



October 26, 2021

# SUBJECT: Strategic Planning Program

## Instruction 8100

(OAC)

### ABSTRACT

The Uniformed Services University of the Health Sciences (USU) Strategic Planning Program (SPP) provides guidance and the framework to analyze and inform the fundamental decisions and processes essential to achieving operational requirements, budget formulation, mission execution, and annual performance reporting.

**A. Purpose.** The purpose of this Instruction is to define policy, assign responsibilities, and provide procedures for the USU SPP.

**B. Applicability.** This Instruction applies to all USU Schools, Colleges, Centers, and all other entities under the control of the President, USU.

**C. Policy.** This policy will:

1. Provide clear objectives and instructions to USU leaders and staff for developing and implementing the SPP.
2. Designate the USU Office of Strategy Management and Integration (OSMI) as the primary lead within USU for overseeing the SPP.
3. Establish a Standing Committee for Strategic Planning (SCSP), consisting of:
  - a. Representatives from the four schools and colleges;
  - b. Representatives from the USU Office of Academic Operations;
  - c. Representatives from the USU Vice Presidents;
  - d. Assistant Vice President for Accreditation and Organizational Assessment;
  - e. Representatives from the Armed Forces Radiobiology Research Institute (AFRRI);
  - f. Representative from the Council of Center Directors;

- g. President of the Faculty Senate; and
- h. Representative from the Brigade Commander.

4. Develop procedures to implement strategic planning uniformly across the University and with each Responsibility Center (RC) in order to align strategic visions, missions, goals, objectives, and priorities; develop quantifiable outcome-based performance measures; identify capability gaps, opportunities, and redundancies; identify risks, and provide continuous process improvement.

5. Establish the methodology to measure strategic planning effectiveness through risk management techniques, goals and objectives, and performance measures.

6. Establish Lessons Learned and After-Action Review processes to capture, validate, resolve, and share strategic planning issues and best practices.

7. Maintain a strategic focus for the USU enterprise in its continued relevance to the Military Health System (MHS) and to the execution of the National Defense Strategy (NDS).

**D. Responsibilities.**

1. USU Chief of Staff (CoS).

a. Oversees the implementation of this Instruction to standardize strategic planning across the University.

b. Develops supporting guidance, as necessary, for ensuring the effectiveness of the SPP.

c. Exercises primary oversight and direction over the USU Office of Strategy Management in the implementation of this Instruction.

d. Establishes and chairs the SCSP as noted in Paragraph C. 3. above.

2. USU Cabinet.

a. Advises the President, USU on the development of the USU Strategic Plans, consistent with the principles of this Instruction.

b. Advises the SCSP on Strategic Planning.

c. Meets periodically, but at a minimum annually, to perform periodic assessments of the USU Strategic Plan.

d. Provides expert strategic planning advice and recommendations to the President, USU.

3. RC Leaders.

a. Ensure the development and management of Strategic Plans within each RC that support USU's goals and objectives.

b. Implement this Instruction effectively in their respective areas of responsibility.

c. Appoint a primary and alternate "by name" representative to the SCSP as requested. Inform personnel in writing of roles, authorities and associated responsibilities within the SCSP.

d. Conduct regular, systematic, and comprehensive reviews of their respective activity's strategic plans. Provide periodic reports, at a minimum semiannually, essential to advise the President, USU Cabinet, and Board of Regents (BOR) of strategic planning and management activities and performance outcomes.

e. Provide strategic performance outcome data to the Director, OSMI, on an annual basis or as requested.

4. Vice President for External Affairs (VPE). Refines and implements USU strategic communication plans and public affairs messaging objectives to support communication of the USU Strategic Plan across USU, Military Health System, Military Departments, Combatant Commands, and the public.

5. Vice President for Research (VPR).

a. Provides perspectives and awareness of mission-critical research and research requirements.

b. Reviews and provides strategic guidance to promote the effectiveness and integration of research objectives of strategic value into strategic planning and implementation processes.

6. Vice President for Information & Education Technology / Chief Information Officer (CIO).

a. Proposes Information Technology (IT) objectives and prioritizes objectives as mission essential for integration into the USU Strategic Plan.

b. Reviews and promotes the integration of IT objectives of strategic values into strategic planning and implementation processes.

7. Vice President for Finance & Administration (VFA).

a. Provides perspectives and awareness on planning, programming, budgeting, and other execution and budgetary matters.

b. Facilitates integration of finance and administration objectives of strategic value into strategic planning and implementation processes.

8. USU Office of the General Counsel (OGC).

a. Provides legal counseling and guidance on strategic planning matters.

b. Participates in the strategy development process; in conjunction with the Responsible-level leaders, provides recommendations to the SCSP.

9. Office of Strategy Management and Integration (OSMI).

a. The principal assistant to and under the authority, direction and control of the CoS, ensures management and implementation of the USU SPP.

b. Provides independent advice, recommendations and assistance to the President, USU including but not limited to matters related to strategic planning and implementations.

c. Provides subject matter expertise in strategic planning to the RCs and provides advice and recommendations on methodology, practices, and procedures, and assists in identifying the capabilities, resources, and services for achieving strategic goals and demonstrating outcome results.

d. Facilitates the development of strategic plans using appropriate methodology, and provides perspectives in developing Strategy Maps, Strategic Objectives, Strategic Performance Measures, and Initiatives.

e. Provides training and education support to assist RC leaders, working groups, and individuals in developing strategic plans.

f. Establishes and maintains close collaboration with RC leaders, working groups, and individuals to ensure the alignment of RC strategic plans with the University's Strategic Plan.

g. Under the direction of the CoS, facilitates the biennial development/refresh of the USU Strategic Plan.

h. In conjunction with the VPE, prepares and delivers strategic communication messages about the USU Strategic Plan in multiple ways and through a variety of multimedia platforms to USU staff and external stakeholders.

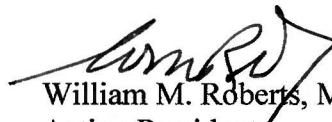
i. Performs periodic evaluations and provide regular reports of the findings.

**E. Procedures.** *See Enclosure 2.*

**F. Planning Processes.** *See Enclosure 3.*

**G. Strategic Planning Template.** *See Enclosure 4.*

**H. Effective Date.** This Instruction is effective immediately.

  
William M. Roberts, MD, MBA  
Acting President

Enclosures:

1. References
2. Procedures
3. Planning Process
4. Strategic Planning Template
5. Glossary

**REFERENCES**

- (a) "Government Performance Results and Modernization Act (GPRA) of 2010," (P.L. 111-352), January 4, 2011.
- (b) "Office of Management and Budget's Circular A-11 Part 6," July 10, 2020.
- (c) U.S. GAO-11-646SP "Performance Measure and Evaluation," May 3, 2011.
- (d) "National Defense Strategy," January 19," 2018.
- (e) "National Security Strategy," December 18, 2017.
- (f) "National Military Strategy," January 19, 2018.
- (g) Under Secretary of Defense for Personnel and Readiness Strategy for 2030 "Preserving Our Competitive Advantage," October 2020.
- (h) "Military Health System Strategy Map v3.6." October 29, 2019.
- (i) "USU Strategic Plan," August 12, 2019.
- (j) Letter of Instruction, "USU Strategic Plan Refresh Process," February 22, 2019.



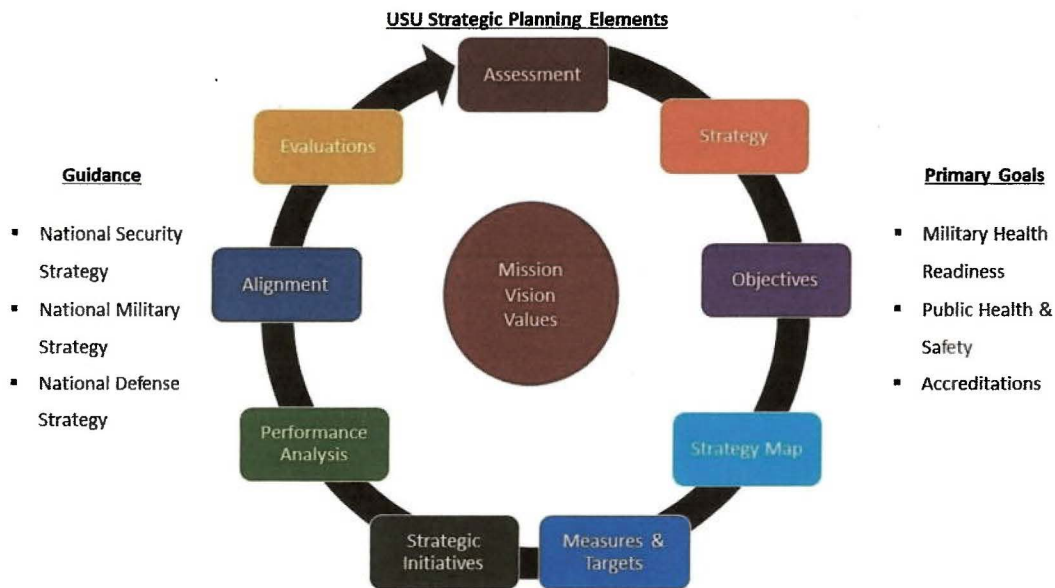
## **PROCEDURES**

### **1. Introduction.**

- a. Strategic planning ensures the execution and achievements of the desired strategic objectives and goals by leveraging an effective and disciplined strategic planning processes.
- b. Strategic planning ensures synergy and cultivates awareness and understanding of the current situation, analysis of strengths, weaknesses, opportunities, and threats that have the potential to impact or change USU structure and processes.
- c. Strategic planning serves as an integrated process for assessing and prioritizing wide-ranging, complex risk and cross-cutting challenges and implementing effective, timely, and accurate strategic decisions.
- d. Strategic planning facilitates the creation of unified, relevant results-oriented strategies that increase USU's value proposition and maximizes resources, and associated funding.
- e. Strategic planning enhances management capabilities by introducing strategies for hiring, training, and retaining a highly-capable and competent workforce and aligning individuals with the relevant mission, vision, values, and goals.
- f. Strategic planning establishes metrics, performance indicators, and key risk indicators essential to measuring the effectiveness in meeting the broad arrays of operations.

2. Methodology. USU employs the Balanced Scorecard (BSC) methodology. The BSC is a performance management system widely used in the public and private sectors to effectively and efficiently implement and manage strategy. The BSC concept supports the integrated and dynamic focused areas of USU. The Nine Step strategic planning process provides a consistent approach for the application of the strategic planning University-wide. The elements of the Nine-Step Strategic Plan structure are discussed in detail in this enclosure.

The following are the elements of the Nine-Step Strategic Plan structure, as shown in Figure 1.



**Figure 1.**

a. **Assessment:** Conducting comprehensive assessments, including strengths, weaknesses, opportunities, and threats Strengths, Weakness, Opportunities and Threat Analysis (SWOT) of the internal and external environment; the risks and uncertainties of the environment. Re-validate the strategic elements (Vision, Mission, and Values).

b. **Strategy:** Developing the high-level strategies from the information and results obtained from the assessments, including the modification or revalidation of our mission, vision, values and other elements in the existing USU Strategic Plan

c. **Objectives:** Developing clear strategic objectives for the high-level strategy, consistent with the Department of Defense (DoD) and MHS strategic goals and priorities.

d. **Strategy Map:** Creating the strategy map that depicts the USU Strategic Plan and the overall enterprise strategy; provides the strategic outlook.

e. **Measures and Targets:** Developing outcomes and outputs performance measures for the strategic objectives described in the USU Strategic Plan and its associated strategy map.

f. **Strategic Initiatives:** Identifying near-term initiatives that support our strategic objectives; develop performance measures for strategic initiatives; manage the project portfolio;



implement strategic management system rollout; and conduct the budget formulation and annual plan.

- g. Performance Analysis: Collecting, reporting, and publishing performance results.
- h. Alignment: Cascading and aligning the USU Strategic Plan with those of the RCs.
- i. Evaluation: Conducting performance measures to track progress towards goals; make improvements to a strategy based on actual performance.

3. Program Administration.

a. Program Responsibility: The responsibility for the USU SPP is the USU CoS. Primary staff responsibility under the CoS resides with the Director of Strategy Management and Integration. The OSMI:

- 1) Establishes the capabilities, resources, and procedures to continuously monitor the strategic plans and provide awareness on the reviews, evaluations, and refinement of the strategic plans. Lessons Learned and After-Action Reports (AAR) are valuable sources for obtaining critically important information for developing and refining strategic plans.
- 2) Provides the President, USU and Cabinet with periodic program reviews on strategic planning activities.
- 3) Works collaboratively with RC leaders, working groups, and individuals to develop strategies consistent with the USU mission, vision, and value. Ensure that strategic plans are consistent with this Instruction.
- 4) Collects data and monitors the accuracy of data for supporting the evaluation of performance measure outputs and outcomes.
- 5) Captures appropriate performance measure data necessary for the SCSP to provide recommendations, and prepares the annual strategic performance report to the USU President and Cabinet.
- 6) Collaborates with performance measure data owners to ensure the validation and accuracy of performance measure data forward issues of contention on data accuracy to the CoS for determination.
- 7) Disseminates the USU Strategic Plan throughout USU, and externally to stakeholders.

b. New and Revised Strategic Plans: The creation of new strategic plans within the USU enterprise will be fully supported by the OSMI to ensure strategic plans align with and support the USU strategic goals. The creation and revision of strategic plans will be in accordance with this Instruction. In support of this task, RCs will:

- 1) Perform comprehensive reviews and refinement of all RC strategic plans within 45 days after publication of a revised USU Strategic Plan. Provide the OSMI notification in writing of the reviews and any updates.
- 2) Ensure RC strategic plans are approved and provide an electronic copy to the OSMI for record-keeping and auditing.
- 3) Submit electronic copies of RC strategic plans to OSMI annually or sooner if revisions occur that require the reviews and approvals of the strategic plan.
- 4) Maintain and submit copies of the original, approved RC strategic plans to the OSMI. Prepare and publish a detailed, written outline of the strategic plan.
- 5) Conduct periodic reviews and evaluations to monitor the performance outputs and outcomes.

4. Program Management

a. Strategic planning will be managed as a program by:

- 1) Prioritizing the strategic planning process and ensuring strategic themes and objectives are commensurate with the vision, mission, values, and strategic goals.
- 2) Using well-defined methodologies with unique goals and objectives and performance measures.
- 3) Ensuring strategic plans are operationalized, implemented, and used to guide and support the significant operations.

b. Strategic plans will be aligned by:

- 1) Ensuring that mission, vision, values, and strategic themes and significant goals are consistent with those outlined in the USU Strategic Plan.
- 2) Supporting the focus areas or themes with corresponding sets of strategic results. Mission areas may be divided into domain areas representative of the core operations.

c. Performance Metrics Requirements must be accurate and verifiable by:

- 1) Establishing well-defined, measurable objectives to assess if a program is achieving intended strategic results accurately.
- 2) Providing the OSMI with the assessment methodology and data gathering procedures that inform measuring the strategic objectives and results.
- 3) Establishing approved procedures and criteria or standards for identifying the appropriate data elements for collecting, analyzing, and interpreting to inform strategic results accurately.
- 4) Developing a detailed data-analysis plan to track the implementation and performance measures. Evaluate the final results of the projects and draw inferences on strategic results.

5. Program Evaluation.

a. Periodic program evaluation. Systematic program evaluations must be conducted periodically (i.e. quarterly, and on an ad hoc basis) to assess the effectiveness and achievement of program deliverables. The program evaluations must include the four categories of evaluations: Process or Implementation Evaluation; Outcome Evaluation; Impact Evaluation, and Cost-Benefits and Cost Effectiveness Analysis, Further explained are below, and more detailed explanation are found in *Reference (c)*.

b. Reports. The OSMI will document, track, and provide reporting of the program performance evaluation annually. The program evaluation report must include, but not limited to:

- 1) **Process or Implementation Evaluation:** Establish and maintain assessments of program activities, ensuring meets requirements, program design, and professional standards or customer expectations.
- 2) **Outcome Evaluation:** Establish and maintain assessments of program activities, ensuring meets requirements, program design, and professional standards or customer expectations.
- 3) **Impact Evaluation:** Establish and maintain assessments of the program's overall and comprehensive impact by assessing the net effect of the strategic planning program by comparing program outcomes with an estimate of the program's absence.

## **Enclosure 2**

4) **Cost-Benefits and Cost Effectiveness Analysis:** Establish and maintain evaluations that include comparing the deliverable outputs or outcomes of programs with associated budget investments.



## PLANNING PROCESS

1. **STRATEGIC PLANNING PHASES:** The phases of strategic planning include, but are not limited to: conducting preliminary work, building the strategic planning working groups, obtaining perspectives, conducting stakeholder and internal and external SWOT analyses, developing mission, vision and value statements, and formulating strategic goals, objectives, and relevant performance measure. A detailed approach to strategic planning is shown in Figure 2, and explained below.

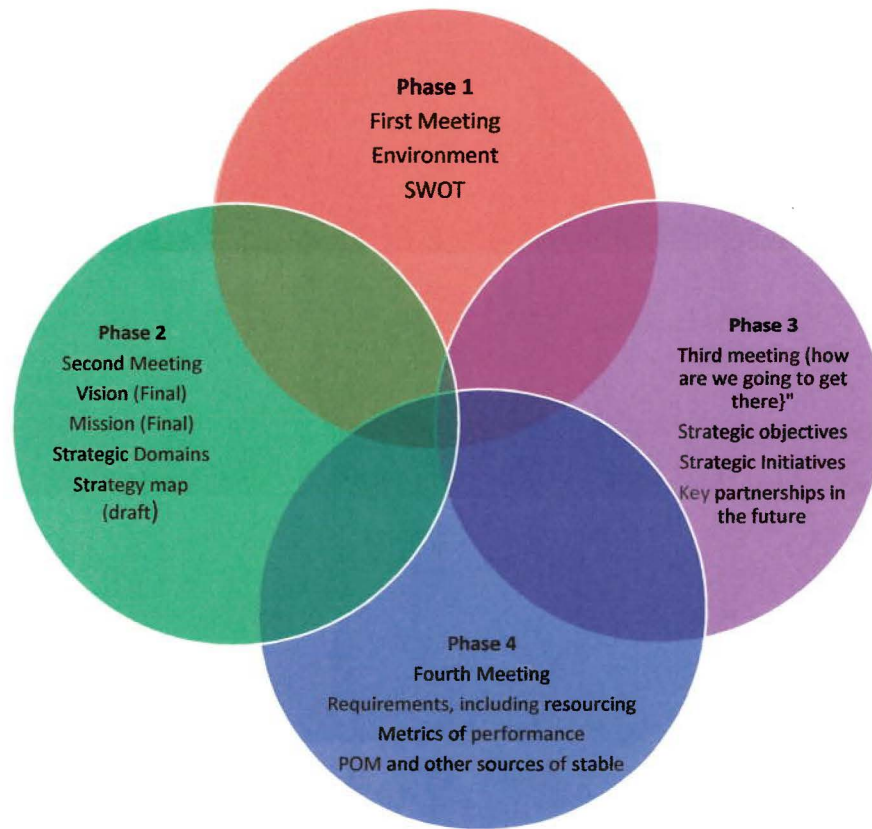


Figure 2.

### 2. Getting Started:

a. Establish the planning team.

1) Internal personnel



- 2) External stakeholders
  - a) Schools/Colleges
  - b) USU staff
- b. Finance and Administration (F&A)
- c. External Affairs
- d. Research
- e. Academic Operations
- f. Non-USU partners on an as-needed basis
  - 1) Publish Letter of Instruction (LOI) on Process
  - 2) Develop timelines, particularly for the first meeting
  - 3) Select participants and confirm their availability
  - 4) Develop draft vision and mission statements
  - 5) Distribute SWOT “homework assignments” to participants
- 3. Planning Activities
  - a. Phase 1
    - 1) First meeting (where are we today):
      - a) Environment
      - b) SWOT
      - c) Key partnerships
      - d) Vision (draft)
      - e) Mission (draft)

2) Second meeting (where are we going tomorrow):

- a) Vision (final)
- b) Mission (final)
- c) Strategic domains
- d) The strategy map (draft)

b. Phase 2

1) Third meeting (how are we going to get there):

- a) Strategic objectives
- b) Strategic initiatives
- c) Key partnerships in the future

2) Fourth meeting (how do we measure success):

- a) Requirements, including resourcing
- b) Metrics of performance
- c) POM and other sources of stable funding

**STRATEGIC PLAN TEMPLATE**

**STRATEGIC PLAN  
(202X – 202X (3 – 5 Year Plan))**

**EXECUTIVE STATEMENT or FOREWORD**

Note: Executive Statements of Foreword are not required. However, useful for providing the higher-level strategic perspective, and summarizing the mission, vision, goals, objectives, and performance measures.

STRATEGIC PLAN TEMPLATE

1. **Purpose.** The purpose of the (Responsible Center name here) Strategic Plan is to...
2. **Reference.** List in alphabetical order the applicable references.
3. **Background.** Enter the background statement
4. **Assumption.** For planning purposes, assumptions are suppositions about the future that should be considered before making key decisions in this strategic plan.
5. **Mission.** The mission of (Responsible Center name here) is...
6. **Vision.** By the end of calendar year (XXX), ,,,
7. **Values.** In alphabetical order, describe the principles or core ethics and values.
8. **Mission Domains**
  - i. Enter the domain name
  - ii. Enter the domain name
  - iii. Enter the domain name
9. **Strategic Objectives.**
10. **Key enabling task: Cross-cutting objectives.** In alphabetical order, describe the strategic initiatives and task that spans across the mission domains and are essential to accomplishing the mission and achieving the Strategic Plan's vision.



**GLOSSARY**

OMB: Office of Management and Budget

GAO: Government Accounting Office

GPRA: Government Performance and Result Act