Tribal Solid Waste Advisory Network

Tribal Strategic Planning for Environmental Management Sustainability Template

September 16, 2009

SPARROWHAWK CONSULTING COMPANY, Inc.
510 Bates Street SE
Tumwater, WA 98501
800.839.9048
Fax 360.412.0212
www.sparrowhawkco.com

TABLE OF CONTENTS

BACKGROUND AND INTENT

Introduction

On March of 2009, SparrowHawk and the Tribal Solid Waste Advisory Network (TSWAN) launched a strategic planning process. The TSWAN Leadership intended the process to result in a set of products that included a strategic plan and a Template for Strategic Planning for Environmental Management Sustainability to complement its Tribal Integrated Waste Management Plan Template. TSWAN retained SparrowHawk Consulting to support the development of those products.

Founded in 1997, TSWAN is a non-profit alliance of 31 Native American Tribes from throughout the Pacific Northwest and Alaska. TSWAN works to promote effective and environmentally responsible solid waste management decisions in member reservations and communities.

In the Tribal tradition of being responsible caretakers of Mother Earth, TSWAN embodies the spirit of environmental stewardship by focusing on improving the way solid waste is managed and controlled on Native American lands.

TSWAN has been very successful in meeting Federal funding requirements and in exceeding expectations of Federal partners such as the Environmental Protection Agency (EPA). This record of accomplishment has gained TSWAN a national reputation among tribes, and a solid image with government agencies.

The strategic planning approach implemented by SparrowHawk promotes further organizational development for TSWAN and its member tribes. The process, along with the planning documents in this template, have been designed to become part of the TSWAN member tribes' daily operations and translated into accessible tools for this purpose.

STRATEGIC PLANNING FOR ENVIRONMENTAL SUSTAINABILITY

Strategic planning traditionally consists of four activities:

- Strategic Analysis—involves looking at the current strategic planning environment, both externally and internally.

- Strategic Choice—involves the generation and selection of possible future directions, objectives, and actions the user will undertake to maintain, strengthen and sustain the system, and achieve goals.

- Implementation—involves putting strategic choices into action.

- Evaluation—is about gauging or measuring whether the implementation process is proceeding on target with set expectations.

In addition, this template addresses the issue of planning and management sustainability through a sustainability test that assesses a combination of planning sustainability and environmental management elements.

The template includes a preliminary planning readiness assessment to determine whether an organization is ready to launch a planning initiative. It also includes a set of strategic self-assessment and analysis tools that support strategic analysis activities. Completing these tools will allow the user to generate valuable information for a strong strategic plan.

In addition, the template includes a set of planning tools that support and document the strategic choice-making process. These tools have features that also frame plan implementation and evaluation.

The Template
The Strategic Plan for Environmental Management Sustainability Template for tribes is a set of tools used to assist individual tribes in developing a strategic plan for environmental management sustainability that is effective and user-friendly.

The template can help sustain and improve tribal environmental management systems and practices beyond the limits and changes in funding sources, tribal administration, organizational structures, and policy. That is, the template encourages the user to consider adaptability to rapid change, broad-base strategic funding, and sustainability.

This template also weaves into its design attention to ISO 14001 standards and concerns in order to ensure that tribal plans are aligned with ISO norms. This template is not designed to get the user into full ISO compliance. That is an operational matter outside of the scope of this tool. The template will help keep planners mindful of developing a plan that will help get the tribe to that point.

Having a completed waste management plan using the TSWAN Tribal Integrated Waste Management Plan Template, although encouraged, is not a requirement for successful use of this planning template. The Sustainability Test Instrument will ask if the tribe has accounted for a strategy, action plan(s), and resources to achieve success. If a waste management plan does exist, its development should be taken into account during the planning process.

When completed a tribal plan will provide detailed strategies to address a broad set of strategic environmental management sustainability objectives that are cutting edge.

Being able to define clear objectives and measure implementation progress through the action plans for each objective will increase tribal success in achieving a strong a viable program into the long-term.

Planning for environmental management sustainability can be more effective if a tribal strategic plan is already in place and serving as context for bringing about strategic improvements to environmental management systems through a plan based on this template. If a tribal plan or departmental plan is not already in place, SparrowHawk Consulting's Tribal Interdepartmental Planning (TIP®) is available for this purpose. TIP® works well to create context for the work this template envisions.

If higher-level organizational plans are already in place, the use of this template will not be redundant of those efforts. The tools are designed not to duplicate the development of planning elements such as mission, vision, values and goals, but to complement them if they exist or to generate suitable surrogates if they do not.

Additionally, the tools are very specific and designed to support professionals with various levels of planning experience. The beginning planner as well as the expert planner will find the tools helpful to their efforts.

The Process
Strategic planning is best if conducted as a team or group process that is fully participatory. This is particularly true if an organization plans to sustain these activities. The process must allow input from a representative group of key stakeholders in the system (both tribal and external if required) and in the Environmental Management Organization itself. A key guiding principal is to strive to have as complete a representation of all levels of the system and of the organization at the table.

While the template provides as much planning for self-sufficiency as possible for the individual tribe, it is important to keep in mind the following planning concerns in terms of process:

- Success in strategic planning is not determined by the existence of a plan or document no matter how complete. Rather it is defined by the existence and quality of the ongoing planning process. It is a way of doing business guided by a plan. Planning does not end with a plan; a plan is only the formal beginning.

- Because planning is an ongoing process, achieving a plan is of little use if the organization has little or no capacity for implementation and evaluation. The lynchpin in any kind of planning is the capacity for follow-through. Having assigned staff and resources to these tasks is very important.

- Planning in most cases is best when undertaken as a facilitated process. Ideally, a template is used in conjunction with an assigned internal and/or external consultant to help guide the process.

While many of the proposed tools can be mailed, emailed or presented to stakeholders via a variety of electronic media, SparrowHawk recommends in-person facilitated work sessions, particularly around the strategic choices phase of planning.

PLANNING READINESS ASSESSMENT

Every organization that intends to launch a strategic planning initiative must be ready to plan in order to responsibly utilize resources. When efforts are ineffective and the results fade away, organizations risk becoming cynical about the promise of planning as a viable change and improvement practice.

A good portion of plans that have been produced in the history of modern business organizations have ended up relegated to a bookshelf, never to be implemented or looked at again. Planning in that manner is a lot like buying a ship's compass without understanding how to use it, or not being ready to make use of it. The ship may continue to motor away without a sense of direction.

The Planning Readiness Assessment Tool is for use in evaluating a tribe's or tribal Environmental Management System Organization's readiness to launch into strategic planning. It is designed to determine if the elements necessary for the planning process to succeed are in place, and to help leaders make responsible resource allocations. The tool addresses "preparedness to plan" through the following readiness elements:

1. Right leadership
2. Right resources
3. Right roles and responsibilities
4. Right results
5. Right representation
6. Purpose
7. Initial environmental review
8. Integrated waste management plan

How to Use the Tool
The eight readiness elements, along with tasks specific to each element are described in the tables below. Rank progress on each of these tasks according to a five-point scale that assesses whether the organization:

1. has not started this task
2. has started initial conceptual and planning work
3. has begun to implement this task
4. has made solid progress in implementing this task
5. has made sufficient progress in completing this task

Optimally, an organization is ready to begin the strategic planning process when the maximum allowable points are reached. Nevertheless, regardless of the results of the assessment, gauging readiness is always a subjective endeavor. The tool is used simply

to guide tribal leaders, staff, or consultants in making a determination as to whether the tribe is ready for strategic planning or whether additional preliminary work is needed.

PLANNING READINESS ASSESSMENT TOOLS

ELEMENT ONE: Right Leadership

The initiative leaders and sponsors are in place and know what they want

	1	2	3	4	5	Comments
Leaders have identified and assigned an executive sponsor						
Leaders have assigned an accountable management professional to be the point person for the planning initiative, reporting directly to the executive level or the organization.						
Leaders and sponsors have a clear vision and sense of purpose for the planning initiative						
Leaders have a clear understanding of what they want to change and sustain						
Leaders and sponsors have analyzed and can articulate how the planning initiative fits or ought to fit with the larger community						
A tribal or departmental strategic plan exists as backdrop to the planning initiative						

ELEMENT TWO: Right Resources

The initiative leaders have identified a variety of financing resources or strategies that could support the work. There is a plan in place to pursue those funds.

	1	2	3	4	5	Comments
The source for funding the planning initiative is identified and the funds are allocated						
Leaders have a clear understanding of the scope and nature of the fiscal commitment required. Their commitment is reflected in the budget						
Leaders understand the organizational infrastructure and capacity required for the initiative and have made the required assignments.						
Leaders understand whether contracted resources will be needed and support the necessary steps to secure these resources						

Z:\Active SCC Files\CLIENTS\TSWAN\Deliverables\TSWAN.Environmental Management Template.final doc.doc

ELEMENT THREE: Right Roles and Responsibilities						
The initiative leaders have identified the human resources needed at the management and staff level for effective planning. Human resources are assigned to specific roles and responsibilities.						
	1	2	3	4	5	Comments
Leaders have a clear understanding of the human resource allocation needed to make the planning initiative successful. The resources are appropriately assigned.						
Leaders understand any needs for support or initial training that will be required by the planning team or other participating staff.						
Specific assignments have been made at the managerial and staff levels. The assignments reflect the background and experience of the professionals involved.						
Leaders are committed to making the required staff time allocations for the planning initiative to be successful.						

ELEMENT FOUR: Right Results						
The initiative leaders are clear about the scope of work and products desired, and have committed to the process through public statements and resource allocation						
	1	2	3	4	5	Comments
Leaders, and Environmental and Planning Managers and Staff agree upon an accepted "theory of planning and change management" and are able to articulate a logic model for how the work fits into a range of tribal efforts to improve the lives of tribal communities.						
Leaders are committed to: a finished plan, ongoing planning processes, and periodic monitoring and evaluation. The tribe has the required resources and expertise and is ready to assign them accordingly.						
Tribal leaders are willing to make the necessary changes and adaptations as might be necessary for government and planners to work in a consistent environment of shared values and priorities						
Leaders are willing to provide public support to the planning initiative						

Z:\Active SCC Files\CLIENTS\TSWAN\Deliverables\TSWAN.Environmental Management Template.final doc.doc

ELEMENT FIVE: Right Representation						
The initiative leaders have identified who are the stakeholders in the planning organization, tribal government, and in the larger system who need to be at the table.						
	1	2	3	4	5	Comments
Leaders and other tribal, community, and government partners understand and communicate the value of the work for tribal families/communities.						
Leaders and Managers have conducted a process to identify internal and external stakeholders.						
Leaders are willing to participate and support in efforts to assure stakeholder participation in planning processes.						
Efforts have been made to maximize the presence of all relevant and affected parties at the table.						
A real commitment exists from top to bottom to creating a participatory, democratic planning environment						

ELEMENT SIX: Purpose						
The initiative leaders have developed a clear and concise statement of purpose for the planning initiative that is consistent with the tribal government's and the Environmental Department's mission, vision, and values						
	1	2	3	4	5	Comments
A statement of purpose for the planning initiative that is consistent with the accepted theory of planning and change is in place.						
The statement of purpose is consistent with tribal government mission, vision, values, and priorities						
The statement of purpose is consistent with Environmental Management mission, vision, values, and priorities						
The statement of purpose sends a clear and concise message of ideal and achievable aspirations that is easy to memorize and communicate						
Relevant and affected leaders and stakeholders find the purpose clearly inspiring.						

ELEMENT SEVEN: Initial Environmental Review

An initial environmental review that meets ISO14001 expectations has been conducted

	1	2	3	4	5	Comments
An initial environmental review has been conducted. If not, there are plans for conducting such a review prior to the strategic choices phase of planning.						
You may also refer to the environmental gap analysis tool in this document. You may use it at this time or during the analysis phase.						

ELEMENT EIGHT: Integrated Waste Management Plan

The tribe or tribal organization has completed or intends to complete an integrated waste management plan (IWMP)

	1	2	3	4	5	Comments
A tribal IWMP exists and is in use						
If the plan does not guide business practices, Leaders understand why this is the case and are prepared to make improvements						
If there is no IWMP, Leaders are clear that the strategic plan must reflect the need for an IWMP and are willing to allocate the required resources						

STRATEGIC ANALYSIS

The Strategic Analysis Tools are designed to help the user understand the forces that define the internal and external environments of the organization and the environmental management system itself. These tools address the following elements:

1. Preferred future
2. Strengths, weaknesses, opportunities, and threats (SWOT) analysis
3. Environmental Gap analysis

Preferably, the information gathered for these three elements will draw from both internal and external sources through internal and external stakeholder input. A strong planning process must be participatory and include stakeholders from all levels of the system. Some of the methods for gathering this information may include electronic surveys, questionnaires, individual interviews, focus groups, open forums, etc.

Which methods the individual tribe or tribal organization chooses to gather the data will be specific to that organization's circumstances. The proposed tools can be modified for use with any of the mentioned methods or can be reproduced as they are and handed out to a group or emailed electronically. Whenever possible, an in-person facilitated process where participants are organized into small discussion groups and their input collated and synthesized by staff is recommended.

Preferred Future Survey
The preferred future survey tool contains five questions. These questions are focused on helping the user gather information that will support planning towards intentional change. The questions may also assist the user in prioritizing areas that stakeholders have identified as challenges. .

The information gathered in this survey should be used to help frame the Strategic Choices Phase of the planning process when the time comes. Staff must make this information available to participants in the strategic planning choices session prior to the session.

SWOT Analysis Survey
SWOT is a planning acronym that stands for "strengths, weaknesses, opportunities, and threats." SWOT helps to describe activities (inquiry and analysis) undertaken to explore the field of contextual forces that in some way define, enable, or curtail an organization's functioning.

The products of SWOT analysis are an important component of the strategic process. They describe the landscape that lies between current reality and the fulfillment of the mission or purpose; provide a feel for what resources and assets the organization has at its disposal; and inform planners as to the deficits, obstacles, and dangers faced by the organization.

Strategies are developed based on their potential to help the organization move forward and for how well they support the fulfillment of the mission. In other words, SWOT analysis allows an organization to weigh choices regarding forces in its environment.

The SWOT methodology used by SparrowHawk is a customized methodology that also takes into consideration organizational learning needs and promotes awareness for strategic changes. The tool contains seven questions that will help gather information revealing what are the forces defining the planning environment.

The findings of the SWOT Analysis will be the foundation for identifying key strategic issues (KSIs), implementation plans, and the evaluation system. Ultimately the resulting strategic plan should build on the Strengths and Opportunities and address the Weaknesses and Threats.

Environmental Gap Analysis Survey

Environmental gap analysis is a way of conducting an environmental review that provides information about the divide between where an organization is and where it needs to go in terms of its Environmental Management System.

Environmental gap analysis is an important component of meeting ISO 14001 standards, and EPA requirements. Each tribe at some point must conduct comprehensive environmental gap analysis during plan implementation if reaching ISO standards is a goal. The strategic choices that will lead to conducting such a gap analysis must be reflected in the tribal strategic plan for environmental management sustainability.

The proposed tool presented here is intended for initial planning purposes only and to help frame the strategic choices phase of planning. This robust gap analysis tool is for use in conducting a pre-planning, preliminary environmental gap analysis only. It is not meant to be a comprehensive environmental gap analysis tool that fully addresses all ISO 14001 concerns. It is a high-level survey designed to surface the important gaps and the main ISO 14001 areas that must be talked about and considered during the strategic planning process.

SparrowHawk recognizes that some tribes do not have a mature Environmental Management System. For those tribes, conducting an environmental review/gap analysis at this point may be premature and not of practical value for planning. Nevertheless, going though the exercise will help tribal leaders understand the magnitude of the work ahead and move forward accordingly.

STRATEGIC ANALYSIS TOOL 1
PREFERRED FUTURE

STRATEGIC ANALYSIS ELEMENT ONE: PREFERRED FUTURE SURVEY

1. Of the following possible changes, which ones would you choose to work on? Please answer yes or no. if your answer is yes, please rate according to the level of importance:

Item	Yes	No	Extremely Important	Somewhat Important	Not at all Important
Develop clear strategies					
Develop more/better funding sources					
Improve human resources or make staffing changes					
Improve follow-through capacity					
Develop planning capacity					
Develop program implementation capacity					
Improve evaluations of progress					
Develop quality improvement processes					
Improve safety					
Improve the working environment					
Improve efficiency					
Improve management					
Improve leadership					

Comments/Explanations:

2. What do you suggest be done to promote and facilitate use of the strategic plan?

3. What do you suggest be done to adopt ongoing planning as a way of doing business?

4. Name three things that are currently missing in the tribe's environmental management system.

5. Name three things you would like to see the plan focus on or achieve.

Z:\Active SCC Files\CLIENTS\TSWAN\Deliverables\TSWAN.Environmental Management Template.final doc.doc

STRATEGIC ANALYSIS TOOL 2
SWOT ANALYSIS

STRATEGIC ANALYSIS ELEMENT TWO: SWOT ANALYSIS SURVEY
1. Name one thing that needs to change that would improve the tribe's environmental management system the most.
2. What works well in environmental management? *List 3-5 strengths, best practices, processes, things that do not currently need to be done, things that are being done well that must be continued, etc.*
3. What is not working well in environmental management? *List 3-5 weaknesses, vulnerabilities, things or processes to do away with, things that are not being done that must be done, etc.*
4. What opportunities, advantages, or favorable circumstances do you currently see for the tribe going forward in terms of environmental management? *List 3-5 choices*
5. What threats, barriers or obstacles do you currently see that prevent or will prevent the tribe from moving forward in terms of environmental management? *List 3-5 choices*
6. What does the tribe or the tribes' environmental department needs to learn as an organization? *List 3-5 choices*
7. Would you say the tribe/tribal environmental department is heading in the right direction?

STRATEGIC ANALYSIS TOOL 3 ENVIRONMENTAL GAP ANALYSIS	
Environmental Management Area	**Question**
1. Commitment and Policy	Do you have an environmental policy?
	Is the policy appropriate to the organization's demands?
	Does the policy include commitments to prevention/mitigation of pollution, use of alternative energy sources and clean technology, programmatic and legal compliance, and continuous improvement in environmental management performance?
	Does the policy make a commitment to risk reduction, improving health outcomes and health protection, and reducing exposure to workers and the community?
2. Planning	Do you identify your significant environmental challenges, aspects and practices?
	Do you identify legal requirements that relate to your environmental aspects and practices?
	Have environmental performance objectives and targets been set?
	Do you ensure that environmental practices and other tribal practices and projects are assessed or reviewed for their environmental implications throughout their life cycle, and consistent with tribal values? (*e.g. impact to the 7th generation*)
	Do you evaluate human health and ecological risks of chemicals and other products being used and/or produced within tribal boundaries? If so, does the tribe incorporate this knowledge into its processes for setting environmental priorities?
	Do you have established environmental priorities?
	Do you evaluate alternative or cutting edge practices, technology, materials, and products that potentially reduce environmental and worker risk?
	Are representatives from all appropriate departments (i.e., health, purchasing, accounting, housing, etc.) involved in the processes of evaluating alternatives?
3. Implementation	Have you defined clear roles and responsibilities for the tribal council and tribal employees regarding the environmental management system?
	Have you identified training needs?
	Do you communicate with internal and external stakeholders adequately and effectively about your Environmental Management System?
	Are you documenting key features of your Environmental Management System?
	Have you established operational control procedures related to the significant environmental aspects and practices you identified?

	Do you have an emergency preparedness and response plan that clearly deals with events that have an environmental impact?
	Do you have adequate staffing?
	Do you have adequate resources?
4. Evaluation and Quality	Do you measure and monitor your environmental performance?
	Do you have a process for ensuring compliance
	Do you have a process for continuous quality improvement?
	Do you audit your Environmental Management System within acceptable periods?
	Do you take corrective action when you find an issue or a "hit" in your compliance or EMS audits?
	Does management regularly review your Environmental Management System?
	Does the tribal council regularly require Environmental Management Reports?
	Do you have a standing process for internal and external feedback from your key stakeholders?

STRATEGIC PLANNING AND IMPLEMENTATION CHOICES

The strategic planning choices phase is the central part of the strategic planning process. This is the time when stakeholders come together to flesh out the plan by setting goals, objectives, choosing what issues to work on during plan implementation, identifying resources, responsible staff, and timeliness.

It is imperative that a strategic choices session be conducted in-person. Participants must be prepared with materials and products that will help provide context, such as all preliminary assessment results, organizational charts, and budgets. Relevant professional content experts must also be on hand to answer any questions that may surface. Depending on the size of the group of participants, a team of several facilitators may be required. Typically, up to three partial days may be needed to complete this phase of planning. Sessions on the average will last around six hours, four hours being too short and longer than six hours leading to exhaustion.

The proposed tools are for use during such sessions and are not intended for virtual use.

Definition of Terms
Planning terms can often lead to confusion. Different planners and organizations use words like goal, objective, strategy, tactic, and activity, in different ways. In order to clarify and standardize use of these terms in this template, SparrowHawk includes the primer below. Getting participants to understand and practice use of these terms by coming up with several examples is an important part of an effective planning session.

Goals
Goals articulate what one wishes to accomplish in order to get somewhere. Goals help map the direction of travel towards a mission, vision or purpose. They address the question "what must be in place for the purpose to be accomplished?" A strong strategic plan will typically include somewhere between 3-6 strategic goals. A small number of well-articulated and well-aligned goals will provide sufficient content and work for a tightly woven plan. Goals are broad, express general intentions, are intangible, abstract, and cannot be validated or precisely measured as is.

Examples Goals:
- Achieve compliance with ISO 14001
- Develop sustainable funding base
- Create a participatory working environment

Objectives
Objectives specify what one must be able to do or perform in order to achieve high-level strategic goals. Objectives address the question "how do we accomplish the goals of the plan?" Objectives are narrower than goals, they are precise, tangible, concrete, and can be validated or in some way measured. Objectives address outcomes. A good objective must be specific, measurable, achievable, and timely. There should be two or more objectives under each goal. A well thought out plan will only contain a handful of priority objectives under each goal.

Z:\Active SCC Files\CLIENTS\TSWAN\Deliverables\TSWAN.Environmental Management Template.final doc.doc

Examples Objectives:

- Increase corporate and foundation support
- Increase earned income as a portion of the funding stream
- Increase TSWAN tools production and dissemination

Key Strategic Issues

SparrowHawk refers to those things that must be done during implementation in order to achieve the strategic objectives as Key Strategic Issues or KSIs. Specifically, KSIs refer to action that gets the job done. KSIs may include a number of activities. This template will list each KSI's timeline and people responsible. It will not cover each activity that is part of individual staff work plans. Each objective will list a number of KSIs under it. All KSIs will be measurable through an indicator or set of indicators.

Example KSIs and Indicators:

- Hire a consulting firm to conduct gap analysis. Indicators: published RFP, interview process completed, consultant hired.
- Develop a management training plan. Indicators: plan complete, leadership curriculum developed, leadership competencies listed in personnel evaluations, etc.

The Tools

The proposed tools are self-explanatory. Each work group in the planning session must fill out a tool, using additional sheets for additional goals, objectives, and KSIs. If more writing space is required, the forms can easily be expanded and printed in legal size sheets or as multiple-page forms.

Staff in order to collate and synthesize the input of all work groups must keep the forms once the work groups are done and have reported to the larger group. The work of synthesizing multiple inputs is not always straightforward and more often than not will lead to the need to facilitate a dialogue for negotiating what will result in the short list of priorities to be included in the plan. Unfortunately, the difficult task of negotiating the plan agenda is not something that can be fully addressed through a template. Professionals with the required expertise must conduct the facilitation of those conversations.

STRATEGIC PLANNING CHOICES TOOL 1
STRATEGIC GOALS

Purpose of the Plan: *State a purpose for the plan that is consistent with the sponsoring organization's mission, vision, and values. If these are not in place, they must be in place before proceeding (see readiness assessment, page 9, "purpose").*

Total Budget for this Goal:

Strategic Goal #	*List one thing or broad aspiration that must be accomplished or in place to fulfill the purpose of the plan*
Criteria and Justification	*Does this goal support the plan in general? Why did you choose this goal? Is it necessary, accurate, appropriate, and/or useful? Are there perceivable important benefits to this goal?*
Resources Needed **Resources Available**	*What resources will be required in order to achieve this goal and why? Are they in place? If not, identify the gaps.*
Barriers or Obstacles	*Are there perceivable barriers that will surface in the path of accomplishing this goal?*
Opportunities	*Are there perceivable opportunities that will surface around this goal? How can your organization work to benefit from them?*

STRATEGIC PLANNING CHOICES TOOL 2
STRATEGIC OBJECTIVES

Strategic Goal #:
Total Budget for this Objective:

Strategic Objective #	*List one tangible, concrete avenue for reaching the stated goal. Is the objective specific, measurable, achievable, realistic, and timely?*
Criteria and Justification	*Does this objective support the corresponding goal? Why did you choose this objective? Is it necessary, accurate, appropriate, and/or useful? Are there perceivable important benefits to this objective?*
Resources Needed **Resources Available**	*What resources will be required in order to achieve this objective and why? Are they in place? If not, identify the gaps.*
Barriers or Obstacles	*What barriers or obstacles have surfaced or will surface in the path of accomplishing this objective?*
Opportunities	*Are there perceivable opportunities that will surface around this objective? How can your organization work to benefit from them?*
Validation	Specific measurable achievable timely Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐

STRATEGIC IMPLEMENTATION CHOICES TOOL 1
KEY STRATEGIC AREAS (KSIs)

Goal #:

Objective #:

Budget:

Key Strategic Area KSI #	Indicators	Funding Sources	Cost	Responsible Party	Timeline

Criteria or Justification for the KSI: *Why is this KSI being chosen? Is it necessary, accurate, appropriate, useful?*

Resources: *What are the resources needed? Are they in place? If not, what are the gaps?*

Criteria or Justification for the Indicators: *Why have you chosen this indicator and how does it connect with the KSI? Is there a logic link between the indicators, the KSI, and the objective? (i.e., I do this so that X and Y might be achieved, so that, Objective # Z might be achieved, etc.)*

Validation:
Is the Indicator . . .
Specific Yes ☐ No☐   Quantifiable Yes ☐ No☐   Achievable Yes ☐ No☐   Realistic Yes ☐ No☐   Timely Yes ☐ No☐

Budget Justification: *Explain the level of expense and illustrate any relevant cost/benefit relationships*

EVALUATION SYSTEM

This template includes a complete set of evaluation tools that in essence amount to a complete plan evaluation system. These tools are for use by an evaluator or evaluating team for conducting a qualitative assessment of implementation capacity, progress, and performance. It is advisable for evaluators to work in collaboration with planning and/or EMS staff who is responsible for the planning items evaluated.

The three proposed evaluation tools correspond to each of the strategic planning tools included in this template. For additional goals and objectives, please reproduce additional sheets or modify the tools as required.

The period of evaluations largely depends on organizational capacity and individual tribe managerial oversight requirements. Quarterly progress reviews are recommended for some items as indicated in the tool itself while for higher-level items like goals and objectives a bi-annual or annual evaluation would be sufficient.

As with planning, evaluations are best conducted by an external agent, particularly if the evaluation process involves important safety issues affecting the health and wellness of the population, or involve serious legal exposure to the tribe. The presence of an external agent helps dissolve any potential conflicts of interest that could arise around audits and evaluations, and to discourage such perceptions on the part of funding or regulatory agencies.

Z:\Active SCC Files\CLIENTS\TSWAN\Deliverables\TSWAN.Environmental Management Template.final doc.doc

PLAN EVALUATION TOOL 1
GOAL EVALUATION SHEET

Purpose of the Plan:
Total Budget for this Goal:

Strategic Goal #	*List the goal according to what is stated in the plan*
Criteria and Justification	*How does this goal support the plan in general? Why did you choose this goal? Why is it necessary, accurate, appropriate, and/or useful? What are the benefits of this goal?*
Resources	*What resources will be required in order to achieve this goal and why? Are there resource gaps?*
Barriers or Obstacles	*What barriers or obstacles have surfaced or will surface in the path of accomplishing this goal?*
Opportunities	*What opportunities have been presented as a result of pursuing this goal and how has your organization benefitted from them?*
Lessons Learned	*What important lessons have been learned?*
Future Challenges /Next steps	*What challenges lay ahead towards full implementation and sustainability of this goal? What are the important next steps and why?*

Evaluator Comments and Recommendations	

Z:\Active SCC Files\CLIENTS\TSWAN\Deliverables\TSWAN.Environmental Management Template.final doc.doc

PLAN EVALUATION TOOL 2
OBJECTIVE EVALUATION SHEET

Strategic Goal #:
Total Budget for this Objective:

Strategic Objective #	*List the Objective according to what is stated in the plan*
Criteria and Justification	*How does this objective support the corresponding goal? Why did you choose this objective? Why is it necessary, accurate, appropriate, and/or useful? What are the benefits of this objective?*
Resources	*What resources will be required in order to achieve this objective and why? Are there resource gaps?*
Status	In Progress ☐ Completed ☐
Barriers or Obstacles	*What barriers or obstacles have surfaced or will surface in the path of accomplishing this objective?*
Opportunities	*What opportunities have been presented as a result of pursuing this objective and how have you benefited from them?*
Lessons Learned	*What important lessons have been learned?*
Future Challenges /Next steps	*What challenges lay ahead towards full implementation and sustainability of this goal? What are the important next steps and why?*
Validation	Specific measurable achievable timely Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐ Yes ☐ No ☐
Evaluator Comments and Recommendations	

PLAN EVALUATION TOOL 3
KSI EVALUATION SHEET

Goal #:
Objective #:
Budget:

Key Strategic Area KSI #	Indicators	Funding Sources	Cost	Responsible Party	Timeline

Criteria or Justification for the KSI:
- *Why was this KSI chosen? How is it necessary, accurate, appropriate, useful?*
- *Is there a logical link between this indicator, the KSI, and the objective? (i.e., I do this so that X and Y might be achieved, so that, Objective # Z might be achieved, etc.)*
- *Did the decision to adopt this KSI follow a participatory process that included all relevant and affected parties?*
- *Does the capacity to sustain this effort exist? If not, does the plan reflect the intent and feasibility to develop that capacity?*
- *Does the scope of this KSI meet the requirement or need implied in the corresponding objective?*
- *What is the impact if achieved?*
- *What is at risk or what will suffer if not achieved?*

Evaluator Comments and Recommendations:

Z:\Active SCC Files\CLIENTS\TSWAN\Deliverables\TSWAN.Environmental Management Template.final doc.doc

KSI evaluation Sheet 2

Criteria or Justification for the Indicators: *Why have you chosen this indicator and how does it connect with the KSA KSI?*

Validation:
Is the Indicator . . .

Specific Yes ☐ No☐   Quantifiable Yes ☐ No☐   Achievable Yes ☐ No☐   Realistic Yes ☐ No☐   Timely Yes ☐ No☐

Quarterly Progress Report:

1. Progress Report Presented ☐   Task Completed ☐

2. Progress Report Presented ☐   Task Completed ☐

3. Progress Report Presented ☐   Task Completed ☐

4. Progress Report Presented ☐   Task Completed ☐

Explain:

Evaluator Comments and Recommendations:

Budget Justification: *Explain the level of expense and illustrate any relevant cost/benefit relationships*

Evaluator Comments and Recommendations:

SUSTAINABILITY TEST

To strengthen the sustainability factor for both the planning initiative and for environmental management systems, SparrowHawk has included a sustainability test instrument. This instrument takes into consideration that environmental management is a rapid changing field that effective environmental management can be costly in the short-term, that compliance with ISO 14001 is important, and that ongoing planning is critical to keep an organization strong and effective. This test is not essential to developing a solid strategic plan. The test does support ensuring that such plans address the sustainability of EMS and of the planning initiative itself.

The test instrument addresses the following sustainability elements:

1. Leadership
2. Funding
3. Adaptability
4. Human resources
5. Planning
6. EMS

Please consider completing this test as a compliment to your planning or planning evaluation process. Either staff or stakeholders, or both may complete the test.

SUSTAINABILITY TEST INSTRUMENT

Sustainability Element One: Leadership			
Does the plan address sustainable leadership?			
Issue	**Yes**	**No**	**Comments**
Are there provisions in the plan to develop leadership competencies among managers and staff?			
Does the planning initiative have an executive sponsor?			
Are there provisions in the plan to identify a group of key champions for environmental management sustainability among important tribal members?			
Does the plan have a broad base of support?			
Are there provisions in the plan to establish appropriate management oversight for the planning initiative?			
Are there provisions in the plan to make environmental management sustainability a priority for the Tribal Council?			

Sustainability Element Two: Funding

Does the plan address sustainable funding?

Issue	Yes	No	Comments
Are there provisions in the plan to develop a sustainable funding base for EMS?			
Are there provisions in the plan to develop strong fiscal management systems?			
Are there provisions in the plan for strategic development of diverse funding sources?			
Are there provisions in the plan to develop internal, sustainable sources of revenue using innovative processes and technologies?			

Sustainability Element Three: Adaptability

Does the plan address developing organizational capacity to adapt to rapid changing conditions?

Issue	Yes	No	Comments
Are there provisions in the plan to develop organizational learning capacity?			
Are there provisions in the plan to address knowledge management?			
Are there provisions in the plan to engage in ongoing quality improvement?			
Are there provisions in the plan that address the development of after action review processes?			
Are there provisions in the plan to develop organizational capacity to become more proactive?			

Sustainability Element Four: Human Resources

Does the plan address sustainable human resources?

Issue	Yes	No	Comments
Are there provisions in the plan to identify or develop EMS management and staff professional competencies and training plans?			
Are there provisions in the plan to undergo succession planning or develop a succession plan in the organization?			
Are there provisions in the plan to address personnel recruitment and retention strategies?			
Are there provisions in the plan to address creating a desirable workplace for professional growth and fulfillment?			

Z:\Active SCC Files\CLIENTS\TSWAN\Deliverables\TSWAN.Environmental Management Template.final doc.doc

Sustainability Element Five: Planning

Does the plan address sustainable planning?

Issue	Yes	No	Comments
Are there provisions in the plan that address organizational planning and plan implementation capacity?			
Are there provisions in the plan that address assigning staff or contracting third parties to provide ongoing planning, implementation, and evaluation? (plan-do-check-act)			
Are there provisions in the plan to ensure the planning initiative and the plan itself have the necessary credibility and support among stakeholders?			
Are there provisions in the plan that address how often the plan is reviewed?			

Sustainability Element Six: EMS

Does the plan address strong and sustainable environmental management systems?

Issue	Yes	No	Comments
Are there provisions in the plan to ensure an organizational orientation towards outcomes and results?			
Does the plan address the need for an up-to-date emergency preparedness and safety plan?			
Are there provisions in the plan to ensure ISO 14001 compliance?			
Are there provisions in the plan that address strengthening operational capacity and performance measurement?			
Are there provisions in the plan to ensure the tribal environmental policy statement remains current?			
Does the tribe have an environmental management team or does the plan address this issue?			
Does the tribe have an environmental safety team or does the plan address this issue?			
Does the plan address conducting a comprehensive environmental gap analysis?			
Does the plan address organizational capacity for conducting periodic management review of EMS?			
Is there a system to capture and document public non-conformity with environmental management or does the plan address this issue?			
Is there a system for internal audits or does the plan address this issue?			

Z:\Active SCC Files\CLIENTS\TSWAN\Deliverables\TSWAN.Environmental Management Template.final doc.doc

Z:\Active SCC Files\CLIENTS\TSWAN\Deliverables\TSWAN.Environmental Management Template.final doc.doc