



Utah Division of Arts & Museums UTAH HUMANITIES Ideas in Action Utah Division of State History

# MISSION, VISION & GOVERNANCE Strategic Leadership

Kirsten Darrington | Nonprofit Consultant

Natalie Petersen | Nonprofit Consultant

October 29, 2018 | Salt Lake City, UT



# WELCOME & OVERVIEW

---



# MVG Module Instructors



**Kirsten Darrington**  
Nonprofit Consultant  
[kirdarring@gmail.com](mailto:kirdarring@gmail.com)



**Natalie Petersen**  
Nonprofit Consultant  
[npete14@gmail.com](mailto:npete14@gmail.com)







# Overview

## MVG RECAP

### **Month 1: July 31, 2018**

Workshop | Mission, Vision,  
Governance: An Introduction

### **Month 2: August 27, 2018**

Watch & Talk | Board Governance

### **Month 3: September**

Mentor Site Visits &  
Work on Your Individual Projects

### **Month 4: October 29, 2018**

Workshop | Strategic Leadership

## TODAY'S SCHEDULE

1. Homework Reporting Out
2. Ethics & Core Docs Review
3. **Strategic Planning**
4. Module Evaluation
5. Mentor Break Out Time





# GROUND RULES





# HOMework REPORTING OUT

---



# REMEMBER YOUR ASSIGNMENT?



- 1) Conduct a **vision exercise** with your staff and board.
- 2) Based on that exercise:
  - ☐ create a **vision statement**
  - ☐ review (and possibly revise) your **mission statement**.
- 3) Prepare to **report out on these** both in Month 4.
- 4) Based on your self-assessment, **work with your Mentor** to implement **at least one additional project** for this module.

**Museums report on activities ~ 4-5 minutes each**



# ETHICS & CORE DOCUMENTS

---



# Standards of Ethics

- Start with Values
- Mission & Governance
- Conflicts of Interest
- Financial & Legal Accountability
- Fundraising & Communications
- Human Resources & Information Management
- Public Policy Advocacy
- Collections
- Evaluation





# Standards of Ethics

## MISSION

- Developed, defined & approved by governing body
- Organization is mission driven

## GOVERNANCE

- Expertise & representative character of governing body
- Key roles of governing body
- Fiscal accountability



# Standards of Ethics

## CONFLICTS OF INTEREST

- Organizational policies in place & used to prevent actual, potential or perceived conflicts of interest
- Governing body acts in best interest of organization rather than personal interests or those of third parties
- Signed conflict of interest statements on file
- Governing body declares potential conflicts & excuse themselves from discussions that would pose a conflict
- Governing body is unrelated to staff & each other



# Standards of Ethics

## FINANCIAL & LEGAL ACCOUNTABILITY

- Create & maintain timely, accurate financial reports reflecting financial status & activities for board & public
- Confidential means to report suspected financial impropriety / misuse of resources
- Written financial policies governing investment of assets, internal controls, purchasing practices & reserve funds
- Legal compliance & accountability
- Awareness of & compliance with all applicable federal, state & local laws (fundraising, licensing, financial accountability, human resources, lobbying, taxation)



# Standards of Ethics

## FUNDRAISING

- Legal Compliance - comply with local, state & federal laws, maintain & communicate appropriate tax status
- Communications - truthful, non-coercive tactics, non-exploitive publicity
- Gifts & Reporting - honor donor restrictions, record & acknowledge gifts properly, accurate public reporting, communicate tax implications of gifts
- Privacy & disclosure - respect donor intent
- Fundraising management; gift acceptance, reasonable fundraising costs, accountability of volunteers & professional fundraisers, donor stewardship, telemarketing, fair compensation



# Standards of Ethics

## COMMUNICATIONS

- Constituent priorities are accurately represented in organizational mission & activities
- Accurate, transparent & consistent communication with public about organization

## HUMAN RESOURCES

- Employment policies & practices align with local, state & federal laws
- Manual in place outlining policies addressing employees, governing body & volunteers
- Fair & nondiscriminatory philosophy & policies in place & practiced



# Standards of Ethics

## INFORMATION MANAGEMENT

- Policies followed regarding privacy, access, & integrity of data

## PUBLIC POLICY ADVOCACY

- Procedures followed in making public policy decisions
- Factually accurate information provided to public

## COLLECTIONS

- Policies followed to align with legal and ethical collection practices

## EVALUATION

- Commitment to transparent evaluation process & reporting involving constituent services & outcomes



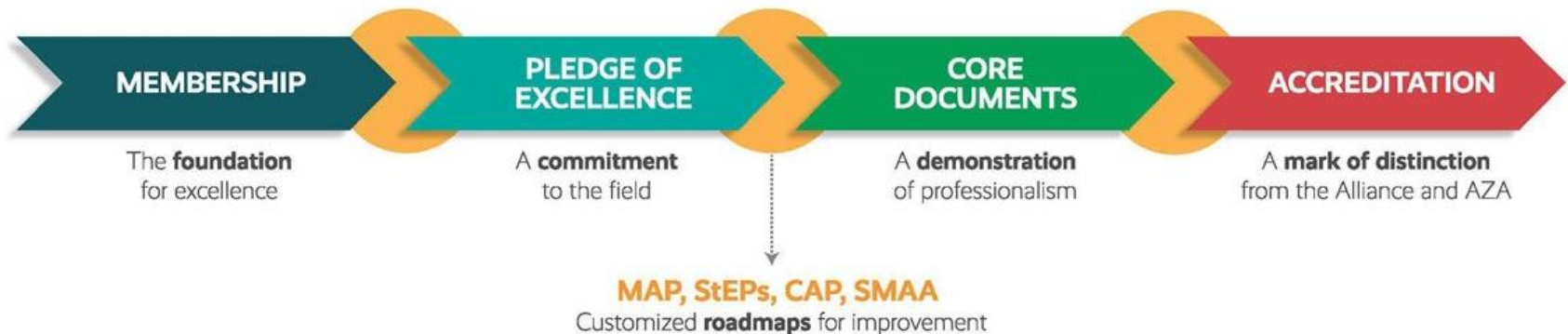
# CORE DOCUMENTS RECAP

---



# Core Documents

- 1) Mission Statement
- 2) Institutional Code of Ethics
- 3) Strategic Institutional Plan
- 4) Disaster Preparedness / Emergency Response Plan
- 5) Collections Management Policy





# MORNING BREAK – 15 minutes





# STRATEGIC PLANNING

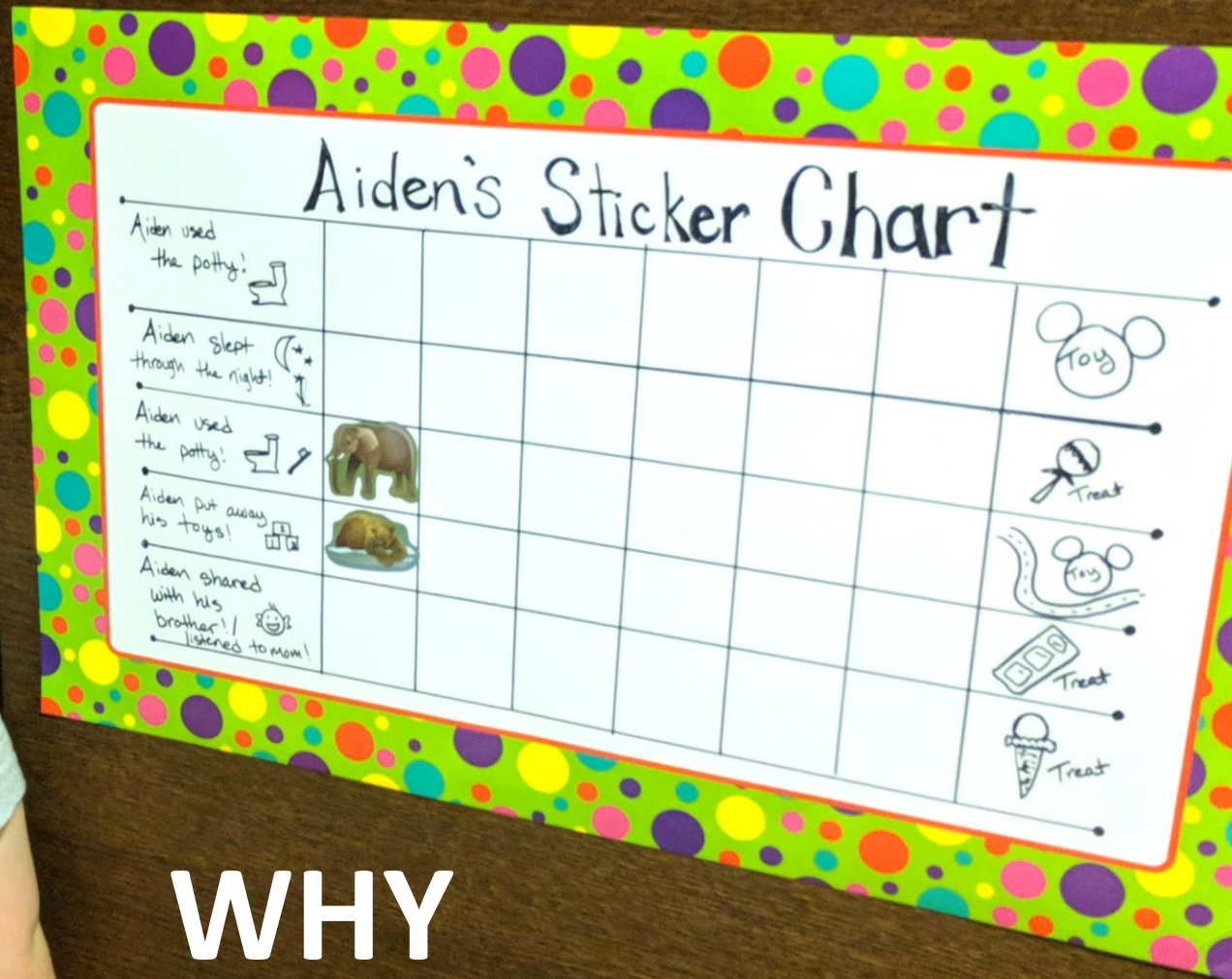
---



# This Section Covers

- 1) Why is planning essential for healthy organizational development?
- 2) Is your organization ready for strategic planning?
- 3) Planning terminology; how terms fit together and support each other
- 4) Elements and sequencing of a planning process
- 5) Strategies for making a strategic plan stick in your organization
- 6) How to establish criteria for success and evaluate a plan's effectiveness





# WHY Planning Matters



# Strategic Planning Success

- 1) Creating a realistic strategy that matches current and anticipated resources.
- 2) Ensuring board and staff embrace the plan and agree on the articulated goals.





# Is YOUR Museum Ready to Plan?

## Organizational Readiness:

Another key factor in ensuring planning success

Resolve major organizational issues **FIRST**

- Large staff turnover
- Budget shortfalls
- Board in-fighting
- Natural disasters
- Other things to consider?





# HANDS-ON ACTIVITY #1

## READINESS SELF-ASSESSMENT



StEPs-UT Mission, Vision, Governance  
Mission, Vision & Governance: Strategic Leadership

HANDS-ON ACTIVITY #1 = 5 minutes  
Readiness Self-Assessment

### Instructions:

1. On your own, reflect on your museum's current situation and complete the readiness self-assessment (5 minutes).
2. Later, share this assessment with your fellow team members and others at your museum and compare thoughts and impressions.

Readiness Issues	YES	NO	Considerations if not ready	Start strategic planning
The museum has enough money to pay bills over the next six months.			How can your museum get enough money? By when?	
The museum has a history of being able to plan and implement its plans.			What can be done to address this issue? Leadership development? Other ideas?	
Board members work well together. Staff members get along.			Problem in board? Problem with staff? What can be done?	
Board members are willing to be involved in top-level planning.			What can be done?	
Board members and staff will find the time to do the planning.			What can be done to free up more time?	
No major changes are expected in the next 1-2 months.			What changes? What can be done to get ready for strategic planning? By when?	
There is extensive support for planning in your museum (internally and externally).			What can you do to address any cynicism?	
Strategic planning efforts are underway because the museum is ready for change and not just because a grantmaker or funder is asking for it.			What should you do about this?	

Adapted from *Field Guide to Nonprofit Strategic Planning and Fundraising* published by Authenticity Consulting, LLC.

- 1) On your own, reflect on your museum's current situation and complete the readiness self-assessment (5 minutes).
- 2) Later, share this assessment with your fellow team members and others at your museum and compare thoughts and impressions.



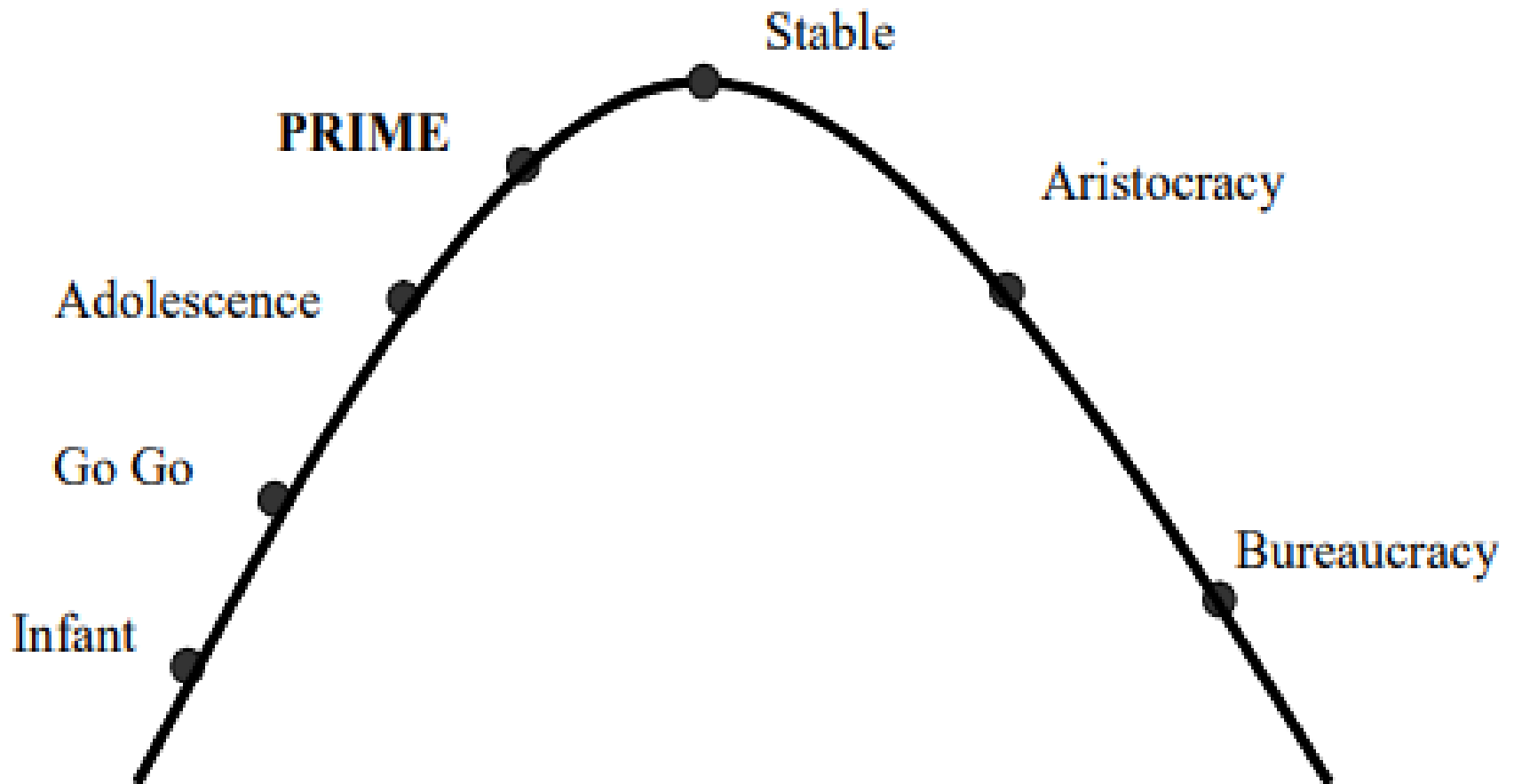
# Planning

- **Planning = Roadmap** for achieving vision, mission, and community impact
- Planning is an **ongoing, iterative process** of asking questions, debating, deciding to try something, assessing the results, and asking more questions
- Each iteration of planning brings greater clarity & eventually the **organization discovers a formula** that makes it successful
- Knowing **how to think and act strategically** is more important than having a strategic plan - the primary purpose of creating a plan is to teach your organization how to think and act strategically





# Organizational Life Cycle





# Organizational Life Cycle

Life Cycle Stage	Type of Plan Needed
Infant	A plan that emphasizes broadening the activities, number of people served, and base of support.
Go-Go	A plan that sets priorities, brings focus, and creates systems and procedures.
Adolescence	A plan that focuses on the organizational culture to learn how to take advantage of conflict that is inherent in the organization.
Prime	A plan for significant growth using the innovation and discipline that have grown in the organization in earlier stages.
Stable	A plan that pushes innovation and risk taking, to counter the tendency to relax.
Aristocracy	A plan that leads to innovation and quick action to counter the aging of the organization.
Bureaucracy	A plan for radical action to shake up the entrenched interests and counter-productive behavior.



# Planning Terms

## **VISION =**

Focus on tomorrow  
& what organization wants  
to become (ambitious)

## **MISSION =**

Why & how organization makes a  
difference today (guide decisions)

## **GOALS =**

Aim or desired result (focus for resources)

## **STRATEGY / OBJECTIVES =**

Method to achieve a goal (don't stop here!)

## **TASKS =**

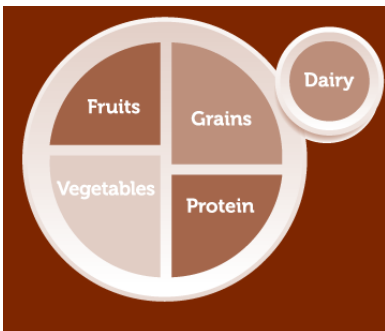
Pieces of work to be done (must tie to vision & mission)





# Planning

- Sustained growth comes with patient, consistent, disciplined action
- Planning is an opportunity to:
  - ✓ Attract support
  - ✓ Allow measurement of success
  - ✓ Evaluate finite resources
  - ✓ Align budget with activities
- Dinner Plate Metaphor
  - ✓ Plate = Resources
  - ✓ Plate Contents = What you want to do
  - ✓ What is the ROI for each item on the plate?
  - ✓ Practice strategic awareness regarding what goes on the plate!





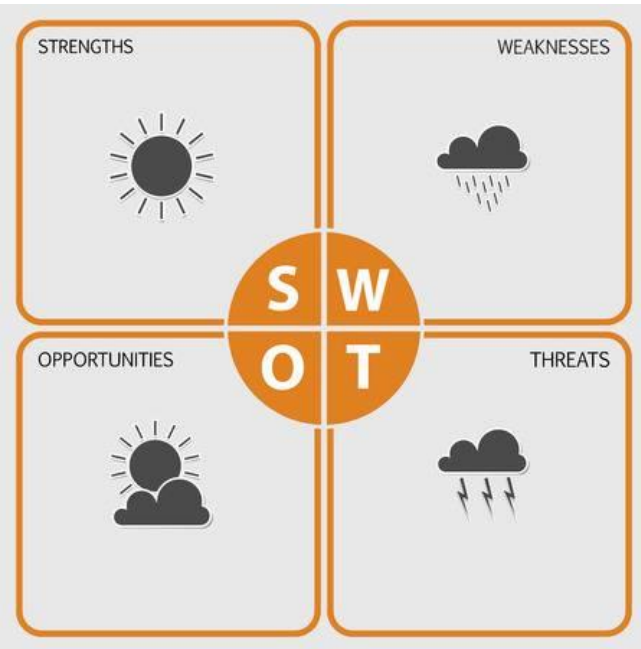
# Planning Process | Elements & Sequencing

- Planning is an iterative process
- Plan wisely – get any crisis under control first
- TIPS to increase likelihood of success with planning process:
  - ✓ Find champions within your organization to help you make the case
  - ✓ Take as much time as needed to do a good job
  - ✓ Involve your best people on your planning team
  - ✓ Involve people outside your organization
  - ✓ Let the process examine every aspect of your organization, esp. ‘sacred cows’
  - ✓ Use a facilitator if a neutral voice is needed





# Planning Process | Elements & Sequencing



## RESEARCH

- Internal assessment / SWOT Analysis
- External assessment / Environmental Scan
  - ✓ Focus groups, surveys, community forums, audience research, competition, stakeholder meetings, economic climate, tourism...
  - ✓ Organizations should work interdependently with communities they serve



# Planning Process | Elements & Sequencing

## INVEST IN DEEP DISCUSSION – A MUST!

- Use information from assessments
- Bring together key stakeholders
- Have them share...
  - ✓ Why they care about their organization and want to be a part of it.
  - ✓ One very specific community impact their organization will make in the next decade.

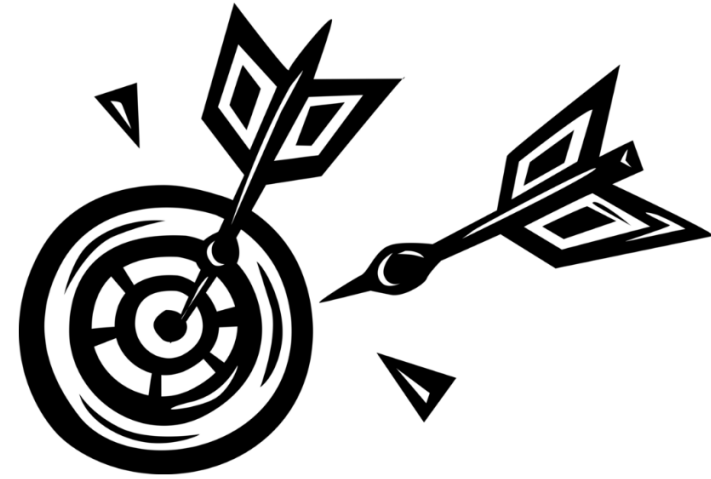




# Planning Process | Elements & Sequencing

## GOAL IDENTIFICATION

- **Collections:** physical access, intellectual access, representative of community
- **Audience Development:** multi-generational, relationship, dialogue, dynamic
- **Educational Programming:** standards-based, adaptable, fun, challenging
- **Financial Management / Fund Development:** prudent, forward-thinking, stable
- **Staff Development:** professional, learning/training, infrastructure
- **Board Development:** forward-thinking, challenging, infrastructure
- **Volunteer Development:** dynamic, learning/training, infrastructure
- **Capital Development:** mission-based/mission-extending





# Planning Process | Elements & Sequencing

## STRATEGY DEVELOPMENT & TIME-FRAMING

- Assign timeline, ownership & success measure
- Identify needed resources & how they will be utilized

## ESTABLISHING CRITERIA

- Does it help us accomplish our mission?
- Is it financially sustainable?
- Will it help us reach new audiences?





# LUNCH BREAK – 60 minutes





# STRATEGIC PLAN CRITIQUE

---



# HANDS-ON ACTIVITY #2

## *STRATEGIC PLANNING CONSULTANTS*



StEPs-UT Mission, Vision, Governance  
Mission, Vision & Governance: Strategic Leadership

HANDS-ON ACTIVITY #2 = 45 minutes  
Strategic Planning Consultants

### Instructions:

1. Break into pairs (choose someone not from your museum). You and your partner will review and critique a single strategic plan.
  2. Read your assigned plan (10 minutes) and discuss with your partner (15 minutes):
    - ☐ What were some of your main observations?
    - ☐ Strengths?
    - ☐ Things you liked?
    - ☐ What was useful?
  3. Teams report back to larger group with tangible takeaways (20 minutes).
- 

- 1) Break into pairs (museum teams split up).
- 2) Read your assigned plan (10 minutes) and discuss with your partner (15 minutes):
  - ☐ What were some of your main observations?
  - ☐ Strengths?
  - ☐ Things you liked?
  - ☐ What was useful?
- 3) Teams report back to larger group with tangible takeaways (20 minutes).



# STRATEGIC PLANS THAT STICK

---



# Work Plan

- Establish planning time-frames & workflow – this includes task definition, ownership, deadlines, success measures & resources
- Short term (1-3 years), mid-term (2-4 years) & long-term (3-5 years) strategies / annual action plan





# Work Plan

## ADDITIONAL TIPS

- Ensure there is good communication & involvement every step of the way; staff, board, constituents...
- Make sure the right board & staff leadership is in place
- Restructure standing committees & add new ones to deliver on plan's strategies as needed
- Rewrite / create committee & task-force job descriptions that mirror goals & strategies of the plan
- Focus first committee meetings on thorough orientation to the plan & roles each play in accomplishing plan
- Build board & staff meetings around goals & strategies of the plan
- Develop an informal dashboard of key measures to help everyone evaluate effectiveness of plan
- Consider reviewing at quarterly or six month intervals





# Why Do Plans Fail?

## LACK OF

- Honesty
- Vision
- Information
- Strategy
- Inclusion
- Productive Conflict
- Communication

## AND

- Plans aren't finalized
- Untested assumptions
- Specifying activities, but not results





# Criteria for Evaluating Effectiveness

- ❑ Are we getting closer to our vision? Our impact?  
How can we tell?
- ❑ Why are we lagging here? Do we need to shift more resources toward it? Is it no longer important or urgent?
- ❑ Did we miscalculate the need for this program? Would it be helpful to bring that focus group back together for a second discussion?
- ❑ Should we accelerate the time frame for this strategy?
- ❑ We're overwhelmed! Let's shift some timeframes.
- ❑ Didn't get the funding for it. It needs to go to the backburner or off the table until the next plan.



# Planning to Plan

## Charting your Organization's Course for the Future!

My Action Plan for Creating a Strategic Plan at My Organization

Task	Notes
Who in our organization needs to be convinced that organizational planning is important?  How can that be done and who will do it?	
What are the reasons why my organization needs to create a plan?	
What people within our organization should lead our planning effort?  Be on a planning committee?	
When would be the ideal time to have a plan written, approved and in place?	
What community leaders and groups do we need to talk with during the external assessment phase?	
How will we get out members involved in the planning process?	
Should we attempt to write a vision statement, if we don't have one already?	



# HANDS-ON ACTIVITY #3

## *PLANNING TO PLAN*



STEPS-UT Mission, Vision, Governance  
Mission, Vision & Governance: Strategic Leadership

**HANDS-ON ACTIVITY #3 = 35 minutes**  
**Planning to Plan**

Instructions:

1. Break into your museum groups
2. Appoint a spokesperson and scribe for your group
3. Review, discuss, and outline organizational next steps in the grid below (10 minutes)
4. Spokesperson from each museum group reports out to larger group (25 minutes)

Charting Your Organization's Course for the Future  
My Action Plan for Creating a Strategic Plan at My Organization



Task	Notes
Who in our organization needs to be convinced that organizational planning is important?  How can that be done and who will do it?	
What are the reasons why my organization needs to create a plan?	
What people within our organization should lead our planning effort?  Be on a planning committee?	
When would be the ideal time to have a plan written, approved and in place?	
What community leaders and groups do we need to talk with during the external assessment phase?	
How will we get out members involved in the planning process?	
What resources could we draw upon to create a successful planning process?	

- 1) Break into your museum groups
- 2) Appoint a spokesperson and scribe for your group
- 3) Review, discuss, and outline organizational next steps in the handout (10 minutes)
- 4) Spokesperson from each museum group reports out to larger group (25 minutes)



# AFTERNOON BREAK – 15 minutes





WRAPPING IT UP!

---



# Quick Recap

## What We Have Covered Today:

- Ethics and Core Documents
- Strategic Planning:
  - ✓ What is Strategic Planning?
  - ✓ Elements of Strategic Planning
  - ✓ Work Plan
  - ✓ Evaluating the Plan
  - ✓ Planning to Plan





# MVG Module Overview

## **This Module Covered:**

- ✓ Mission
- ✓ Vision
- ✓ Governing Documents & Governing Authority
- ✓ Governing Authority's Role
- ✓ Community Partnerships
- ✓ Board Governance
- ✓ Ethics & Core Documents
- ✓ Strategic Planning



# Resources & Source References

**Utah Nonprofits Association (UNA) Standards of Ethics:**

[https://utahnonprofits.org/images/stories/documents/2013\\_Standards\\_of\\_Ethics\\_Final.pdf](https://utahnonprofits.org/images/stories/documents/2013_Standards_of_Ethics_Final.pdf)

**American Alliance of Museums (AAM) Code of Ethics Activity:**

<https://www.aam-us.org/wp-content/uploads/2018/01/code-of-ethics-activity.pdf>

**American Alliance of Museums (AAM) Core Documents Resource Page:**

<https://www.aam-us.org/programs/ethics-standards-and-professional-practices/core-documents/>

**American Alliance of Museums (AAM) Core Documents Verification Article:**

<https://drive.google.com/drive/folders/13QTDi7lsvA5r5aWlujv7W8Ab4c8OkvXC>

**Lord, Gail Dexter & Markert, Kate. (2017). *The Manual of Strategic Planning for Cultural Organization. A Guide for Museums, Performing Arts, Science Centers, Public Gardens, Heritage Sites, Libraries, Archives, and Zoos*. Rowman & Littlefield.**

**Essential Questions to Ask Before Strategic Planning (QM2):**

[http://www.qm2.org/files/Planning/Essential\\_Questions\\_Before\\_Strategic\\_Planning.pdf](http://www.qm2.org/files/Planning/Essential_Questions_Before_Strategic_Planning.pdf)

**\* HANDOUT | Strategic Plans for Birmingham City Museum, Columbus Museum, Frisco Historic Park & Museum, and Longmont Museum (examples from our critique activity)**

**\* HANDOUT | American Association for State and Local History (AASLH) DIY Strategic Planning for Small Museums, Technical Leaflet #242**



# MGMT Module Forecast

## The MANAGEMENT Module Covers:

- Fiscal Responsibility & Budgeting
- Fundraising & Sustainability
- Operationalize Planning
- Managing People
- Managing Things & Activities





# MVG & MGMT Self-Assessments

- Self-assessment tool now a **Google spreadsheet**
  - ✓ Separate tab for each of the six modules
  - ✓ A column for filling out your status pre- and post-module
  - ✓ Space at bottom of each tab to indicate what projects undertaken for each module and date completed
- **Individual links** – you have your own spreadsheet
  - ✓ Jennifer will send your link to you and your mentor
  - ✓ Your MVG pre-module info has been transferred already

***MVG post-module and MGMT pre-module  
completed by Friday, November 12***



GOOGLE sheet just for you!



75% \$ % .0 .00 123 Calibri 11 B I S A

fx								
	A	B	C	D	E	F	G	H
1	<b>StEPs-UT MODULE SELF-ASSESSMENT TOOL   MISSION, VISION, GOVERNANCE</b>							
2	<b>INSTITUTION NAME:</b> Your organization NAME			<b>Pre-Module Assessment Date:</b>	Date you filled this out at start of module		<b>Post-Module Assessment Date:</b>	Date you filled this out at end of module
3	<b>Standards</b>	<b>Self-assessment Questions</b>	<b>Performance Indicators</b>	<b>PRE-MODULE Assessment Meet Indicators?</b>	<b>Notes</b>	<b>Project Work Undertaken to Address Gaps (see below for examples)</b>	<b>POST-MODULE Assessment Meet Indicators?</b>	<b>Notes</b>
4	<b>MVG Standard 1:</b> The institution has a clear understanding of its mission and communicates why it exists and who benefits as a result of its efforts.	<b>A. Does the institution have a mission statement?</b>	<b>Basic</b>					
5			" The institution has a written mission statement that the governing authority, staff, and volunteers understand, remember, and can explain.					
6			<b>Good</b>					
7			" The mission statement is easily accessible (e.g., posted in the office, printed in the newsletter, and prominent in meeting materials for the governing authority), and the governing authority and staff frequently reacquaint themselves with it.					
8			<b>Better</b>					
9			" The institution reviews the mission statement every three to five years. The review may include members of the community.					
10		<b>B. Does the mission statement clearly express what the institution does and for whom?</b>	<b>Basic</b>					
11			" The mission defines the institution's purpose and acknowledges its public responsibility.					
12			" It identifies the institution's audiences and reflects the institution's core values.					
13			" The institution shares its mission in communications with the public.					
14			<b>Good</b>					
15			" The mission statement focuses on outcomes and impact, not solely activities.					
16			<b>Better</b>					
17			" The governing authority, staff, and volunteers always address the institution's mission in decision-making.					
18	<b>MVG Standard 2:</b> All aspects of the institution's operations are integrated and focused on meeting its mission.	<b>A. Does the institution make decisions based on its mission?</b>	<b>Basic</b>					
19			" The institution sometimes refers to its mission statement in decision making.					
20			<b>Good</b>					
21			" The institution uses the mission statement to guide much of its decision making.					
22			<b>Better</b>					
23			" The institution's decision making is always guided by a commitment to fulfill its mission.					
24		<b>B. Does the institution outline its future plans in a written vision statement?</b>	<b>Basic</b>					
25			" The institution has an awareness of its vision for the future.					
26			<b>Good</b>					
27			" The institution has a vision statement, adopted by the governing authority, that is consistent with its mission.					
28			" The vision statement describes expectations for future achievements.					



# MVG | Evaluation Conversation

- Considering the work you completed for this module, what accomplishment are you **most proud of**?
- What concepts or practices were **most difficult for you** to accomplish personally?
- In reflecting on the curriculum, what parts were most uncomfortable, or **felt unnatural for you to tackle**?



*Do you have suggestions for your colleagues here on how they might troubleshoot or address their challenges?*



# Wrap-Up

- **StEPs-UT is a partnership** between the Utah Division of Arts & Museums, Utah Humanities, and Utah Division of State History, and is supported by funding from the Utah Department of Heritage & Arts, the State of Utah, and the National Endowment for the Humanities.
- Questions? Anything else? Nametags to the basket please.
- **Mentor & Mentee Break-out Groups until 5pm.**

**Jennifer Ortiz | Utah Division of Arts & Museums**  
jenniferortiz@utah.gov | 801.245.7288

**Emily Johnson | Utah Division of Arts & Museums**  
emilyjohnson@utah.gov | 801.245.7289

**Megan van Frank | Utah Humanities**  
vanfrank@utahhumanities.org | 801.359.9670