES	NEGATIVE/POSITIVE IMPACT
Citizens and Stakeholders	
Finance and Budget	
Internal Processes	
Learning and Growth	

ANNEX "H"

GOAL DEVELOPMENT WORKSHEET

INSTRUCTIONS: *Develop one or two goals to address key issues identified for each perspective. A goal represents a new policy, program or initiative. It defines the changes required to move the CHR toward its vision. It is not "business as usual". To be effective the goal should describe a result or outcome that is*

- *Qualitative in nature but measurable in a broad sense*
- *Time-bounded in the medium or long term*
- *Challenging and*
- *Achievable*

Key Issues	Goals/Results/Outcomes
Citizens and Stakeholders	
Finance and Budget	
Internal Processes	

ANNEX "I"

KPI AND TARGET SETTING WORKSHEET

INSTRUCTIONS: *For each goal, identify the measures that will indicate success in attaining the goal. Limit the number of KPIs per goal to a maximum of three. Also determine the targets (if possible, annual performance targets) for each KPI.*

Goals/Results/Outcomes	KPIs	Targets/Timeline
Citizens and Stakeholders		
Finance and Budget		
Internal Processes		
Learning and Growth		

ANNEX "J"

PROGRAM/PROJECT EVALUATION SHEET

INSTRUCTIONS: *Assign each program/project to the appropriate quadrant by assessing its impact to the mission and goals of the CHR and the current capability of the CHR to implement the initiative.*

High	**Enhance and Improve**	**Harvest or Milk**
I M P A C T	**Drop**	**Selectively Drop or Maintain**
Low	**Low**	**High**
	C A P A B I L I T Y	

ANNEX "K"

ACTION PLANNING WORKSHEET

KRA: **Program:**   **Project**

Action Steps	Primary	Others	Start	End	Peso	Time	Feedback Mechanism

Prepared By: **Date**   **Approved By:**   **Date:**