





## Facilitators' Strategic Planning Guide for CRVS

## Acronyms and abbreviations

APAI-CRVS	African Programme on Accelerated Implementation of Civil Registration and Vital Statistics
CR	Civil Registration
CRVS	Civil Registration and Vital Statistics
CSFs	Critical Success Factors
ICTs	Information and Communication Technologies
MTP	Medium Term Plan
PESTEL	Political, Economic, Socio-Cultural, Technological, Environmental, and Legal
SMART	Specific, Measurable, Achievable, Relevant, and Time-Bound
SWOT	Strengths, Weaknesses, Opportunities and Threats
VS	Vital Statistics

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## Introduction

This guide has been designed for facilitators to use as a tool to assist country's teams in the compilation of strategic plans and work programmes needed in the process of developing and implementing Civil Registration and Vital Statistics (CRVS) systems, in accordance with the framework laid out in the African Programme on Accelerated Improvement of Civil Registration and Vital Statistics (APAI-CRVS). The guide is based on the document on strategic planning: Strategic Planning Guide for CRVS. Accordingly, the guide is not a substitute for the planning document, rather a supplement in that it provides additional information on the planning process in terms of content and methodology. Facilitators are therefore advised to familiarise themselves with the strategic planning document.

Essentially generic, this guide is not intended to be prescriptive, but to help identify process issues essential for developing plans. Facilitators should adapt the guide to the specific country's conditions and adapt what is most useful to their needs, selecting from the options provided. As facilitators become more familiar with the process, they should be able to develop their own methods of facilitating the planning process suited to the particular demands of their requirements.

## Role of the facilitator

As the guide assumes facilitators possess the requisite essentials for facilitation per se, this guide is primarily concerned with the application of facilitation skills in the planning process. However, it may be of benefit to highlight a few key facilitation issues.

The primary role of a facilitator is to create an environment where groups can be productive and effective in achieving their goals with regard to a particular issue. A facilitator makes it easy for the group to achieve their goals. It is not the facilitator's job to provide a solution; his/her job is to guide a group to achieve their goals through collaboration and consensus. A facilitator aims to improve the processes of the group by managing the method of the meeting rather than the content, by managing *how* decisions are made but *not what* decisions are reached.

A summary of facilitator's responsibilities include:<sup>1</sup>

- Intervene if the discussion starts to fragment
- Identify and intervene in dysfunctional behaviour
- Prevent dominance and include everyone
- Summarise discussions and conversations

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<sup>1</sup> Office of Quality Improvement, 2007, Facilitator Tool Kit: *A Guide for Helping Groups Get Results, Version 2*, edited by Nancy Thayer-Hart, University of Wisconsin Board of Regents, University of Wisconsin-Madison, Wisconsin, p1. <http://www.quality.wisc.edu>

- Bring closure to the meeting with an end result or action; and
- Remember at all times that all ideas are equally important.

Challenges a facilitator has to make provision for include: Maintaining continual focus and attention to the group; being comfortable with ambiguity and information overload; being able to process misperceptions and emotional reactions; Keeping focus exclusively on process rather than content; and a commitment to help the group develop so they can ultimately work without facilitation

### **How to use this guide**

The approach to this guide includes awareness of the need to address strategic analysis issues wider than the assessment tool; listing constants to all activities to avoid repetition; flexibility given to the facilitator to innovate, and; a summary of the strategic planning process for facilitation.

### **A strategic analysis wider than the assessment tool**

It is important to note from the outset that this guide has adopted a standard generic strategic planning process, which in some places does not gel well with the original concept of the strategic plan deriving from CRVS assessments. The apparent disjuncture is at the confluence of strategic objectives in the strategic plan and the recommendations from the assessment process. This is because of a difference in scope, including coverage. The scope of the strategic plan is wider than that of the recommendations from the assessment. The strategy formulation part of the plan depends on strategic objectives as the primary input. This was also the original idea for the recommendations from the assessment: that they would be the primary input into the strategy formulation part of the plan. As a solution, the planning process treats the recommendations from the assessment as part (subset) of the strategic objectives. The disjuncture is also due to methodological differences between the ways strategic objectives and the recommendations are generated. In the strategic plan the strategic objectives are derived from an environmental scan with the aid of SWOT (Strengths, Weaknesses, Opportunities, and Threats) analysis, while the recommendations come from assessment(s). The SWOT analysis is based on a brainstorming exercise of environmental factors impacting on the system while recommendations come from a structured questionnaire. The two should therefore differ in scope and coverage. Now, the question is: Which one should be included in the guide? As already indicated, the solution is to integrate the recommendations into the SWOT because of the scope advantage SWOT has over the assessment. Information from the assessment is restricted to structure while that from the SWOT is not. For example, unlike the SWOT, the assessment does not incorporate

opportunities and threats to the CRVS system. A SWOT analysis should be able to identify bottlenecks and constraints in the environment, for example by examining the system's profile among decision-makers in the public service, government, and the wider political system. On the other hand, the assessment tool appears to overemphasize a binary (yes or no) approach to eliciting strengths and weaknesses from the current CRVS system. SWOT analysis is capable of identifying governance issues that may be constraints in the internal environment.

### **Constants to all exercises**

Steps, procedures or principles that are common to the various activities are noted here so as to avoid repetition.

### **Processes**

- The objective behind the activities is personal commitment through individual participation. The primary objective is to ensure active engagement by every participant in all the stages of the strategic planning process in order to strengthen the buy-in process.
- Sort and consolidate information generated during the discussions at the end of each section in order to identify strengths and problem areas (underlying causes).
- Where participant subgroups are formed, every subgroup should either be assigned or should elect a chairperson and a scribe who should also be the reporter to a larger subgroup or the entire group.
- Give preferably not-for-profit examples where possible.
- Subgroups should consist of not less than 5 participants.
- All sub-groups should be allocated different colours.
- Mission, vision, value statements, as well as outcomes, goals and objectives must be written in complete sentences, and not as single words or slogans.

### **Materials**

These are materials that should always be available at every activity. Materials unique to a given activity are indicated at the beginning of the description of the activity.

1. LCD projector
2. Laptop
3. Flip chart stands with paper (at least 2 pads) for every subgroup and group
4. Coloured index cards (as required)
5. Pens, pencils, pads of paper, binders



6. Stapler, paper punch, masking tape

### Flexibility to innovate

In a number of instances the guide gives the facilitator a choice from among options. The facilitator is also free to innovate where required.

## Strategic Management Process model

The **Strategic Planning Guide** adopts a Strategic Management Process model to guide the strategic planning process. The model outlines four distinct phases, namely (1) Strategy Analysis; (2) Strategy Formulation; (3) Strategy Implementation; and (4) Strategy Review.

### Strategic Management Process model



The following is a summary of the processes to be applied in each of the four phases.

## A summary of the strategic planning process for facilitation

PHASES	OBJECTIVE(S)	HIGH LEVEL CONTENT	HIGH LEVEL ACTIVITIES (Presentations)	SESSION ACTIVITIES	TIME <sup>2</sup>
PHASE 1: STRATEGY ANALYSIS	To clearly identify the business we are interested in and what issues we have to address in order to get the business going; or, if the business already exists, the issues we need to address to take corrective action	<b>MODULE 1</b> Setting the direction (What business are we in and why?)	- Envisioning - Mission	- Presentation - Presentation - Activities	20 min 30 min 30 min
			Mission statement	- Presentation - Activities (OPTIONS = 4)	30 min 6 hr 30 min
			Vision	- Presentation - Activities	30 min 30 min
			Vision statement	- Presentation - Activities (OPTIONS = 4)	30 min 6 hr
			Values	- Presentation - Activities	30 min 30 min
			Statement of values	- Presentation - Activities (OPTIONS = 3)	30 min 6 hr
		<b>MODULE 2</b> Developing strategic outcomes and goals (Where are we going?)	Define strategic outcomes	- Introduction - Presentation - Activity 1 - Activity 2 (OPTIONS = 3)	10 min 30 min 30 min 6 hr
			Develop long-term strategic goals	- Presentation - Activity 1 - Activity 2 (OPTIONS = 3)	30 min 30 min 6 hr
		<b>MODULE 3</b> Conducting a strategic analysis (Where are we now? What are our key issues?)	Conduct an environmental scan	Introduction	10 min
			Develop a value chain of the current CRVS process	Presentation Activities	60 min 60 min
			Scan/review CRVS system environment - Stakeholder analysis - External environmental analysis (PESTEL)	Presentation Activity 1 Activity 2 Presentation Activity 1 Activity 2	30 min 30 min 30 min 20 min 90 min
			Assess the current CRVS system - Rapid assessment - Comprehensive assessment	Presentation Presentation Activity Presentation Activity	30 min 60 min 60 min 60 min 4 days

<sup>2</sup> Where there are options, the time of the longest option is the one shown.

PHASES	OBJECTIVE(S)	HIGH LEVEL CONTENT	HIGH LEVEL ACTIVITIES (Presentations)	SESSION ACTIVITIES	TIME <sup>2</sup>
			Analyse and translate information (SWOT analysis)	Presentation Activity 1 Activity 2 Activity 3a Activity 3b	30 min 90 min 90 min 90 min 90 min
			Prioritise information	Presentation Activities	20 min 90 min
			Define the problem statement and strategic shift	Presentation Activities	30 min 90 min
PHASE 2:  STRATEGY FORMULATION	To define where and how the <i>organization</i> will respond	MODULE 4 Define strategic intent (How do we get there?)	- Introduction	Presentation	10 min
			- Develop/review value chain (conceptual view) of the <i>To-Be</i> process)	Presentation Activities	15 min 60 min
			- Develop strategic objectives	Presentation Activity 1 Activity 2	30 min 30 min 6,5 hr
			Develop sub-objectives	Presentation Activity	20 min 6,5 hr
			Compile strategy map (balanced scorecard as a strategic framework)	Presentation Activity	60 min 120 min
			Define the strategic intent	Presentation Activity	30 min 90 min
			Critical success factors	Presentation Activities	30 min 60 min
			Strategic risks	Presentation Activities	30 min 60 min
			Strategic interventions/ projects	Presentation Activities	30 min 60 min
PHASE 3:  STRATEGY IMPLEMENTATION	To define the strategic, business and operational plans and targets to implement the strategy  To implement and manage the strategy	MODULE 5 Compiling plans (Can we do it?  Do we have the resources and capability?)	Set the direction Introduction Compile (implement) CRVS national strategic plan(Proposed generic template for strategic plan)	Presentation Presentation Activities	10 min 60 min 60 min
			Translate strategy into action Compile CRVS national work programme (Proposed generic template for work programme)		
			Operationalize the strategy Compile agency operational plans		

PHASES	OBJECTIVE(S)	HIGH LEVEL CONTENT	HIGH LEVEL ACTIVITIES (Presentations)	SESSION ACTIVITIES	TIME <sup>2</sup>
			<p>Work planning: Inputs, process and outputs</p> <p>Resource planning: Human resource plan &amp; IT plan</p> <p>Financial planning: budget</p> <p>Risk planning</p>		
			<p><b>Manage strategic change</b></p> <ul style="list-style-type: none"> <li>- Leadership and management</li> <li>- Communicating the strategy</li> <li>- Cascading the strategy</li> <li>- Managing change</li> </ul>		
<b>PHASE 4:</b>  STRATEGY REVIEW	<ul style="list-style-type: none"> <li>- To monitor and report the progress, achievements and challenges in the programme</li> <li>- To take corrective action where required</li> <li>- To evaluate the impact of the changes and improvements</li> </ul>	<b>MODULE 6</b> Programme monitoring and evaluation	<p>Monitoring and evaluation plan: Introduction Monitoring and Reporting</p> <ul style="list-style-type: none"> <li>- Quarterly reports (on performance against targets in work programme)</li> <li>- Annual report (on performance against targets in work programme)</li> <li>- End-of-term report</li> </ul> <p><b>Evaluation:</b> Independent evaluation of the implementation of the strategy</p>	<p>Presentation</p> <p>Presentation</p>	<p>20 min</p> <p>90 min</p>

## PHASE I

### Strategy Analysis

## Strategy Analysis

### Outcome

By the end of the session participants will be able to successfully undertake an analysis of the strategic context of the CRVS system consisting of setting a strategic direction for the CRVS system, developing strategic goals and conducting a strategic analysis.

### Objective

The overall objective to clearly identify the business for the CRVS system and the issues that have to be addressed in order to get the system going; alternatively, if the system already exists, the issues that need to be addressed to enable corrective action.

### High level activities

Three high level activities comprise the analysis phase of the CRVS system. They are:

1. Setting the direction
2. Developing strategic goals
3. Conducting a strategic analysis

## Module 1

### SETTING A DIRECTION FOR THE CRVS SYSTEM

# 1. Setting a direction for the CRVS System

## 1.1 Introduction: Envisioning

Explain the concept of **envisioning**

**Time: 20 minutes**

Outcome (s)	By the end of the session participants will be able to set a direction for the CRVS system by defining the business of the system and explaining why the system exists <ul style="list-style-type: none"><li>• Outline real life elements of a mission and a vision</li><li>• Develop mission and vision statements for a CRVS system</li></ul>
Module objective	To re-affirm the organizational purpose and conduct of the CRVS system
Role(s)	<p><i>Overarching role:</i> envisioning establishes the direction of and the means for growth of an organization or system by developing a vision, mission and values for itself</p> <p><i>Detailed roles of vision, mission and values:</i></p> <ul style="list-style-type: none"><li>• To guide daily work (so that the mission, vision and core values should be continuously communicated especially to internal staff so they can be easily remembered)</li><li>• Should form part of the culture of the CRVS system through internal dialogue (with staff in the system) and external dialogue (with stakeholder beneficiaries of the system)</li><li>• To act as tools for leadership and system change</li><li>• To be used to motivate and inspire staff</li></ul>

The *standard* constituents of envisioning are: vision, mission, and core values. The *extended* version has a fuzzy boundary depending on the strategist. In addition to the standard constituents, a strategist may add strategic outcomes, strategic objectives, value chain, key success factors, key strategic risks, etc.



## 1.2 Mission

Explain the concept of a **mission**

**Time: 30 minutes**

**Objective:** To institutionalize the concept of a mission for the CRVS system

A mission is the core business of an organization or system. For example, the reason why there are institutions responsible for Civil Registration (CR) and Vital Statistics (VS). Answers the questions:

- What is our core business?
- What do we do that makes us unique?
- Why do we exist?
- The mission assumes agreement between the national leadership of the CRVS system and key stakeholders (such as users and funders) on strategy, domains of registration, products from each domain, how products will be produced, what value the products will add to stakeholder demand, etc.
- The mission for the CRVS system is or should be based on national legislation on CR and VS
- Baseline information for a mission should include:
  - Purpose, aim(s) or overall goal of the system - the opportunities or needs that the CRVS system is intended to address
  - What the CRVS system will do to address these needs – the business of the system
  - Key stakeholders or key clientele
  - Contribution or actions of the CRVS system and the value they will add to the stakeholders
  - What makes the products of the CRVS system unique or distinct from similar products from other sources
  - Beliefs or principles that will guide the work of the system – values of the system

## 1.2 1 Activities on mission

**Activity 1:** A general discussion on a mission for the CRVS

**Time:** 30 minutes

Facilitate a general discussion of the missions of existing isolated CRVS institutions in respect of mission areas that participants are satisfied with, as well as areas in need of improvement. The discussion should be framed in terms of

- The purpose or goal of CRVS institutions (why the institutions were established in the first place)
- What makes the institutions unique from other institutions
- The business of the institutions (what the institutions are doing to achieve the purpose)
- The core values of the institutions (the principles or beliefs that guide their work)

What kind of mission would participants like to see in the proposed systemic setting of the CRVS?

## 1.3 Mission statement

*Explain the concept of a **mission statement***

**Time:** 30 minutes

**Objectives:** For participants to institutionalize the concept of a mission statement for the CRVS system.

Develop a mission statement for the CRVS system

The mission statement is a concise description of

- The purpose of the CRVS system (why the system has to be established in the first place)
- The system's core business (what it is going to do)
- The fundamental principles that will guide its work (values of the system)

The already provided baseline information of the mission should be incorporated into the mission statement.

### 1.3.1. Activities on mission statement

#### *Activity 1: A dialogue towards a mission statement for the CRVS system*

The following activities constitute exercises in compiling a mission statement for a CRVS system. They are provided in four *options* of which one or a combination may be selected for use, depending on the availability of time and the facilitator's preferences.

Options	Stages	Materials	Time
<b>Option 1</b> The activity is set up in four stages. Depending on the number of participants, Stage 3 can be omitted, reducing the number of stages to three.	<b>Stage 1: Mission statements by individual participants</b> <ul style="list-style-type: none"> <li>- Allocate participants to subgroups. In the plenary give participants 10 cards corresponding to their subgroup. Add an extra set of cards for subgroup recommendations.</li> <li>- Get each participant to craft a mission statement on the card provided in the plenary session.</li> </ul>	Colour-coded cards according to the number of subgroups	60 min.
	<b>Stage 2: Mission statements by small subgroups of participants</b> <ul style="list-style-type: none"> <li>- Move participants into subgroups.</li> <li>- Within the subgroup participants should dialogue their individual mission statements.</li> <li>- Subgroup recommendations should be listed on the cards set aside for the purpose.</li> </ul>		90 min.
	<b>Stage 3: Mission statements by intermediate subgroups of participants</b> <ul style="list-style-type: none"> <li>- Merge each subgroup with another to form an intermediate subgroup.</li> <li>- Within each intermediate subgroup participants should dialogue their subgroup mission statements into one mission statement. [<i>Note:</i> Participants should be free to review individual mission statements from both subgroups if so desired].</li> <li>- Subgroup recommendations should be listed on the cards set aside for the purpose.</li> </ul>		90 min.
	<b>Stage 4: Mission statements by the plenary session</b> <ul style="list-style-type: none"> <li>- Each intermediate subgroup should present its mission statement to a plenary session of all the participants.</li> <li>- The mission statements should be dialogued to through consensus.</li> </ul>		120 min.
<b>Option 2</b> This activity is set up	<b>Stage 1: Mission statements by individual participants</b>		60 min.

<p>in four stages.</p> <p>In this option not every participant is active in all the stages of developing strategic outcomes. However, every participant is given an opportunity to participate in the first two and the last of the four stages of the outcome development process.</p>	<ul style="list-style-type: none"> <li>- Allocate participants to subgroups. In the plenary session give participants cards corresponding to their subgroup. Add an extra set of cards for group recommendations.</li> <li>- Get each participant to craft a mission statement on the card provided in the plenary session</li> </ul>		
	<p><b>Stage 2: Mission statement by small subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Move participants into subgroups.</li> <li>- Within the subgroup participants should dialogue their individual mission statements into one mission statement.</li> <li>- Subgroup recommendations should be listed on the set of cards set aside for the purpose.</li> </ul> <p><b>Stage 3: Mission statements by a combined subgroup of chairpersons and scribes</b></p> <ul style="list-style-type: none"> <li>- Chairpersons and scribes of all the subgroups should form a subgroup.</li> <li>- They then should dialogue statements recommended by their subgroups into an agreed mission statement.</li> <li>- Recommendations by chairpersons and scribes should be listed on the set of cards set aside for the purpose.</li> </ul>		<p>90 min.</p> <p>90 min.</p>
	<p><b>Stage 4: Mission statements by the plenary session</b></p> <ul style="list-style-type: none"> <li>- The combined subgroups of chairpersons and scribes should present their recommended mission statement to a plenary session.</li> <li>- Let the plenary session dialogue the recommended statement to agree by consensus to a specific version.</li> </ul>		<p>120 min.</p>
<p><b>Option 3</b></p> <p>The activity is set up in 4 stages.</p> <p>In this scenario every participant is active in all the stages of developing a mission statement.</p>	<p><b>Preparatory Stage</b></p> <p>Prepare two worksheets with terminology indicating broad categories and specific characteristics of the system. <i>Broad categories</i> include: programme, resources, status, relationships, institutional development, and governance. <i>Specific characteristics</i> include: target area, target populations, budget, percentage of funding from private and public sources, staff size and composition, staff/component structure, programme areas, office/locations, coordination structure and composition, relationship with the private sector, relationship with major local public agencies.</p>	<p>HANDOUT #1: Worksheet for broad categories of the CRVS system</p> <p>HANDOUT #2: Worksheet for specific characteristics of the CRVS system</p>	
	<p><b>Stage 1: System characterisation by individual participants</b></p> <ul style="list-style-type: none"> <li>- Get individual participants to complete the 2 worksheets by item indicating where they see the system in 5 years' time in terms of mission statements (i.e., according to the broad categories as well as in terms of the specific characteristics).</li> </ul>		<p>60 min</p>

	<ul style="list-style-type: none"> <li>- Allocate participants to subgroups for information sharing in order to arrive at shared responses.</li> </ul>		
	<p><b>Stage 2: System characteristics by small subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Move participants into small subgroups for information sharing and dialogue</li> <li>- Within the subgroup participants should dialogue the individual statements on individual items in each worksheet in order to arrive at shared responses.</li> <li>- Subgroup recommendations should be listed on the worksheets set aside for the purpose.</li> </ul>		90 min
	<p><b>Stage 3: Mission statements by intermediate subgroups</b></p> <ul style="list-style-type: none"> <li>- Merge each subgroup with another to form an intermediate subgroup. Within each intermediate subgroup participants should share the reduced information from the previous groups also to arrive at shared responses.</li> <li>- Recommended statements should be in 3 parts <ul style="list-style-type: none"> <li>▪ By individual items in each worksheet</li> <li>▪ By worksheet as a whole</li> <li>▪ A standalone mission statement synthesised from the 2 worksheets as a whole</li> </ul> </li> </ul>		120 min
	<p><b>Stage 4: Strategic outcomes by the plenary session</b></p> <ul style="list-style-type: none"> <li>- Each intermediate subgroup should present its recommended synthesised mission statements to a plenary session of all the participants.</li> <li>- The plenary session should then dialogue the recommended statements to an agreed mission statement by consensus.</li> </ul>		60 min
<p><b>Option 4</b> This activity is set up in four stages. Depending on the number of participants, Stage 3 can be omitted, thereby reducing the number of stages to three.</p> <p>All participants work through the 4 stages</p>	<p><b>Stage 1: Mission statements by individual participants</b></p> <ul style="list-style-type: none"> <li>- Allocate participants to supportive subgroups - <b>funders, users, staff, and collaborators</b>. In the briefing session give every participant a card corresponding to their subgroup. Add an extra set of cards for subgroup recommendations.</li> <li>- On the basis of their supportive subgroup, get each participant to craft a statement describing the organization as they would like to see it in a specified number of years.</li> </ul>		60 min.
	<p><b>Stage 2: Mission statements by small subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Move participants into their supportive subgroups for information sharing.</li> <li>- Within the subgroup participants should share and dialogue their individual mission statements into one mission statement.</li> </ul>		90 min.
	<p><b>Stage 3: Mission statements by intermediate subgroups</b></p> <ul style="list-style-type: none"> <li>- Merge each subgroup with another to form</li> </ul>		120 min.

	an intermediate subgroup. Within each intermediate subgroup participants should share the reduced information from the previous groups also to arrive at shared responses. [ <i>Note:</i> Participants should be free to review individual mission statements from both subgroups if so desired].		
	<b>Stage 4: Mission statement by the plenary session</b> - Each intermediate subgroup should present its mission statement to a plenary session of all the participants. - The plenary session should then dialogue the recommended statements to an agreed mission statement by consensus.		120 min

## 1.4 Vision

*Explain the concept of a **vision***

**Time: 30 minutes**

**Objective:** To institutionalise the concept of a vision for the CRVS system

A vision for the CRVS system will define the desired future state of the system and its products by identifying the direction that the system should take into the future. A vision should answer the following:

- In which direction do we want to guide the system? or
- What do we want the system to become in the long-term?

Communal ownership of the system by participants will be required for the system to be successful; that is, buy-in or commitment from all the elements in the system will be required to ensure that everyone is working towards the same future for the system.

The aim of the visioning exercise is:

- To rally participants to visualise and own what they are working towards
- To inspire participants to develop and share creative ideas however divergent they may seem
- To encourage team building through honest debate in order to build consensus
- To set boundaries for the system through honest discussion

- To work together to entrench a new organizational paradigm towards shared goals

Ideally, a vision for the system should be aligned with the vision of a national development plan, if such a plan exists.

Vision development should take into account budget implications, the client base, capacity issues (especially staffing levels), programme domains and impacts on society, among others

### 1.4.1 Activities on vision

#### *Activity 1: A general discussion*

**Time: 30 minutes**

Facilitate a general discussion on the visions of existing fragmented CRVS systems. What vision areas are participants satisfied with? What areas are in need of improvement? The discussion should be framed in terms of:

- Meeting user needs<sup>3</sup>
- Producing vital statistics of good quality
- Developing registration and statistical capacity
- Coordinating the CRVS system

What vision would participants like to see in the proposed systemic setting of the CRVS?

### 1.5 Vision statement

*Explain the concept of a vision statement*

**Time: 30 minutes**

**Objective:** For participants to institutionalize the concept of a vision statement for the CRVS system

<sup>3</sup> See for example Annex 1 in the APAl-CRVS document on the Second Conference of African Ministers Responsible for civil Registration, Durban, South Africa, 3-7 September 2012

A vision statement should capture:

- The reasons why a vision is needed in the first place
- What its objective is
- Who is it targeting

The statement should:

- Be clear, straightforward and concise - a brief one- or two-sentence description of how the currently fragmented and lopsided system is improve as a result of the APAI-CRVS initiative
- Include the main goal of the system without indicating how to achieve the goal
- Take cognizance of the current state of the system and then point out the direction where the system should go
- Take into consideration the external scan and assessment of the system

It might include the following, among others:

- Meeting user needs<sup>4</sup>
- Producing vital statistics of good quality
- Developing registration and statistical capacity
- Coordinating the CRVS system

### **1.5.1Activities on vision statement**

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<sup>4</sup> See previous footnote.



### Activity 1: A dialogue towards a vision statement for a CRVS system

There are various methods for the group to develop their vision statement. The upcoming activities constitute exercises in compiling a vision statement for a CRVS system. They are provided in four options of which one or a combination thereof may be selected for use depending on the availability of time, the facilitator's preferences and the number of participants.

Options	Stages	Materials	Time
<p><b>Option 1</b> This option is an exercise in compiling a vision statement for a CRVS system.</p> <p>The activity is set up in four stages. Depending on the number of participants, Stage 3 (intermediate groups) may be left out, reducing the stages to three.</p>	<p><b>Stage 1: Vision statements by individual participants</b></p> <ul style="list-style-type: none"> <li>- Allocate participants to subgroups. In the plenary session give every participant a colour-coded card corresponding to their group. Add an extra set of cards for subgroup recommendations.</li> <li>- Get each participant to craft a vision statement on the card provided in the plenary session</li> </ul>	See standard list	60 min.
	<p><b>Stage 2: Vision statements by small subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Move participants into subgroups.</li> <li>- Within the subgroup participants should dialogue their individual vision statements into one subgroup statement.</li> <li>- Subgroup recommendations should be listed on the cards set aside for the purpose.</li> </ul>		90 min.
	<p><b>Stage 3: Vision statements by intermediate subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Merge each subgroup with another to form an intermediate subgroup.</li> <li>- Within each intermediate subgroup participants should dialogue their subgroup vision statements into one vision statement. [Note: Participants should be free to review individual vision statements from both subgroups if so desired]</li> <li>- Subgroup recommendations should be listed on the cards set aside for the purpose.</li> </ul>		90 min.
	<p><b>Stage 4: Vision statements by the plenary session</b></p> <ul style="list-style-type: none"> <li>- Each intermediate subgroup should present its vision statement to a plenary session of all the participants.</li> <li>- The vision statements should be dialogued through group consensus.</li> </ul>		120 min.
<p><b>Option 2</b> This activity is set up in four stages.</p> <p>In this option not every participant is active in all the stages of</p>	<p><b>Stage 1: Vision statements by individual participants</b></p> <ul style="list-style-type: none"> <li>- Allocate participants to subgroups. In the plenary session give participants cards corresponding to their subgroup. Add an extra set of cards for group recommendations.</li> <li>- Get each participant to craft a mission statement on the card provided in the</li> </ul>		60 min.

Options	Stages	Materials	Time
<p>developing strategic outcomes. However, every participant is given an opportunity to participate in the first two and the last of the four stages of the outcome development process.</p>	plenary session.		
	<b>Stage 2: Vision statement by small subgroups of participants</b> <ul style="list-style-type: none"> <li>- Move participants into subgroups.</li> <li>- Within the subgroup participants should dialogue their individual vision statements into one vision statement.</li> <li>- Subgroup recommendations should be listed on the set of cards set aside for the purpose.</li> </ul>		90 min.
	<b>Stage 3: Vision statements by a combined subgroup of chairpersons and scribes</b> <ul style="list-style-type: none"> <li>- Chairpersons and scribes of all the subgroups should form a subgroup.</li> <li>- They then should dialogue statements recommended by their subgroups into an agreed vision statement.</li> <li>- Recommendations by chairpersons and scribes should be listed on the set of cards set aside for the purpose.</li> </ul>		90 min.
	<b>Stage 4: Vision statements by the plenary session</b> <ul style="list-style-type: none"> <li>- The combined subgroups of chairpersons and scribes should present their recommended vision statement to a plenary session.</li> <li>- Let the plenary session dialogue the recommended statement to agree by consensus to a specific version.</li> </ul>		120 min.
<p><b>Option 3</b> The activity is set up in 4 stages.</p> <p>In this scenario every participant is active in all the stages of developing a mission statement.</p>	<b>Preparatory Stage</b> Prepare two worksheets with terminology indicating broad categories and specific characteristics of the system. <i>Broad categories</i> include: programme, resources, status, relationships, institutional development, and governance. <i>Specific characteristics</i> include: target area, target populations, budget, percentage of funding from private and public sources, staff size and composition, staff/component structure, programme areas, office/locations, coordination structure and composition, relationship with the private sector, relationship with major local public agencies.	HANDOUT #1: Worksheet for broad categories of the CRVS system  HANDOUT #2: Worksheet for specific characteristics of the CRVS system	
	<b>Stage 1: System characterisation by individual participants</b> <ul style="list-style-type: none"> <li>- Get individual participants to complete the 2 worksheets by item indicating where they see the system in 25 years' time in terms of vision statements (i.e., according to the broad categories as well as in terms of the specific characteristics).</li> <li>- Allocate participants to subgroups for information sharing in order to arrive at shared responses.</li> </ul>		60 min
	<b>Stage 2: System characteristics by small subgroups of participants</b> <ul style="list-style-type: none"> <li>- Move participants into small subgroups for</li> </ul>		90 min

Options	Stages	Materials	Time
	<p>information sharing and dialogue</p> <ul style="list-style-type: none"> <li>- Within the subgroup participants should dialogue the individual statements on individual items in each worksheet in order to arrive at shared responses.</li> <li>- Subgroup recommendations should be listed on the worksheets set aside for the purpose.</li> </ul> <p><b>Stage 3: Vision statements by intermediate subgroups</b></p> <ul style="list-style-type: none"> <li>- Merge each subgroup with another to form an intermediate subgroup. Within each intermediate subgroup participants should share the reduced information from the previous groups also to arrive at shared responses.</li> <li>- Recommended statements should be in 3 parts <ul style="list-style-type: none"> <li>▪ By individual items in each worksheet;</li> <li>▪ By worksheet as a whole; and</li> <li>▪ A standalone vision statement synthesised from the 2 worksheets as a whole</li> </ul> </li> </ul> <p><b>Stage 4: Vision statements by the plenary session</b></p> <ul style="list-style-type: none"> <li>- Each intermediate subgroup should present its recommended synthesised vision statements to a plenary session of all the participants.</li> <li>- The plenary session should then dialogue the recommended statements to an agreed vision statement by consensus.</li> </ul>		<p></p> <p>120 min</p> <p>60 min</p>
<p><b>Option 4</b> This activity is set up in four stages. Depending on the number of participants, Stage 3 can be omitted, thereby reducing the number of stages to three.</p> <p>All participants work through the 4 stages</p>	<p><b>Stage 1: Vision statements by individual participants</b></p> <ul style="list-style-type: none"> <li>- Allocate participants to supportive subgroups - funders, users, staff, and collaborators. In the briefing session give every participant a card corresponding to their subgroup. Add an extra set of cards for subgroup recommendations.</li> <li>- On the basis of their supportive subgroup, get each participant to craft a vision statement describing the organization as they would like to see it in a specified number of years (e.g. 25 years).</li> </ul> <p><b>Stage 2: Vision statements by small subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Move participants into their supportive subgroups for information sharing.</li> <li>- Within the subgroup participants should share and dialogue their individual vision statements into one vision statement.</li> </ul> <p><b>Stage 3: Vision statements by intermediate subgroups</b></p> <ul style="list-style-type: none"> <li>- Merge each subgroup with another to form an intermediate subgroup. Within each intermediate subgroup participants should share the reduced information from the previous groups also to arrive at shared responses. [Note: Participants should be</li> </ul>		<p>60 min.</p> <p>90 min.</p> <p>90 min.</p>

Options	Stages	Materials	Time
	free to review individual vision statements from both subgroups if so desired].		
	<b>Stage 4: Vision statement by the plenary session</b> Each intermediate subgroup should present its vision statement to a plenary session of all the participants. The plenary session should then dialogue the recommended statements to an agreed vision statement by group consensus.		120 min

## 1.6 Values

*Explain the concept of corporate values*

**Time: 30 minutes**

**Objectives:** For participants to institutionalise the concept of a vision for the CRVS system and develop a statement of values for a CRVS system

- Corporate values are the fundamental principles that will guide the behaviour of those involved in the CRVS system - staff and external stakeholders. They will stipulate how the system will handle its business affairs.
- Values drive corporate culture and provide a framework within which decisions are made.
- Culture influences individual behaviour and gives personality to the organization by answering the question "How do we do things around here?"
- Shared values regulate how organization members interact with each other and with their stakeholders.
- They define members' worldview or reality, manifested as customs and habits.
- APAI-CRVS is about changing the present culture that promotes fragmentation and lop-sidedness in registration of vital events to a new culture that will promote a holistic and systemic approach to CRVS.

- Values should be used as drivers of change, aiming to preserve what is good in the existing culture of the system and individual CRVS institutions and to change those aspects of the existing culture that do not support the CRVS system.
- A performance-based value system contextualised in the principle of managing for results should be promoted.
- There ought to be a set of values for Information and Communication Technologies (ICTs) asset maintenance to avoid out-datedness and wastage.
- Values ought to be internalised by stakeholders (especially staff) in order to set behavioural boundaries and to promote norms and a sense of identity for staff.

### 1.6.1 Activities on values

*Activity 1: A general discussion*

**Time: 30 minutes**

Facilitate a general discussion of the current values (or absence thereof) of existing fragmented and lopsided CRVS systems. The discussion should be framed in terms of:

- Prevailing organizational culture in respect of what drives individual staff priorities and staff relations, their influence on management practices, their influence on corporate relations with external stakeholders, etc.
- The role values have played on current planning practices and the role they should play in the proposed strategic planning
- Alignment of personal values to organizational values
- Advantages and disadvantages of incorporating value statements into staff performance appraisal systems

What values would participants to see in the proposed CRVS system?

### 1.7 Statement of values

*Explain the concept of a statement of values*

**Time: 30 minutes**

**Objective:** For participants to Institutionalise the concept of a statement of values for the CRVS system and develop a statement of values for the CRVS system

- A corporate value statement stands for what a system or an organization, especially staff, believes in, and what guides its behaviour and decision-making.
- Statements of values should be crafted for both the CRVS system and each of its constituent institutions.
- Value statements for the CRVS system as well as for its individual constituent institutions should be unequivocally aligned.
- Defining and implementing corporate values appears to be the weakest part of corporate envisioning practices as they sound like slogans and are hardly ever internalised by staff.
- Development of statements of values should involve all staff of key stakeholders, and should be continuously communicated so they are internalised and shared so they become corporate social norms and shared values.
- The statement should be basic and form a foundation of corporate culture and character such that they outlast any vicissitudes of the system.
- They have philosophical, moral or ethical underpinnings; therefore they are about the people inside the system rather than the system's business circumstances.
- Every staff member should align his/her personal values to organizational values; accordingly value statements should be incorporated into staff performance appraisal systems.
- Many private and non-profit organizations use a code of ethics, a credo or other long-form description of what they believe in.

### 1.7.1 Activities on statement of values

**Activity 2: A dialogue towards a statement of values for a CRVS system**

This activity is an exercise in compiling a statement of values for a CRVS system. There are various ways of a group coming up with a statement of values. The upcoming activities constitute exercises in compiling a statement of values for a CRVS system. They are provided in four *options* of which one or a combination thereof may be selected for use depending on the availability of time, the facilitator's preferences and the number of participants.

Options	Stages	Materials	Time
<p><b>Option 1</b> This is a 4-stage. Depending on the number of participants, Stage 3 (intermediate groups) may be left out, reducing the stages to three.</p> <p>The objective of this option is to ensure active participation by every participant in all the stages of developing a statement of values, thereby starting the buy-in process.</p>	<p><b>Stage 1: Statement of values by individual participants</b></p> <ul style="list-style-type: none"> <li>- Allocate participants to subgroups. In the plenary session give every participant 10 cards of a colour corresponding to their group. Add an extra set of cards for subgroup recommendations.</li> <li>- Get each participant to craft 6 to 10 core values, with each value is written on a separate card. Participants should consider values of customers, shareholders, employees and the community.</li> <li>- Get each participant to "rank" their values with 1, 2, or 3, in terms of the priority they think is needed by the system, with the highest digit indicating the most important value to the organization and 1 the least important.</li> </ul>	<p>Colour-coded cards according to the number of subgroups</p>	60 min.
	<p><b>Stage 2: Statement of values by small subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Move participants into subgroups.</li> <li>- Within the subgroup, participants should dialogue their individual statements of values into a set of not more than 10 statements.</li> <li>- The group must then "rank" their statements with 1, 2, or 3, in terms of the priority they think is needed by the system, with the highest digit indicating the most important value to the system and 1 the least important.</li> <li>- Subgroup recommendations should be listed on the cards set aside for the purpose.</li> </ul>		90 min.
	<p><b>Stage 3: Statements of values by intermediate subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Merge each subgroup with another to form an intermediate subgroup.</li> <li>- Within each intermediate subgroup participants should dialogue their subgroup statements of values into a set of not more than 10 statements. [<i>Note:</i> Participants should be free to review individual statements from both groups if so desired].</li> <li>- The subgroup must then "rank" their statements with 1, 2, or 3, in terms of the</li> </ul>		90 min.





Options	Stages	Materials	Time
	purpose.		
	<p><b>Stage 3: Statements of values by a combined subgroup of chairpersons and scribes</b></p> <ul style="list-style-type: none"> <li>- Chairpersons and scribes of all the subgroups should form a subgroup.</li> <li>- Then through the ranking procedure the subgroup should dialogue statements recommended by their subgroups into an agreed set of six or so statements.</li> <li>- Recommendations by chairpersons and scribes should be listed on the set of cards set aside for the purpose.</li> </ul>		90 min.
	<p><b>Stage 4: Statements of values by the plenary session</b></p> <ul style="list-style-type: none"> <li>- The combined subgroups of chairpersons and scribes should present their recommended statements of values to a plenary session of all the participants.</li> <li>- Let the plenary session rank what participants perceive the recommended statements to have been enacted in their institutions, with the highest digit (possibly a 10) indicating the value that is fully enacted and 1 indicating the value that is least enacted.</li> <li>- The discrepancies between a value that is relatively highly preferred but is relatively least enacted should indicate which values should be carried over to the strategic plan.</li> </ul>		120 min.
<p><b>Option 3</b> This option is in 3 stages.  All participants are involved in all the stages.</p>	<p><b>Stage 1: Statements of values by individual participants</b></p> <ul style="list-style-type: none"> <li>- Allocate participants to supportive subgroups - <b>funders, users, staff</b>, and collaborators groups. In the briefing session give every participant 10 colour-coded cards corresponding to their subgroup. Add an extra set of cards for group recommendations.</li> <li>- Get each participant to craft 6 to 10 core values, with each value written on a separate card. Participants should consider values of customers, shareholders, employees and the community.</li> <li>- Get each participant to “rank” their values with 1, 2, or 3, in terms of the priority they think is needed by the system, with the highest digit indicating the most important value to the organization and 1 the least important.</li> </ul>		60 min.
<p><b>Stage 2: Statements of values by small subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Move participants into their supportive subgroups for information sharing.</li> <li>- Within the subgroup participants should dialogue their individual statements of values into a set of not more than 10 statements.</li> <li>- The subgroup must then “rank” their statements with 1, 2, or 3 in terms of the</li> </ul>		90 min.	

Options	Stages	Materials	Time
	<p>priority they think is needed by the system, with the highest digit indicating the most important value to the system and 1 the least important.</p> <ul style="list-style-type: none"> <li>- Subgroup recommendations should be listed on the set of coloured cards set aside for the purpose.</li> </ul>		
	<ul style="list-style-type: none"> <li>- <b>Stage 4: Statements of values by the plenary session</b></li> <li>- Each supportive subgroup should present its statement of values to a plenary session of all the participants.</li> <li>- The statements of values should be dialogued and ranked to a set not exceeding 10 statements through consensus.</li> <li>- Let the plenary session rank what participants perceive the values to be enacted in their institutions, with the highest digit (possibly a 10) indicating the value that is fully enacted and 1 indicating the value that is least reflected.</li> <li>- The discrepancies between a value that is relatively highly preferred but is relatively least enacted should indicate which values should be carried over to the strategic plan.</li> </ul>	-	- 120 min

**Module 2**  
**DEFINING STRATEGIC GOALS FOR THE CRVS SYSTEM**

## 2. Defining strategic outcomes and strategic goals for the CRVS System

### 2.1 Introduction

**Time: 10 minutes**

Outcome (s)	By the end of the session participants will be clear about the strategic direction of the CRVS system
Module objective	To reaffirm the purpose and conduct of the CRVS system by clearly defining the highest level outcomes and goals that will drive the strategy
Role(s)	Outcomes and goals drive a strategy. It is therefore imperative to define strategic outcomes, and to develop strategic goals and objectives for the CRVS system

### 2.2 Strategic outcome(s)

*Explain the concept of strategic outcome*

**Time: 30 minutes**

**Objective:** To explain to participants the concept of strategic outcomes for a CRVS system

Strategy formulation is founded on a set of clearly defined outcomes.

An outcome is a change in the status of a beneficiary resulting, wholly or in part, from a strategy, plan or programme.

- It is stated in the present tense
- An example of an outcome of the CRVS system may be stated as, 'Improved provision of public administration services'

The outcome (result) achieved through the use of an output may be positive (desired or intended) or negative (unintended or unexpected).

- To minimise the risk of negative outcomes, carefully define strategic outcomes before formulation of the strategy

- The efficacy of an outcome is established through measurement of its impact on beneficiaries by means of a few outcome and/or impact indicators
- An example of an outcomes indicator could be 'the proportional increase (change) in the number of national identity documents issued (within a specified time period such as a year)'

A strategy driven by outcomes means planning backwards from the outcome we desire through how best to achieve it.

- This underscores the strategic importance of defining the desired outcomes from the CRVS system before embarking on strategy development in the strategic planning process.
- From outcomes we should work out pertinent outputs, and then figure out the activities that will yield the outputs, followed by the resources needed to achieve the activities.

### 2.2.1 Activities on strategic outcomes

#### *Activity 1: A general discussion*

**Time: 30 minutes**

Facilitate a general discussion on strategic outcomes for CRVS; firstly, as they currently exist; and secondly, what they should be after CRVS production has been transformed into a system. If the current strategic outcomes are not already documented, encourage participants to decipher them from their experience within the organizational culture. Discuss their effectiveness as well as areas in need of improvement.

#### *Activity 2: A dialogue towards development of long-term strategic outcomes for the CRVS system*

There are various ways for a group to come up with specific strategic outcomes. The following activities constitute exercises in compiling strategic outcomes for a CRVS system. They are provided in three *options*, one or a combination may be selected for use depending on the availability of time and the facilitator's preferences.

Options	Stages	Materials	Time
<b>Option 1</b> The activity is set up in four stages. Depending on the number of participants, Stage 3 can be omitted,	<b>Stage 1: Strategic outcomes by individual participants</b> - Allocate participants to subgroups. In the plenary give participants 10 cards corresponding to their subgroup. Add an extra set of cards for subgroup recommendations.	Colour-coded cards according to the number of subgroups	60 min.

Options	Stages	Materials	Time
<p>reducing the number of stages to three.</p>	<ul style="list-style-type: none"> <li>- Get each participant to craft up to 10 strategic outcomes such that a single outcome is written on a separate card. Outcomes must be written in complete sentences, not in phrases.</li> </ul>		
	<p><b>Stage 2: Strategic outcomes by small subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Move participants into subgroups.</li> <li>- Within the subgroup participants should dialogue their individual strategic outcomes into a set of not more than 10.</li> <li>- Subgroup recommendations should be listed on the set of coloured cards set aside for the purpose.</li> </ul>		90 min.
	<p><b>Stage 3: Strategic outcomes by intermediate subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Merge each subgroup with another to form an intermediate subgroup.</li> <li>- Within each intermediate subgroup participants should dialogue their subgroup strategic outcomes into a set of not more than 10.</li> <li>- Subgroup recommendations should be listed on the set of colour-coded cards set aside for the purpose.</li> </ul>		90 min.
	<p><b>Stage 4: Strategic outcomes by the plenary session</b></p> <ul style="list-style-type: none"> <li>- Each intermediate subgroup should present its strategic outcomes to a plenary session of all the participants.</li> <li>- The strategic outcomes should be dialogued to a set not exceeding 10, agreed upon through consensus.</li> </ul>		120 min.
<p><b>Option 2</b> This activity is set up in four stages.</p> <p>In this option not every participant is active in all the stages of developing strategic outcomes. However, every participant is given an opportunity to participate in the first two and the last of the four stages of the outcome development process.</p>	<p><b>Stage 1: Strategic outcomes by individual participants</b></p> <ul style="list-style-type: none"> <li>- Allocate participants to subgroups. In the plenary give participants 10 cards corresponding to their subgroup. Add an extra set of cards for group recommendations.</li> <li>- Get each participant to craft up to 10 strategic outcomes such that a single outcome is written on a separate card. Outcomes must be written in complete sentences, not in phrases.</li> </ul>		60 min.
	<p><b>Stage 2: Strategic outcomes by small subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Move participants into subgroups.</li> <li>- Within the subgroup participants should dialogue their individual strategic outcomes into a set of not more than 10.</li> <li>- Subgroup recommendations should be listed on the set of coloured cards set aside for the purpose.</li> </ul>		90 min.
	<p><b>Stage 3: Strategic outcomes by a combined subgroup of chairpersons and scribes</b></p> <ul style="list-style-type: none"> <li>- Chairpersons and scribes of all the subgroups should form a subgroup.</li> <li>- They then should dialogue statements</li> </ul>		90 min.

Options	Stages	Materials	Time
	<p>recommended by their subgroups into an agreed set of up to 10 strategic outcomes.</p> <ul style="list-style-type: none"> <li>- Recommendations by chairpersons and scribes should be listed on the set of coloured-coded cards set aside for the purpose.</li> </ul>		
	<p><b>Stage 4: Strategic outcomes by the plenary session</b></p> <ul style="list-style-type: none"> <li>- The combined subgroups of chairpersons and scribes should present their recommended outcomes to a plenary session of all the participants.</li> <li>- Let the plenary session dialogue the recommended outcomes to agree by consensus to an appropriate set of outcomes.</li> </ul>		120 min.
<p><b>Option 3</b> The activity is set up in three stages.</p>	<p><b>Stage 1: Strategic outcomes by individual participants</b></p> <ul style="list-style-type: none"> <li>- Allocate participants to supportive subgroups - <i>funders, users, staff, and collaborators</i>. In the briefing session give every participant 10 cards corresponding to their subgroup. Add an extra set of cards for subgroup recommendations.</li> <li>- Get each participant to craft up to 10 strategic outcomes such that a single outcome is written on a separate card. Outcomes must be written in complete sentences, and not in phrases.</li> </ul>		60 min.
	<p><b>Stage 2: Strategic outcomes by small subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Move participants into their supportive subgroups.</li> <li>- Within the subgroup participants should dialogue their individual strategic outcomes into a set of not more than 10.</li> <li>- Group recommendations should be listed on the set of coloured cards set aside for the purpose.</li> </ul>		90 min.
	<p><b>Stage 3: Strategic outcomes by the plenary session</b></p> <ul style="list-style-type: none"> <li>- Each supportive subgroup should present its recommended outcomes to a plenary session of all the participants.</li> <li>- The plenary session should then dialogue the recommended outcomes and agree by consensus to an appropriate set.</li> </ul>		120 min.

## 2.3 Long term strategic goal(s)

*Explain the concept of strategic goals*

**Time:** 30 minutes

**Objective:** For participants to obtain clarity on the generic meaning of strategic goals for the CRVS system

**Note:** Goals and objectives tend to have interchangeable meanings depending on context or on who is using them. The solution lies in stakeholder agreement to a specific definition for each of the terms, and stakeholder consistency of their use

For the purpose of this guide, a strategic goal may be defined as *the desired result the proposed CRVS system aims to achieve from a strategic set of issues or from developing a strategy for the system.*

- The goal is where we want the system to be in the long term
- Often a strategic goal is general in nature such that it is expressed in non-technical, qualitative rather than quantitative terms
- Example: a goal for the CRVS system might be, 'To achieve complete registration of births, deaths, marriages and divorces'.

A goal seeks long-term change or improvement in a problem.

### 2.3.1 Activities on strategic goals

**Objective:** Participants to practice developing strategic goals for a CRVS

*Activity 1: A general discussion*

Time: 30 minutes

Facilitate a general discussion on strategic goals for CRVS; firstly, as they exist at the moment; and secondly, what they should be after CRVS production has been transformed into a system. If exiting goals are not on record, participants can relay their experiences of organizational culture. Discuss their effectiveness as well as areas in need of improvement.

*Activity 2: A dialogue towards development of long-term strategic goals for the CRVS system*

There are various ways that a group may develop strategic goals. The following activities are exercises for compiling strategic goals for a CRVS system. Three options are provided; one or a combination may be used, depending on the availability of time and the facilitator's preferences.

Options	Stages	Materials	Time
<b>Option 1</b> The activity is set up in four stages. Depending on the number of participants, Stage 3 can be omitted, reducing the	<ul style="list-style-type: none"> <li>- Stage 1: Strategic goals by individual participants</li> <li>- Allocate participants to subgroups. In the plenary give participants 10 cards corresponding to their subgroup. Add an extra set of cards for subgroup recommendations.</li> <li>- Get each participant to craft up to 10 strategic goals such that a single goal is</li> </ul>	Colour-coded cards according to the number of subgroups	60 min.



Options	Stages	Materials	Time
<p>number of stages to three.</p>	<p>written on a separate card. Goals must be written in complete sentences, not in phrases.</p>		
	<ul style="list-style-type: none"> <li>- Stage 2: Strategic goals by small subgroups of participants</li> <li>- Move participants into subgroups.</li> <li>- Within the subgroup participants should dialogue their individual strategic goals into a set of not more than 10.</li> <li>- Subgroup recommendations should be listed on the set of coloured cards set aside for the purpose.</li> </ul>		90 min.
	<p><b>Stage 3: Strategic goals by intermediate subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Merge each subgroup with another to form an intermediate subgroup.</li> <li>- Within each intermediate subgroup participants should dialogue their subgroup strategic goals into a set of not more than 10.</li> <li>- Subgroup recommendations should be listed on the set of colour-coded cards set aside for the purpose.</li> </ul>		90 min.
	<p><b>Stage 4: Strategic goals by the plenary session</b></p> <ul style="list-style-type: none"> <li>- Each intermediate subgroup should present its strategic goals to a plenary session of all the participants.</li> <li>- The strategic goals should be dialogued to a set not exceeding 10, agreed upon through consensus.</li> </ul>		120 min.
<p><b>Option 2</b> This activity is set up in four stages.</p> <p>In this option not every participant is active in all the stages of developing strategic goals. However, every participant is given an opportunity to participate in the first two and the last of the four stages of the goal development process.</p>	<p><b>Stage 1: Strategic goals by individual participants</b></p> <ul style="list-style-type: none"> <li>- Allocate participants to subgroups. In the plenary give participants 10 cards corresponding to their subgroup. Add an extra set of cards for group recommendations.</li> <li>- Get each participant to craft up to 10 strategic goals such that a single goal is written on a separate card. Goals must be written in complete sentences, not in phrases.</li> </ul>		60 min.
	<p><b>Stage 2: Strategic goals by small subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Move participants into subgroups.</li> <li>- Within the subgroup participants should dialogue their individual strategic goals into a set of not more than 10.</li> <li>- Subgroup recommendations should be listed on the set of coloured cards set aside for the purpose.</li> </ul>		90 min.
	<p><b>Stage 3: Strategic goals by a combined subgroup of chairpersons and scribes</b></p> <ul style="list-style-type: none"> <li>- Chairpersons and scribes of all the subgroups should form a subgroup.</li> <li>- They then should dialogue statements recommended by their subgroups into an agreed set of up to 10 strategic goals.</li> <li>- Recommendations by chairpersons and</li> </ul>		90 min.

Options	Stages	Materials	Time
	<p>scribes should be listed on the set of coloured-coded cards set aside for the purpose.</p>		
	<p><b>Stage 4: Strategic goals by the plenary session</b></p> <ul style="list-style-type: none"> <li>- The combined subgroups of chairpersons and scribes should present their recommended goals to a plenary session of all the participants.</li> <li>- Let the plenary session dialogue the recommended goals to agree by consensus to an appropriate set of goals.</li> </ul>		120 min.
<p><b>Option 3</b> The activity is set up in three stages.</p>	<p><b>Stage 1: Strategic goals by individual participants</b></p> <ul style="list-style-type: none"> <li>- Allocate participants to supportive subgroups - <i>funders, users, staff, and collaborators</i>. In the briefing session give every participant 10 cards corresponding to their subgroup. Add an extra set of cards for subgroup recommendations.</li> <li>- Get each participant to craft up to 10 strategic goals such that a single outcome is written on a separate card. Goals must be written in complete sentences, and not in phrases.</li> </ul>		60 min.
	<p><b>Stage 2: Strategic goals by small subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Move participants into their supportive subgroups.</li> <li>- Within the subgroup participants should dialogue their individual strategic goals into a set of not more than 10.</li> <li>- Group recommendations should be listed on the set of coloured cards set aside for the purpose.</li> </ul>		90 min.
	<p><b>Stage 3: Strategic goals by the plenary session</b></p> <ul style="list-style-type: none"> <li>- Each supportive subgroup should present its recommended goals to a plenary session of all the participants.</li> <li>- The plenary session should then dialogue the recommended goals and agree by consensus to an appropriate set.</li> </ul>		120 min.

**Module 3**  
**STRATEGIC ANALYSIS FOR THE CRVS SYSTEM**

### 3. Strategic analysis for the CRVS System

#### 3.1 Introduction: Strategic analysis of the current environment

**Time:** 10 minutes

Outcome (s)	By the end of the session participants will be able to establish the current status of the CRVS system and the key issues affecting it.
Module objective	To identify through structured analysis, the events, forces, processes and experiences in the external and internal environment that impact the CRVS system
Role(s)	An analysis of the issues characterising the current state of the CRVS system will provide the foundation for formulation of a strategy for development of the new direction of the system

The following points highlight the components of the strategic analysis of the environment of the present CRVS system and identify key issues:

- A value chain (conceptual view) of the current CRVS process
- A scan or review of the CRVS system environment
- An assessment of the CRVS system
- An assessment of the CRVS system's strengths, weaknesses, opportunities and threats (SWOT)
- A definition of priorities for the strategy
- A consolidation of the problem statement and strategic shift

#### 3.2 Developing a CRVS value chain

**Materials:** HANDOUT #3: Value chain of the CRVS

*Explain the concept of a CRVS value chain*

**Time: 30 minutes**

**Objectives:** Participants to appreciate value chain analysis as a key and integral part of the strategic planning process; and the role of value chain analysis in adding value to CRVS processes and products through strategic planning

- A value chain analysis involves the mapping of a series of activities that constitute the business of an organization or system in a logical sequence
- Each linkage has value it adds to the final product or service
- Value chain analysis describes the activities within and around an organization and identifies where value is added. The analysis evaluates the value each particular activity adds to the organization's products or services
- Proper management of individual activities and their interlinkages add value to the final product or service, giving the organization a competitive advantage over others in the same business
- Value-chain analysis for assessing a current situation is an integral part of the strategic planning process
- With regard to the CRVS, the purpose of the value chain analysis is to break down the CRVS process into strategic relevant pieces in order to see a more complete picture of the key role players, and how inputs are transformed into outputs relevant to the needs of the users
- The CRVS value chain demonstrates the civil registration process and sub-processes feeding into the vital statistics process

Objectives of a value chain analysis of the CRVS system are; To define and describe civil registration and vital statistical processes in a coherent way; and to standardize process terminology for comparison purposes. Additional objectives are:

- To compare/benchmark processes within and between institutions
- To identify synergies between processes
- To inform decisions on systems architectures and organization of resources

The value chain should consist of the following:

**INPUT:** Defines why CRVS is required as captured in various legislative frameworks and policy documents, as well as the resources such as human, financial and IT required that contribute to the outputs.

**PROCESS:** Defines what needs to be done. It outlines a generic process or actions required to produce the relevant outputs. This process is underpinned by common standards, definitions and classification in accordance with international best practice.

The proposed process consists of:

**Plan:** This phase include determining the need, consulting stakeholders, identifying outputs, developing an integrated plan and securing the necessary funding.

**Design and build:** Include designing tools, standards and civil registration processes; establishing service points; designing quality management processes; and building the required systems.

**Register:** Includes rolling out an advocacy programme for civil registration; completing forms (births, deaths, marriage and divorce); customer handling; quality assurance; and corrections and amendments.

**Process and analyse:** Include capturing forms; classifying and coding information; the transfer of administrative data; editing, imputing and calculating weights; and analysis of data.

**Disseminate:** Include issuing civil registration documents; sharing of administrative data; and publishing statistics.

**Archive:** Includes storage; storage classification; security and confidentiality of data; retrieval of documents; maintenance of databases; preserving data and metadata; and disposal of data and metadata.

**Evaluate:** Includes monitoring, reporting and evaluation.

It is important at this stage to identify the current processes.

**OUTPUT:** Defines what we will produce or deliver. The CRVS value chain aims to produce civil registration documents (e.g. ID documents, death certificates), a population register and vital statistics.

**OUTCOME:** Defines what we wish to achieve. The CRVS wishes to ensure that all vital events are recorded, registered and reported on. The desired outcomes should be defined by the management group.

### 3.2.1 Activities on the value chain of the CRVS system environment

**Objective:** Participants to appreciate the role of value chain analysis in strategic planning

### *Activity 1: Application of value chain analysis to the CRVS system*

**Time: 60 minutes**

Note: For this exercise participants constitute a single group.

Using the example of a CRVS value chain provided (**HANDOUT #3**) as context, participants should discuss the applicability of the value chain model to the CRVS they have experienced.

## 3.3 Scan or review the CRVS environment

**Objective:** To enable participants to undertake an environmental scan using stakeholder and PESTEL analytical techniques

Scanning or reviewing the CRVS environment includes

- A stakeholder analysis
- An external environmental analysis

### 3.3.1 Stakeholder analysis

**Materials:** HANDOUT #4: Stakeholder register  
HANDOUT #5: Stakeholder analysis matrix (illustration)  
HANDOUT #6: Stakeholder analysis matrix

*Explain what a stakeholder analysis entails*

**Time: 30 minutes**

Stakeholders are the individuals, groups, and institutions that will be positively or negatively impacted by the CRVS system or will affect the outcome of the system. Unsatisfactory delivery of the current CRVS system is part due to inadequate participation by stakeholders including the government. Accordingly a stakeholder analysis should be conducted as part of the CRVS system environment to promote active participation of key stakeholders. Benefits of stakeholder analysis and involvement accruing to the CRVS system include:

- Stakeholder information used in planning and management of system

- Reduction of unhelpful competition from public institutions and the private sector
- Transparency of system processes and products
- Public trust
- Stakeholder analysis tools –stakeholder register, stakeholder analysis matrix, Venn diagrams of relationships, spider diagrams, mind maps, etc.

Standard steps that should be included in the analysis are:

- Identification of key stakeholders
- Assessment of stakeholder interests and how they might be impacted by the system
- Assessment of stakeholder influence and importance
- Development of a stakeholder participation strategy

Stakeholder analysis assists in prioritising stakeholder involvement:

- Stakeholder prioritisation begins with a **stakeholder register**
- Prioritisation is done on the basis of importance and influence of a stakeholder
- A **stakeholder analysis matrix** (one of the techniques) may be used for the prioritisation

Stakeholder participation may take the form of workshops, surveys or consultations with collaborative organizations.

### 3.3.1 Activities on stakeholder analysis of the CRVS environment

*Activity 1: A general discussion: Stakeholder participation*

**Time: 30 minutes**

Facilitate a general discussion on stakeholder analysis. Discuss the current stakeholder participation in the operations of the CRVS in relation to stakeholder interests being served, and their influence and power. How accountable are CRVS institutions to stakeholders, including the government? How have stakeholders promoted or constrained development of CRVS?



*Activity 2: A dialogue towards scanning or reviewing the CRVS environment by means of stakeholder analysis*

**Time: 30 minutes**

Note: For this exercise participants constitute a single group.

- Project a stakeholder register template (**HANDOUT #4**) on the screen or use a flip chart
- Get participants to identify stakeholders (actual and potential) of the CRVS system
- Enter the identified stakeholders into the register
- Project a stakeholder analysis matrix template (**HANDOUT #5**) on the screen or make use of a flip chart
- Get participants to use the information in the stakeholder register to prioritise stakeholders of the CRVS system
- Discuss the extent to which the prioritisation applied to the actual situation on the ground

### 3.3.2 External environmental analysis

*External environmental analysis*

**Materials:**     **HANDOUT #7: Environmental scan, PESTEL (illustration)**

**HANDOUT #8: Environmental Scan Worksheet, PESTEL**

*Explain what external environmental analysis entails*

**Time: 30 minutes**

- Performance of a system is influenced by both its external and internal environments
- External environment forces are usually beyond the system's control
- But the system needs to be aware in order to minimise risk associated with their impacts, and to take advantage by working with change rather than otherwise

- External environment analysis is about understanding the “big picture” (forces of change) within which the system operates
- Analysis is often done using one of the tools in the PEST toolkit (political, economic, social and technological forces in the environment)
- PESTEL Political, Economic, Socio-Cultural, Technological, Environmental, and Legal(PESTEL) analysis recommended for CRVS system
- PESTEL analysis results are in terms of **opportunities** and **threats** at the “big picture” level
- PESTEL analysis would be useful for CRVS institutions which operate in silos and are thus too inward-looking

### 3.3 3 Activities on external environmental analysis of the CRVS environment

*Activity 1: A general discussion: PESTEL analysis tool*

**Time: 20 minutes**

Facilitate a general discussion on the PESTEL analysis tool. Discuss each of the environmental forces identified in the PESTEL technique in relation to opportunities for and threats to the CRVS.

*Activity 2: A dialogue towards scanning or reviewing the CRVS system environment by means of PESTEL analysis*

**Time: 90 minutes**

Note: For this exercise participants constitute a single group.

- Project a PESTEL Analysis Worksheet template (**HANDOUT #8**) on the screen or use a flip chart
- Get participants to brainstorm the environmental external forces impacting CRVS
- Enter the identified forces and their opportunities and threats into the worksheet
- Discuss ways to exploit the identified opportunities as well as to deal with threats

### 3.4 Assessments of the current CRVS system

Explain what assessing the CRVS system entails

**Time: 30 minutes**

**Objective:** To identify the factors that will impact the development and implementation of the CRVS system in order to strengthen the system by addressing those which will get in its way

The aim of the assessment is to identify the factors that will impact the development and implementation of the system in order to strengthen the system by addressing factors that may hinder its success.

The assessment consists of a rapid assessment and a comprehensive assessment.

The assessments of CRVS programmes and operations being referred to here are the ones recommended in the Medium Term Plan (MTP). There are two assessments – a rapid assessment and a comprehensive assessment, which consists of; an assessment tool; assessment of past and present performance; field visits; and a consolidation of the information collected to identify problem areas.

#### 3.4.1 Rapid assessment

*Explain assessment of the CRVS setup using the rapid assessment tool*

**Time: 60 minutes**

**Objective:** To outline the rapid assessment tool and the process of its implementation

**Materials:** HANDBOUT #9: "National Assessment of CVRS Systems"

HANDBOUT #10: "Strategic planning to strengthen civil registration and vital statistics systems: Guidance for using findings from a comprehensive assessment"

The overall goal is to provide a general overview of how the system is functioning – adequately or inadequately.

Specific objectives of the assessment are:

- To identify the strengths and weaknesses of the system

- To provide information for use in advocating for support towards strengthening the CRVS from the government and other stakeholders
- To build the case for undertaking a comprehensive assessment

A guide and tool for the rapid assessment process are provided. They were designed by the World Health Organization in collaboration with the University of Queensland.

The rapid assessment tool comprises of 25 questions.

### 3.4.1.1 Activities on rapid assessment

*Activity 1: A general discussion: Rapid assessment of the current CRVS system*

**Time: 60 minutes**

Discuss each of the questions in the rapid assessment tool and its context.

Discuss the current national profile of CRVS and what needs to be done to raise it. Consider approaches to advocating for the CRVS system to political principals, potential donors and other stakeholders using results of the rapid assessment tool.

### 3.4.2 Comprehensive assessment

Explain what assessing the CRVS system entails using the comprehensive assessment tool

**Time: 60 minutes**

**Objective:** Participants to understand the substantive intent of comprehensive assessment

A comprehensive assessment is an in-depth review of various components of the country's CRVS system.

Assessment will provide baseline information and guide the development of a country's CRVS improvement plan.

The goal of the comprehensive assessment is to obtain a clear and comprehensive understanding of the strengths and weaknesses of the CRVS system and generate an evidence base for corrective action.

### 3.4.2.1 Activities on comprehensive assessment

#### *Activity 1: Application of the comprehensive assessment tool*

Pre-assessment preparation:

- Make contact with review committee and work with them to form subgroups to carry out the assessment
- Assign the various areas of the assessment tool to the subgroups
- Decide on the data and venue for reporting assessment results
- Study the review questions and design a work plan for subgroups
- In conjunction with the review committee, adjust the review questions according to the country's situation

#### **Conduct field visits**

**Time: 4 days**

Carry out a diagnosis incorporating: the assessment tool, the registration and vital statistics processes of institutions; organizational setup throughout the administrative (national and sub-national) geography of the country; links with other institutions; the flow of registration forms and products; and stakeholder involvement.

The assessors should look out for:

- Relative strengths of institutions at different levels
- Record-keeping practices
- Hiccups in the flow of records and incompleteness of records
- What strategies are working, where, how and why
- Public's experience with the registration services

It is important to identify weaknesses and problems through utilisation of the assessment tool. A small number of subgroups should each be assigned a specific aspect of the CRVS system to carry out the assessment on.

**Assess past and present performance;** past experience should inform the review as well as provide lessons about what worked and did not work.

Consult stakeholders to review various perspectives of CRVS. Consolidate information and identify problems.

### 3.5 Analysis and translation of information

**Materials:** HANDOUT #11: A SWOT matrix template

**HANDOUT #12: Match matrix of weaknesses and strengths**

*Explain what is involved in information analysis and translation*

**Time: 30 minutes**

**Objective:** To introduce participants to the SWOT analytical tool and its application

The disjuncture between structured assessments of the current CRVS operations, on the one hand, and environmental analysis, on the other, has been noted in the introduction to this guide. The process for the solution offered – incorporation into the environmental analysis of the recommendations from the assessments - is outlined in the following sections.

After assessment data have been gathered,

- Sort or organise information into a series of logical sections
- Analyse data
- Identify any gaps
- Draw relevant key points

A conventional approach to assessing organizational environmental factors is to assess both the internal strengths and weaknesses and external opportunities and threats (SWOT) of the organization.

Here SWOT analysis is used to arrange and organise the information from the assessment.

SWOT analysis objectives:

- To build upon the internal strength and to remove the weaknesses of the CRVS system
- To exploit the opportunities and to defend against threats in the system's external environment

Strengths and weaknesses are internal factors (things you can directly influence).

Opportunities and threats are external factors (you have no control over these, but they can be addressed and used to advantage).

Appraisal of the internal environment will examine all aspects of the system in order to identify the system's strengths and weaknesses. Appraisal of the external environment will scan the political, economic, social, and technological environment with a view to identifying opportunities and threats.

### 3.5.1 Activities on SWOT analysis

**Activity 1: Explain and discuss the workings of the SWOT matrix in the context of CRVS**

**Time: 90 minutes**

*In a plenary setting,*

1. Project a SWOT matrix template onto a screen or draw it on a flip chart
2. Brainstorm environmental issues;
3. Use the information to populate the matrix
4. Insert into the matrix the recommendations from the comprehensive assessment

**Activity 2: Summarise information from the SWOT matrix**

**Time: 90 minutes**

*Move participants into subgroups.*

Subgroups should summarise the large number of entries in the SWOT table into relatively fewer and manageable issues for which strategies need to be developed.

*Convene the participants into a plenary setting.*

All subgroups should present their summaries for further deliberations and summarisation of subgroup summaries until a few and manageable issues are arrived at.

**Activity 3a: Match weaknesses to strengths from the SWOT matrix in a new table**



Refer to HANDBOOK #12: Match matrix of weaknesses and strengths

**Time: 90 minutes**

*Move participants into subgroups.*

Subgroups should match weaknesses to strengths of the CRVS presented in the internal environment. [Note: A match could be one-to-one; one-to-many; or many-to-one].

Subgroups should look for a strategy in the matching.

*Convene the participants into a plenary setting.*

All subgroups should present their matches and strategies for further deliberations into a few and manageable strategies.

### **Activity 3b: Match strengths opportunities from the SWOT matrix in a new table**

Refer to HANDBOOK #13: Match matrix of strengths to opportunities

Time: 90 minutes

*Move participants into subgroups.*

Subgroups should match strengths of the CRVS presented in the internal environment to opportunities in the external environment. [Note: A match could be one-to-one; one-to-many; or many-to-one].

Subgroups should look for a strategy in the matching.

*Convene the participants into a plenary setting.*

All subgroups should present their matches and strategies for further deliberations into a few and manageable strategies.

*Note 1: Strengths that do not match any available opportunity are of limited use. Opportunities that do not have any matching strengths, are of little immediate use. Unless the CRVS system can take advantage of the opportunities, it will be of little relevance.*

*Note 2: In summary*

- Strengths need to be maintained, built upon or leveraged
- Weaknesses need to be remedied or stopped
- Opportunities need to be prioritised and optimised

- Threats need to be countered or minimised
- 

### 3.6 Prioritisation of information

**Materials:** HANDOUT #10: "Strategic planning to strengthen civil registration and vital statistics systems: Guidance for using findings from a comprehensive assessment"

*Explain what is involved in information analysis and translation*

**Time:** 20 minutes

**Objective:** To organise issues into a manageable set to carry forward into the plan

The issues arising from the SWOT analysis are often many, such that they cannot all be catered for in the plan; hence the need to prioritise.

This guide endorses the use of the prioritisation methodology developed by the World Health Organization and the University of Queensland. [Refer to HANDOUT #10]. For detailed explanation, the document 'Strategic planning to strengthen civil registration and vital statistics systems' can be accessed at [www.uq.edu.au/hishub](http://www.uq.edu.au/hishub).

#### 3.6.1 Activities on information prioritisation

**Activity 1: Prioritise the information obtained from the SWOT analysis using the WHO/UQ methodology**

**Time:** 90 minutes

Arrange participants into subgroups for the scoring and impact assessment of strategic objectives obtained from the SWOT analysis.

Dialogue all subgroup recommendations into a prioritised set of strategies for inclusion in the plan.

### 3.7 Defining the problem statement and the strategic shift

*Consolidate the key issues listed in the SWOT analysis and prioritised thereafter in a problem statement.*

**Time:** 30 minutes

**Objective:** To conclude the module with summarising the key issues to constitute a problem statement for strategy formulation

The problem statement is a conceptual view of the systemic problems that exist and outlines what strategic shift or paradigm shift should occur.

The purpose of the problem statement is to define what problems are to be carried over to strategy formulation.

An example is the strategic shift or paradigm change from CR and production of VS in isolation to CR and production of VS in a system.

#### 3.7.1 Activities on problem statement and the strategic shift

**Activity 1:** *Defining key problems for addressing in strategy formulation for a CRVS system*

**Time:** 90 minutes

This activity is set up in three stages.

**Stage 1:** Problem statement definition by individual participants

- Allocate participants to subgroups
- Get each participant to write down in a pad the key problems from the strategy analysis for addressing in strategy formulation

**Stage2:** Problem statement definition by subgroups of participants

- Move participants into subgroups.
- Within the subgroups participants should debate all the submissions from individuals and agree on a set of problems.
- The subgroups should present their agreed set of problems in a plenary setting.

**Stage 3:** Problem statements by the plenary session

- Each subgroup should present and justify its problem statements to the group for debate.
- The group should agree by consensus on a final set of problem statements.

## **Phase 2: Strategy Formulation**

### **Module 4**

## **STRATEGY FORMULATION FOR THE CRVS SYSTEM**

## 4. Strategy formulation for the CRVS System

**Time: 20 minutes**

Outcome	By the end of the session participants will be able to define a strategic intent or develop a strategic plan for the CRVS system
Module objective	To define where and how the system will respond to the key problems defined by the strategic analysis
Role	To define inputs into the strategy

The following are the components of strategy:

- The value chain of the TO-BE process
- Strategic objectives
- Sub-objectives
- Strategy map
- The strategic intent
- Critical success factors
- Strategic risks
- Strategic interventions

### 4.1 Value chain of the TO-BE process

*Explain the concept of a TO-BE value chain for the CRVS system*

**Time: 15 minutes**

**Objective:** To develop a revised value chain for the desired CRVS system

Recall the value chain of the AS-IS (current) CRVS system process in the Strategy Phase, which should then be reviewed to identify omissions or weaknesses in the desired state of the CRVS system.

The value chain should be redeveloped to indicate the desired state of the CRVS production process.

### 4.1.1. Activities on a TO-BE value chain for the CRVS system

**Activity 1:** *Revising the current value chain to describe the desired production process for the CRVS system*

**Time:** 60 minutes

This activity is undertaken by the group in plenary.

Revise the current value chain to the desired one for the CRVS system.

## 4.2 Strategic objectives

Explain the concept of strategic objective

**Time:** 30 minutes

**Objective:** Participants to identify strategic objectives for a CRVS system

A strategic objective is a statement that specifies outcomes that are intended to be achieved in order to attain a goal.

It unambiguously indicates the direction – *the things that are to be done* – to achieve the goal. Strategic objectives are expected to be specific, measurable, achievable, relevant, and time-bound (SMART).

*Example:* a strategic objective for the CRVS system might be, 'To achieve 90 percent registration of births, deaths, marriages and divorces in two years'; or, 'To complete system integration in 3 years'.

Conceptually, strategic objectives should adhere to the following guiding principles:

- Reflect most important priorities identified in the longer-term (10-15 years)
- Contribute to the achievement of one or more strategic goals
- Strategic objectives should point to significant value-add value
- Provide overall direction to substantive work and indicate main areas of impact
- Facilitate responsibility and accountability for results at lower levels
- Be limited in number, understandable to all key stakeholders

- Avoid “jargon” and being too technical in nature

#### 4.2.1 Activities on strategic objectives

##### *Activity 1: A general discussion*

**Time: 30 minutes**

Facilitate a general discussion of the strategic objectives for CRVS as they exist at the moment. If they are not on record, encourage participants to decipher them from experience, as they exist as part of organizational culture. Discuss their effectiveness as well as areas in need of improvement. The discussion should be framed in terms of results of the outputs of the CRVS system.

##### *Activity 2: A dialogue towards development of long-term strategic objectives for the CRVS system*

There are various ways for a group to come up with strategic objectives. The following activities constitute exercises in compiling strategic objectives for a CRVS system. They are provided in three options; one or a combination may be selected for use depending on time available and the facilitator’s preferences.

Options	Stages	Materials	Time
<b>Option 1</b> This is a 4-stage option. Depending on the number of participants, Stage 3 (intermediate groups) may be left out, reducing the stages to three.	<b>Stage: 1 Strategic objectives by individual participants</b> <ul style="list-style-type: none"> <li>- Allocate participants to subgroups. In a plenary setting give every participant cards at least equivalent to the number of pre-defined strategic goals and corresponding to the colour of their group. Add an extra set of cards for group recommendations and for anyone who might need more.</li> <li>- Get each participant to on a separate card at least one strategic objective that can be used to achieve each of the pre-defined strategic goals.</li> </ul>	Colour-coded cards according to the number of subgroups	60 min.
	<b>Stage 2: Strategic objectives by small subgroups of participants</b> <ul style="list-style-type: none"> <li>- Move participants into subgroups.</li> <li>- Within the subgroup participants should dialogue their individual strategic objectives into a set of not less than the number of pre-defined goals.</li> <li>- Subgroup recommendations should be listed on the set of cards set aside for the purpose.</li> </ul>		90 min.



Options	Stages	Materials	Time
	<p><b>Stage 3: Strategic objectives by intermediate subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Merge each subgroup with another to form an intermediate subgroup.</li> <li>- Within each intermediate subgroup participants should dialogue their subgroup strategic objectives into a set of not less than the number of goals.</li> <li>- Subgroup recommendations should be listed on the cards set aside for the purpose.</li> </ul> <p><b>Stage 4: Strategic objectives by the plenary session</b></p> <ul style="list-style-type: none"> <li>- Each intermediate subgroup should present its strategic objectives to a plenary session of all the participants.</li> <li>- The strategic objectives should be dialogued through group consensus.</li> </ul>		<p>90 min.</p> <hr/> <p>120 min.</p>
<p><b>Option 2</b> This activity is set up in four stages.</p> <p>In this option not every participant is active in all the stages of developing strategic objectives. However, every participant is given an opportunity to participate in the first two and the last of the four stages of the sub-objective development process.</p>	<p><b>Stage 1: Strategic objectives by individual participants</b></p> <ul style="list-style-type: none"> <li>- Allocate participants to subgroups. In a plenary setting give every participant cards not less than the number of goals and corresponding to the colour of their group. Add an extra set of cards for group recommendations as well as for anyone who may need extra cards.</li> <li>- Get each participant to craft a strategic objective on the cards provided, one objective per card.</li> </ul> <p><b>Stage 2: Strategic objectives by small subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Move participants into subgroups.</li> <li>- Within the subgroup participants should dialogue their individual strategic objectives into one strategic objective.</li> <li>- Subgroup recommendations should be listed on the set of cards set aside for the purpose.</li> </ul> <p><b>Stage 3: Strategic objectives by a combined subgroup of chairpersons and scribes</b></p> <ul style="list-style-type: none"> <li>- Chairpersons and scribes of all the subgroups should form a subgroup.</li> <li>- They then should dialogue strategic objectives recommended by their subgroups into an agreed set.</li> <li>- Recommendations by chairpersons and scribes should be listed on the set of cards set aside for the purpose.</li> </ul> <p><b>Stage 4: Strategic objectives by the plenary session</b></p> <ul style="list-style-type: none"> <li>- The combined subgroups of chairpersons and scribes should present their recommended strategic objectives to a plenary session.</li> <li>- Let the plenary session dialogue the recommended objectives to agree by group consensus to a specific set.</li> </ul>		<p>60 min.</p> <hr/> <p>90 min.</p> <hr/> <p>90 min.</p> <hr/> <p>120 min.</p>

Options	Stages	Materials	Time
<p><b>Option 3</b> This activity is set up in four stages. Depending on the number of participants, Stage 3 can be omitted, thereby reducing the number of stages to three.</p> <p>All participants work through the 4 stages</p>	<p><b>Stage 1: Strategic objectives by individual participants</b></p> <ul style="list-style-type: none"> <li>- Allocate participants to supportive subgroups - funders, users, staff, and collaborators.</li> <li>- In the briefing session give every participant a card corresponding to their subgroup. Add an extra set of cards for subgroup recommendations and anyone else who may want extra cards.</li> <li>- On the basis of their supportive subgroup, get each participant to craft a strategic objective describing the organization as they would like to see it in a specified number of years (e.g. 5 years).</li> </ul>		60 min.
	<p><b>Stage 2: Strategic objectives by small subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Move participants into their supportive subgroups for information sharing.</li> <li>- Within the subgroup participants should share and dialogue their individual strategic objectives into a set equal to or greater than that of pre-defined goals.</li> </ul>		90 min.
	<p><b>Stage 3: Strategic objectives by intermediate subgroups</b></p> <ul style="list-style-type: none"> <li>- Merge each subgroup with another to form an intermediate subgroup.</li> <li>- Within each intermediate subgroup participants should share the reduced information from the previous groups also to arrive at shared responses.</li> </ul> <p>[Note: Participants should be free to review individual strategic objectives from both subgroups if so desired].</p>		120 min.
	<p><b>Stage 4: Strategic objectives by the plenary session</b></p> <ul style="list-style-type: none"> <li>- Each intermediate subgroup should present its strategic objectives to a plenary session of all the participants.</li> <li>- The strategic objectives should be dialogued; and a set not less than the number of pre-defined goals agreed upon through group consensus.</li> </ul>		120 min

### 4.3 Sub-objectives

*Explain the concept of sub-objective*

**Time:** 20 minutes

**Objective:** For participants to disaggregate strategic objectives of the CRVS system into sub-objectives for implementation

- Strategic objectives are realised through sub-objectives
- The summarised information from the assessment phase as captured in the SWOT analysis will be used as key pointers for developing sub-objectives
- The sub-objectives need to be more specific and need to cover all areas of the system
- Sub-objectives also need to be SMART, but on a tactical level

### 4.3.1 Activities on sub-objectives

#### *Activity 1: A dialogue towards development of sub-objectives for the CRVS system*

The following activities constitute exercises in crafting sub-objectives for a CRVS system. They are provided in three options. One or a combination may be selected for use depending on time available and the facilitator's preferences.

Options	Stages	Materials	Time
<b>Option 1</b> This is a 4-stage option. Depending on the number of participants, Stage 3 (intermediate groups) may be left out, reducing the stages to three.	<b>Stage 1: Sub-objectives by individual participants</b> <ul style="list-style-type: none"> <li>- Allocate participants to subgroups. In a plenary setting give every participant cards twice the number of strategic objectives and corresponding to the colour of their group. Add an extra set of cards for group recommendations and for anyone who might need more.</li> <li>- Get each participant to craft on a separate card at least 2 sub-objectives that can be used to achieve each of the pre-defined strategic objectives.</li> </ul>	Colour-coded cards according to the number of subgroups	60 min.
	<b>Stage 2: Sub-objectives by small subgroups of participants</b> <ul style="list-style-type: none"> <li>- Move participants into subgroups.</li> <li>- Within the subgroup participants should dialogue their individual sub-objectives into a set of not less than the number of pre-defined strategic objectives.</li> <li>- Subgroup recommendations should be listed on the set of cards set aside for the purpose.</li> </ul>		90 min.
	<b>Stage 3: Sub-objectives by intermediate subgroups of participants</b> <ul style="list-style-type: none"> <li>- Merge each subgroup with another to form an intermediate subgroup.</li> <li>- Within each intermediate subgroup participants should dialogue their subgroup sub-objectives into a set of not less than the</li> </ul>		90 min.

Options	Stages	Materials	Time
	number of strategic objectives. - Subgroup recommendations should be listed on the cards set aside for the purpose.		
	<b>Stage 4: Sub-objectives by the plenary session</b> - Each intermediate subgroup should present its sub-objectives to a plenary session of all the participants. - The sub-objectives should be dialogued through group consensus.		120 min.
<b>Option 2</b> This activity is set up in four stages.  In this option not every participant is active in all the stages of developing strategic objectives. However, every participant is given an opportunity to participate in the first two and the last of the four stages of the objective development process.	<b>Stage 1: Sub-objectives by individual participants</b> - Allocate participants to subgroups. In a plenary setting give every participant cards twice the number of strategic objectives and corresponding to the colour of their group. Add an extra set of cards for group recommendations and for anyone who might need more. - Get each participant to craft on a separate card at least 2 sub-objectives that can be used to achieve each of the pre-defined strategic objectives.		60 min.
	<b>Stage 2: Sub-objectives by small subgroups of participants</b> - Move participants into subgroups. - Within the subgroup participants should dialogue their individual sub-objectives into a set of not less than the number of pre-defined strategic objectives. - Subgroup recommendations should be listed on the set of cards set aside for the purpose.		90 min.
	<b>Stage 3: Sub-objectives by a combined subgroup of chairpersons and scribes</b> - Chairpersons and scribes of all the subgroups should form a subgroup. - They then should dialogue sub-objectives recommended by their subgroups into an agreed set. - Recommendations by chairpersons and scribes should be listed on the set of cards set aside for the purpose.		90 min.
	<b>Stage 4: Sub-objectives by the plenary session</b> - The combined subgroups of chairpersons and scribes should present their recommended sub-objectives to a plenary session. - Let the plenary session dialogue the recommended objectives to agree by group consensus to a specific set.		120 min.
<b>Option 3</b> This activity is set up in four stages. Depending on the number of participants, Stage 3 can be omitted, thereby reducing the number of stages to three.	<b>Stage 1: Sub-objectives by individual participants</b> - Allocate participants to supportive subgroups - funders, users, staff, and collaborators. - In the briefing session give every participant a card corresponding to their subgroup. Add an extra set of cards for subgroup recommendations and anyone else who may want extra cards.		60 min.

Options	Stages	Materials	Time
All participants work through the 4 stages	<ul style="list-style-type: none"> <li>- On the basis of their supportive subgroup, get each participant to craft at least 1 sub-objective for every strategic objective describing the organization as they would like to see it in a specified number of years (e.g. 5 years).</li> </ul>		
	<p><b>Stage 2: Sub-objectives by small subgroups of participants</b></p> <ul style="list-style-type: none"> <li>- Move participants into their supportive subgroups for information sharing.</li> <li>- Within the subgroup participants should share and dialogue their individual sub-objectives into a set equal to or greater than that of pre-defined goals.</li> </ul>		90 min.
	<p><b>Stage 3: Sub-objectives by intermediate subgroups</b></p> <ul style="list-style-type: none"> <li>- Merge each subgroup with another to form an intermediate subgroup.</li> <li>- Within each intermediate subgroup participants should share the reduced information from the previous groups also to arrive at shared responses.</li> </ul> <p>[Note: Participants should be free to review individual sub-objectives from both subgroups if so desired].</p>		120 min.
	<p><b>Stage 4: Sub-objectives by the plenary session</b></p> <ul style="list-style-type: none"> <li>- Each intermediate subgroup should present its sub-objectives to a plenary session of all the participants.</li> <li>- The sub-objectives should be dialogued; and a set not less than the number of pre-defined strategic objectives agreed upon through group consensus.</li> </ul>		

#### 4.4 A strategy map for the CRVS system

HANDOUT #14: A highly simplified representation of a Strategy Map (illustration)

HANDOUT #15: A Strategy Map of CRVS (illustration)

*Explain the concept of a strategy map for the CRVS process*

**Time: 60 minutes**

**Objective:** To explain to participants the function of a strategy map in planning

A strategy map is a dynamic visual tool (map) that describes and communicates a strategy.

It based on the Balanced Scorecard and facilitates a balanced approach to strategy formulation by ensuring that the strategic objectives cover all strategic aspects within the CRVS system.

A strategy map shows cause-and-effect relationships to:

- Clarify strategies
- Identify the key internal processes that drive strategic success
- Align investments in people, technology and organizational capital for the greatest impact
- Expose gaps in the strategies in order to take early corrective action

The strategy map is based on four perspectives according to the Balanced Scorecard approach for public sector organizations:

1. Social impact perspective
2. Stakeholder perspective
3. Business process perspective
4. Investment in learning and growth perspective

All strategy concepts developed to this point will be used to populate the strategy map.

The strategy map will expose gaps in the strategy.

#### 4.4.1 Activities on the development of a strategy map for the CRVS system

##### *Activity 1: Developing a strategy map for the CRVS process*

**Time: 120 minutes**

This activity is undertaken by the group in a plenary setting.

- List strategy concepts so far used for the strategy
- Develop a strategy map for CRVS process
- Identify gaps, if any, in the strategy

#### 4.5 Strategic intent

*Explain the meaning of a strategic plan for the CRVS system*

**Time: 30 minutes**

**Objective:** To explain to participants what a strategic plan is about

A strategic intent is a high-level description and statement of design for each strategic objective of the method used by various stakeholders to achieve the vision – a desirable future stated in present terms.

The key strategic intent aims to describe where you want to be and how you are going to get there.

Strategic intent defines the *journey* to the future, enabling stakeholders to have a common understanding of the future of the system over time and space.

Every strategic objective should outline the strategic intent in the short, medium and long term by describing a desired end state and giving pointers of change on how to get there.

The strategic intent is a description that should be developed once the strategic goals and strategic objectives have been finalized.

The strategic intent gives:

- A sense of direction - the long-term position that a system aims to build over the next decade or so
- A sense of discovery – excitement about what the future holds
- A sense of destiny – a stakeholder emotional edge towards an inherently worthwhile goal

Three key questions will guide its crafting:

1. What do we want to be in the next 10 years (long-term) in relation to each objective? Describe the journey how you will get there.
2. What will you focus on over the medium term in relation to each objective? Describe the journey how you will get there.
3. What will be the immediate focus of attention in the short-term in relation to each objective? Describe the journey how you will get there.

#### **4.5.1 Activities on the strategic intent for the CRVS system**

**Activity 1: Identification of strategic objectives or recommendations for the strategic plan for the long-term (next 10 years and over), medium-term (next 5-10 years), and short-term (next 1-5 years).**

**Time: 90 minutes**

This activity is set up in three stages.

**Stage 1:** Identification of strategic objectives or recommendations for the strategic plan by individual participants

*Allocate participants to subgroups.*

Get each participant to organise and write down in a pad the list of strategic objectives according to whether they are long-term, medium-term and short-term.

**Stage2:** Identification of strategic objectives or recommendations for the strategic plan by subgroups

*Move participants into subgroups.*

Get each subgroup to debate and agree on the ordering of strategic objectives by individual participants according to whether they are long-term, medium-term and short-term.

The subgroups should write on a flip chart their agreed ordering of strategic objectives.

**Stage 3:** Identification of strategic objectives or recommendations for the strategic plan by the group

Each subgroup should present and justify its ordering of the strategic objectives to the group for debate.

The group should then project on the screen and debate the combined ordering of all the subgroups and agree by consensus on a final ordering.

## 4.6 Critical success factors

HANDOUT #16: Critical success factors lined to objectives and classified

*Explain the concept of critical success factors for the CRVS system*

**Time: 30 minutes**

**Objectives:** To develop participant ability to identify essential areas of activity that must be performed well in order for the mission, objectives or goals of the CRVS system to be achieved and identify critical success factors for the CRVS system



Critical success factors (CSFs) are the essential areas of activity that must be performed to achieve the mission, objectives or goals of the CRVS.

CSFs are strongly related to the mission and strategic goals of the project. Whereas the mission and goals focus on the aims and what is to be achieved, CSFs focus on the most important areas and get to the very heart of what is to be achieved and how to achieve it.

### **How Many CSFs?**

Whilst there is no hard and fast rule, it's useful to limit the number of CSFs to five or fewer absolute essentials. This helps your CSFs have maximum impact, and so give good direction and prioritisation to other elements of your business or project strategy.

In reality, identifying CSFs is a very iterative process. Your mission, strategic goals and CSFs are intrinsically linked and each will be refined as you develop them.

The summary steps below, when used iteratively, will help you identify the CSFs for the CRVS system.

For each strategic goal and objective, ask: 'What area of business or system activity is essential to achieve this goal?' The answers to the questions are your candidate CSFs. This may include factors relating to the following classifications:

**Industry** – these factors result from specific industry characteristics. These are the things that the system must do to remain relevant.

**Environmental** – these factors result from macro-environmental influences on the system. Things like the economy and technological advancements are included in this category.

**Strategic** – these factors result from the specific strategy chosen; the way in which the system chooses to position itself, market itself, etc.

**Temporal** – these factors result from the system's internal forces. Specific barriers, challenges, directions, and influences will determine these CSFs.

Evaluate the list of proposed CSFs to find the absolute essential elements for achieving success – these are the CSFs.

As you identify and evaluate these CSFs, you may uncover some new strategic objectives or more detailed objectives. So you may need to define your mission, goals and strategic objectives and CSFs iteratively.

#### 4.6.1 Activities on critical success factors for the CRVS system

##### *Activity 1: Identification of critical success factors for the CRVS system*

**Time: 60 minutes**

This activity is set up in three stages.

##### **Stage 1: Identification of CSFs for the CRVS system by individual participants**

Allocate participants to subgroups.

For each strategic objective get participants to identify and record an area of business or system activity (industry, environmental, strategic, and temporal) essential to achieve the objective. Cover all objectives, and record the CSF against the relevant objective in **HANDOUT #16**.

##### **Stage2: Identification of CSFs for the CRVS system by subgroups**

Get each subgroup to debate, agree and record CSFs provided by individual participants.

The subgroups should write on a flipchart their agreed ordering of strategic objectives. The subgroup must record each CSF against the relevant objective in tabular form (**HANDOUT #16**). The subgroup should also include the classification of the CSF.

##### **Stage 3: Identification of CSFs for the CRVS system by the group**

Each subgroup should present and justify the CSFs it has identified to the group for debate.

The group should then project on the screen and debate the combined CSFs of all the subgroups and agree by consensus on a final set of CSFs.

##### **Stage4: Linking CSFs to strategic objectives by the group**

Attempt a review of the mission, goals and strategic objectives of the CRVS system as a result of identifying CSFs.

#### 4.7 Risks

Explain how to identify and minimise risks

**Time: 30 minutes**

**Objectives:** For participants to identify and minimise risks

Risk is what could go wrong with what has been planned for the CRVS system.

To ensure comprehensiveness of risk identification the system should identify risk factors through considering both internal and external factors.

### How to perform risk identification

It is crucial to have knowledge of the business before commencing with risk identification process. It is also important to learn from both past experience and experience of others when considering the risks to which the system may be exposed, and the best strategy available for responding to those risks.

Risk identification starts with understanding the strategic objectives, both implicit and explicit. The risk identification process must identify unwanted events, undesirable outcomes, emerging threats, as well as existing and emerging opportunities.

When identifying risks, it is also important to bear in mind that "risk" also has an opportunity component. This means that there should also be deliberate attention to identifying potential opportunities that could be exploited to improve system performance. In identifying risks, consideration should be given to risks associated with *not* pursuing an opportunity.

Risk identification exercise should not get weighed down by conceptual or theoretical detail. It should also not limit itself to a fixed list of risk categories, although such a list may be helpful. The chart below provides a listing of common strategic risks. While some of these are more common than others, all have the ability to derail the system, rendering the strategy moot.

Common Strategic Risks categories:

<b>External Risks</b> <ul style="list-style-type: none"><li>- Economic recession</li></ul>	<b>Human Resource Risks</b> <ul style="list-style-type: none"><li>- Knowledge</li><li>- Staffing</li><li>- Employee theft</li></ul>
<b>Financial Risks</b> <ul style="list-style-type: none"><li>- Cash flow</li><li>- Capital</li><li>- Budget pressures</li></ul>	<b>Structural Resource Risks</b> <ul style="list-style-type: none"><li>- IT systems</li><li>- Proprietary information</li><li>- Regulatory actions</li></ul>
<b>Physical Resource Risks</b> <ul style="list-style-type: none"><li>- Disasters</li></ul>	<b>Relationship Risks</b> <ul style="list-style-type: none"><li>- Reputation</li></ul>

- Bottlenecks	- Supply chain
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Source: Marr, B., 2006. *Strategic Performance Management*, Heinemann

Key steps necessary to effectively identify risks include:

- Understanding what to consider when identifying risks
- Gathering information from different sources to identify risks
- Applying risk identification tools and techniques
- Documenting the risks
- Assessing the impact and likeness of occurrence
- Developing mitigation strategies for each risk

#### 4.7.1 Activities on risks against the CRVS system

##### *Activity 1: Identification of risks and their minimisation in the CRVS system*

**Time:** 60 minutes

This activity is set up in three stages.

##### **Stage 1: Identification of risks against the CRVS system by individual participants**

Allocate participants to subgroups.

Get individual participants to identify and record what they perceive as risks against the CRVS system. Use the risk categories provided as a guide.

##### **Stage2: Identification of risks against the CRVS system by subgroups**

Move participants into subgroups.

Get each subgroup to debate, agree and record the risks submitted by individual participants.

The subgroups should write their risks on a flip chart.

### Stage 3: Identification of risks against the CRVS system by the group

Each subgroup should present and justify the risks they have identified to the group for debate.

The group should then project on the screen and debate the combined risks of all the subgroups and agree by consensus on a final set of CSFs.

## 4.8 Strategic interventions

**Objective:** For participants to identify response to the issues and weaknesses that were identified and prioritised

Time: 30 minutes

Materials:

**HANDOUT #17:** Template used to outline the strategies and interventions that respond to the issues and/or weaknesses

**HANDOUT #18:** Template for analysing intervention strategies

*Explain how to identify strategic interventions*

An important step in strategy formulation is to identify and/or develop strategic interventions in response to the issues and weaknesses that were identified and prioritised (**HANDOUT #17**).

In order to determine whether the intervention strategy is feasible, the following questions should be answered:

**Economics:** Is the strategy financially feasible? Does it make economic sense to apply this strategy?

**Acceptability:** Will the stakeholders and the community accept this strategy?

**Resources:** Is funding likely to be available to apply this strategy? Are organizations able to?

**Legality:** Do present laws allow the strategy to be implemented?

**Barriers:** What are the potential barriers to implementation and success? What are the suggestions to overcome the barriers?

### 4.7.1 Activities on strategic interventions in the CRVS system

#### *Activity 1: Identification of strategic interventions in the CRVS system*

**Time:** 60 minutes

This activity is set up in three stages. Use **HANDOUT #17**.

##### **Stage 1: Identification of strategic interventions by individual participants**

Allocate participants to subgroups.

Get individual participants to identify and record strategic interventions in the CRVS system.

##### **Stage2: Identification of strategic interventions by subgroups**

Move participants into subgroups.

Get each subgroup to debate and agree on the strategic interventions submitted by individual participants.

The subgroups should write their strategic interventions on a flipchart.

##### **Stage 3: Identification of strategic interventions by the group**

Each subgroup should present and justify the strategic interventions they have identified to the group for debate.

The group should then project on the screen and debate the combined strategic interventions of all the subgroups and agree by consensus on a final set of CSFs.

Note: The information in the templates will be used in the compilation of the strategic plan and work programme.

#### *Activity 2: Analysis of strategic interventions for the CRVS system*

This activity is set up in three stages. Use **HANDOUT #18**.

##### **Stage 1: Analysis of strategic interventions by individual participants**

Allocate participants to subgroups.

Get individual participants to analyse the strategic interventions identified in Activity 1.

### **Stage2: Analysis of strategic interventions by subgroups**

Move participants into subgroups.

Get each subgroup to debate and agree on the analyses of strategic interventions submitted by individual participants.

The subgroups should write their analyses on a flipchart.

### **Stage 3: Analysis of strategic interventions by the group**

Each subgroup should present and justify its analysis of strategic interventions to the group for debate.

The group should then project on the screen and debate the combined analyses of all the subgroups and agree by consensus on a final set of analyses.

Note: The information in the template will be used in the compilation of the strategic plan and work programme.

## Phase 3: Strategy Implementation

### Module 5

#### STRATEGY IMPLEMENTATION FOR THE CRVS SYSTEM



## 5. Strategy Implementation for the CRVS System

**Time: 20 minutes**

Outcome	By the end of the session participants will be able to give advice on how to implement the strategic plan of the CRVS system
Module objective	How to translate the strategy of the CRVS system into action
Role	How to implement the strategic plan

Strategy implementation consists of:

- Direction setting
- Translating the strategy into action, which, in turn, consists of operationalizing the strategy
- Managing strategic change.

### 5.1 Set the direction

Materials:

**HANDOUT #19: Template for Strategic Plan**

**HANDOUT #21: Template for Quarterly/Annual Reporting**

**Objectives:** To develop capability of participants to implement the strategy through defining business and operational plans and targets to implement

Explain how to translate the strategy of the CRVS system into action

**Time: 20 minutes**

Strategy implementation is the process that turns strategies and plans into actions in order to accomplish strategic objectives and goals.

Successful implementation of the strategy will vindicate the resources and effort spent on developing the strategy; otherwise the whole exercise will have been a waste of time and resources.

A strategic plan provides the roadmap to pursue a specific strategic direction by setting performance goals, defining how customer value will be delivered and what needs to be done to be successful.

Strategy Implementation is an **operational process** requiring both **co-ordination** and **managing various forces** during action. The following actions drive strategy implementation:

Translating the strategy requires the definition of:

- Key performance indicators, outputs to be delivered, targets and milestones that will deliver the strategy
- Method of work, including a value chain at conceptual and operational levels, and a quality management process that defines how customer value will be delivered
- Organization of work, including an organizational structure and establishment that will implement the strategy

To operationalize the strategy, the following activities should be conducted: Compilation of the operational plan; Resource planning – both human and infrastructural; Financial planning – budget and funding for strategy implementation; Risk identification and control mechanisms.

Success of the implementation strategy means giving careful attention to:

- Leadership and management
- Monitoring plan implementation
- Communicating the strategy
- Cascading the strategy down the administrative hierarchy
- Managing change in attitude and work ethic
- Identifications of strategic interventions

### 5.1 1 Activities on implementation of the CRVS strategic plan

*Activity 1: Having a go at the implementation plan of the CRVS system*

**Time:** 120 minutes

This activity is set up for the entire group.

Fill in the Template for Strategic Plan. Fill in at least two items in each of the gaps in the template.

## Phase 4: Strategy Review

### Module 6 REVIEW OF THE CRVS SYSTEM STRATEGY

## 6. CRVS System Strategy Review

**Time: 20 minutes**

Outcome	By the end of the session participants will be able to give advice in reporting on, monitoring and evaluating the strategic plan of the CRVS system
Module objective	To engage participants on the concepts of the strategy of monitoring, reporting on and evaluation of the CRVS system
Role	Periodic tracking through monitoring and evaluation of the progress and effectiveness of the strategy to ensure that it is on course and relevant. This is.

Strategy review consists of monitoring, reporting and evaluation.

### 6.1 Review of the CRVS strategic plan

Materials:

**HANDOUT #20: Template for the Work Programme**

*Explain monitoring, reporting and evaluation of the CRVS system strategy*

**Time: 60 minutes**

**Objective:** To acquaint participants with the concepts of monitoring, reporting and evaluation of a strategic plan

A review of the strategy consists of assessing the performance of system against monitoring, reporting and evaluation plans.

**Monitoring** is keeping track regularly and systematically of the progress or lack thereof of the system using specified indicators.

It is a continuous process designed to ensure that: the implementation of the strategy remains on course; management are alerted to any problems or potential problems such as deviations or failures in the implementation process before they reach crisis proportions; corrective actions are proposed to ensure that performance remains focused on the strategy by tracking inputs, activities (or processes) and outputs; and that management intervenes to take corrective action, where necessary, so that implementation remains on track.

It involves collecting data on specified indicators for the purpose.

**Reporting** is a dominant part of the dissemination link in the value chain because it is the primary mechanism for formally accounting for the performance of the CRVS process.

Reporting on both financial and non-financial performance is important in measuring the performance of government institutions.

Reporting on measuring performance is important to ensure that, among others: the public gets value for money; funding relates to measurable results; policy, planning, budgeting and reporting are aligned to get better service delivery; Information is used strategically to improve public policy and funding choices, and to enable accountability; and political oversight is enhanced and focus is on key priorities.

Three levels of reporting and monitoring are recommended:

1. Quarterly reporting
2. Annual reporting
3. End-of-term reporting

**Evaluation** will provide an objective assessment of the system in order to determine its relevance, effectiveness, efficiency, and impact.

The objective is to extract lessons from what has gone or is going on in order to learn to do things better from then on or the next time around.

It is essentially a research activity that makes use of information generated both from monitoring and from sources external to the system. It is a time-bound and periodic exercise usually done by an entity outside the system. It is not a regular process; it will be undertaken at specific milestones or after the completion of the strategy.

An independent evaluation of the CRVS programme is recommended to cover the following areas:

- **Relevance:** the extent to which the CRVS programme's objectives are pertinent in relation to the evolving needs and priorities of government.
- **Efficiency:** how economically have the various resource inputs been converted into tangible goods and services and results?

### 6.1.1 Activities on translating the CRVS system strategy into action

Refer to: [HANDOUT #19: Template for Strategic Plan](#)

[HANDOUT #21: Template for Quarterly/Annual Reporting](#)

*Activity 1: Take participants through the work programme and reporting templates*

**Time: 60 minutes**

This activity is set up for the entire group in a plenary setting.

## HANDOUTS



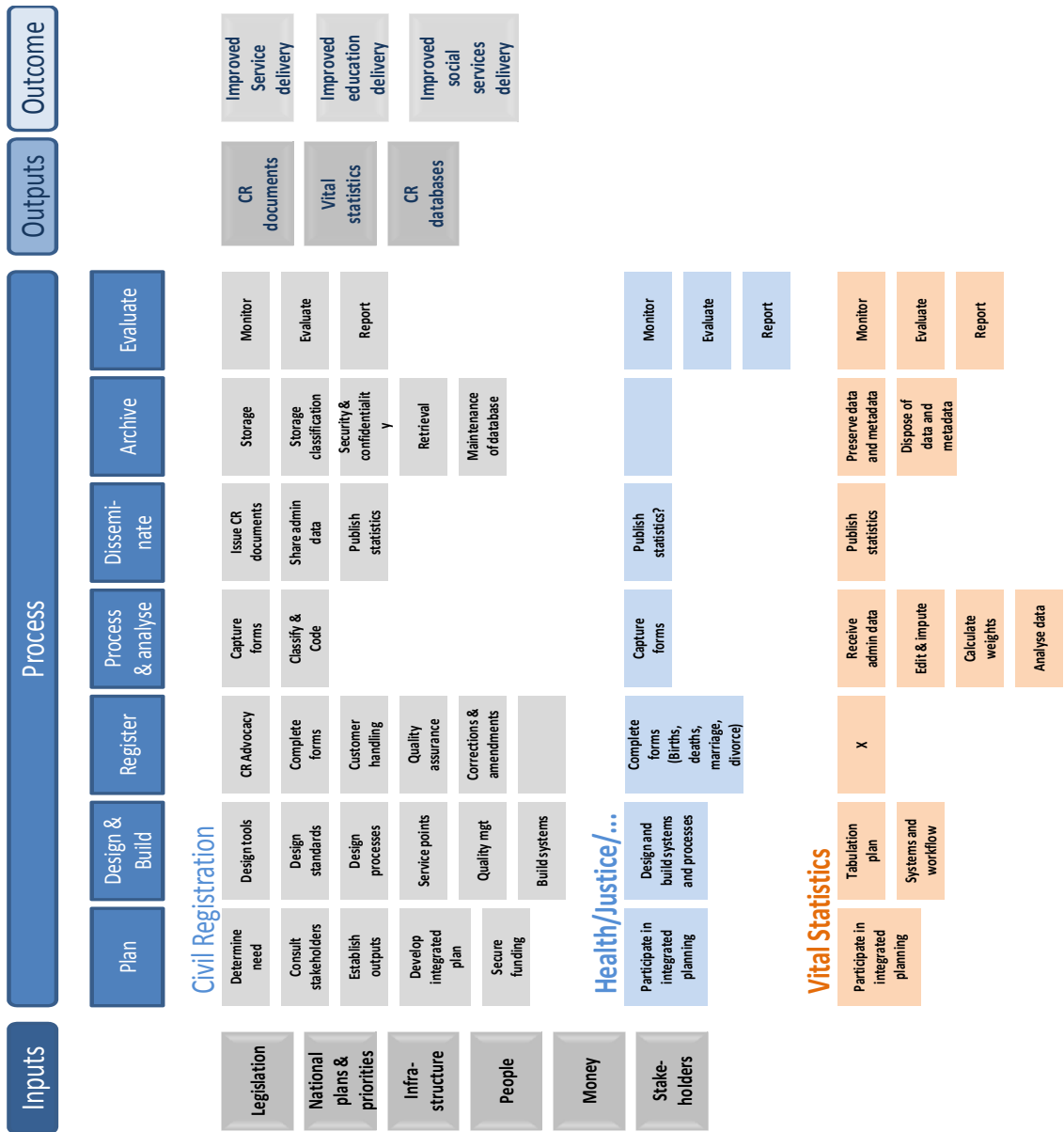
**HANDOUT #1:** Worksheet for broad categories of the CRVS system [mission, vision and statement of values; Option 3]

Categories	CRVS System now	CRVS system in 5 years
Programme		
Resources		
Status		
Relationships		
Institutional development		
Governance		

**HANDOUT #2:** Worksheet for specific characteristics of the CRVS system [Mission, vision and statement of values; Option 3]

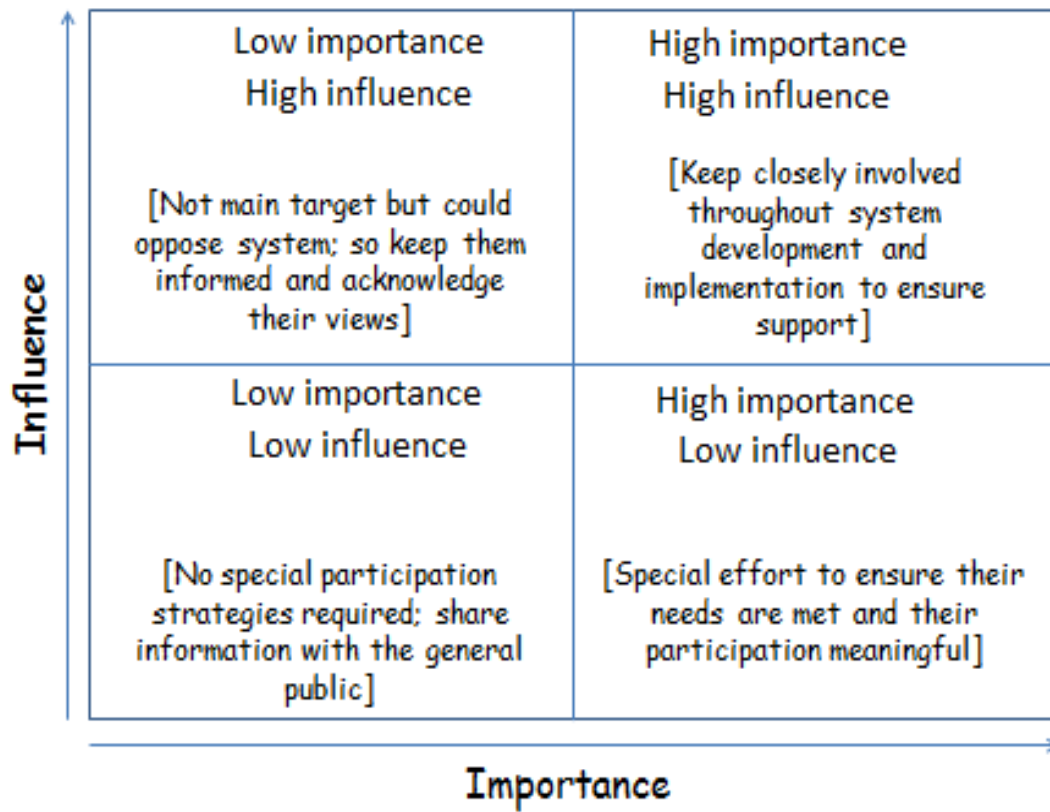
Specific characteristics	CRVS System now	CRVS system in 5 years
Target area		
Target populations		
Budget		
Percentage of funding from public and private sources		
Staff size and composition		
Staff/component structure		
Programme areas		
Office/locations		
Coordination structure and composition		
Relationship with the private sector		
Relationship with major local public agencies		

# HANDOUT #3: Value chain of the CRVS





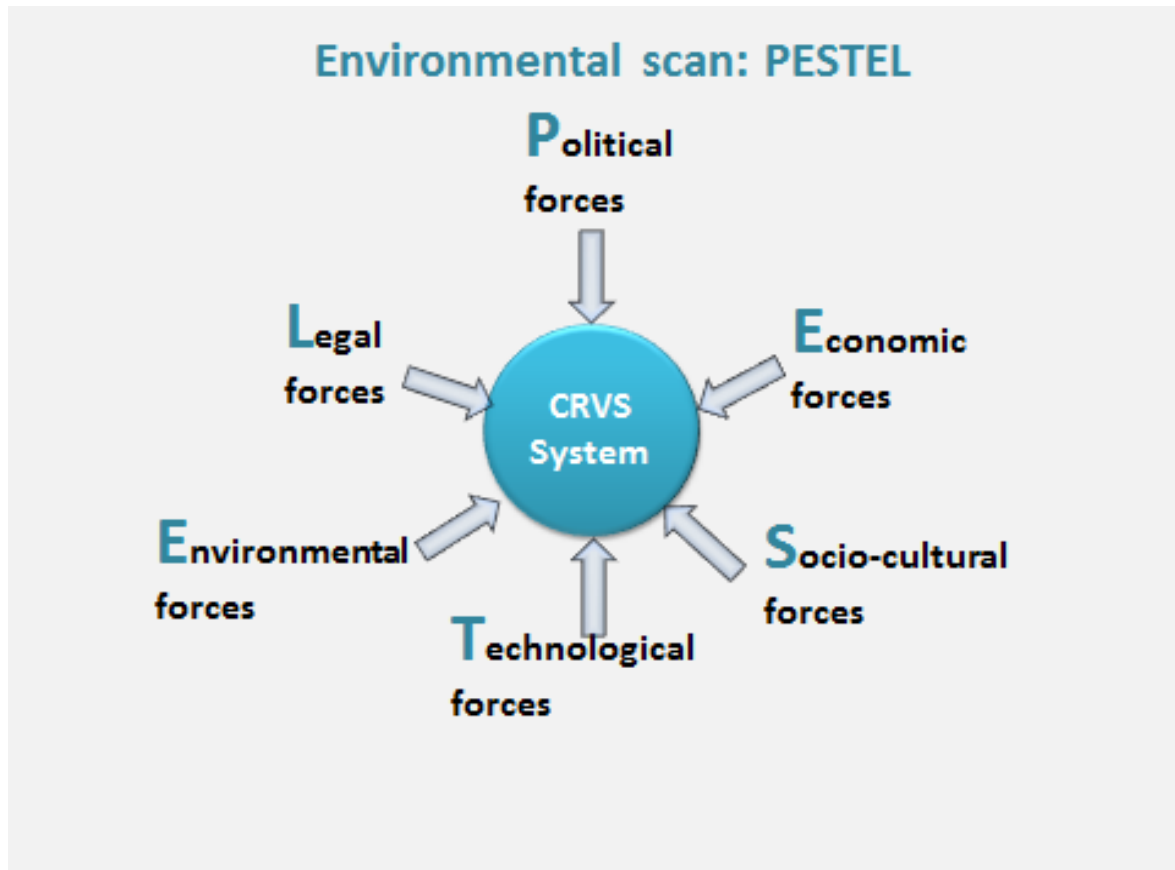
**HANDOUT #5:** Stakeholder analysis matrix (illustration)



## HANDOUT #6: Stakeholder Analysis Matrix Worksheet

	Significant influence	Some influence	Little influence	No influence
Significant importance				
Some importance				
Little importance				
No importance				

**HANDOUT #7:** Environmental scan: PESTEL (illustration)



**HANDOUT #8: Environmental Scan Worksheet, PESTEL**

	Factor	Opportunity	Threat
Political			
Economic			
Socio-cultural			
Environmental			
Technological			



**HANDOUT #9:** "National Assessment of CVRS Systems"

**HANDOUT #10:** "Strategic planning to strengthen civil registration and vital statistics systems: Guidance for using findings from a comprehensive assessment"

**HANDOUT #11: SWOT matrix template**

		POSITIVE		NEGATIVE		
INTERNAL ENVIRONMENT		Strengths			Weaknesses	
	1			1		
	2			2		
	3			3		
	...			...		
	...					
EXTERNAL ENVIRONMENT		Opportunities			Threats	
	1			1		
	2			2		
	3			3		
	...			...		
	...			...		

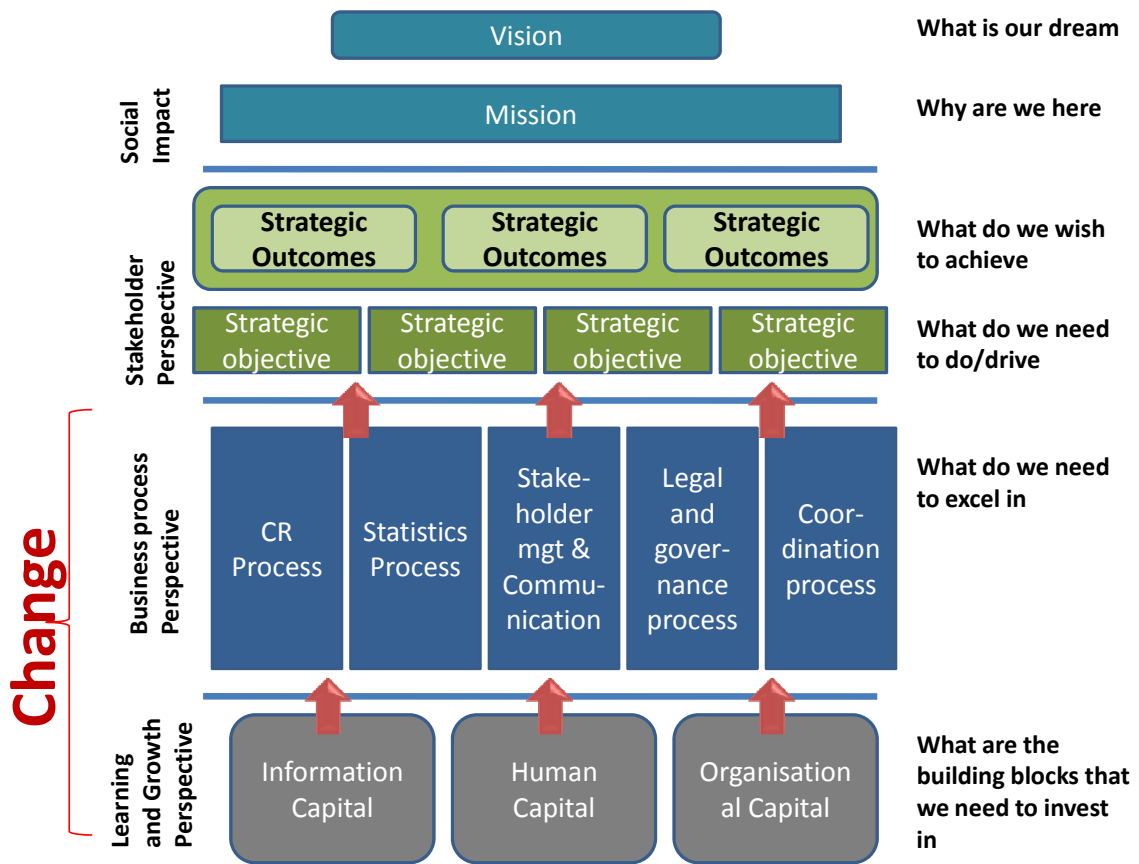
**HANDOUT #12: Match table of weaknesses and strengths**

No.	Weaknesses	Strengths	Strategy (Result)
1	E.g. Some CR offices are far from people or citizens	E.g. Mobile registration is in place	E.g. Expand mobile infrastructure to remote areas
2			
3			
...			
...			
...			
...			

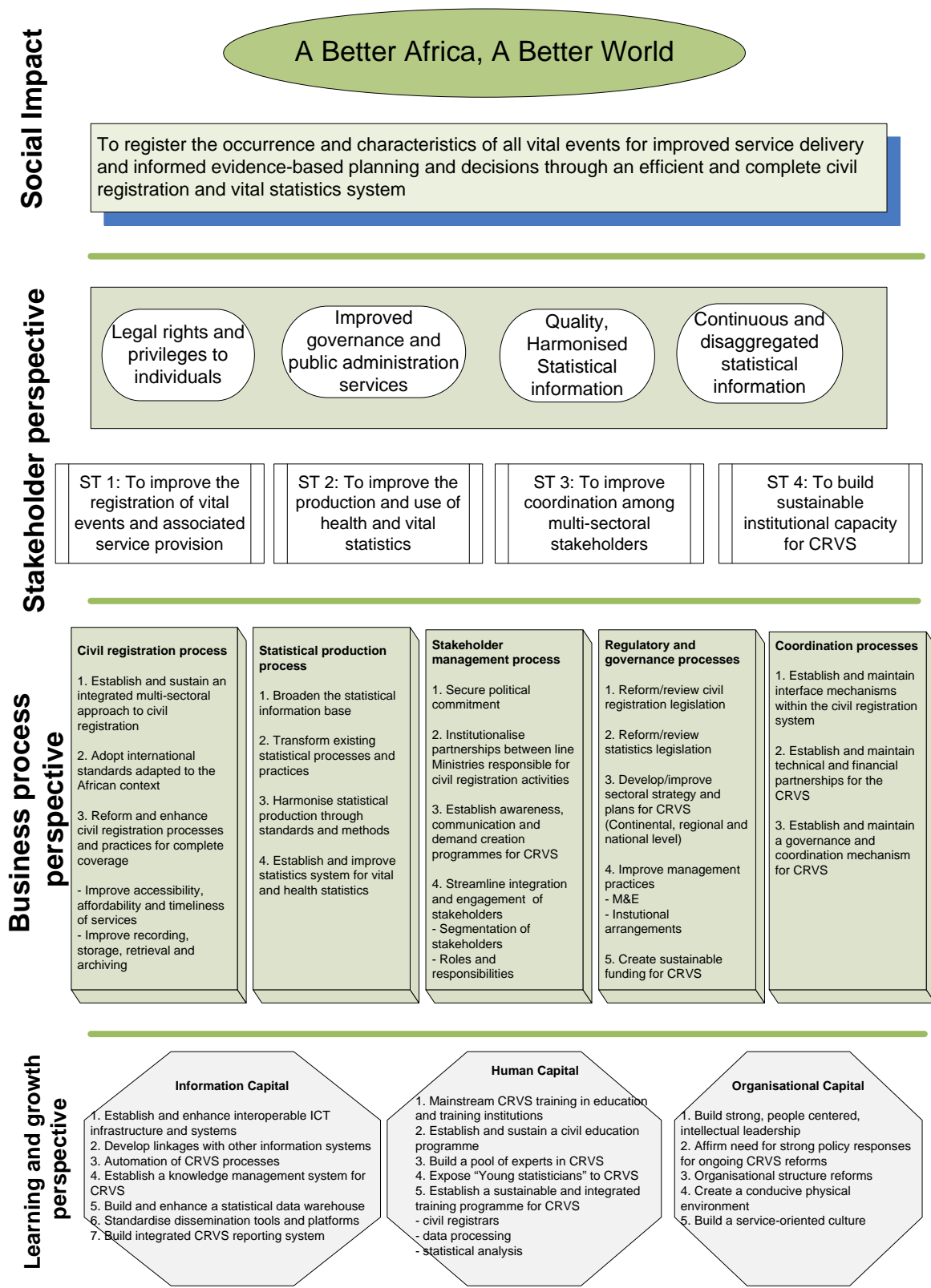
**HANDOUT #13: Match table of strengths and opportunities**

	<b>Internal Strengths</b>	<b>Internal weaknesses</b>
<b>External Opportunities</b>	Match: <b>S,O</b> strategies Formulate a strategy to <i>capitalise</i> on these areas of the CRVS system	Match: <b>W,O</b> strategies Formulate a strategy to <i>improve</i> these areas of the CRVS system
<b>External Threats</b>	Match: <b>S,T</b> strategies Formulate a strategy to <i>monitor</i> these areas of the CRVS system	Match: <b>W,T</b> strategies Formulate a strategy to <i>eliminate</i> these activities

**HANDOUT #14:** A highly simplified representation of a Strategy Map (illustration)



## HANDOUT #15: A Strategy Map of CRVS (illustration)





**Temporal** –these factors result from the system's internal forces. Specific barriers, challenges, directions, and influences will determine these CSFs.








## **HANDOUT #19: Template for Strategic Plan**

### **Section A: Strategic overview**

#### **1. Introduction**

#### **2. Background**

#### **3. Purpose of the Strategic plan**

State why the plan was developed

Describe the activities and processes followed to develop the Strategic Plan including stakeholders consulted

#### **4. Legislative mandates**

State the name of the relevant acts and outline the key responsibilities of the different institutions involved in the project

#### **5. Situation analysis**

Present the results of the strategy analysis phase in relation to findings in the external and internal environment. It is important to summarise the service delivery environment including the demand for services and the nature of the challenges to address. Describe where you are now; what are the issues and bottlenecks; what opportunities and threats exist.

#### **6. Problem statement**

Conclude section A by summarising or synthesising the overall problem the strategic plan aims to address and thereby defining the rationale for change.

## **Section B: Strategic direction**

### **7. Strategic shift**

Discuss in response to the problem statement the paradigm shift required to drive a new strategic direction for CRVS

### **8. Vision**

State the vision of the CRVS project

### **9. Mission**

State the mission of the CRVS project

### **10. Values**

List and describe values

### **11. Strategic outcomes**

State the strategic outcomes (what you wish to achieve)

### **12. Strategic goals**

State long-term overall strategic goal(s) (what will drive the strategy)

### **13. Strategic objectives**

This section covers the strategic objectives identified to achieve the strategic outcomes and goals

### **14. Strategic intent**

Summarise the strategic intent for each strategic objective in the short-, medium- and long term.

### **15. Critical success factors**

List and describe the critical success factors

## 16. Strategic risks

List the five key risks that may affect realisation of the strategic objectives and outline the mitigation strategy.

Strategic risk	Impact of risk on outcome	Risk management strategy
1.		
2.		
3.		
4.		
5.		

## 17. Resource considerations

Describe funding environment and requirements to realise the strategic objectives

Describe human resource environment and requirements to realise the strategic objectives

Describe physical environment and requirements to realise the strategic objectives

Describe technology environment and requirements to realise the strategic objectives

## Section C: Strategy Implementation/Action Plan

### 18. Purpose of the Strategy Implementation/Action Plan

### 19. Strategic objective and sub-objectives

Discuss strategic intent in detail for each strategic objective

State the sub-objectives under each strategic objective and responsible entity

Strategic objective	Sub-objective statement	Entity
1.	1.1	
	1.2	
	1.3	
	1.4	

## 20. 5-Year Improvement Plan

Outline interventions and projects on a 5-year horizon

Outline the changes and improvements that will drive the strategy in the next five years  
This is not business-as-usual

Sub-objective	Year 1	Year 2	Year 3	Year 4	Year 5
1.1					
1.2					

## 21. Strategy map

Include the strategy map that summarise the CRVS strategy

## 22. Monitoring, reporting and evaluation

Describe who and how the strategic plan will be monitored and reported on. Outline when the plan will be reviewed and outcomes evaluated.

## 23. Conclusion

Consolidation of the strategic plan:

E.g. The central tenet of this plan...

The overall strategic intent is to...

Critical to the success of this plan....

This Strategic Plan is supported by the work programme of the different agencies that outlines the outputs and milestones towards achieving the vision and mission.



## **HANDOUT #20: Template for the Work Programme**

(Every entity should develop its own work programme in line with the CRVS strategic plan)

### **Section A: Strategic overview**

#### **1. Introduction**

#### **2. Background**

#### **3. Purpose of the Work Programme**

State why the Work programme is being compiled

#### **4. Legislative mandates**

State the name of the relevant acts referring to the operations of the entity

#### **5. Strategic direction (Strategy in brief)**

State vision, mission and values

Strategic outcomes and goals

Strategic objectives

Critical success factors (emphasise CSF relating to entity)

Core competencies (emphasise competencies relating to entity)

Strategic risks (emphasise risk relating to entity)

## **6. Strategy map**

Include the strategy map that summarise the CRVS strategy

## **7. Situation analysis**

Describe situation (external and internal) relevant to the entity but within the context of the CRVS

Performance delivery environment

Organizational environment

Revisions to legislative mandates

## **Section B: Annual performance plan**

The preceding section has focused on the strategic review and situation analysis. This section outlines the plans for the forthcoming financial year and over the medium term.

The annual performance plan sets out performance indicators and targets to achieve the goals and objectives of the CRVS strategic plan. All activities in the entity relating to the CRVS should be aligned to the strategic objectives to ensure effective implementation.

The work programme should be updated annually.

### **1. Value chain**

Include the value chain that illustrates the CRVS system

### **2. Performance plan**

This part is used to set performance targets for each strategic objective identified in the strategic plan. Performance indicators should be identified that will facilitate the assessment

of the overall performance of objective, including issues of value for money in relation to the use of resources.

The tables below should be completed for each strategic objective:

Strategic outcome:	
Strategic goal:	
Strategic objective:	1.
Sub-objective:	1.1 1.2 ...

Strategic objectives (and sub-objectives) must link back to one or more strategic outcomes and goals.

### 3. Key initiatives and developments to improve:

Describe the initiatives and improvements –give detailed description of the strategic intent.

### Annual targets:

1. Strategic objective:				
Sub-objective	Performance indicator	Year 1 (outputs)	Year 2 (outputs)	Year 3 (outputs)
1.1	<i>e.g. Number and timeliness of reports on ...</i>	<i>E.g. 2 research reports on birth registration by May 2014</i>		
1.2	<i>Percentage ...</i>			

### Quarterly targets :(entities may consider defining quarterly targets for Year 1)

1.1 Sub-objective:						
Performance indicator	Reporting period	Annual target	Quarter 1	Quarter 2	Quarter 3	Quarter 4

### Risk plan

Include strategic and operational risks and plans to mitigate risks relating to the entity

### Resource requirements

#### Human resource management

Description of the human resource environment and requirements

Include Structure

Include Establishment

#### Financial management

Description of the financial environment and requirements

Describe expenditure trends

Include expenditure estimates (budget required to implement work programme) - according to country's financial framework

Describe impact

### **Infrastructure**

Description of the technology environment and requirements

Description of physical environment

Monitoring and evaluation

Describe evidence-based monitoring and reporting process.

How often, who and how?

Describe when strategy will be reviewed and how often the work programme will be updated

Describe when the strategy and work programme will be evaluated.

### **Conclusion**

Consolidation of the work programme:

E.g. The central tenet of this plan...

The overall strategic intent is to...

Critical to the success of this plan....

## HANDOUT #21: Template for Quarterly/Annual Reporting

Every entity should compile its own annual and quarterly performance reports. The CRVS project manager should integrate across entities to get an overall integrated view of progress. This integrated report should be presented annually to the relevant Executive Authority and Parliament.

### Section A: Annual performance reports

The purpose of the annual performance report is to provide information on the overall progress made with the implementation of an institution's work programme and strategic plan on an annual basis. Institutions should ensure that the total for the four quarters is similar to the information that will be reported in the Annual Report for a particular financial year.

Reporting in the annual performance report should be twofold.

- Firstly, it should report on the progress made in that specific year on each strategic and sub-objective as outlined in the strategic plan as indicated below.

Strategic objective:					
Sub-objective	Year 1	Year 2	Year 3	Year 4	Year 5
1.1					
1.2					

- Secondly, it should report on the actual performance against targets as set out in the Work Programme. Below is the table that is included in the Work Programme:

#### Annual targets:

1. Strategic objective:				
Sub-objective	Performance indicator	Year 1 (outputs)	Year 2 (outputs)	Year 3 (outputs)
1.1	<i>e.g. Number and timeliness of reports on ...</i>	<i>E.g. 2 research reports on birth registration by May 2014</i>		
1.2	<i>Percentage ...</i>			

Below is an example of an annual performance report table to ensure alignment to the above table in the Work Programme, focusing on Year 1.

**Annual performance report:**

1. Strategic objective:				
Sub-objective	Performance indicator	Year 1 (target)	Actual performance	Reason for deviation and corrective action
1.1	<i>E.g. Number and timeliness of reports on ...</i>	<i>E.g. 2 research reports on birth registration by May 2014</i>	<i>E.g. Achieved. 2 Research reports were compiled as scheduled</i>	
1.2	<i>Percentage ...</i>			

It is recommended that standardised legends are used to report on the status at the end of the financial year:

- a. Achieved
- b. Not achieved
- c. Discontinued

Reasons for delays and non-achievement should be reported and what corrective action has been taken or will be taken.

**Section B: Quarterly performance reports**

Quarterly performance reports are based on the quarterly targets set in the Work Programme. The purpose of quarterly performance reports is to provide information on the overall progress made with the implementation of an institution’s work programme, on a quarterly and an annual basis. Institutions should ensure that the total for the four quarters is similar to the information that will be reported in the Annual Report for a particular financial year. Although changes to planned targets should not be made in the quarterly performance report, it is acknowledged that validations and revisions of reported numbers may be necessary in some cases.

Below is the table included in the Work Programme for setting quarterly targets.

**Quarterly targets:** (entities may consider defining quarterly targets for Year 1)

1.1 Sub-objective:						
Performance indicator	Reporting period	Annual target	Quarter 1	Quarter 2	Quarter 3	Quarter 4

Quarterly reports should be based on the above table in the Work Programme. Below is the table to facilitate quarterly reporting.

**Quarterly performance report:**

1.1 Sub-objective:						
Performance indicator	Reporting period	Annual target	Quarter 1 (target)	Actual performance	Reason for deviation	Corrective action
1.1 Sub-objective:						
Performance indicator	Reporting period	Annual target	Quarter 2 (target)	Actual performance	Reason for deviation	Corrective action
1.1 Sub-objective:						
Performance indicator	Reporting period	Annual target	Quarter 3 (target)	Actual performance	Reason for deviation	Corrective action
1.1 Sub-objective:						
Performance indicator	Reporting period	Annual target	Quarter 4 (target)	Actual performance	Reason for deviation	Corrective action

It is recommended that standardised legends are used to report on the status:



- d. Achieved
- e. Delayed
- f. In progress/on track
- g. Not achieved
- h. Discontinued

Reasons for delays and non-achievement should be reported and what corrective action has been taken or will be taken.

### Section C: End-of-term report

An end-of-term report must be compiled to report on the achievements and overall progress made with the implementation of the strategic plan at the end of the period covered by the strategic plan.

The review should follow the format of the strategic plan, but in specific reporting on the sub-objectives as outlined in the table below:

Strategic objective:					
Sub-objective	Year 1	Year 2	Year 3	Year 4	Year 5
1.1					
1.2					

The report should:

- Include a narrative on the key strategic initiatives that were implemented over the past five years
- Cover the barriers or challenges experienced in achieving its objectives
- Cover the extent to which it has succeeded in achieving each of the strategic outcomes, goals and objectives that was set at the beginning of the five-year period
- Include any other evaluations conducted during the period.